

Must be  
Postmarked or  
Electronically  
Submitted  
No Later Than  
March 22, 2018

*In re Foreign Exchange Benchmark Rates  
Antitrust Litigation*  
c/o GCG  
P.O. Box 10239  
Dublin, OH 43017-5739  
1-888-582-2289  
(if you are calling from outside the  
United States or Canada, call 1-330-333-7253)

FEX



If you are a broker or manager and this Claim Form belongs to your customer, please forward it to your customer at their correct address. This Claim Form is customized and includes a Claim Number and Control Number for filing a claim.

Claim Number:

Control Number:

## **PROOF OF CLAIM AND RELEASE**

If you, between January 1, 2003 and December 15, 2015, entered into:

1. one or more FX Instruments directly with a Defendant, Released Party, direct or indirect parent, subsidiary, or division of a Defendant, or co-conspirator, where you were either domiciled in the United States or its territories or, if domiciled outside the United States or its territories, transacted one or more FX Instruments in the United States or its territories;

OR

2. one or more FX Exchange-Traded Instruments, where you were either domiciled in the United States or its territories or, if domiciled outside the United States or its territories, entered into FX Exchange-Traded Instruments on a U.S. exchange,

you may be eligible to receive a payment from Settlements reached in *In re Foreign Exchange Benchmark Rates Antitrust Litigation*, No. 1:13-cv-07789-LGS (S.D.N.Y) as a member of one of the Settlement Classes.

“FX Instruments” means FX spot transactions, forwards, swaps, futures, options, and any other FX instrument or FX transaction that the trading or settlement value of which is related in any way to FX rates. “FX Exchange-Traded Instruments” means any and all FX Instruments that were listed for trading through an exchange, including, but not limited to, FX futures and options on FX futures. The Notice of Class Action Settlements (“Notice”) that accompanies this Proof of Claim and Release (“Claim Form”) contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form.

If you are an eligible member of one of the Settlement Classes, to receive any payment from the Settlements, you must complete and submit this Claim Form. An electronic version of the Claim Form is available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com) (the Settlement Website), which is maintained by the Claims Administrator, GCG. Your Claim Form must be submitted to the Claims Administrator so that it is postmarked by March 22, 2018 or submitted online by 11:59 p.m. Eastern time on March 22, 2018. Submission of this Claim Form does not ensure that you will receive any payment from the Settlements. Separate Claim Forms should be submitted for each separate legal entity in a corporate structure.

### **TABLE OF CONTENTS**

**PAGE #**

<b>SECTION A – CLAIMANT IDENTIFICATION .....</b>	<b>2</b>
<b>SECTION B – GENERAL INFORMATION.....</b>	<b>3</b>
<b>SECTION C – INSTRUCTIONS FOR FILING A CLAIM FORM &amp; CLAIMANT OPTIONS 1 &amp; 2 .....</b>	<b>4-6</b>
<b>SECTION D – DOCUMENTATION REQUIREMENTS FOR CLAIMANTS WHO ELECT OPTION 2 AND/OR CLAIMANTS WHO TRANSACTED IN FX EXCHANGE-TRADED INSTRUMENTS .....</b>	<b>7</b>
<b>SECTION E – SUPPLEMENTAL DOCUMENTATION REQUIREMENTS FOR CLAIMANTS WHO TRANSACTED IN FX EXCHANGE-TRADED INSTRUMENTS .....</b>	<b>8</b>
<b>SECTION F – PAYMENT ELECTION .....</b>	<b>9</b>
<b>SECTION G – CERTIFICATION &amp; SIGNATURE .....</b>	<b>9-10</b>
<b>SECTION H – CHECKLIST REGARDING CLAIM FORM.....</b>	<b>11</b>

For more information, call the Claims Administrator at 1-888-582-2289 (if you are calling from outside the United States or Canada, call 1-330-333-7253) or visit [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com).



SECTION A - CLAIMANT IDENTIFICATION

The Claims Administrator will use this information for all communications relevant to this Claim Form. If this information changes, please notify the Claims Administrator in writing. If you are a trustee, executor, administrator, custodian, or other nominee and are completing and signing this Claim Form on behalf of the Claimant, you must attach documentation showing your authority to act on behalf of the Claimant (see Section C.3 of the Claim Form, below).

Section 1 – Claimant Information

Claimant Name:

Grid for Claimant Name

Street Address:

Grid for Street Address

City:

Grid for City

State/Province/Region:

Grid for State/Province/Region

Postal Code (other than U.S.):

Grid for Postal Code (other than U.S.)

Zip Code (U.S.):

Grid for Zip Code (U.S.)

Country:

Grid for Country

Last 4 Digits of Tax ID (For most U.S. Claimants, Tax ID is the last 4 digits of the social security number, employer identification number, or taxpayer identification number. For non-U.S. claimants, enter the last 4 digits of a comparable government-issued identification number.):

Grid for Last 4 Digits of Tax ID

Country of Domicile:

Grid for Country of Domicile

Daytime Telephone Number:

Grid for Daytime Telephone Number

Evening Telephone Number:

Grid for Evening Telephone Number

Email Address (If you provide an email address, you authorize the Claims Administrator to use it in providing you with information relevant to this claim.):

Grid for Email Address

Section 2 – Authorized Representative Information

Name of the Person you would like the Claims Administrator to Contact Regarding This Claim (if different from the Claimant Name(s) listed above):

Grid for Name of the Person

Daytime Telephone Number:

Grid for Daytime Telephone Number

Evening Telephone Number:

Grid for Evening Telephone Number

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.):

Grid for Email Address

To view Garden City Group, LLC’s Privacy Notice, please visit http://www.choosegcg.com/privacy

<sup>1</sup>The last four digits of the taxpayer identification number (TIN), consisting of a valid Social Security Number (SSN) for individuals or Employer Identification Number (EIN) for business entities, trusts, estates, etc., and telephone number of the beneficial owner(s) may be used in verifying this claim.



## SECTION B – GENERAL INFORMATION

1. It is important that you read the Notice that accompanies this Claim Form. The Notice and Plan of Distribution explain:
  - a. The proposed Settlement Agreements, which, if granted final approval by the Court, will resolve the class action lawsuit entitled *In re Foreign Exchange Benchmark Rates Antitrust Litigation*, No. 1:13-cv-07789-LGS (S.D.N.Y.), with respect to Bank of America Corporation, Bank of America, N.A., and Merrill Lynch, Pierce, Fenner & Smith Incorporated (“Bank of America”); The Bank of Tokyo-Mitsubishi UFJ, Ltd. (“BTMU”); Barclays Bank PLC and Barclays Capital Inc. (“Barclays”); BNP Paribas Group, BNP Paribas North America Inc., BNP Paribas Securities Corp., and BNP Prime Brokerage, Inc. (“BNP Paribas”); Citigroup Inc., Citibank, N.A., Citicorp, and Citigroup Global Markets Inc. (“Citigroup”); Deutsche Bank AG and Deutsche Bank Securities Inc. (“Deutsche Bank”); The Goldman Sachs Group, Inc. and Goldman, Sachs & Co. (“Goldman Sachs”); HSBC Holdings PLC, HSBC Bank PLC, HSBC North America Holdings Inc., HSBC Bank USA, N.A., and HSBC Securities (USA) Inc. (“HSBC”); JPMorgan Chase & Co. and JPMorgan Chase Bank, N.A. (“JPMorgan”); Morgan Stanley, Morgan Stanley & Co., LLC, and Morgan Stanley & Co., International plc (“Morgan Stanley”); RBC Capital Markets, LLC (“RBC”); The Royal Bank of Scotland Group PLC, The Royal Bank of Scotland PLC, and RBS Securities Inc. (“RBS”); Société Générale (“Soc Gen”); Standard Chartered Bank (“Standard Chartered”); and UBS AG, UBS Group AG, and UBS Securities LLC (“UBS”) (collectively, the “Settling Defendants”).
  - b. The consideration provided by Settling Defendants to resolve the lawsuit against them, including payments of \$2,310,275,000 in settlement funds.
  - c. How Class Members will be affected by the Settlement Agreements, if they are granted final approval by the Court.
  - d. The manner in which the Net Settlement Fund will be distributed, if the Court grants final approval of the Settlement Agreements and the Plan of Distribution.

Settling Defendants have settled the claims brought in this Action alleging that Settling Defendants, along with Credit Suisse Group AG, Credit Suisse AG, and Credit Suisse Securities (USA) LLC (“Credit Suisse” or “Non-Settling Defendant”), conspired to fix prices in the FX market in violation of Sections 1 and 3 of the Sherman Antitrust Act, 15 U.S.C. §§1, 3, and to manipulate the FX market in violation of the Commodity Exchange Act, 7 U.S.C. §§1, et seq. Defendants deny that the allegations made against them in the Action have merit.

2. The Action is continuing against Non-Settling Defendant. It is important to note that you may be a Class Member if, between January 1, 2003 and December 15, 2015, you transacted in eligible FX Instruments directly with a Settling Defendant or Non-Settling Defendant or if you transacted in eligible FX Exchange-Traded Instruments.

3. The Court preliminarily certified two Settlement Classes in this Action:

The **Direct Settlement Class** consists of all Persons who, between January 1, 2003 and December 15, 2015, entered into one or more FX Instruments directly with a Defendant, a direct or indirect parent, subsidiary, or division of a Defendant, a Released Party, or co-conspirator where such Persons were either domiciled in the United States or its territories or, if domiciled outside the United States or its territories, transacted one or more FX Instruments in the United States or its territories.

The **Exchange-Only Settlement Class** consists of all Persons who, between January 1, 2003 and December 15, 2015, entered into one or more FX Exchange-Traded Instruments where such Persons were either domiciled in the United States or its territories or, if domiciled outside the United States or its territories, entered into an FX Exchange-Traded Instrument on a U.S. exchange. Excluded from the Exchange-Only Settlement Class are those Persons who meet the criteria to be a member of the Direct Settlement Class.

The terms “Released Party,” “FX Instrument,” and “FX Exchange-Traded Instrument” are defined in each Settlement Agreement, all of which are available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com).

4. Excluded from the Settlement Classes are: (a) the named Defendants in the Complaint and their co-conspirators; (b) the executive officers and directors of each Defendant or co-conspirator; (c) any entity in which any Defendant or co-conspirator has, or had, a controlling interest; (d) members of any Defendant’s or co-conspirator’s immediate families; and (e) the legal representatives, heirs, successors, or assigns of any such excluded party. Also excluded from the Settlement Classes are any persons or entities who exclude themselves by filing a timely request for exclusion in accordance with the requirements set forth in the Notice.

5. By signing and submitting this Claim Form, you will be certifying that you have read the Notice, including the terms of the releases described in the Notice and provided for in the Settlement Agreements.



## SECTION C – INSTRUCTIONS FOR FILING A CLAIM FORM & CLAIMANT OPTIONS 1 & 2

**\*\*\*\* If you choose to submit a claim, you are consenting to the disclosure of, waiving any protections provided by applicable bank secrecy, data privacy law, or any similar confidentiality protections with respect to, and instructing the applicable Settling Defendant(s) to disclose your information and transaction data relating to your trades in FX Instruments with one or more of the Settling Defendant(s) and your trades in FX Exchange-Traded Instruments from January 1, 2003 through December 15, 2015, for use in the claims administration process. If applicable, you are further consenting to the release of any and all documents reflecting your transactions or holdings in FX Exchange-Traded Instruments from January 1, 2003 through December 15, 2015, which may be obtained from third parties, including but not limited to brokerage firm(s), FCM(s), the Chicago Mercantile Exchange (“CME”), and Intercontinental Exchange Inc. (“ICE”), for use in the claims administration process.\*\*\*\***

1. To be eligible to receive a payment from the Settlements, you must submit a Claim Form. To be considered timely, your Claim Form must be submitted to the Claims Administrator so that it is postmarked by March 22, 2018 or submitted online by 11:59 p.m. Eastern time on March 22, 2018.

- a. To submit your Claim Form electronically, visit [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com) for instructions.
- b. To submit your Claim Form via mail, send your completed Claim Form to GCG, the Claims Administrator, addressed as follows:

### Via Mail

In re Foreign Exchange Benchmark Rates  
Antitrust Litigation  
c/o GCG  
P.O. Box 10239  
Dublin, OH 43017-5739  
USA

### Via Overnight Courier

In re Foreign Exchange Benchmark Rates  
Antitrust Litigation  
c/o GCG  
5151 Blazer Parkway, Suite A  
Dublin, OH 43017-9306  
USA

2. Separate Claim Forms should be submitted for each separate legal entity. Conversely, a single Claim Form should be submitted on behalf of one legal entity. Claimants selecting Option 2 (Documented Claim Option) must include all data and documentation required by Section D, and if applicable, Section E of the Claim Form, made by the legal entity submitting the Claim Form, no matter how many separate accounts that entity has (e.g., a corporation with multiple accounts should include all transactions made in all accounts on one Claim Form).

3. Trustees, executors, administrators, custodians, or other nominees who are completing and signing this Claim Form on behalf of the Claimant must also submit:

- a. A description of the capacity in which they are acting (supporting documentation required);
- b. The name, account number, last four digits of the social security number, employer identification number, or taxpayer identification number (or for non-U.S. Claimants, a comparable government-issued national identification number), address, and telephone number of the person or entity on whose behalf they are acting; and
- c. Evidence of their authority to bind the person or entity on whose behalf they are acting. Authority to complete and sign a Claim Form cannot be established by brokers demonstrating that only they have discretionary authority to trade in another person's accounts.

4. By submitting a signed Claim Form, you will be certifying that you are a member of one of the Settlement Classes because you:

- a. Entered into one or more FX Instruments directly with a Defendant, a direct or indirect parent, subsidiary, or division of a Defendant, a Released Party, or co-conspirator, where you were either domiciled in the United States or its territories or, if domiciled outside the United States or its territories, transacted one or more FX Instruments in the United States or its territories during the period between January 1, 2003 and December 15, 2015;

AND/OR

- b. Entered into one or more FX Exchange-Traded Instruments, where you were either domiciled in the United States or its territories or, if domiciled outside the United States or its territories, entered into one or more FX Exchange-Traded Instruments on a U.S. exchange between January 1, 2003 and December 15, 2015, and you are not a member of the Direct Settlement Class.

5. By submitting a signed Claim Form, you will be swearing to the truth of the statements contained in it and, if applicable, the genuineness of the data and documents attached thereto, subject to penalty 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.


**SECTION C – INSTRUCTIONS FOR FILING A CLAIM FORM & CLAIMANT OPTIONS 1 & 2 (CONTINUED)**

6. Submission of a Claim Form does not guarantee that you will receive a payment from the Settlements. Distribution of the Net Settlement Fund will be governed by the Plan of Distribution, if it is approved by the Court, or by such other plan of distribution as the Court approves.
7. 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.
8. Unless you submit a valid Request for Exclusion that is received by February 7, 2018, all persons meeting the definition of one of the Settlement Classes will be bound by the terms of the Final Judgments and Orders of Dismissal entered in the Action in connection with the Settlement Agreements, whether or not a Settlement Class Member submits a Claim Form. If you wish to exclude yourself from the Settlements, see the Notice for further instructions.
9. Select either Option 1 or Option 2 below. These options are described below.

**Option 1: Estimated Claim**

I elect Option 1, a payment amount determined by the Claims Administrator's review of the transaction data submitted by Settling Defendants.\* †

If you choose Option 1, please note the following:

- This is a summary of Option 1. For more information, please refer to the Notice and Plan of Distribution available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com).
- If you are an eligible Settlement Class Member, you will receive a payment amount determined by the Claims Administrator's review of the transaction data submitted by Settling Defendants. The Claims Administrator will estimate the amount of your transaction volumes in FX Instruments† by: (a) extracting your transaction volumes from the data provided by Settling Defendants; (b) projecting your transaction volumes for time periods during which transaction data is not available from Settling Defendants; and (c) projecting your transaction volumes for trades with Non-Settling Defendant from which transaction data is not available.\*
- If you have transactions available in the data submitted by Settling Defendants, you will not be required to submit any records of your transactions to the Claims Administrator, unless you wish to claim any transactions in FX Exchange-Traded Instruments† or elect to proceed under Option 2 after receiving the Claims Administrator's estimates.
- If you traded using a prime broker(s) or you had an asset/investment manager(s) trading on your behalf, it is recommended that you select Option 2 because naming conventions in Settling Defendants' data may not enable the Claims Administrator to identify all of your eligible transaction volume, as the trades may appear in the name of the executing entity (i.e., broker or manager) instead of in your name. If you traded on electronic communications networks ("ECNs") that did not always reveal your counterparty's identity, it is recommended that you select Option 2 because, to the extent you traded with Defendants, your identity is likely to have also been anonymous to them. Therefore, such trades are unlikely to be identifiable in Settling Defendants' data. Option 2 will allow a portion of your anonymous ECN trading to be claimed.
- The Claims Administrator will acknowledge receipt of your Claim Form by sending you a "Confirmation of Claim Receipt," which will also inform you of important next steps for your claim.
- On April 1, 2018, the Claims Administrator will begin disseminating to Claimants a "Claim Assessment Notification," which will contain information about your claim. At that time, you must either accept the Claims Administrator's estimates without modification or proceed with your claim under Option 2 (Documented Claim Option). You may not supplement the Claims Administrator's estimate under Option 1 with your records. If you decide to proceed with your claim under Option 2, you will be required to submit the documentation required under Section D, and if applicable, Section E of the Claim Form within 30 days of the date when the Claim Assessment Notification was issued.
- You may electronically submit your claim under Option 1 at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com), using the Claim Number and Control Number printed on the front of this Claim Form.

\* Claimants who transacted with only Non-Settling Defendant must file their claim under Option 2.

† If you wish to claim any transactions in FX Exchange-Traded Instruments, you must electronically submit: (a) your transaction data, as required by Section D of the Claim Form, using the electronic data template, which is available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com); (b) documentation of such transactions, as required by Section D of the Claim Form; and (c) the supplemental information requested in Section E of the Claim Form. Such eligible transactions, as determined by the Claims Administrator, will be added to the estimates noted above.

**YOUR CLAIM FORM MUST BE POSTMARKED BY MARCH 22, 2018 OR  
SUBMITTED ONLINE BY 11:59 P.M. EASTERN TIME ON MARCH 22, 2018.**



## SECTION C – INSTRUCTIONS FOR FILING A CLAIM FORM &amp; CLAIMANT OPTIONS 1 &amp; 2 (CONTINUED)

**Option 2:** Documented Claim

I elect Option 2, a payment amount determined by the Claims Administrator's review of my transaction data. I will electronically submit the required data and documentation, as described in Section D, to the Claims Administrator. If claiming transactions in FX Exchange-Traded Instruments, I will also electronically submit the supplemental information as required in Section E.

If you choose Option 2, please note the following:

- This is a summary of Option 2. For more information, please refer to the Notice and Plan of Distribution available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com).
- If you are an eligible Settlement Class Member, you will receive a payment amount determined by the Claims Administrator's review of the transaction data and documentation you submit.
- If you select Option 2, you must provide: (a) your transaction data, as required by Section D of the Claim Form, using the electronic data template, which is available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com); (b) documentation of such transactions, as required by Section D of the Claim Form; and (c) if you are claiming FX Exchange-Traded Instruments, the supplemental information requested in Section E of the Claim Form.
- If you traded using a prime broker(s) or you had an asset/investment manager(s) trading on your behalf, it is recommended that you select Option 2 because naming conventions in Settling Defendants' data may not enable the Claims Administrator to identify all of your eligible transaction volume, as the trades may appear in the name of the executing entity (i.e., broker or manager) instead of in your name. If you traded on electronic communications networks ("ECNs") that did not always reveal your counterparty's identity, it is recommended that you select Option 2 because, to the extent you traded with Defendants, your identity is likely to have also been anonymous to them. Therefore, such trades are unlikely to be identifiable in Settling Defendants' data. Option 2 will allow a portion of your anonymous ECN trading to be claimed.
- The Claims Administrator will acknowledge receipt of your Claim Form by sending you a "Confirmation of Claim Receipt," which will also inform you of important next steps for your claim.
- On April 1, 2018, the Claims Administrator will begin disseminating to Claimants a "Claim Assessment Notification," which will contain information about your claim. At that time, you must either accept the Claims Administrator's estimates, cure any deficiencies that the Claims Administrator notifies you of, or you can proceed with your claim under Option 1 (Estimated Claim Option). You may not supplement the Claims Administrator's estimate under Option 1 with your records. If you decide to proceed with your claim under Option 1, you will be required to do so within 30 days of the date when the Claim Assessment Notification was issued.
- Instructions for submitting your Option 2 Claim are available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com).

YOUR CLAIM FORM MUST BE POSTMARKED BY MARCH 22, 2018 OR  
SUBMITTED ONLINE BY 11:59 P.M. EASTERN TIME ON MARCH 22, 2018.



## SECTION D – DOCUMENTATION REQUIREMENTS FOR CLAIMANTS WHO ELECT OPTION 2 AND/OR CLAIMANTS WHO TRANSACTED IN FX EXCHANGE-TRADED INSTRUMENTS

Claimants choosing Option 2 and/or Claimants who are claiming transactions in FX Exchange-Traded Instruments under either Option 1 or 2 must electronically submit the required data and documentation at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com). The data and documentation requirements for such Claimants are as follows:

### 1. ELECTRONIC SUBMISSION OF TRANSACTION DATA

Data must be electronically submitted in the form of the electronic data template, which is available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com). Claimants choosing Option 2 should submit all of their:

- a. FX transactions entered into directly with a Defendant, including but not limited to FX spot transactions, FX forwards, FX swaps, over-the-counter (OTC) FX options, or other FX transaction in which the trading or settlement value is related in any way to FX rates (FX Instruments).
- b. FX transactions that were listed for trading through an exchange, including, but not limited to, FX futures and options on FX futures (FX Exchange-Traded Instruments).

Defendants are: Bank of America, Barclays, BNP Paribas, BTMU, Citigroup, Credit Suisse, Deutsche Bank, Goldman Sachs, HSBC, JPMorgan, Morgan Stanley, RBC, RBS, Soc Gen, Standard Chartered, and UBS.

The Settlement Class Period is January 1, 2003 through December 15, 2015.

### 2. ELECTRONIC SUBMISSION OF DOCUMENTATION OF TRANSACTIONS

In addition, Claimants choosing Option 2 are required to electronically submit documentation of the transactions they submit under requirement 1, above. Documentation should be from one or more of the following sources:

- a. Bank confirmations by individual trade;
- b. Bank transaction reports or statements;
- c. Trading venue transaction reports or statements;
- d. Prime broker reports or statements;
- e. Custodian reports or statements;
- f. Daily or monthly account statements; or
- g. Other documents evidencing transactions in FX Instruments and/or FX Exchange-Traded Instruments.

### 3. SUPPLEMENTAL INFORMATION REQUIRED FOR FX EXCHANGE-TRADED INSTRUMENTS

In addition to the documentation requirements in 1 and 2 above, Claimants who are claiming transactions in FX Exchange-Traded Instruments under either Option 1 or Option 2 must complete the supplemental documentation requirements set forth in Section E of the Claim Form. Claimants who are not claiming transactions in FX Exchange-Traded Instruments do not need to complete Section E of the Claim Form.

**DO NOT SUBMIT ORIGINAL DOCUMENTATION OR RECORDS. THE CLAIMS ADMINISTRATOR IS UNABLE TO RETURN THESE DOCUMENTS OR RECORDS TO YOU.**

Please note that Claimants choosing Option 1 (Estimated Claim Option) are not required to submit data or documentation evidencing transactions in the required trading categories. If you Choose Option 1 and you wish to claim any transactions in FX Exchange-Traded Instruments, however, you must electronically submit the transaction data and supporting documentation evidencing your transactions in FX Exchange-Traded Instruments, as required in Sections D and E of the Claim Form. Instructions for electronically submitting your claim are available at [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com).



SECTION E – SUPPLEMENTAL DOCUMENTATION REQUIREMENTS FOR CLAIMANTS WHO  
TRANSACTIONED IN FX EXCHANGE-TRADED INSTRUMENTS

If, during the period from January 1, 2003 through December 15, 2015, you transacted in FX Exchange-Traded Instruments, please provide the following information.

1. LIST OF ALL FUTURES COMMISSION MERCHANTS

List all futures commission merchants (“FCMs”) at which you maintained accounts in which you traded or held FX Exchange-Traded Instruments during the period from January 1, 2003 through December 15, 2015.

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2. LIST OF ACCOUNT NAMES AND ACCOUNT NUMBERS

Please provide a list of all account names and account numbers for each FCM you listed in response to 1 above in which you traded or held FX Exchange-Traded Instruments during the period from January 1, 2003 through December 15, 2015.

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\*\*\*\* If you choose to submit a claim for FX Exchange-Traded Instruments, you are consenting to the release of any and all documents reflecting your transactions or holdings in FX Exchange-Traded Instruments from January 1, 2003 through December 15, 2015, which may be obtained from third parties, including, but not limited to, brokerage firm(s), FCM(s), CME, and ICE, for use in the claims administration process. By signing this Claim Form, you are permitting the Claims Administrator and Class Counsel to: (a) request from third parties, including, but not limited to, brokerage firm(s), FCM(s), CME, and ICE, relevant information about your account and trades in order to compute any payment to you from the Settlements; and (b) unmask, for any accounts that you owned or controlled, your account information in trade data maintained by CME or ICE relative to your transactions and holdings in FX Exchange-Traded Instruments from January 1, 2003 through December 15, 2015.\*\*\*\*





## SECTION F – PAYMENT ELECTION

**Please select one option:**

I elect to be paid by check.

*If you elect this payment method and your claim is valid and timely, a check will be mailed to the address you've provided in Section A of the Claim Form. If your address information changes, please notify the Claims Administrator in writing.*

I elect to be paid by wire transfer to a bank in the United States.

*If you elect this payment method, a Payment Election Form will be mailed (or emailed) to you at the address you've provided in Section A of the Claim Form. If your address information changes, please notify the Claims Administrator in writing.*

I elect to be paid by wire transfer to a bank outside of the United States located in:

\_\_\_\_\_

(country)

*If you elect this payment method, a Payment Election Form will be mailed (or emailed) to you at the address you've provided in Section A of the Claim Form. If your address information changes, please notify the Claims Administrator in writing.*

## SECTION G – CERTIFICATION & SIGNATURE

### SECTION 1 – CERTIFICATION

**BY SIGNING AND SUBMITTING THIS CLAIM FORM, CLAIMANT OR CLAIMANT'S AUTHORIZED REPRESENTATIVE CERTIFIES AS FOLLOWS:**

1. I (we) have read the Notice and Claim Form, including the descriptions of the releases provided for in the Settlement Agreements;
2. Claimant is a member of one of the Settlement Classes (as defined in the Notice) and is not one of the individuals or entities excluded from the Settlement Classes (as defined in the Notice);
3. Claimant has not submitted a Request for Exclusion (as defined in the Notice);
4. Claimant entered into the FX Instruments with one or more of the Defendant(s); Released Party(ies); direct or indirect parent(s), subsidiary(ies), or division(s) of a Defendant; or co-conspirator(s), and/or the FX Exchange-Traded Instruments represented in this Claim Form, and if applicable, in the data and documentation attached to the Claim Form, and has not assigned the claims against the Released Parties to another;
5. Claimant has not submitted any other claim covering the same transactions and knows of no other person having done so on his/her/its/their behalf;
6. Claimant submits to the jurisdiction of the Court with respect to his/her/its/their claim and for purposes of enforcing the releases set forth in any Final Judgments and Orders of Dismissal that may be entered in the Action;
7. I (we) agree to furnish such additional information with respect to this Claim Form as the Claims Administrator or the Court may require; and
8. I (we) acknowledge that the Claimant will be bound by and subject to the terms of any Final Judgments and Orders of Dismissal that may be entered in the Action;



**SECTION G – CERTIFICATION & SIGNATURE (CONTINUED)**

**SECTION 2 – SIGNATURE**

**PLEASE READ THE RELEASE, CONSENT TO DISCLOSURE, AND CERTIFICATION, AND SIGN BELOW.**

I (we) acknowledge that, as of the Effective Date of the Settlements, pursuant to the terms set forth in the Settlement Agreements, I (we) shall be deemed to have, and by operation of law and the Final Judgments and Orders of Dismissal shall have fully, finally, and forever waived, released, relinquished, and discharged all Released Claims (as defined in the Settlement Agreements), and shall forever be enjoined from prosecuting any or all of the Released Claims against any of the Released Parties (as defined in the Settlement Agreements).

By submitting this Claim Form, I (we) consent to the disclosure of, waive any protections provided by applicable bank secrecy, data privacy law, or any similar confidentiality protections with respect to, and instruct the applicable Settling Defendant(s) to disclose my (our) information and transaction data relating to my (our) trades in FX Instruments with one or more of the Settling Defendant(s) and my (our) trades in FX Exchange-Traded Instruments from January 1, 2003 through December 15, 2015, for use in the claims administration process. If applicable, I (we) waive any protections provided by applicable bank secrecy, data privacy law, or any similar confidentiality protections with respect to, and consent to the disclosure of any and all documents reflecting my (our) transactions or holdings in FX Exchange-Traded Instruments from January 1, 2003 through December 15, 2015, which may be obtained from third parties, including but not limited to brokerage firm(s), FCM(s), CME, and ICE for use in the claims administration process.

UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES OF AMERICA, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE AND THAT, IF APPLICABLE, THE DATA AND DOCUMENTS SUBMITTED IN CONNECTION WITH THIS CLAIM FORM ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE.

\_\_\_\_\_  
Signature of Claimant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name of Claimant

\_\_\_\_\_  
Signature of Authorized Representative Completing Claim Form (if any)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name of Authorized Representative Completing Claim Form (if any)

\_\_\_\_\_  
Capacity of Authorized Representative (if other than an individual (e.g., trustee, executor, administrator, custodian, or other nominee))

**YOUR CLAIM FORM MUST BE POSTMARKED BY MARCH 22, 2018 OR  
SUBMITTED ONLINE BY 11:59 P.M. EASTERN TIME ON MARCH 22, 2018.**

You should be aware that it will take a significant amount of time to fully process all Claim Forms. Please notify the Claims Administrator of any change of address. If you change your name, please send the Claims Administrator written notification of your new name.



## SECTION H – CHECKLIST REGARDING CLAIM FORM

1. Fill out Section A – Claimant Identification.
2. Read about the Action and Settlements in Section B – General Information.
3. Select Option 1 (Estimated Claim Option) or Option 2 (Documented Claim Option) in Section C.
4. If you are filing a claim under Option 2 (Documented Claim Option) and/or claiming transactions in FX Exchange-Traded Instruments, submit your transaction data and supporting documentation as required in Section D.
5. If you are claiming transactions in FX Exchange-Traded Instruments, submit the supplemental information as required in Section E.
6. Do not send original documentation or records. These items cannot be returned to you by the Claims Administrator.
7. Keep copies of your completed Claim Form and any data and documentation submitted under Sections D and/or E of the Claim Form for your own records.
8. Fill out Section F – Payment Options.
9. Read the certifications, consents to disclosures, and sign your Claim Form in Section G.
10. The Claims Administrator will acknowledge receipt of your Claim Form within 30 days. If you do not receive an acknowledgement within 30 days, please contact the Claims Administrator using the contact information provided in this Claim Form.
11. If your address changes in the future, or if the Claim Form was sent to an old or incorrect address, please send the Claims Administrator written notification of your new address. If you change your name, please send the Claims Administrator written notification of your new name.
12. If you have any questions or concerns regarding your claim, please contact the Claims Administrator using the contact information provided in this Claim Form or visit [www.FXAntitrustSettlement.com](http://www.FXAntitrustSettlement.com).

**THIS CLAIM FORM MUST BE MAILED TO THE CLAIMS ADMINISTRATOR BY PREPAID, FIRST CLASS MAIL, POSTMARKED NO LATER THAN MARCH 22, 2018, ADDRESSED AS FOLLOWS:**

*In re Foreign Exchange Benchmark Rates  
Antitrust Litigation  
c/o GCG  
P.O. Box 10239  
Dublin, OH 43017-5739*