



*In Re Tower Research Capital LLC*

ELECTRONIC CLAIMS FILING GUIDELINES



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## Overview

Electronic Claims Filing applies to institutions or entities that are filing multiple Proof of Claim and Release forms on behalf of themselves and/or others, as well as individuals or entities that are filing Proof of Claim and Release forms with a large number of transactions (50+).

Electronic Claims Filings are subject to rejection if not prepared in compliance with these Electronic Claims Filing Guidelines.

“E-Mini Index Futures” means E-mini Dow Futures contract(s), E-mini S&P 500 Futures contract(s), or E-mini NASDAQ 100 Futures contract(s) and “Options on E-Mini Index Futures” means any option on any E-Mini Index Futures.

PLEASE NOTE: No Electronic Claims Filings will be considered to have been properly submitted unless the Claims Administrator issues to the filer a written acknowledgment of receipt and acceptance of electronically submitted data.

## Electronic Filing Requirements

### I. Complete and Sign a paper Proof of Claim and Release form:

- One executed “paper” master Proof of Claim and Release form should be completed per submission. This Proof of Claim and Release form serves as a master Proof of Claim and Release form for one or all of the accounts included on your file. The Proof of Claim Form is attached hereto as Appendix B.
- Be sure to include company name, account name/number, and company address. If submitting an electronic file on behalf of several accounts, enter “Various Accounts” for the account name/number.
- Complete the signature page on the Proof of Claim and Release form. If you are filing on behalf of your clients, you must include a letter or document providing your authorization to sign on behalf of your clients, as set forth in Appendix C.
- A valid email address must be on file with the Claims Administrator. Communication regarding deficiencies and rejections on electronically filed claims may be conducted by email. A valid email address MUST be included on the Proof of Claim and Release form, and the email address provided MUST be updated in the event the contact person or email address changes; it is the sole responsibility of the filing party to maintain up-to-date, complete contact information with the Claims Administrator.

### II. Prepare a cover letter:

- A cover letter MUST be included with the master Proof of Claim and Release form. The cover letter must include the total number of accounts; total number of transactions; total number of



E-Mini Index Futures Contracts purchased, acquired, and sold; and contact name(s) with phone number(s) and email address(es). Please see the sample cover letter as set forth in Appendix D.

### III. Prepare a data file:

- An Excel spreadsheet or other electronic file containing account information and transactional data **MUST** be prepared in accordance with A.B. Data, Ltd.'s Electronic Claims Filing Template Mapping Instructions found in Appendix E and Appendix F. The following formats are acceptable: a) MEDIA: CD, DVD, and flash drive and b) DATA: ASCII, MS Excel, and CSV. For your convenience, an Excel spreadsheet template is available for your use and may be downloaded from the settlement website.
- If you cannot provide the information in the aforementioned formats or you have other requests, questions, concerns, or comments, please email A.B. Data, Ltd., at [efiling@abdata.com](mailto:efiling@abdata.com) or you may call 800-254-2939 to speak to an Electronic Claims Filing Specialist.

### IV. Mail your executed master Proof of Claim and Release form with a cover letter and media format to:

E-Mini Futures Class Action Settlement  
Attention: Electronic Claims Department  
c/o A.B. Data, Ltd.  
3410 West Hopkins Street  
Po Box 173122  
Milwaukee, WI 53217

### Documentation Requirements

A.B. Data, Ltd., reserves the right to request additional documentation at any time after your Proof of Claim and Release form and file have been received and processed. The documentation provided should be sufficient to verify the validity and accuracy of the data provided in the file.

If you provided a letter/affidavit attesting to the truth and accuracy of your data when initially submitting your file, A.B. Data may still require specific documentary evidence (trade confirmations, monthly statement, or equivalent) to verify the details of your transactions and/or holdings.



## How to account for Free Receipts, Free Deliveries, and Transfers

Free receipt, free delivery, and transfer transactions are not eligible for payment unless you have additional information regarding the original purchase, acquisition, or subsequent sale. If you do not have this information, free receipt, free delivery, and transfer transactions should only be included on your electronic file for balancing purposes. **You MUST use the following instructions when filing for accounts that have free receipt, free delivery, and transfer transactions during the Class Period:**

1. If E-Mini Index Futures/Options were transferred to or from a different custodian (corresponding account is not on your electronic file), you must follow these instructions:

- 1.1 E-MINI INDEX FUTURES/OPTIONS RECEIVED INTO ACCOUNT: You must account for any received Derivatives by providing the opening position or original purchase or acquisition of these E-Mini Derivatives from the prior account.
- 1.2 1.1 E-MINI INDEX FUTURES /OPTIONS DELIVERED OUT OF ACCOUNT: You must account for any delivered E-Mini Derivatives by providing the sale and/or closing position from the subsequent account.
- 1.3 NO INFORMATION AVAILABLE ON ORIGINAL PURCHASE/ACQUISITION or SUBSEQUENT SALE: You must provide the free receipt and/or free delivery E-Mini Index Futures/Options in order to balance your claim. A “transfer in” should be reflected as transaction type “FR,” and a “transfer out” should be reflected as transaction type “FD” (prices and net amounts should be zero).

## Claim Balancing

Negative values may only be given for short opening or closing positions. All other transactions must be positive values.



## Appendix A

### Case Specific Information

CLASS DEFINITION:	All persons and entities that purchased or sold any E-Mini index futures or Options on E-Mini index futures on the Chicago Mercantile Exchange (“CME”) and/or the Chicago Board of trade (“CBOT”) from at least March 1, 2012 through October 31, 2014.
E-MINI INDEX FUTURES	E-mini Dow Futures contract(s), E-mini S&P 500 Futures contract(s), or E-mini NASDAQ 100 Futures contract(s)
OPTIONS ON E-MINI INDEX FUTURES	Any option on any E-Mini Index Futures
CLAIM FILING DEADLINE:	August 12, 2021

**Transactions for each account should include:**

Transaction Type	Definition	Valid Dates
<b>O</b>	Total open position of contracts at the beginning of the Class Period.	March 1, 2012
<b>P</b>	Purchases/acquisitions during the Class Period.	March 1, 2012 through October 31, 2014, inclusive
<b>FR</b>	Transfer into account during the Class Period.	March 1, 2012 through October 31, 2014, inclusive
<b>S</b>	Sales during the Class Period.	March 1, 2012 through October 31, 2014, inclusive
<b>FD</b>	Transfer out to another account during the Class Period.	March 1, 2012 through October 31, 2014, inclusive
<b>C</b>	Total position of contracts at the close of trading at the end of the Class Period.	October 31, 2014

**\*\*\*Please see Appendix E for mapping instructions detailing how to properly submit your file. Files submitted that do not follow the mapping instructions are subject to rejection.**



## Appendix B



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UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF ILLINOIS  
EASTERN DIVISION

GREGORY BOUTCHARD and SYNOVA  
ASSET MANAGEMENT, LLC, individually and  
on behalf of all others similarly situated,

Plaintiffs,

v.

KAMALDEEP GANDHI, YUCHUN MAO  
a/k/a BRUCE MAO, KRISHNA MOHAN,  
TOWER RESEARCH CAPITAL LLC, and  
JOHN DOE Nos. 1 – 5,

Defendants.

Case No. 1:18-cv-07041

Hon. John J. Tharp, Jr.

**PROOF OF CLAIM AND RELEASE**

**I. INSTRUCTIONS**

1. If you transacted in E-Mini Index Futures and/or Option(s) on E-Mini Index Futures on the Chicago Mercantile Exchange (“CME”) and/or the Chicago Board of Trade (“CBOT”) from March 1, 2012, through October 31, 2014 (the “Class Period”), you may be eligible to receive a payment from the \$15 million settlement reached between Class Plaintiffs and Defendant Tower Research Capital LLC (“Tower”) in *Boutchard et al. v. Gandhi et al.*, No. 18-cv-7041 (N.D. Ill.).

2. “E-Mini Index Futures” means E-mini Dow Futures contract(s), E-mini S&P 500 Futures contract(s), or E-mini NASDAQ 100 Futures contract(s) and “Options on E-Mini Index Futures” means any option on any E-Mini Index Futures.

3. Unless otherwise defined herein, all capitalized terms contained in this proof of claim and release (“Claim Form”) have the same meaning as in the accompanying **Notice of Proposed Class Action Settlement, July 30, 2021, Fairness Hearing Thereon, And Class Members’ Rights** (“Notice”) and the Stipulation and Agreement of Settlement between Class Plaintiffs and Tower, which are available at [www.eminifuturesclassactionsettlement.com](http://www.eminifuturesclassactionsettlement.com) (the “Settlement Website”).

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 under the heading “What Am I Giving Up to Receive a Payment?” and provided for in the Settlement Agreement.

5. To be eligible to receive a payment from the Net Settlement Fund, you must submit a timely and valid Claim Form along with the required data and/or information described in Parts II through IV below. **To be considered timely, your Claim Form must be submitted online at [www.eminifuturesclassactionsettlement.com](http://www.eminifuturesclassactionsettlement.com) by 11:59 p.m. Eastern Time on August 12, 2021, OR mailed and received by the Settlement Administrator no later than August 12, 2021.** If you are unable to submit the required data as described below at Parts II through IV, you should call the Settlement Administrator for further instructions.

6. As described in Part III below, you are required to submit additional information about your transactions in E-Mini Index Futures and/or Option(s) on E-Mini Index Futures as part of your Claim Form to be submitted to 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 Settlement. For more information, please refer to the Notice and Distribution Plan available at the Settlement Website.

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.







**IV. TABLE OF TRANSACTIONS IN E-MINI INDEX FUTURES AND/OR OPTIONS ON E-MINI INDEX FUTURES**

Complete this Part IV if and only if you entered into transactions in E-Mini Index Futures and/or Options on E-Mini Index Futures from March 1, 2012, through October 31, 2014. Do not include information regarding instruments other than E-Mini Index Futures and/or Options on E-Mini Index Futures and do not include transactions in E-Mini Index Futures and/or Options on E-Mini Index Futures in which you acquired the instrument as an agent for another individual or entity.

**List of Brokers or Futures Commission Merchants**

Please list all brokers or futures commission merchants (“FCMs”) at which you maintained accounts in which you traded or held in E-Mini Index Futures and/or Options on E-Mini Index Futures.


**List of Account Names and Account Numbers**

Please provide a list of all account names and account numbers for each entity you listed in response above in which you traded or held E-Mini Index Futures and/or Options on E-Mini Index Futures.




**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 Agreement;
2. I (we) am (are) a 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 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 Judgment that will be entered in the Action if the Settlement is 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 Settlement, pursuant to the terms set forth in the Settlement Agreement, and by operation of law and the Final Judgment, 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 Agreement and/or Final Judgment).

By signing and submitting this Claim Form, I (we) consent to the disclosure of information relating to my (our) transactions in E-Mini Index Futures and/or Options on E-Mini Index Futures 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.**

Date:

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

\_\_\_\_\_  
MM/DD/YY

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

Date:

\_\_\_\_\_  
Authorized Representative completing Claim Form (if any)

\_\_\_\_\_  
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 AUGUST 12, 2021, OR MAILED AND RECEIVED NO LATER THAN AUGUST 12, 2021.**

## Appendix C

### Authorization Requirements

- 1 **If you are a nominee** filing on behalf of your account holders, you **must** include the following documentation:
  - 1.1. Affidavit attesting that your entity has legal rights and authorization from your account holders to file Proof of Claim and Release forms on their behalf **and** that your account holders understand that they are bound by and subject to the terms of all releases that may be entered in this Settlement, etc.; **and**
    - 1.1.1 Authorization to sign on your account holders' behalf.
  - 1.2 **If you are a third party** filing on behalf of a nominee, you **must** include an Affidavit attesting to the following:
    - 1.2.1 Your entity has the legal right and authorization from the nominee to file and sign any Proof of Claim and Release forms on their behalf; **and**
    - 1.2.2 Your entity has the legal right and authorization from the nominee's account holders to file and sign any Proof of Claim and Release forms on their behalf; **and**
    - 1.2.3 The account holders understand they are bound by and subject to the terms of all releases that may be entered in the *E-Mini Futures Class Action Settlement*.
  - 1.3 **If you are a third party** filing on behalf of another party, you **must** include an Affidavit attesting to the following:
    - 1.3.1 Your entity has the legal right and authorization from the other party to file and sign any Proof of Claim and Release forms on its behalf; **and**
    - 1.3.2 The other party understands it is bound by and subject to the terms of all releases that may be entered in the *E-Mini Futures Class Action Settlement*.
  - 1.4 **IF YOU ARE NOT A NOMINEE OR A THIRD PARTY AND WOULD LIKE TO FILE CLAIMS ELECTRONICALLY, YOU MUST INCLUDE DOCUMENTATION SUPPORTING ALL TRANSACTIONAL DATA OF YOUR CLAIM.**

You must submit supporting documentation with your Proof of Claim and Release form that will support the transactions provided in your file. These documents may include, but are not limited to, a) photocopies of confirmation slips; b) photocopies of monthly statements reflecting ALL transactional data and how it was compiled for the opening of the Class Period through the end of the Class Period; or c) a signed letter from your broker, on their letterhead, providing all of the information that would be found on a confirmation slip and/or other aforementioned documents.



## Appendix D

### Sample Cover Letter

LETTERHEAD

Re: *E-Mini Futures Class Action Settlement*

Date:

Enclosed is a fully executed master Proof of Claim and Release form with required authorizations and affidavits as well as an electronic media attachment, which is being filed in connection with the above-referenced matter on behalf of [COMPANY NAME(S) OR INDIVIDUAL NAME(S)] for the proprietary accounts of [ENTITY].

We, [ENTITY], hereby agree that further communication from the Claims Administrator may be conducted by email, and we accept sole responsibility to ensure the email address for [ENTITY] is updated in the event the email address provided on the master Proof of Claim and Release form should change.

The attachment consists of a [CD, DVD, OR FLASH DRIVE] containing [NUMBER] accounts/claims in [ASCII, MS EXCEL, OR MS ACCESS] format with [NUMBER OF TRANSACTIONS] transactions for E-Mini Index Futures/Options, as well as all the opening and closing positions held for [ENTITY]'s proprietary accounts. Each transaction contains corresponding account information for which the claims are being filed. A complete listing of all account names and numbers can be found on the next page.

The total number of E-Mini Index Futures/Options purchased or acquired [##.##] for the amount of [\$0.0000] and E-Mini Index Futures/Options sold [##.##] for the amount of [\$0.0000]<sup>1</sup> can be found on the enclosed [CD, DVD, OR FLASH DRIVE].

We, [ENTITY], attest that the data provided on the media attachment corresponds to [ENTITY]'s internal records.

I attest that the above information is true and correct.

Signature

Company Name

Job Title

Contact Information (including telephone number, fax number, and email address)

Account Name

Account Number

---

<sup>1</sup> Please list all other transactions, if applicable, including free receipts and free deliveries.



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## Appendix E

### Template Mapping Instructions – Transaction Detail Available

Column	Field Name	Max Length	E-MINI INDEX FUTURES FIELD DESCRIPTION
A	Account Identifier	40	Account identifier from cover page of filing.
B	Beneficial Owner Account Name	40	Name of individual, company, or entity associated with the account listed in Column A.
C	Full Name of the Beneficial Owner	40	Full name of the beneficial owner associated with the account listed in Column A.
D	TIN of the Beneficial Owner	9	Taxpayer identification number (TIN) for beneficial owner, no spaces and no dashes.
E	Beneficial Owner TIN Type (E/S/U/F)	1	E = Employer Identification Number (EIN); S = Social Security Number (SSN); U = Unknown; F = Foreign.
F	Care of:	40	Name of the entity to which correspondence and distributions should be mailed.
G	Attn:	40	Name of the person to whose attention correspondence and distributions should be mailed.
H	Street 1	40	Street Address 1 for correspondence and distributions mailing.
I	Street 2	40	Street Address 2 for correspondence and distributions mailing.
J	City	25	City for correspondence and distributions mailing.
K	State	2	State for correspondence and distributions mailing.
L	Zip Code	5	Zip code for correspondence and distributions mailing.
M	Province	40	Province for correspondence and distributions mailing.
N	Country	40	Country for correspondence and distributions mailing.
O	TIN of the Claimant	9	Taxpayer identification number (TIN) for claimant, no spaces and no dashes.
P	Brokerage Firm	40	Name of Brokerage firm executing the transaction.
Q	Account Number	40	The account number in which the transaction was made.
R	Date of Transaction	10	(MM/DD/YYYY) MM = Month; DD = Day; YYYY = Year. For Opening, use 03/01/2012. For Closing, use 10/31/2014.
S	Security Description	4	Enter "EMDF" for E-mini Dow Futures contract(s), Enter "EMSP" for E-mini S&P 500 Futures contract(s), Enter "EMNQ" for E-mini NASDAQ 100 Futures contract(s)
T	Contract Code	2	The two letter contract code.
U	Exchange	4	Name the Exchange (CME or CBOT)
V	Contract Month	3	The three letter abbreviation for the delivery month of the contract. (Jan, Feb, Mar, Apr, May, Jun, July, Aug, Sep, Oct, Nov, Dec)
W	Contract Year (YYYY)	4	The four digit year for the delivery of the contract.
X	Transaction Type/Holdings (O/C/P/S/FD/FR)	2	O = Opening position in Futures Contracts at the start of trading on March 1, 2012; C = Closing position in Futures Contracts at the close of trading on October 31, 2014; P = Purchase; S = Sale; FD = Free delivery; FR = Free receipt.
Y	Number of Contracts	3	The number of futures contracts.
Z	Price	13	Price of the transaction

\*\*\* All eligible transactions for each account must balance. This means that the opening position plus total purchases, and free receipts during the Class Period MUST EQUAL the total sales and free deliveries during the Class Period plus the closing position (O+P+FR=S+FD+C).

\*\*\* You MUST include a cover letter with your electronic file that provides the total number of accounts; total number of transactions; total number of purchases and sales; and contact name(s) with phone number(s) and email address(es) in the event that we have any questions or require further information. See Appendix B for a sample cover letter. Any electronic files not in accordance with these Electronic Claims Filing Guidelines are subject to rejection.



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## Appendix F

### Template Mapping Instructions – Transaction Detail Available

Column	Field Name	Max Length	OPTIONS ON E-MINI INDEX FUTURES FIELD DESCRIPTION
A	Account Identifier	40	Account identifier from cover page of filing.
B	Beneficial Owner Account Name	40	Name of individual, company, or entity associated with the account listed in Column A.
C	Full Name of the Beneficial Owner	40	Full name of the beneficial owner associated with the account listed in Column A.
D	TIN of the Beneficial Owner	9	Taxpayer identification number (TIN) for beneficial owner, no spaces and no dashes.
E	Beneficial Owner TIN Type (E/S/U/F)	1	E = Employer Identification Number (EIN); S = Social Security Number (SSN); U = Unknown; F = Foreign.
F	Care of:	40	Name of the entity to which correspondence and distributions should be mailed.
G	Attn:	40	Name of the person to whose attention correspondence and distributions should be mailed.
H	Street 1	40	Street Address 1 for correspondence and distributions mailing.
I	Street 2	40	Street Address 2 for correspondence and distributions mailing.
J	City	25	City for correspondence and distributions mailing.
K	State	2	State for correspondence and distributions mailing.
L	Zip Code	5	Zip code for correspondence and distributions mailing.
M	Province	40	Province for correspondence and distributions mailing.
N	Country	40	Country for correspondence and distributions mailing.
O	TIN of the Claimant	9	Taxpayer identification number (TIN) for claimant, no spaces and no dashes.
P	Brokerage Firm	40	Name of Brokerage firm executing the transaction.
Q	Account Number	40	The account number in which the transaction was made.
R	Date of Transaction	10	(MM/DD/YYYY) MM = Month; DD = Day; YYYY = Year. For Opening, use 03/01/2012. For Closing, use 10/31/2014.
S	Security Description	5	Enter "EMDFO" for Options on E-mini Dow Futures contract(s), Enter "EMSPO" for Options on E-mini S&P 500 Futures contract(s), Enter "EMNQO" for Options on E-mini NASDAQ 100 Futures contract(s)
T	Contract Code	2	The two letter contract code
U	Exchange	4	Name the Exchange (CME or CBOT)
V	Call (C) or Put (P)	1	P=Put, C=Call
W	Contract Month	3	The three letter abbreviation for the delivery month of the contract. (Jan, Feb, Mar, Apr, May, Jun, July, Aug, Sep, Oct, Nov, Dec)
X	Contract Year (YYYY)	4	The four-digit year for the delivery of the contract.
Y	Strike Price	13	Strike Price for transaction
Z	Transaction Type/Holdings (O/C/P/S/FD/FR)	2	O = Opening position in Futures Contracts at the start of trading on March 1, 2012; C = Closing position in Futures Contracts at the close of trading on October 31, 2014; P = Purchase; S = Sale; FD = Free delivery; FR = Free receipt.
AA	Number of Options	19	The total number of contracts involved in the particular transaction
AB	Option Price	13	Option price of the transaction
AC	Disposition (Assigned/ Exercised/Expired/Closed)	9	Assigned, Exercised, Expired or Closed
AD	Disposition Date (MM/DD/YYYY)	10	(MM/DD/YYYY) MM = Month; DD = Day; YYYY = Year.

\*\*\* You MUST include a cover letter with your electronic file that provides the total number of accounts; total number of transactions; total number of purchases and sales; and contact name(s) with phone number(s) and email address(es) in the event that we have any questions or require further information. See Appendix B for a sample cover letter. Any electronic files not in accordance with these Electronic Claims Filing Guidelines are subject to rejection.



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