

Roka Bioscience Securities Settlement

CLAIM FORM AND RELEASE

YOU MUST SUBMIT A COMPLETED CLAIM FORM THAT IS POSTMARKED OR RECEIVED BY STRATEGIC CLAIMS SERVICES (THE “CLAIMS ADMINISTRATOR”) NO LATER THAN SEPTEMBER 19, 2016 TO BE ELIGIBLE TO SHARE IN THE SETTLEMENT.

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QUESTIONS? PLEASE CALL 1-866-274-4004	

SECTION I - GENERAL INSTRUCTIONS

1. You should completely read and understand the “Notice of (1) Pendency and Proposed Settlement of Class Action and (2) Hearing on Proposed Settlement” (the “Notice”) that accompanies this Claim Form, as well as the Plan of Allocation included in the Notice. The Notice and the Plan of Allocation describe the proposed Settlement of this Action, how Class Members are affected by that Settlement, and how the Settlement Amount will be distributed if the Court approves the Settlement and the Plan of Allocation. The Notice also contains the definitions of many of the defined terms (shown with initial capital letters) used in this Claim Form. **By signing and submitting the Claim Form, you certify that you have read and understand the Notice and agree to the terms of the Release.**

2. TO PARTICIPATE IN THE SETTLEMENT, YOU MUST MAIL YOUR COMPLETED AND SIGNED CLAIM FORM – WITH THE REQUIRED SUPPORTING DOCUMENTATION – BY FIRST-CLASS MAIL (OR ITS NON-U.S. EQUIVALENT), POSTAGE PREPAID, POSTMARKED ON OR BEFORE SEPTEMBER 19 2016, ADDRESSED TO:

Roka Bioscience Securities Litigation
c/o Strategic Claims Services
600 N. Jackson St., Ste. 3
P.O. Box 230
Media, PA 19063
Tel.: 866-274-4004
Fax: 610-565-7985
info@strategicclaims.net

IF YOU DO NOT SUBMIT A TIMELY, PROPERLY ADDRESSED AND COMPLETED CLAIM FORM, YOUR CLAIM MAY BE REJECTED, AND YOU MAY BE PREVENTED FROM RECEIVING ANY DISTRIBUTION FROM THE NET SETTLEMENT AMOUNT.

3. This Claim Form is directed to all persons and entities who purchased or otherwise acquired Roka securities pursuant or traceable to Roka’s Registration Statement for its Initial Public Offering (“IPO”), including those who purchased or otherwise acquired Roka common stock between July 17, 2014, and March 26, 2015, inclusive (the “Class”). The following persons and entities are specifically *excluded* from the Class under the terms of the Settlement Agreement: (a) anyone who, while represented by counsel, settled an actual or threatened lawsuit or other proceeding against the Releasees (defined below) and released the Releasees from any further Claims relating to their purchase or other acquisition of Roka securities during the Class Period; (b) Roka and the individual defendants; (c) persons who are or were family members or officers or directors of any defendant; their legal representatives, heirs, successors, or assigns, and any entity in which any defendant has or had a controlling interest; and (d) any persons and entities who exclude themselves from the Class and the Settlement by filing a timely, valid opt-out request in accordance with the requirements in the Notice.

4. “Authorized Claimant” means a Class Member who timely submits to the Claims Administrator a valid Claim Form that is approved pursuant to the terms of the Settlement Agreement.

5. “Releasees” means Roka and any or all of its respective past or present parents, predecessors, successors, affiliates, divisions, business units, and subsidiaries, and any other entities in which Roka has a controlling interest or that have a controlling interest in it, and each of their respective past and present directors, executive-committee members, officers, officials, employees, members, partners, principals, agents, attorneys (including in-house or outside attorneys), advisors, trustees, administrators, fiduciaries, consultants, actuaries, representatives,

accountants, accounting advisors, auditors, insurers, and reinsurers. The full text of the Release is included in Section E below.

6. IF YOU ARE NOT A CLASS MEMBER, OR IF YOU OR SOMEONE ACTING ON YOUR BEHALF FILED A REQUEST FOR EXCLUSION FROM THE CLASS, DO NOT SUBMIT A CLAIM FORM. YOU MAY NOT PARTICIPATE IN THE SETTLEMENT IF YOU ARE NOT A CLASS MEMBER.

7. Submission of this Claim Form does not guarantee that you will share in the Net Settlement Amount. Distributions from the Net Settlement Amount are governed by the Plan of Allocation, which must be approved by the Court. The proposed Plan of Allocation is included in the Notice.

8. If you have questions about the Claim Form or need additional copies of it or of the Notice, you may contact the Claims Administrator, Strategic Claims Services, at the above address or telephone number. You may also send your questions to info@strategicclaims.net or download the documents from www.strategicclaims.net.

9. If you are a Class Member and you do not (or someone acting on your behalf does not) submit a timely request for exclusion from the Class, and if the Court approves the Settlement, you will be bound by the Court's orders and judgment whether or not you submit a Claim Form. The proposed judgment enjoins the filing or continued prosecution of all Released Plaintiffs' Claims and also releases the Releasees from Released Plaintiffs' Claims (defined below), including those that are subject to pending lawsuits or arbitrations.

10. You must submit genuine and sufficient documentation for all your transactions in Roka securities during the period July 17, 2014 through March 26, 2015. Documentation may be photocopies of stockbrokers' confirmation slips or monthly statements (reflecting your opening and closing balances for the months that are specified on the Claim Form and in which transactions occurred during the relevant period). IF YOU DO NOT HAVE SUCH DOCUMENTS IN YOUR POSSESSION, YOU SHOULD OBTAIN COPIES OR EQUIVALENT CONTEMPORANEOUS DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL STOCK CERTIFICATES.

11. The date of covering a "short sale" is deemed to be the date of purchase of Roka securities. The date of a "short sale" is deemed to be the date of sale of Roka securities.

12. All joint purchasers must each sign this Claim Form.

13. 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, telephone number, and e-mail address (if available) of the beneficial owner of (or other person or entity on whose behalf they are acting as to) the Roka securities; and
- (c) submit evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Stockbrokers cannot establish their authority to complete and sign a Claim Form by demonstrating merely that they have discretionary authority to trade stock in another person's accounts.)

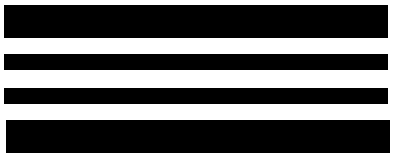
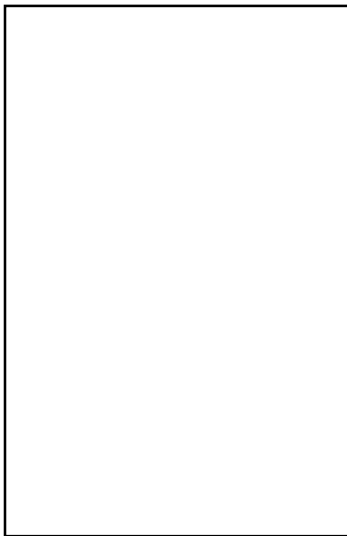
14. By submitting a signed Claim Form, you will be affirming that:

- (a) you own(ed) the Roka securities you have listed in the Claim Form; or
- (b) you are expressly authorized to act on behalf of the owner of those securities.

15. By submitting a signed Claim Form, you will be swearing to the truth and completeness of the statements in it and to the genuineness of the documents attached to it, 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.

NOTE: Separate Claim Forms should be submitted for each separate legal entity (for example, a claim from joint owners should not include separate transactions of just one of the joint owners, and an individual should not combine his or her IRA transactions with transactions made solely in non-IRA accounts). However, a single Claim Form submitted on behalf of one legal entity should include all transactions made by that entity, no matter how many separate accounts that entity has (for example, a corporation with multiple brokerage accounts should include on one Claim Form all transactions made in Roka securities during the Class Period, no matter how many accounts the transactions were made in).

IF YOU DO NOT SUBMIT A COMPLETE CLAIM BY SEPTEMBER 19 2016, YOUR CLAIM IS SUBJECT TO REJECTION.



**Must be Postmarked
or Received
No Later Than
September 19, 2016**

Roka Bioscience Securities Settlement
c/o Strategic Claims Services
600 N. Jackson St., Ste. 3
P.O. Box 230
Media, PA 19063
United States of America

CLAIM FORM AND RELEASE FORM

Please Type or Print in the Boxes Below

Do NOT use Red Ink, Pencil, or Staples

SECTION II - CLAIMANT INFORMATION

Claimant or Representative Contact Information:

Last Name M.I. First Name
[Grid of boxes for name entry]

Last Name (Co-Beneficial Owner - If applicable) First Name (Co-Beneficial Owner)
[Grid of boxes for name entry]

IRA Joint Tenancy Employee Individual Other _____

Company Name (Beneficial Owner - If Claimant is not an Individual) or Custodian Name if an IRA
[Grid of boxes for company name entry]

Trustee/Asset Manager/Nominee/Record Owner's Name (if Different from Beneficial Owner Listed Above)
[Grid of boxes for trustee name entry]

Account#/Fund# (Not Necessary for Individual Filers)
[Grid of boxes for account number entry]

Social Security Number Taxpayer Identification Number
[Grid of boxes for SSN and TIN entry]

Telephone Number (Work) Telephone Number (Home)
[Grid of boxes for telephone numbers entry]

Email Address
[Grid of boxes for email address entry]

Mailing Information

Address
[Grid of boxes for address entry]

Address
[Grid of boxes for address entry]

City State Zip Code
[Grid of boxes for city, state, and zip code entry]

Foreign Province Foreign Postal Code Foreign Country Name/Abbreviation
[Grid of boxes for foreign address information entry]

PLACEHOLDER FOR PROCESSING ONLY BAR

SECTION III – TRANSACTIONS IN ROKA SECURITIES

YOU MUST SUBMIT DOCUMENTATION SUPPORTING THE INFORMATION BELOW

1. **BEGINNING HOLDINGS:** State the number of shares of Roka securities that the Claimant owned at the close of business on **July 16, 2014**. If none, write “zero” or “0.” If other than zero, be sure to attach the required documentation.

2. **PURCHASES:** List all purchases of Roka common stock during the period **July 17, 2014** through and including **March 26, 2015**. (NOTE: If you acquired your Roka common stock during this period other than by an open-market purchase, please provide a complete description of the terms of the acquisition on a separate page.) Be sure to attach the required documentation.

	Trade Date(s) (List Chronologically) (Month/Day/Year)	Number of Shares Purchased	Total Purchase Price (excluding commissions, transfer taxes, or other fees)	Proof of Purchase Enclosed (Y/N)
1.	/ /		\$. 00	<input type="checkbox"/> Y <input type="checkbox"/> N
2.	/ /		\$. 00	<input type="checkbox"/> Y <input type="checkbox"/> N
3.	/ /		\$. 00	<input type="checkbox"/> Y <input type="checkbox"/> N

3. **SALES:** List all sales of Roka securities during the period **July 17, 2014** through and including **March 26, 2015**. Be sure to attach the required documentation.

	Trade Date(s) (List Chronologically) (Month/Day/Year)	Number of Shares Sold	Total Sales Price (excluding commissions, transfer taxes, or other fees)	Proof of Sales Enclosed (Y/N)
1.	/ /		\$. 00	<input type="checkbox"/> Y <input type="checkbox"/> N
2.	/ /		\$. 00	<input type="checkbox"/> Y <input type="checkbox"/> N
3.	/ /		\$. 00	<input type="checkbox"/> Y <input type="checkbox"/> N

4. **UNSOLD HOLDINGS:** State the number of shares of Roka common stock that the claimant owned at the close of business on **March 26, 2015**. Be sure to attach the required documentation.

If you require additional space, attach extra schedules in the same format as above. Sign and print your name on each additional page.

YOU MUST READ AND SIGN THE RELEASE ON PAGE 19. FAILURE TO SIGN THE RELEASE
MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.

SECTION IV - RELEASE AND SIGNATURE

I. Definitions

For the purpose of the Claim Form, defined terms not already defined in this form have the following meanings. Other defined terms have the meanings given them in the Stipulation of Settlement dated as of May 17, 2016 (the “Settlement Agreement”).

“**Final Order**” means the Order of Dismissal entered by the Court upon approval of the Settlement, as contemplated by the Settlement Agreement, dismissing the Action with prejudice and without costs to any Releasee (except to the extent awarded by the Court), releasing all Released Plaintiffs’ Claims as against the Releasees, and enjoining Class Members from instituting, continuing, or prosecuting any action asserting any Released Plaintiffs’ Claims against any Releasee.

“**Released Plaintiffs’ Claims**” means each and every Claim that Plaintiffs or any other Class Member (i) asserted against any of the Releasees in the Action (including all Claims alleged in the original complaint and in the Complaint) or (ii) could have asserted or could assert against any of the Releasees in connection with the facts and circumstances alleged in the Action, whether arising under any federal, state, or other statutory or common-law rule, in any court, tribunal, agency, or other forum, that both (A) arises out of or relates to the purchase or other acquisition of Roka common stock during the Class Period, or any other Investment Decision concerning Roka common stock during the Class Period, and (B) relates directly or indirectly to (1) Roka’s method for testing for foodborne pathogens, Roka’s Atlas instruments and assays, customers’ use of Roka’s Atlas instruments and assays, laboratory operators’ ability to use Roka’s Atlas instruments and assays, difficulties (including false positives) that customers experienced in using Roka’s Atlas instruments and assays, customers’ and Roka’s responses to those difficulties, Roka’s revised workflow for use of its assays, Roka’s alleged awareness of customers’ difficulties in using Roka’s Atlas instruments and assays and of the efficacy of its efforts (including the revised workflow) to resolve those difficulties, Roka’s redesign of its *Listeria* assay, Roka’s financial condition (including its revenues and expenses) and prospects, the Registration Statement, Roka’s third-quarter and fourth-quarter 2014 earnings reports and financial disclosures, Roka’s internal controls, processes, and procedures relating to accounting or disclosure matters, and any other alleged breaches of Releasees’ duties to Roka or its shareholders, and/or (2) any alleged statements about – or alleged failures to disclose information about – any of the foregoing matters. The term “Released Plaintiffs’ Claims” includes any Claims arising out of or relating to both (i) the purchase or other acquisition of Roka common stock during the Class Period, or any other Investment Decision during the Class Period concerning Roka securities issued pursuant or traceable to the Registration Statement; and (ii) any or all of the acts, failures to act, omissions, misrepresentations, facts, events, matters, transactions, occurrences, or oral or written statements or representations of Releasees that were or could have been alleged under the facts and circumstances pled in the Action (including in the Complaint and the original complaint), including:

- a. Roka’s method for testing for foodborne pathogens, including how the testing is done, the amount of time needed to obtain test results, the differences between Roka’s testing method and other available methods, and the advantages and alleged disadvantages of Roka’s testing method;
- b. placements of Roka’s Atlas instruments and sales of assay kits;
- c. the training required for use of Roka’s Atlas testing system;
- d. false positives and other difficulties that Roka’s customers or prospective customers experienced in using the Atlas instrument or Roka’s assays;
- e. contamination of test samples, sample bags, sample tubes, or Atlas instruments;
- f. returns of Atlas instruments by customers or prospective customers;
- g. loss of customers or prospective customers, or reductions in their purchases and use of Roka’s assays;
- h. Roka’s customers; the staffing of and conditions in their laboratories; their employees’ training, qualifications, experience, and compensation; errors made by their lab technicians; and Roka’s alleged knowledge of those issues;
- i. Roka’s efforts to resolve false positives and other customer difficulties, including the revised workflow that Roka introduced in the spring of 2014;
- j. Roka’s alleged knowledge of customers’ complaints and of whether the new workflow and other efforts to resolve customers’ issues were succeeding and would succeed in the future;
- k. Roka’s redesign of its *Listeria* assay after the IPO, including Roka’s alleged awareness of the need to do so and

the timing of the new assay's availability;

- l. Roka's financial condition, revenues, net income, and other financial metrics, and auditors' comments about Roka's financial condition;
- m. Roka's future financial and business prospects and its expectations about future earnings, expenses, instrument placements, and assay usage;
- n. expectations, trends, or uncertainties concerning the food-testing business, Roka's position in the industry, and Roka's plans for the future;
- o. the Registration Statement, including its compliance with Item 303 of Regulation S-K and other applicable laws and requirements;
- p. Roka's third-quarter 2014 earnings announcement and financial statements;
- q. Roka's statements about the status of its contracts and transactions;
- r. Roka's fourth-quarter 2014 earnings announcement and 4Q14 financial statements; and
- s. Roka's statements about, or alleged omissions concerning, any or all of the above matters.

The term "Released Plaintiffs' Claims" also includes any Claim relating to the initiation, litigation, settlement, or dissemination of notice of the Action; *provided, however*, that the term "Released Plaintiffs' Claims" does *not* include any claims to enforce this Settlement Agreement.

"**Unknown Claims**" means any and all Released Plaintiffs' Claims that any Plaintiff or any other Class Member does not know or suspect to exist in his, her, or its favor at the time of the release of the Releasees, and any Released Defendants' Claims that any Defendant does not know or suspect to exist in his or its favor, which, if known by Plaintiffs, the other Class Member, or Defendants, might have affected his, her, its, or their decision(s) concerning the Settlement. As to any and all Released Plaintiffs' Claims and Released Defendants' Claims, the Settling Parties stipulate and agree that, upon the Final Settlement Date, Plaintiffs and Defendants shall expressly waive, and each other Class Member, Releasor, and releasee shall be deemed to have waived, and by operation of the Final Order and the Judgment shall have expressly waived, any and all provisions, rights, and benefits conferred by any law of any state or territory of the United States or of any other country, or any principle of common law, that is similar, comparable, or equivalent to Cal. Civ. Code § 1542, which provides:

A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.

Plaintiffs and Defendants acknowledge, and the other Class Members by operation of law shall be deemed to have acknowledged, that the inclusion of "Unknown Claims" in the definition of Released Plaintiffs' Claims and Released Defendants' Claims was separately bargained for and was a key element of the Settlement.

II. The Release

I (we) understand and acknowledge that, without further action by anyone, on and after the entry of the Final Order and Judgment, all Class Members (including Class Members who have pending or later initiate any other actions, arbitrations, or other proceedings against Defendants or any related person or entity relating to Released Plaintiffs' Claims), on behalf of themselves, their parents, predecessors, successors, heirs, executors, administrators, successors, assigns, any person they represent, and any person or entity claiming by or through, on behalf of, for the benefit of, derivatively for, or as representative of any Class Member, for good and sufficient consideration, the receipt and adequacy of which are hereby acknowledged, shall be deemed to have, and by operation of law and of the Final Order and Judgment shall have, fully, finally, and forever released, relinquished, settled, and discharged all Released Plaintiffs' Claims against each and every one of the Releasees, including all Released Plaintiffs' Claims that may already have been asserted in any pending action, arbitration, or other proceeding, and whether or not a Claim Form is executed and delivered by, or on behalf of, such Class Member.

SIGNATURE AND CERTIFICATIONS

By signing and submitting this Claim Form, the Claimant or the person who represents the Claimant certifies as follows:

1. The claimant is a Class Member, as defined in the Notice;
2. I (we) have read and understand the contents of the Notice and the Claim Form;
3. I am (we are) not acting for Roka; nor am I (are we) otherwise excluded from the Class;

4. I (we) have not filed a request for exclusion from the Class, and I (we) do not know of any request for exclusion from the Class filed on my (our) behalf as to my (our) transactions in Roka securities;
5. I (we) own(ed) the Roka securities identified in the Claim Form, or, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
6. Claimant may be entitled to receive a distribution from the Net Settlement Amount;
7. Claimant desires to participate in the Settlement described in the Notice and agrees to the Settlement's terms and conditions;
8. I (we) submit to the jurisdiction of the United States District Court for the District of New Jersey for purposes of investigation and discovery under the Federal Rules of Civil Procedure as to this Claim Form;
9. I (we) agree to furnish such additional information concerning this Claim Form as the parties or the Court may require;
10. I (we) waive trial by court or jury, to the extent it exists, and agree to the Court's final disposition of any disputes about the validity or amount of the claim made by this Claim Form or the amount payable to any claimant; and
11. I am (we are) not subject to backup withholding under the provisions of Section 3406(a)(1)(c) of the Internal Revenue Code.

NOTE: If you have been notified by the Internal Revenue Service that you are subject to backup withholding, please strike the language that you are not subject to backup withholding in the certification above. The Internal Revenue Service does not require your consent to any provision other than the certification required to avoid backup withholding.

I (we) declare, under penalty of perjury under the laws of the United States of America, that the statements made and answers given in this Claim Form are true and correct and that the documents submitted with this Claim Form are true and genuine.

1. Executed this _____ day of _____ in _____
(Month/Year) (City/State/Country)

(Sign your name here)

(Sign your name here)

(Type or print your name)

(Type or print your name)

(Capacity of persons signing, e.g., Beneficial Purchaser, Executor or Administrator)

(Capacity of persons signing, e.g., Beneficial Purchaser, Executor or Administrator)

Roka Bioscience Securities Litigation
c/o Strategic Claims Services
600 N Jackson Street – Suite 3
Media, PA 19063

IMPORTANT LEGAL DOCUMENT – PLEASE FORWARD

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

REMINDER CHECKLIST:

1. Please sign the Certification Section of the Claim Form.
2. Keep a copy of your Claim Form and all submitted documentation for your records.
3. If this claim is made on behalf of joint claimants, then each claimant must sign.
4. Please remember to attach supporting documents.
5. If you move, please send us your new address.
6. **DO NOT SEND ORIGINALS OF ANY SUPPORTING DOCUMENTS.**
7. **Do not use highlighter on the Claim Form or supporting documentation.**

**THIS CLAIM FORM MUST BE POSTMARKED OR ELECTRONICALLY
SUBMITTED NO LATER THAN SEPTEMBER 19, 2016, AND SENT TO:**

Roka Bioscience Securities Litigation
c/o Strategic Claims Services
600 N. Jackson St., Ste. 3
P.O. Box 230
Media, PA 19063