

UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF NEW YORK

IN RE MEXICAN GOVERNMENT BONDS
ANTITRUST LITIGATION

Master Docket No. 18-cv-02830

PROOF OF CLAIM AND RELEASE

I. INSTRUCTIONS

1. If you entered into a Mexican Government Bond Transaction from January 1, 2006 through and including April 19, 2017 (“Class Period”), you may be eligible to receive a payment from the \$20.7 million in settlements with Barclays PLC, Barclays Bank PLC, Barclays Capital Inc., Barclays Capital Securities Limited, Barclays Bank México, S.A., Institución de Banca Múltiple, Grupo Financiero Barclays México, and Grupo Financiero Barclays México, S.A. de C.V. (collectively “Barclays”) and JPMorgan Chase & Co., J.P. Morgan Broker-Dealer Holdings Inc., J.P. Morgan Securities LLC, JPMorgan Chase Bank, National Association, Banco J.P. Morgan, S.A. Institución de Banca Múltiple, J.P. Morgan Grupo Financiero, and J.P. Morgan Securities plc (collectively “JPMorgan” and with Barclays, the “Settling Defendants”) reached in *In re Mexican Government Bonds Antitrust Litigation*, No. 18-cv-02830 (JPO) (S.D.N.Y).

2. “Mexican Government Bond Transaction” means any purchase, sale, or exchange of Mexican Government Bonds, whether in the primary, secondary, or any other market. “Mexican Government Bonds” means any debt securities issued by the United Mexican States (“Mexico”) that are Mexican Peso-denominated, including, but not limited to, CETES, Bondes D, UDIBONOS, and BONOS.

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 Proposed Class Action Settlements, September 13, 2021 Fairness Hearing Thereon and Class Members’ Rights (“Notice”), the Stipulation and Agreement of Settlement with Barclays, and the Stipulation and Agreement of Settlement with JPMorgan (“Settlement Agreements”), which are available at www.MGBAntitrustSettlement.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 Release and Covenant Not to Sue described in the Notice and provided for in the Settlement Agreements.

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.MGBAntitrustSettlement.com by 11:59 p.m. Eastern Time on October 13, 2021 OR mailed and postmarked no later than October 13, 2021.** If you are unable to submit the required data as described below at Parts III and IV, you should call the Settlement Administrator for further instructions.

6. As described in Part III below, you may be required to submit additional information about the Mexican 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 Settlement Administrator.

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

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

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

II. CLAIMANT IDENTIFICATION

The Settlement Administrator will use this information for all communications relevant to this Claim Form. If this information changes, please notify the Settlement 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 Claimant.

Section A – Claimant Information

Claimant's First Name	MI	Claimant's Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>
Co-Claimant's First Name	MI	Co-Claimant's Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Entity Name (if Claimant is not an individual)

Representative or Custodian Name (if different from Claimant[s] listed above)

Address 1 (street name and number)

Address 2 (apartment, unit, or box number)

City State ZIP Code/Postal Code

Province/Region (if outside U.S.)

Country

Claimant Tax ID (For most U.S. Claimants, this is their individual Social Security number, employer identification number, or taxpayer identification number. For non-U.S. Claimants, enter a comparable government-issued identification number.)

Telephone Number (home or cell) - - Telephone Number (work) - -

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.)

Location(s) from which Claimant entered into Mexican Government Bond Transactions:

U.S. or its territories Other (please specify): _____

For Brokers filing this Claim Form for its own account(s): Have you included Mexican Government Bond Transactions in which you acted as an agent?

Yes No

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.MGBAntitrustSettlement.com by **11:59 p.m. Eastern Time on October 13, 2021, OR** mail the Claim Forms **postmarked no later than October 13, 2021**, to the Settlement Administrator at P.O. Box 173123, Milwaukee, WI 53217. Claim Submission Instructions, including the information you must provide about your Mexican Government Bond Transactions, are available at www.MGBAntitrustSettlement.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 Mexican Government Bond Transactions reflected in the Summary Notional 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 SETTLEMENT ADMINISTRATOR.

The Settlement Administrator may request that Claimants submit additional data or documentation of their Mexican Government Bond Transactions. A Mexican Government Bond Transaction Data Template, including the information you must provide about your Mexican Government Bond Transactions, if requested, is available at www.MGBAntitrustSettlement.com.

If supplemental documentation is required, it would be from one or more of the following sources, so you should retain any such records in case you need to submit them to the Settlement Administrator in the future:

- 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 Mexican Government Bond Transactions during the Class Period.

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

IV. SUMMARY NOTIONAL TABLE OF MEXICAN GOVERNMENT BOND TRANSACTIONS

Complete this Part IV if and only if you entered into Mexican Government Bond Transactions from January 1, 2006, through and including April 19, 2017. Do not include information regarding instruments other than Mexican Government Bond Transactions and do not include Mexican Government Bond Transactions in which you acquired the bonds as an agent for another individual or entity.

TRADE DURATION (MATURITY DATE LESS TRADE DATE)	TRANSACTIONS WITH DEFENDANTS		TRANSACTIONS WITH NON-DEFENDANTS	
	<u>TOTAL NOTIONAL PURCHASED (PESO)</u>	<u>TOTAL NOTIONAL SOLD (PESO)</u>	<u>TOTAL NOTIONAL PURCHASED (PESO)</u>	<u>TOTAL NOTIONAL SOLD (PESO)</u>
0-1 YEARS				
1-2 YEARS				
2-3 YEARS				
3-4 YEARS				
4-5 YEARS				
5-6 YEARS				
6-7 YEARS				
7-8 YEARS				
8-9 YEARS				
9-10 YEARS				
10-11 YEARS				
11-12 YEARS				
12-13 YEARS				
13-14 YEARS				
14-15 YEARS				
15-16 YEARS				
16-17 YEARS				
17-18 YEARS				
18-19 YEARS				
19-20 YEARS				
20-21 YEARS				
21-22 YEARS				

	<u>TRANSACTIONS WITH DEFENDANTS</u>		<u>TRANSACTIONS WITH NON-DEFENDANTS</u>	
<u>TRADE DURATION (MATURITY DATE LESS TRADE DATE)</u>	<u>TOTAL NOTIONAL PURCHASED (PESO)</u>	<u>TOTAL NOTIONAL SOLD (PESO)</u>	<u>TOTAL NOTIONAL PURCHASED (PESO)</u>	<u>TOTAL NOTIONAL SOLD (PESO)</u>
22-23 YEARS				
23-24 YEARS				
24-25 YEARS				
25-26 YEARS				
26-27 YEARS				
27-28 YEARS				
28-29 YEARS				
29-30 YEARS				
> 30 YEARS				

This Form Must Be Electronically Submitted OR
Postmarked No Later than October 13, 2021.

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:

1. I (we) have read the Notice and Claim Form, including the descriptions of the Release and Covenant Not to Sue provided for in the Settlement Agreements;
2. I (we) am (are) a Settlement Class Member and am (are) not one of the individuals or entities excluded from the Settlement Class;
3. I (we) have not submitted a Request for Exclusion;
4. 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) Released Claims to another;
5. 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;
6. 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 his/her/its/their behalf;
7. I (we) hereby consent to the disclosure of, waive any protections provided by any applicable bank secrecy or data privacy laws (whether foreign or domestic), or any similar confidentiality protections with respect to, and instruct Settling Defendants or any authorized third party to disclose my (our) information and transaction data relating to my (our) trades for use in the claims administration process;
8. 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 Final Judgment(s) that may be entered in the Action;
9. I (we) agree to furnish such additional information with respect to this Claim Form as the Settlement Administrator or the Court may require; and
10. 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.

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 Settlements, pursuant to the terms set forth in the Settlement Agreements, and by operation of law and the Final Judgments, I (we) shall be deemed to release and forever discharge and shall be forever enjoined from prosecuting the Released Claims against the Released Parties (as defined in the Settlement Agreements and/or Final Judgment(s)).

By signing and submitting this Claim Form, I (we) consent to the disclosure of information relating to my (our) Mexican Government Bond Transactions during the Class Period, and waive any protections provided by any applicable bank secrecy or data privacy laws (whether foreign or domestic), or any similar confidentiality protections with respect to information and transaction data relating to my (our) trades, for use in the claims administration process.

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 OCTOBER 13, 2021 OR MAILED AND POSTMARKED NO LATER THAN OCTOBER 13, 2021.