

## **Filing Summary**

The Strategic Claims Services (“SCS”) Electronic Filing Template (“EFT”) is only available to financial institutions, nominees, and approved third-party filers that submit claims on behalf of themselves or their clients. The EFT is not for use by individual class members. All EFT submissions must be made through [efile@strategicclaims.net](mailto:efile@strategicclaims.net). EFT submissions sent to a different email address will not be processed nor confirmed by SCS. For security purposes, SCS does not accept EFT submissions made through removable media devices such as USB drives or CDs. SCS strongly encourages filers to submit their EFTs a few days prior to the claims filing deadline to allow for additional administrative requests or to account for complications which may occur during the filing process. EFTs that do not follow the court approved filing requirements and instructions may be subject to rejection.

SCS does not accept placeholder EFT submissions. EFTs submitted past the claims filing deadline will be marked late and may not be accepted for processing. Please allow three business days for SCS to confirm each EFT was received and accepted for processing. The EFT will not be considered properly submitted until confirmed by SCS in writing via email response.

## **Backup and Supporting Documentation Requests**

Prior to distribution, SCS may request additional information and documentation regarding the data contained within the EFT for auditing and quality assurance purposes. The information requested may include, but is not limited to, backup documentation issued by the brokerage firm or institution on behalf of transactions conducted for the beneficial owners, or such comparable backup documentation as SCS may accept. For a complete list of acceptable documentation, please contact SCS directly.

Please note that documentation and audit requests are not optional. Failure to provide sufficient documentation detailing holdings and transactions through relevant time periods, as well as other requested information, will result in a full rejection of the claim or the entire submission, as applicable. Every filer should be aware that SCS will periodically make documentation requests for auditing and accuracy purposes. As such, filers should have readily available access to backup documentation if requested by SCS. This request also applies to assigned or purchased claims.

## **Account Combination**

Unless otherwise stated in the court documents, the transactions and holdings should be reported in the EFT so that each resulting claim corresponds to a single legal entity, regardless of the number of individually managed accounts the legal entity has, as only one claim will be processed per legal entity (e.g. a representative filer reporting the transactions for a fund with multiple sub-accounts should report one total holding at the start of the settlement class period, one total holding at the end of the time period requested on the claim form, and a single set of transactions that includes all transactions made by the legal entity across their sub-accounts; this would constitute and be processed as a single claim). If the data cannot be combined in this fashion for any reason, please notify the claims administrator so that appropriate measures can be taken.

SCS reserves the right to combine a legal entity’s accounts into a single claim prior to processing if a legal entity’s accounts are divided across multiple claims when submitted by a single or multiple representative filers.

## Filing Instructions Overview

The relevant EFT will be provided on each case's individual website or profile through the main SCS website (<https://www.strategicclaims.net>). The filer may also request a copy of the EFT directly from SCS through [efile@strategicclaims.net](mailto:efile@strategicclaims.net). Once a copy of the EFT has been obtained, the filer should fill out all relevant fields to the best of their ability and submit the completed EFT to [efile@strategicclaims.net](mailto:efile@strategicclaims.net) along with a signed umbrella claim form and authorization form (self-prepared). The EFT's headers are locked for internal processing purposes. Do not add additional columns to the EFT, as this information will not be processed and will not be factored into the recognized loss calculation.

Please note that for most cases we do not require certifications, affidavits, cover letters, tax forms (W-8BEN) or a copy of the filer's bylaws upfront. Please do not include the aforementioned documents with the EFT. The only required items are:

- (1) The signed umbrella claim form.
- (2) A completed EFT.
- (3) A self-prepared authorization between the client and filer to file claims on their behalf
- (4) Wire Instructions (where applicable).

If SCS requires additional administrative documentation, we will make the request directly to the email address reported in the EFT.

## Receive/Deliver & Miscellaneous Transfers.

Where applicable, it is the responsibility of the filer to pair receive and deliver transactions to reflect the accurate transfer of shares between accounts. SCS will not pair or alter related receive and deliver transactions. Any purchases that are transferred from one account to another should be reflected in the receiving account with the original cost basis and trade date. For balancing purposes, the originating account may still reflect the original purchase amount, but the price should be zeroed out and the transaction code should be reported as "R" so that the shares are not double counted in the recognized loss calculation.

Transfer transactions (receive & delivers) should not be removed from the submitted trade data unless they are considered a true wash and do not affect the recognized loss calculation (e.g., movement of shares from cash to margin or vice versa is acceptable to remove from the data set). If the filer is unsure what should be reported as a receive as opposed to a purchase, please contact SCS directly. Unless specifically dictated by the plan of allocation, trades between two or more trade desks at the same financial institution should be flagged as "R" or "D" and not assigned a price per share value unless they are considered true open-market public transactions.

## Field Descriptions – Common Stock Template

**Beneficial Owner 1 (Check Field 1)** – This field should be for the full name of the beneficial owner (typically the fund name or individual purchaser). If you are a third-party filer filing on behalf of the beneficial owner, please put the necessary language that will allow your firm to cash the check on behalf of the underlying beneficial owner (i.e. "Strategic FBO John Smith"). Do not enter the name of the person submitting the file. **This field has a max character limit of 95 characters.** If the beneficial owner's name length exceeds this field, you may use the second beneficial owner field for the additional characters or

abbreviate the name. If abbreviating the name and the beneficial owner is a fund, the fund name should still be recognizable for auditing purposes.

**Beneficial Owner 2 (Check Field 1)** – This is an additional field for a second beneficial owner or additional room for the Beneficial Owner 1 field. **This field has a max character limit of 95 characters.**

**Account Number** – This field is for the account number. The true account number should be used when possible. If the account is combined or rolled up, a placeholder account number may be used.

**Attention, Address 1, Address 2, City, State, Zip Code, Province, Country** – These fields are where the checks will be sent if wiring is not an option. SCS will not send deficiency or status notices to these addresses; those notices will be sent to the email contained within the submitted EFT.

**SSN or EIN (Last Four Digits)** – This field is optional. If the beneficial owner is foreign or is not providing such information, please leave blank. Do not submit LEIs or partially redacted TINs. This field should not contain letters.

**Filer's Email** – This field is where all correspondence will be sent, such as deficiency notices, inquiries, or claim status notices. For security purposes, SCS can only accept one email address per claim.

**Security Identifier (CUSIP, SEDOL or ISIN)** – This is a data validated field. A complete list of eligible securities will be provided in the broker notice which will be posted on each case's respective website or can be found on the SCS case profile page. The valid security identifier must be provided and must be correct. For security identifier changes during the class period, the filer does not need to provide the shares delivering out and the new shares being received in; a simple change in reported security identifier is sufficient so long as the claim balances.

**Transaction Type (P, R, S, D, EB)** – This is a data validated field. SCS will not accept transaction types that deviate from the above listed transaction types. Dividends, mergers, acquisitions, etc. can all be represented with the above transaction types.

**Trade Date** – This is a data validated field. SCS will only accept dates reported in MM/DD/YYYY format. Beginning and Ending Holding positions should match the date as listed in the corresponding claim form and not deviate from the listed date.

**Share Quantity** – This field is for the number of shares per each buy/sale transaction and/or the holdings.

**Execution Price (Per Share in USD)** – This field is for the execution price per share in USD. Do not report another currency other than USD unless the plan of allocation specifically calls for it. The execution price should not include commissions, fees, or taxes. Same date transactions should not be aggregated if the execution price is different.

**Failure to fill out the required fields may result in a processing delay or complete rejection of the submission.**