

This Form Must Be Electronically
Submitted OR Received by Mail No Later
than November 27, 2024.

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

IN RE EUROPEAN GOVERNMENT BONDS
ANTITRUST LITIGATION

Case No. 1:19-cv-2601 (VM)

PROOF OF CLAIM AND RELEASE

I. INSTRUCTIONS

1. If you entered into a European Government Bond transaction from January 1, 2005 through and including December 31, 2016 (“5AC Settlement Class Period”), you may be eligible to receive a payment from the \$80 million settlement with Bank of America, N.A. and Merrill Lynch International, together with their affiliates and subsidiaries (“Bank of America”); NatWest Markets Plc and NatWest Markets Securities Inc., together with their affiliates and subsidiaries (“NatWest”); Nomura International plc, together with its affiliates and subsidiaries (“Nomura”); UBS AG, UBS Europe SE, and UBS Securities LLC, together with their affiliates and subsidiaries (“UBS”); Citigroup Global Markets Inc. and Citigroup Global Markets Limited, together with their affiliates and subsidiaries (“Citigroup”); and Jefferies International Limited and Jefferies LLC, together with their affiliates and subsidiaries (“Jefferies”) (collectively, the “Settling Defendants”).

2. “European Government Bonds” or “EGBs” means euro-denominated sovereign debt or bonds issued by European governments (*e.g.*, Austria, Belgium, Cyprus, Estonia, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, Malta, the Netherlands, Portugal, Slovakia, Slovenia, and Spain).

3. Unless otherwise defined herein, all capitalized terms contained in this Proof of Claim and Release (“Claim Form”) have the same meaning as defined in the accompanying Notice of Pendency of Class Action, Hearing on Proposed Settlement and Attorneys’ Fees Petition, and Right to Share in Net Settlement Fund (“Notice”), the Stipulation and Agreement of Settlement with Bank of America, N.A., Merrill Lynch International, NatWest Markets Plc, NatWest Markets Securities Inc., Nomura International plc, UBS AG, UBS Europe SE, UBS Securities LLC, Citigroup Global Markets Inc., Citigroup Global Markets Limited, Jefferies International Limited, and Jefferies LLC (the “2024 Stipulation”), which is available at www.EuropeanGovernmentBondsSettlement.com.

4. It is important that you read the Notice that accompanies this Claim Form. 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 2024 Stipulation.

5. To be eligible to receive a payment from the Net Settlement Fund, you must submit a Claim Form along with the required data and/or information described in Parts III and IV below. **To be considered timely, your Claim Form must be submitted online at www.EuropeanGovernmentBondsSettlement.com by 11:59 p.m. Eastern Time on November 27, 2024 OR received by mail no later than November 27, 2024.** If you are unable to submit the required data described below at Parts III and IV, you should call the Claims Administrator for further instructions.

6. If you have already submitted a valid Claim Form in connection with one or more of the prior settlements with the named UniCredit, Natixis, JPMorgan, and State Street entities, you need not submit another—your prior Claim Form will be applied to this Settlement.

7. As described in Part III below, you may be required to submit additional information about the European Government Bond transactions that you submit as part of your Claim Form, but only if you are contacted and instructed to do so by the Claims Administrator.

8. Your payment amount will be determined based on the Claims Administrator’s review of your Claim Form and calculated pursuant to the Distribution Plan. Submission of a Claim Form does not guarantee that you will receive a payment from the Net Settlement Fund. For more information, please refer to the Notice and Distribution Plan available at www.EuropeanGovernmentBondsSettlement.com.

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9. Separate Claim Forms must be submitted for each separate legal entity. Correspondingly, a single Claim Form should be submitted on behalf of only one legal entity.

10. If you have questions about submitting a Claim Form or need additional copies of the Claim Form or the Notice, you may contact the Claims Administrator.

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III. REQUIREMENTS FOR CLAIM SUBMISSION

1. YOU MUST SUBMIT YOUR CLAIM FORM ELECTRONICALLY OR ON PAPER IN THE REQUIRED FORMAT

Claimants must electronically submit their Claim Forms online at www.EuropeanGovernmentBondsSettlement.com by **11:59 p.m. Eastern Time on November 27, 2024** OR mail the Claim Forms **such that they are received no later than November 27, 2024** by the Claims Administrator at European Government Bonds Settlement, c/o A.B. Data, Ltd., P.O. Box 173119, Milwaukee, WI 53217. If you have already submitted a valid Claim Form in connection with one or more of the prior settlements with the named UniCredit, Natixis, JPMorgan, and State Street entities, you need not submit another—your prior Claim Form will be applied to this Settlement.

Instructions related to Claim submissions (“Claim Submission Instructions”), including the information you must provide about your European Government Bond transactions, are available at www.EuropeanGovernmentBondsSettlement.com. Claim Forms must be submitted in the format specified by the Claim Submission Instructions.

Along with your Claim Form, you may be later required to submit the details of your European Government Bond transactions reflected in the Summary Price Table in Part IV, below.

2. YOU DO NOT NEED TO SUBMIT ANY ADDITIONAL DATA OR DOCUMENTATION OF TRANSACTIONS AT THIS TIME BUT MUST DO SO IF CONTACTED BY THE CLAIMS ADMINISTRATOR.

The Claims Administrator may request that Claimants submit additional data or documentation of their European Government Bond transactions. The EGB Transaction Data Template, including the information you must provide about your European Government Bond transactions, if requested, is available at www.EuropeanGovernmentBondsSettlement.com.

If supplemental documentation is required, it must be from one or more of the following sources:

- a. Transaction data from your bank, broker, or internal trade system;
- b. Bank confirmations by individual trade;
- c. Bank transaction reports or statements;
- d. Trading venue transaction reports or statements;
- e. Prime broker reports or statements;
- f. Custodian reports or statements;
- g. Daily or monthly account statements or position reports;
- h. Email confirmations from counterparty evidencing transactions;
- i. Bloomberg confirmations or communications evidencing transactions; and/or
- j. Other documents evidencing European Government Bond transactions during the Class Period.

Claimants are advised to retain such documentation and information, as it may be required to substantiate a Claim Form.

Further information about these requirements is included in the Claim Submission Instructions, which are available at www.EuropeanGovernmentBondsSettlement.com.

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IV. SUMMARY PRICE TABLE OF EUROPEAN GOVERNMENT BOND TRANSACTIONS

Complete this Part IV if and only if you entered into European Government Bond transactions from January 1, 2005, through and including December 31, 2016. Do not include information regarding instruments other than European Government Bond transactions with a Defendant, Deutsche Bank, or Rabobank (or a direct or indirect parent, subsidiary, affiliate, or division of a Defendant, Deutsche Bank, or Rabobank, or any of their alleged co-conspirators), and do not include European Government Bond transactions in which you acquired the bonds as an agent for another individual or entity. For detailed instructions on how to fill out this table, please refer to the Claim Submission Instructions, which are available at www.EuropeanGovernmentBondsSettlement.com.

Date of Transaction	Transaction Type (Purchase/Sale)	Name of Counterparty	Notional Amount (Expressed in Euros)	Maturity Date
/ /				
/ /				
/ /				
/ /				
/ /				
/ /				

V. CLAIMANT'S CERTIFICATION & SIGNATURE

SECTION A: CERTIFICATION

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

- I (we) have read the Notice and Claim Form, including the descriptions of the Releases provided for in the 2024 Stipulation;
- I (we) am (are) a Settlement Class Member and am (are) not one of the individuals or entities excluded from the Settlement Class;
- I (we) have not submitted a Request for Exclusion;
- I (we) have made the transactions submitted with this Claim Form for myself (ourselves) and not as agents of another, and have not assigned my (our) Settled Claims to another;
- 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 the release or any other part or portion thereof;
- I (we) have not submitted any other claim in this Action covering the same transactions and know of no other person having done so on my (our) behalf;
- I (we) submit to the jurisdiction of the Court with respect to my (our) claim and for purposes of enforcing the Releases set forth in any Judgment(s) that may be entered in the Action;
- I (we) agree to furnish such additional information with respect to this Claim Form as the Claims

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Administrator or the Court may require;

9. I (we) acknowledge that I (we) will be bound by and subject to the terms of the Judgments that will be entered in the Action if the Settlements are approved; and

10. I (we) understand that any trial by jury (to the extent any such right may exist) and any right of appeal or review of the Court's determination with respect to my (our) Claim are waived.

SECTION B: SIGNATURE

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

I (we) acknowledge that, as of the Effective Date of the Settlement, pursuant to the terms set forth in the 2024 Stipulation, and by operation of law and the Judgment, I (we) shall be deemed to release and forever discharge and shall be forever enjoined from prosecuting the Settled Claims against the Released Parties (as defined in the 2024 Stipulation and/or Judgment).

If signing as an Authorized Representative on behalf of an entity, I (we) certify that I (we) have legal rights and authorization from the entity to file this Claim Form on the entity's behalf.

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

Signature of Claimant (if Claimant is an individual filing on his or her own behalf)

Date: _____
MM/DD/YY

Print Name of Claimant (if Claimant is an individual filing on his or her own behalf)

Authorized Representative Completing Claim Form (if any)

Date: _____
MM/DD/YY

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))

REMINDER: YOUR CLAIM FORM AND REQUIRED DATA MUST BE SUBMITTED ONLINE BY 11:59 P.M. EASTERN TIME ON NOVEMBER 27, 2024 OR RECEIVED BY MAIL NO LATER THAN NOVEMBER 27, 2024.