

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

IN RE LONDON SILVER FIXING, LTD. ANTITRUST LITIGATION

This Document Relates to:

ALL ACTIONS

14-MD-02573-VEC

14-MC-02573-VEC

The Honorable Valerie E. Caproni

PROOF OF CLAIM AND RELEASE

If you entered into a U.S.-Related Transaction¹ in or on any over-the-counter market (“OTC”) or exchange in physical silver or in a derivative instrument in which silver is the underlying reference asset (collectively, “Silver Instruments”), at any time from January 1, 1999 through September 6, 2016 (the “Settlement Class Period”), you may be entitled to receive a payment from a \$38 million settlement with Deutsche Bank in the class action case *In re London Silver Fixing, Ltd. Antitrust Litigation*, Nos. 14-md-02573-VEC, 14-mc-02573-VEC (S.D.N.Y). “U.S.-Related Transaction” means any transaction in a Silver Instrument: (a) by any person or entity domiciled in the U.S. or its territories, or (b) by any person or entity domiciled outside the U.S. or its territories but conducted, in whole or in part, in the U.S. or its territories. To be eligible to receive a payment from the Net Settlement Fund, you must electronically submit a Proof of Claim and Release along with the required data and/or information described below at the settlement website, www.SilverFixSettlement.com by 11:59 p.m. Eastern Time on March 1, 2021 or you must complete, sign, and mail this Proof of Claim and Release and necessary supporting documentation to the Settlement Administrator at the following address, to be received no later than March 1, 2021:

London Silver Fixing Settlement
c/o A.B. Data, Ltd.
P.O. Box 173103
Milwaukee, WI 53217

Do not submit your claim to the Court.

If you are a Settling Class Member who transacted in physical silver spot trades that are priced based on the Silver Fix price (“Physical Silver”) or in exchange-traded futures contracts, options contracts, swaps, and forwards in which silver is the underlying reference asset (“Silver Derivatives”) during the Settlement

¹ Unless otherwise defined herein, capitalized terms have the meaning assigned to them as in the Stipulation and Agreement of Settlement with Deutsche Bank.

Class Period, then by properly filling out, signing, and returning this Proof of Claim and Release and furnishing the required supporting documentation, you may be entitled to share in the proceeds from the Net Settlement Fund. Submission of this Proof of Claim and Release does not assure that you will share in any of the proceeds of the Net Settlement Fund. Your payment amount will be determined based on the Settlement Administrator's review of your Proof of Claim and Release and calculated pursuant to the Distribution Plan that the Court approves. The Distribution Plan will be available at www.SilverFixSettlement.com.

Separate Proofs of Claim and Release should be submitted for each separate legal entity. Conversely, a single Proof of Claim and Release should be submitted on behalf of only one legal entity. For all accounts you own or control, you must include the requested trade information for all transactions in Silver Instruments at any time between January 1, 1999 through and including September 6, 2016. If you omit needed documentation or information, your claim may be considered defective by the Settlement Administrator. If so, you will be notified of the defect and given an opportunity to cure by providing additional documentation or information.

If you qualify as a Settling Class Member and fail to submit a valid and timely Proof of Claim and Release pursuant to these instructions or fail to provide adequate documentation of your pertinent transactions, you may be precluded from recovery against the Net Settlement Fund. You will nevertheless be bound by the terms of any judgment entered in the Action whether or not you submit a Proof of Claim and Release.

It is important that you read the accompanying Notice of Proposed Class Action Settlement, April 8, 2021 Fairness Hearing Thereon and Class Members' Rights ("Notice") and the Stipulation and Agreement of Settlement with Deutsche Bank ("Settlement Agreement"), which are available at www.SilverFixSettlement.com. By signing and submitting this Proof of Claim and Release, 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 Agreement.

The completed Proof of Claim and Release and the information submitted therewith will be treated as confidential and will be used solely for purposes of administering the Settlement. Knowingly submitting inaccurate or incomplete information may subject you to civil or criminal penalties.

You should be aware that it will take a significant amount of time to process fully all of the Proof of Claim and Release forms and to administer the Settlement. This work will be completed as promptly as time permits, given the need to investigate and tabulate each Proof of Claim and Release. Please notify the Settlement Administrator of any change of address.

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

IF YOU HAVE ANY QUESTIONS CONCERNING THIS PROOF OF CLAIM AND RELEASE, WRITE TO, CALL, OR GO ON-LINE AT:

London Silver Fixing Settlement
c/o A.B. Data, Ltd.
P.O. Box 173103
Milwaukee, WI 53217
www.SilverFixSettlement.com
1-800-254-2939 or 1-414-961-6577
info@SilverFixSettlement.com

DO NOT CONTACT THE COURT IF YOU HAVE QUESTIONS CONCERNING THIS PROOF OF CLAIM AND RELEASE.

FOR OFFICIAL USE ONLY

London Silver Fixing Settlement
PROOF OF CLAIM AND RELEASE
Please print or type

MUST BE ELECTRONICALLY
SUBMITTED OR RECEIVED NO LATER
THAN MARCH 1, 2021

DETAILED CLAIM SUBMISSION INSTRUCTIONS ARE AVAILABLE ON THE SETTLEMENT WEBSITE WWW.SILVERFIXSETTLEMENT.COM

ITEM 1—CLAIMANT IDENTIFICATION

Please provide the following information if you or the entity for which you are executing the claim (collectively, "you") transacted in or held Physical Silver or Silver Derivatives:

Claimant's First Name MI Claimant's Last Name

Co-Claimant's First Name MI Co-Claimant's Last Name

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)

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

Item 3 - Proof of Qualifying Transactions

Please describe below all of your transactions in Physical Silver or Silver Derivatives between January 1, 1999 and September 6, 2016, inclusive. Please also submit the supporting documentation for your transactions in Physical Silver or Silver Derivatives. The supporting document should also allow the Settlement Administrator to determine whether a transaction in Physical Silver or Silver Derivatives was a U.S.-Related Transactions.

You must provide proof for each and every transaction in Physical Silver or Silver Derivatives, between January 1, 1999 and September 6, 2016, regardless of whether your transaction resulted in a gain or a loss.

If necessary documents are not in your possession, please obtain them or their equivalent from your broker or tax advisor or other sources if it is possible for you to do so.

The Settlement Administrator will determine your Settlement Transaction Volume (as set forth in the Distribution Plan) by analyzing your transactions in Physical Silver or Silver Derivatives.

Your Physical Silver or Silver Derivatives transaction data should always include trade dates. Do not offset opening and closing transactions or provide net position or trading information. It is important that you supply the information requested to the fullest extent possible.

For all Physical Silver or Silver Derivatives, including those traded on a futures exchange (Chicago Board of Trade, Commodity Exchange, Inc., NYSE LIFFE, CME, COMEX), please provide documents reflecting such transactions including daily and monthly brokerage statements or trade confirmations. For all transactions, you must also provide proof you entered into the transaction while you were domiciled in the United States or its territories, or, if domiciled outside the United States or its territories, the trade was transacted by a Person from a location within the United States or its territories.

If you have any of the below transaction information in an electronic form, you are strongly encouraged to submit the information electronically. The following formats are acceptable: ASCII, MS Excel, MS Access, dBase, and electronic filing templates can be found at the Settlement Website, www.SilverFixSettlement.com.

PHYSICAL SILVER

During the Settlement Class Period, for a long or short position, please list each U.S.-Related Transaction in Physical Silver:

Transaction Date	Long or Short Position in Silver?	Total Transaction Amount²	Currency of Transaction	Ounces of Silver Transacted	Location of Transaction	Name of Counterparty	Name of Broker (if applicable)

² In U.S. dollars or foreign currency (if applicable).

SILVER DERIVATIVES

Silver Forward Contracts

During the Settlement Class Period, provide the following information for each U.S.-Related Transaction in a Silver forward contract:

Transaction Date	Long or Short Position in Silver?	Total Transaction Amount	Currency of Transaction	Ounces of Silver Transacted	Location of Transaction	Name of Counterparty	Name of Broker (if applicable)	Settlement Date/ Delivery Date

Silver Futures Contracts

During the Settlement Class Period, provide the following information for each U.S.-Related Transaction in a Silver Derivative futures contract:

Transaction Date	Long or Short Position in Silver?	Total Transaction Amount	Currency of Transaction	Ounces of Silver Transacted	Location of Transaction	Exchange	Name of Broker (if applicable)	Settlement Date/ Delivery Date

Silver Options Contracts

During the Settlement Class Period, please provide the following information for each U.S.-Related Transaction of an option on a Silver Instrument:

Transaction Date	Option for Long or Short Silver Position?	Total Transaction Amount	Currency of Transaction	Ounces of Silver To Be Transacted	Location of Transaction	Name of Counterparty	Name of Broker (if applicable)

Silver Swaps

During the Settlement Class Period, provide the following information for each U.S.-Related Transaction in Silver-based swaps. Please only enter legs of the transaction based on Silver:

Transaction Date	Long or Short Position in Silver?	Total Transaction Amount	Currency of Transaction	Supplier or Receiver of Silver?	Payer or Receiver of fixed rate?	Ounces of Silver Transacted	Location of Transaction	Name of Counterparty	Name of Broker (if applicable)

If you have any additional U.S.-Related Transactions in Silver Instruments that you believe do not fit in any of the above categories, please list below and supply supporting documentation:

It is important that you accurately disclose all transactions in Silver Instruments during the Settlement Class Period. Interim Co-Lead Counsel and the Settlement Administrator reserve the right to seek further information from you regarding your Proof of Claim and Release.

Item 4 – Consent, Certification and Signature

BY SIGNING AND SUBMITTING THIS PROOF OF CLAIM AND RELEASE, CLAIMANT OR CLAIMANT’S AUTHORIZED REPRESENTATIVE CERTIFIES ON CLAIMANT’S BEHALF AS FOLLOWS

I (we) expressly consent to the release to the Settlement Administrator of any and all documents reflecting my (our) transactions in Physical Silver or Silver Derivatives that may be obtained from third parties, including, but not limited to, my (our) brokerage firm(s), my (our) FCMs, the CME, NYSE LIFFE, CBOT, COMEX, or any other source with this transaction information.

By executing this Proof of Claim and Release, I (we) hereby permit the Settlement Administrator to request from my (our) brokerage firm(s), my (our) FCMs, the CME, NYSE LIFFE, CBOT, COMEX, or any other source with this transaction information relevant information about my (our) transactions in Physical Silver or Silver Derivatives in order to compute any payment that may be due to me (us) from the Net Settlement Fund. I (we) consent to the disclosure of information relating my (our) transactions in Physical Silver or Silver Derivatives 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.

I (we) (for myself (ourselves) in the event of an individual claim, and for the Claimant in the event of any other claim) certify that reasonable efforts have been made to locate all information requested in this Proof of Claim and Release above and that all information supplied in connection with this Proof of Claim and Release is true, correct, and complete.

I (we) (for myself (ourselves) in the event of an individual claim, and for the Claimant in the event of any other claim) certify that I (we) have not submitted any other claim covering the same transactions of Physical Silver or Silver Derivatives during the Settlement Class Period and know of no other person having done so on my (our) behalf.

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) understand that the information provided herein is subject to verification, and I (we) (for myself (ourselves) in the event of an individual claim, and for the Claimant in the event of any other claim) agree to cooperate in any such verification, including by furnishing additional information to support this claim and by assisting the Settlement Administrator if requested to do so.

I (we) understand that the Settlement Administrator will determine the adequacy of the Claimant’s Proof of Claim and Release and supporting documentation.

I (we) have read the Notice and Proof of Claim and Release, including the descriptions of the Release and Covenant Not to Sue provided for in the Settlement Agreement.

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) (for myself (ourselves) in the event of an individual claim, and for the Claimant in the event of any other claim) consent to the jurisdiction of the United States District Court for the Southern District of New York (the “Court”) with respect to all matters concerning this Proof of Claim and Release including, without limitation, any efforts to enforce the terms of the Settlement Agreement or any order or judgment of the Court.

I (we) (for myself (ourselves) in the event of an individual claim, and for the Claimant in the event of any other claim) agree to the terms of the Settlement as set forth in the Settlement Agreement and acknowledge being bound by and subject to the terms of any order or judgment that may be entered in the Action, including the Final Approval Order and Judgment. I (we) may obtain a copy of the Settlement Agreement at www.SilverFixSettlement.com.

I (we) (for myself (ourselves) in the event of an individual claim, and for the Claimant in the event of any other claim) acknowledge that this Proof of Claim and Release constitutes a release and covenant not to sue in conformity with Section 12 of the Settlement Agreement in order to receive the appropriate share, if any, of the Settlement Fund. I (we) (for myself (ourselves) in the event of an individual claim, and for the Claimant in the event of any other claim) agree that the submission of this Proof of Claim and Release constitutes a full release of and covenant not to sue on the Released Claims against the DB Released Parties as set forth in the Settlement Agreement and at the end of this Proof of Claim and Release.

I (we) acknowledge that, as of the Effective Date of the Settlement, pursuant to the terms set forth in the Settlement Agreement, 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 Released Claims against the DB Released Parties.

I (we) (for myself (ourselves) in the event of an individual claim, and for the Claimant in the event of any other claim) certify that I (we) am (are) not subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code of 1986, as amended, because: (a) the Claimant(s) is (are) exempt from backup withholding; or (b) the Claimant(s) has (have) not been notified by the Internal Revenue Service (the “I.R.S.”) that the Claimant(s) is (are) subject to backup withholding as a result of a failure to report all interest or dividends; or (c) the I.R.S. has notified the Claimant(s) that the Claimant(s) is (are) no longer subject to backup withholding.

I (we) declare or affirm under penalty of perjury that the foregoing statements and the documents and information attached hereto, including the Social Security or Employer Identification Number shown on this Proof of Claim and Release, are true, correct and complete, and that I (we) agree to the above releases and covenants not to sue. I understand that the withholding or misrepresentation of any information described herein may constitute a criminal offense subject to penalties under the law.

This Proof of Claim and Release was executed this _____ day of _____, 20_____, in _____, _____
(City/Province) (State/Country)

Signature of Claimant(s)

Signature of Authorized Representative (if any)

Type or Print Name of Claimant(s)

Type or Print Name of Authorized Representative (if any)

Capacity of Authorized Representative (*e.g.*, President, Trustee, Custodian, etc.).
If you are acting for an entity, please submit proof of your authority (e.g., corporate resolution, trust agreement, etc.).

REMINDER: YOUR CLAIM FORM AND REQUIRED DATA MUST BE SUBMITTED ONLINE BY 11:59 P.M. EASTERN TIME ON MARCH 1, 2021 OR MAILED AND RECEIVED BY THE SETTLEMENT ADMINISTRATOR NO LATER THAN MARCH 1, 2021.