

**MF GLOBAL INC.**

In Liquidation

~~November 28,~~December 2, 2011

TO ALL PERSONS ASSERTING CLAIMS AS COMMODITY FUTURES CUSTOMERS OF  
MF GLOBAL INC.:

Enclosed are a commodity futures customer claim form, and commodity futures customer claim form instructions. You will receive a separate commodity futures customer claim form packet for each commodity futures account you have with MF Global Inc. (the "Debtor"), as identified from MF Global Inc.'s books and records. If you also have one or more securities accounts with the Debtor, you also will receive a separate claim packet for filing a securities customer claim for each such account. Should you require additional or different forms, all claim forms are available at the Trustee's website, [www.mfglobaltrustee.com](http://www.mfglobaltrustee.com).

You are urged to read these and the other enclosed documents carefully. They explain steps to protect any rights and claims you may have in this liquidation proceeding.

~~Through~~You may have received open commodity positions and/or cash or cash equivalents through court-authorized bulk transfers resulting from the~~extraordinary~~ efforts ~~and cooperation~~of the Trustee, the Securities Investor Protection Corporation, the Securities Exchange Commission, the Commodity Futures Trading Commission, and numerous derivatives clearing organizations, including the Chicago Mercantile Exchange, ~~the vast majority of open commodity positions have been transferred along with collateral to other futures commission merchants in accordance with the Court order entered on November 2, 2011, approving these transfers.~~ Regardless of any transfer of any portion of your account, if the Debtor still owes you cash or other property from one or more commodity futures customer accounts, and you wish to claim it, you must fill out a commodity futures customer claim form for each separate commodity futures account that you are claiming. All claims must be filed with the Trustee electronically online at [www.mfglobaltrustee.com](http://www.mfglobaltrustee.com), OR sent to the Trustee via certified mail, return receipt requested, to one of the following addresses:

*If by first class mail:*

MF Global Inc. Claims Processing Center  
c/o Epiq Bankruptcy Solutions, LLC  
P.O. Box 3656  
Portland, OR 97208-3656

*If by overnight mail:*

MF Global Inc. ~~Claim~~Claims Processing Center  
c/o Epiq Bankruptcy Solutions, LLC  
10300 SW Allen Blvd.  
Beaverton, OR 97005

A return envelope for the completed claim form(s) is enclosed. Please make a copy of your claim form(s) for your own records before mailing.

Your claim(s) will not be deemed to be filed until received by the Trustee. If you submit your claim(s) by mail, it is strongly recommended that your claim(s) be mailed via certified mail, return receipt requested. Your return receipt will be the only document you will

receive that shows your claim has been received by the Trustee. Claims that are filed electronically must be received by 12:00 midnight on the bar date to be considered timely.

If, at any time, you complained in writing about the handling of your commodity futures account(s) to any person or entity or regulatory authority, and the complaint relates to the cash, securities or other property that you are now seeking, please provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

While your claim is being processed, if your claim is not properly completed or the Trustee requires additional information in order to process your claim, the Trustee may contact you by telephone or email and may send you a deficiency letter to request that you file additional information or documents to support the validity of your claim. Failure to respond to a deficiency letter within thirty days of its receipt may result in the denial of your claim.

It is your responsibility to report accurately all positions and money balances in connection with your commodity futures account(s) with the Debtor. A false claim or the retention of property to which you are not entitled may make you liable for damages and criminal penalties. If you cannot precisely calculate the amount of your claim, however, you may file an estimated claim.

One of the purposes of the liquidation is to satisfy commodity futures customer claims as promptly as practicable. **Your commodity futures customer claim form must be received by the Trustee on or before January ~~27,31~~, 2012, or it will be barred (unless extended, for good cause only). The January ~~27,31~~, 2012 deadline for filing a commodity futures customer claim cannot be extended beyond ~~May 28~~, June 2, 2012, even for good cause. If received by the Trustee after January ~~27,31~~, 2012, but on or before ~~May 28~~, June 2, 2012, a commodity futures customer claim may be afforded general creditor status.** Commodity futures customer claims are not eligible for Securities Investor Protection Corporation advances.

Your cooperation in promptly returning the appropriate completed commodity futures customer claim form to the Trustee is in your best interest as it will help speed the administration of the liquidation proceeding.

Very truly yours,

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James W. Giddens

Trustee for the SIPA Liquidation of  
MF Global Inc.

**INSTRUCTIONS FOR COMPLETING THE COMMODITY FUTURES  
CUSTOMER CLAIM FORM**

**PLEASE READ CAREFULLY**

**IF YOUR CLAIM IS NOT BASED ON A COMMODITY FUTURES ACCOUNT YOU  
DO NOT NEED TO FOLLOW THESE INSTRUCTIONS OR COMPLETE A  
COMMODITY FUTURES CUSTOMER CLAIM FORM**

These instructions are to help you complete the enclosed commodity futures customer claim form. If you believe that MF Global Inc. (“MFGI”) owes you cash or other property that you wish to claim, the Trustee must receive your claim on or before the date specified on the claim form. Even if part of your commodity futures account(s) has been transferred to ~~another~~one or more transferee futures commission ~~merch~~merchants, you must timely submit a claim in order to claim cash or other property that you believe MFGI still owes you. If you submit an improperly completed claim form or do not provide sufficient information to support your claim, the Trustee may send you a deficiency letter, indicating what additional information is required to process your claim. Failure to timely respond and provide sufficient information may result in a delay in satisfaction of your claim or its disallowance. In addition to the specific items and information sought in the enclosed commodity futures customer claim form, you should provide further explanation and detail regarding your claim and your account, as necessary, to aid the Trustee in the prompt satisfaction of your claim.

**Item I** seeks a statement of the total amount ~~you are claiming with respect to~~of cash, cash equivalents, or other property (including margin) and open trade equity in your commodity futures account. ~~Please state the total amount of MF Global Inc’s indebtedness to you as of the close of business on October 31, 2011, and indicate whether this is an estimated amount or calculated amount. Items (A.1) and (A.2) seek~~ on October 31, 2011. If you cannot precisely calculate the amount, you may provide an estimate. In that case, please be sure to indicate that you are providing an estimate. Item (I.A) seeks a break down of the total amount ~~you are claiming. In~~ of (i) cash, cash equivalents, or other property (including margin) and (ii) open trade equity in your account. Item (A.I.B) states seeks the amount of open trade equity and cash or cash equivalents (including securities posted as collateral) in the account, as of October 31, 2011, and in Item (A.2) state the equity, as of October 31, 2011, based on the commodity transactions in the account (i.e., not based on cash or cash equivalents, cash equivalents, or other property (including margin) related to Foreign Futures (i.e., futures or options on futures traded on an exchange located outside of the United States).

**Item II** seeks details about any ~~transfers out of~~activity, either initiated by you or otherwise, affecting your commodity futures account on or after October 31, 2011. ~~Please state whether any part of your account was transferred to one or more transferee futures commission merchants after October 31, 2011, and, if so, provide details about the transfer(s).~~

**Item III** seeks details about your commodity futures account. Please indicate the type of account you hold, the capacity in which you hold the account, whether the account is held by an MFGI “insider,” “affiliate,” or “relative,” whether the account is a discretionary account, whether the account is a joint account, whether you have any related accounts, and, if your claim

is based on securities futures products, whether these are held in a futures account or a securities account.

**Item IV** seeks additional details about your commodity futures claim. Please indicate whether MFGI has any claims against you, not included in your ~~equity calculation~~ statement of account balance, provided in Item I, ~~and whether the equity calculation.~~ If the total amount you provided in Item I for your statement of account balance includes any ~~deposits of money, securities~~ cash, cash equivalents or other property ~~held by or for MFGI from or for your commodity futures account, and, if so,~~ provide detail about such ~~money, securities~~ cash, cash equivalents or other property. Please also indicate, if you are claiming securities, whether you wish to receive payment in kind, to the extent possible. Please note that Item IV seeks information about “specifically identifiable property,” as defined in the Commodity Futures Trading Commission Part 190 Rules. Even if you have previously provided information to the Trustee regarding your “specifically identifiable property” you should nevertheless provide information about such property when completing and submitting your claim here. Full and complete information about your account will assist the Trustee in promptly satisfying your claim.

- If you cannot compute the amount of your claim, you may file an estimated claim. In that case, please be sure to indicate that your claim is an estimated claim.
- Proper documentation ~~can~~ can speed the review, allowance, and satisfaction of your claim.
- Please enclose: copies (not originals) of any documentation or correspondence you believe will be of assistance in processing your claim, including, but not limited to, customer confirmations, account statements, and statements of purchase or sale.
- If, at any time, you complained in writing about the handling of your commodity futures account to any person or entity or regulatory authority, and the complaint relates to the cash or other property that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.
- A separate claim form must be filed for each account. If your account is a “master account” consisting of sub-accounts, you should claim the sub-accounts on a consolidated basis, and submit one claim form for the “master account,” but note the existence of the sub-accounts in the information regarding “related accounts” in Item (III.F).

### **When To File**

The deadline for filing commodity futures customer claims is January ~~27,31~~, 2012. If your commodity futures customer claim(s) is not received by the Trustee on or before January ~~27,31~~, 2012, your claim(s) will be barred (unless extended, for good cause only). The January ~~27,31~~, 2012 deadline for filing a commodity futures customer claim cannot be extended beyond ~~May 28, June 2~~, 2012, even for good cause. **The law governing this proceeding absolutely bars the allowance of any claim, including a commodity futures customer claim, not actually received by the Trustee on or before ~~May 28, June 2~~, 2012. Neither the Trustee nor**

the Securities Investor Protection Corporation has authority to grant extensions of the ~~May 28~~, June 2, 2012 bar date for filing of claims, regardless of the reason.

Please file well in advance so that there will be time to refile if, for instance, your claim is lost in the mail. Claims that are filed electronically must be received by 12:00 midnight on the bar date to be considered timely.

### **Where To File**

The completed and signed claim form, together with supporting documents must be filed with the Trustee electronically online at [www.mfglobaltrustee.com](http://www.mfglobaltrustee.com), or be mailed **promptly** in the enclosed envelope to:

*If by first class mail:*

MF Global Inc. Claims Processing Center  
c/o Epiq Bankruptcy Solutions, LLC  
P.O. Box 3656  
Portland, OR 97208-3656

*If by overnight mail:*

MF Global Inc. ~~Claim~~Claims Processing  
Center  
c/o Epiq Bankruptcy Solutions, LLC  
10300 SW Allen Blvd.  
Beaverton, OR 97005

**IF YOU SUBMIT YOUR CLAIM BY MAIL, PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL RETURN RECEIPT REQUESTED**

Your claim is not filed until received by the Trustee. If the Trustee does not receive your claim, although timely mailed, you could lose all your rights against MFGI. Your return receipt will be the only document you will receive that shows your claim has been received by the Trustee.

**THIS INSTRUCTION SHEET IS FOR YOUR FILE—DO NOT RETURN**

**YOU SHOULD RETAIN A COPY OF THE COMPLETED CLAIM FORM FOR YOUR RECORDS.**

**COMMODITY FUTURES  
CUSTOMER CLAIM FORM  
MF GLOBAL INC.**

Account Name: \_\_\_\_\_ Daytime Phone: \_\_\_\_\_  
Account Number: \_\_\_\_\_ Email: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_ Taxpayer I.D. Number  
Contact Person: \_\_\_\_\_ (Social Security No.): \_\_\_\_\_

**PLEASE NOTE**

**THIS CLAIM FORM SHOULD BE USED IF YOU ARE A CUSTOMER OF  
MF GLOBAL INC. AND YOU HAVE A CUSTOMER CLAIM BASED ON  
A COMMODITY FUTURES ACCOUNT**

- A SEPARATE CLAIM FORM MUST BE FILED FOR EACH COMMODITY FUTURES ACCOUNT. IF YOUR ACCOUNT IS A “MASTER ACCOUNT” CONSISTING OF SUB-ACCOUNTS, YOU SHOULD CLAIM THE SUB-ACCOUNTS ON A CONSOLIDATED BASIS AND SUBMIT ONE CLAIM FORM FOR THE “MASTER ACCOUNT” BUT NOTE THE EXISTENCE OF THE SUB-ACCOUNTS IN THE INFORMATION REGARDING “RELATED ACCOUNTS” IN ITEM (III.F).
- THE DEADLINE FOR FILING ALL COMMODITY FUTURES CUSTOMER CLAIMS IS JANUARY 27,31, 2012. NO COMMODITY FUTURES CUSTOMER CLAIM WILL BE ALLOWED IF IT IS RECEIVED AFTER THAT DATE (UNLESS EXTENDED, FOR GOOD CAUSE ONLY). THE JANUARY 27,31, 2012 DEADLINE FOR FILING A COMMODITY FUTURES CUSTOMER CLAIM CANNOT BE EXTENDED BEYOND MAY 28, JUNE 2, 2012, EVEN FOR GOOD CAUSE. IF RECEIVED BY THE TRUSTEE AFTER JANUARY 27,31, 2012, BUT ON OR BEFORE MAY 28, JUNE 2, 2012, A COMMODITY FUTURES CUSTOMER CLAIM MAY BE AFFORDED GENERAL CREDITOR STATUS.
- ALL CLAIMS ARE DATED AS OF THE DATE RECEIVED BY THE TRUSTEE. CLAIMS THAT ARE FILED ELECTRONICALLY MUST BE RECEIVED BY 12:00 MIDNIGHT ON THE BAR DATE TO BE CONSIDERED TIMELY.
- YOU MAY FILE YOUR CLAIM ELECTRONICALLY ONLINE AT WWW.MFGLOBALTRUSTEE.COM OR SEND YOUR COMPLETED AND SIGNED CLAIM FORM TO THE TRUSTEE VIA CERTIFIED MAIL, RETURN RECEIPT REQUESTED TO THE APPROPRIATE ADDRESS BELOW.
- IF YOU REQUIRE ADDITIONAL SPACE TO ANSWER ANY QUESTION, PLEASE ATTACH SEPARATE PIECES OF PAPER AND LABEL THE ANSWERS TO THE CORRESPONDING QUESTIONS FOR THIS CLAIMS FORM. ALL ATTACHMENTS MUST BE SIGNED BY YOU.
- YOU MAY ESTIMATE ANY VALUES/AMOUNTS ASSOCIATED WITH YOUR CLAIM. ANSWER ALL QUESTIONS AS FULLY AS POSSIBLE, TO THE EXTENT YOU KNOW OR CAN ESTIMATE THE INFORMATION REQUESTED. IF YOU ARE PROVIDING AN ESTIMATE, YOU MUST SO INDICATE.
- IF SOME OR ALL OF THE TRADE EQUITY OR CASH, CASH EQUIVALENTS OR OTHER PROPERTY IN YOUR COMMODITY FUTURES ACCOUNTS ~~HAVE~~HAS BEEN TRANSFERRED TO ANOTHER FUTURES COMMISSION

**MERCHANT, BUT YOU BELIEVE YOU HAVE A CLAIM FOR MONEY OR PROPERTY OWED TO YOU BY MF GLOBAL INC., YOU MUST FILE A CLAIM TO PROTECT YOUR RIGHTS.**

- **MF GLOBAL INC. IS THE ONLY MF GLOBAL ENTITY THAT IS A DEBTOR IN THIS SIPA LIQUIDATION PROCEEDING. THIS COMMODITY FUTURES CUSTOMER CLAIM FORM APPLIES ONLY TO MF GLOBAL INC. AND DOES NOT APPLY TO ANY OTHER MF GLOBAL ENTITY, INCLUDING ANY ENTITY IN A PROCEEDING UNDER CHAPTER 11 OF TITLE 11 OF THE UNITED STATES CODE, SUCH AS MF GLOBAL HOLDINGS LTD. OR MF GLOBAL FINANCE USA INC.**

This claim form must be completed electronically online at [www.mfglobaltrustee.com](http://www.mfglobaltrustee.com) or mailed promptly, together with supporting documentation, to the following:

*If by first class mail:*

MF Global Inc. Claims Processing Center  
c/o Epiq Bankruptcy Solutions, LLC  
P.O. Box 3656  
Portland, OR 97208-3656

*If by overnight mail:*

MF Global Inc. ~~Claim~~Claims Processing Center  
c/o Epiq Bankruptcy Solutions, LLC  
10300 SW Allen Blvd.  
Beaverton, OR 97005

**I. ~~AMOUNT CLAIMED~~ ACCOUNT BALANCE AS OF OCTOBER 31, 2011**

~~A. MF Global Inc. was, as of the close of business on October 31, 2011, indebted to me for the total sum of \$ \_\_\_\_\_.~~

*NOTE: If needed, please provide a detailed description on a signed attachment of the basis for your answers below, and attach any supporting documentation you have. If you do not provide sufficient details, you may be sent a deficiency letter seeking additional information.*

A. Please state your beginning and ending account balance as of October 31, 2011, including (i) cash, cash equivalents, or other property (including margin), and (ii) open trade equity:

<del>Check one:</del> <u>Are</u>	<del>ESTI</del> <input type="checkbox"/>	<del>CALC</del> <input type="checkbox"/>
<u>these estimated</u>	<del>MATE</del>	<del>ULAT</del>
<u>amounts?</u>	<del>DYES</del>	<del>EDNO</del>

~~B. Is the entire sum you entered in part I.A based on cash or cash equivalents (including securities posted as collateral) in your commodity futures account (i.e., you had no open positions in your account on October 31, 2011)?~~

Beginning balance: \_\_\_\_\_

Ending balance: \_\_\_\_\_

Account value at market: \_\_\_\_\_

1. Please state the amount of cash, cash equivalents, or other property (including margin) in the account, as of October 31, 2011:

\_\_\_\_\_

2. Please state the open trade equity in the account, as of October 31, 2011:

\_\_\_\_\_

B. If your account contained NO open trade equity or cash, cash equivalents, or other property associated with the margining of Foreign Futures (i.e., futures or options on futures traded on an exchange located outside of the United States), you may skip the rest of this question. OTHERWISE:

1. If, on October 31, 2011, your account contained open trade equity of—or cash, cash equivalents, or other property (including margin) associated with—Foreign Futures (i.e., futures or options on futures traded on an exchange located outside of the United States), please identify the amounts of equity and cash, cash equivalents, or other property (and specify the currency and/or convert to USD) for each (use additional paper, as needed):

~~Check one:~~ Are these estimated amounts? YES  NO

~~NOTE: If you selected “YES,” you may skip the remainder of this question, otherwise, please answer the following questions:~~

~~Foreign Futures open trade equity:~~ \_\_\_\_\_

~~1. Please state the amount of~~

~~\_\_\_\_\_ Foreign Futures cash or cash equivalents in the account, as of October 31, 2011: \_\_\_\_\_~~

~~2. Please state the equity, as of October 31, 2011, based on the commodity transactions in the account (i.e., not based on cash or cash equivalents):~~

~~\_\_\_\_\_~~

~~NOTE: Please provide a detailed description on a signed attachment of the basis for your answers above, and attach any supporting documentation you have. If you do not provide sufficient details, you may be sent a deficiency letter seeking additional information.~~ cash equivalents, or other property: \_\_\_\_\_

\_\_\_\_\_



**II. ~~TRANSFERS OUT OF YOUR~~ ACCOUNT ACTIVITY ON OR AFTER OCTOBER 31, 2011**

**THE FOLLOWING QUESTIONS ADDRESS ACCOUNT ACTIVITY—EITHER INITIATED BY YOU OR OTHERWISE—THAT AFFECTED YOUR ACCOUNT ON OR AFTER OCTOBER 31, 2011.**

A. ~~Was any part of~~ If your account had any open commodity contracts as of October 31, 2011, were any of your open commodity contracts transferred to one or more transferee futures commission merchants after October 31, 2011?

**Check** Check one: YES  NO   
~~on~~  
~~e:~~

**OR**

“No open commodity contracts were transferred from my account to a transferee futures commission merchant after October 31, 2011”

*NOTE: If you selected “YES,” please provide the following information in detail on a signed attachment, and attach any supporting documentation you have. If you do not provide sufficient details, you may be sent a deficiency letter seeking additional information.*

1. Identify the name(s) of the transferee futures commission merchant(s);
2. ~~Identify~~Summarize the commodity contracts (including futures and options on futures) that were transferred (to each transferee, if more than one); and
3. Specify the amount of ~~collateral~~margin (i.e., cash, cash equivalents, or other property), in U.S. dollars, that was transferred along with such commodity contracts, if any.
4. Please state the open trade equity based on the commodity contracts that were transferred from the account:
  - (i) As of the date of the transfer; and
  - (ii) As the commodity contracts existed in the account on October 31, 2011.

**Are these estimated amounts?** YES  NO

**B. Did you liquidate any open commodity contracts on or after October 31, 2011?**

**Check one:** YES  NO

NOTE: If you selected "NO," you may skip the remainder of this question. If you selected "YES," please provide the following information in detail on a signed attachment, and attach any supporting documentation you have. If you do not provide sufficient details, you may be sent a deficiency letter seeking additional information.

1. Summarize the commodity contracts (including futures and options on futures) that you liquidated.

2. In order to determine the net profit/loss resulting from these liquidations, summarize the equity of the commodity contracts that you liquidated:

(i) As of the date of the liquidation;

(ii) As the commodity contracts existed in the account on October 31, 2011.

Are these YES  NO   
estimated  
amounts?

3. Please indicate whether any of the open commodity contracts you liquidated on or after October 31, 2011 were Foreign Futures (i.e., futures or options on futures traded on an exchange located outside of the United States).

Check one: YES  NO

NOTE: If you selected "NO," you may skip the remainder of this question. If you selected "YES," please provide the following information in detail on a signed attachment, and attach any supporting documentation you have. If you do not provide sufficient details, you may be sent a deficiency letter seeking additional information.

(i) Summarize the Foreign Futures (i.e., futures or options on futures traded on an exchange located outside of the United States) that you liquidated.

(ii) In order to determine the net profit/loss resulting from these liquidations, summarize the equity of the Foreign Futures (i.e., futures or options on futures traded on an exchange located outside of the United States) that you liquidated:

(a) As of the date of the liquidation;

(b) As the Foreign Futures (i.e., futures or options on futures traded on an exchange located outside of the United States) existed in the account on October 31, 2011.

Are these estimated amounts? YES  NO

C. If your account had any cash, cash equivalents, or other property as of October 31, 2011, was any cash, cash equivalents, or other property transferred from your account to one or more transferee futures commission merchants after October 31, 2011—OTHER THAN margin (i.e., cash, cash equivalents, or other property) that was transferred with open commodity contracts (which you should have identified in Item (II.A), above)?

Check one: YES

OR

“Not including any margin (i.e., cash, cash equivalents, or other property) that may have transferred with open commodity positions, no other cash, cash equivalents, or other property was transferred from my account to a transferee futures commission merchant after October 31, 2011.”

*NOTE: If you selected “YES,” please provide the following information in detail on a signed attachment, and attach any supporting documentation you have. If you do not provide sufficient details, you may be sent a deficiency letter seeking additional information.*

1. Identify the name(s) of the transferee futures commission merchant(s); and

2. Identify the amount of cash, cash equivalents, or other property that was transferred (to each transferee, if more than one).

Are these estimated amounts? YES  NO

D. In the aggregate, to the extent that you are able, please estimate what percentage of the value of your account (both open commodity positions and cash, cash equivalents, or other property), if any, was transferred to another futures commission merchant: \_\_\_\_\_.

### III. DESCRIPTION OF THE ACCOUNT

A. Please specify the type of account (check ~~one~~all that are applicable):

- 1. Futures account
- 2. Foreign futures account
- 3. Leverage account
- 4. Option account—exchange-traded

- 5. Option account—dealer
- 6. Delivery account\*
- 7. Cleared OTC derivatives account

\*A “delivery” account is one which contains only documents of title, commodities, cash, or other property identified to you and deposited for the purposes of making or taking delivery on a commodity underlying a commodity contract or for payment of the strike price upon exercise of an option.

B. Please specify the capacity in which you hold the account (check all that are applicable):

- 1. Individual capacity
- 2. As guardian, custodian, or conservator for the benefit of a ward or a minor under the Uniform Gift to Minors Act
- 3. As executor or administrator of an estate
- 4. As trustee for the trust beneficiary
- 5. In the name of a corporation, partnership, or unincorporated association
- 6. As an omnibus customer account of the undersigned futures commission merchant
- 7. As part owner of a joint account
- 8. In the name of a plan which, on October 31, 2011, had in effect a registration statement in accordance with the requirements of § 1031 of the Employee Retirement Income Security Act of 1974 and the regulations thereunder
- 9. As agent or nominee for a principle or beneficial owner (and not described in Items (III.B.1-8))
- 10. In any other capacity not described above in Items (III.B.1-9) (please specify the capacity):

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C. Is any person (including a general partnership, limited partnership, corporation, or other type of association) on whose behalf the account is held one of the following persons or does one of the following persons, alone or jointly, hold 10% or more of the account? (Check all that are applicable):

- 1. MF Global Inc.
- 2. Director of MF Global Inc.
- 3. Officer of MF Global Inc.
- 4. Person in control of MF Global Inc.
- 5. Partnership in which MF Global Inc. is a general partner
- 6. Owner of ten percent or more of the capital stock of MF Global Inc.
- 7. Employee of MF Global Inc. whose duties include (a) the management of the business of MF Global Inc. or any part thereof; (b) the handling of the trades or customer funds of customers of MF Global Inc.; (c) the keeping of records pertaining to the trades or funds of customers of MF Global Inc.; or (d) the signing or co-signing of checks or drafts on behalf of MF Global Inc.
- 8. Managing agent of MF Global Inc.
- 9. A spouse or minor dependent living in the same household of ANY OF THE FOREGOING PERSONS (listed in Items (III.C.1-8), above), or any other relative, regardless of residency, defined as an individual related by affinity or consanguinity within the third degree as determined by the common law, or individual in a step or adoptive relationship with such degree.
- 10. "Affiliate" of MF Global Inc.\*
- 11. Any of the persons listed in Items (III.C.1-8), above, if such person is associated with an affiliate of MF Global Inc. as if the affiliate were MF Global Inc.

\*"Affiliate" of MF Global Inc. is defined as:

- An entity that directly or indirectly owns, controls, or holds with power to vote, 20% or more of the outstanding voting securities of MF Global Inc., other than an entity that holds such securities (i) in a fiduciary or agency capacity without sole discretionary power to vote such securities; or (ii) solely to secure a debt, if such entity has not in fact exercised such power to vote;
- A corporation 20% or more of whose outstanding voting securities are directly or indirectly owned, controlled, or held with power to vote, by MF Global Inc., or by an entity that directly or indirectly owns, controls, or holds with power to vote, 20% or more of the outstanding voting securities of MF Global Inc., other than an entity that holds such securities (i) in a fiduciary or agency capacity without sole discretionary power to vote such securities; or (ii) solely to secure a debt, if such entity has not in fact exercised such power to vote;

- A person whose business is operated under a lease or operating agreement by MF Global Inc., or person substantially all of whose property is operated under an operating agreement with MF Global Inc.;
- An entity that otherwise, directly or indirectly, is controlled by or is under common control with MF Global Inc.;
- An entity that operates the business of all or substantially all of the property of MF Global Inc. under a lease or operating agreement; or
- An entity that otherwise, directly or indirectly, controls MF Global Inc.

D. Is this a discretionary account?

**Check one:** YES  NO

*NOTE: If you selected "YES," specify who has the general authority to buy or sell orders or effectuate transactions for your account: \_\_\_\_\_.*

E. Is this a joint account?

**Check one:** YES  NO

*NOTE: If you selected "YES," specify the amount of your percentage interest in the account, and whether all participants in a joint account are claiming jointly.*

1. My percentage interest in the account is: \_\_\_\_\_ %

2. Participants in a joint account are claiming: (Check one)

SEPARATELY  FULLY JOINTLY

F. Do you have any related accounts?

**Check one:** YES  NO

*NOTE: If you selected "YES," specify the account numbers of your related accounts. YOU MUST FILE A SEPARATE CLAIM FOR EACH ACCOUNT.*

\_\_\_\_\_  
\_\_\_\_\_

G. Is your claim based on securities futures products?

**Check one:** YES  NO



commodity received, acquired or held by or for MF Global Inc. to make or take physical delivery or exercise from or for your account and which can be identified in MF Global Inc.'s records as received from or for your account as held specifically for the purpose of delivery or exercise.

- 5. Any open commodity contract (except as provided in Item (IV.B.8), below) which, as of October 31, 2011, is identified in MF Global Inc.'s records as being held for your account, is a bona fide hedging position or transaction as defined in CFTC Rule 1.3(z) or is a commodity option transaction which has been determined by the exchange to be economically appropriate to the reduction of risks in the conduct and management of a commercial enterprise pursuant to exchange rules, and is in an account designated in MF Global Inc.'s records as a hedging account.
- 6. Any cash or other property deposited or cash price tendered for any property deposited, prior to October 31, 2011, for the specifically noted purpose of taking or making physical delivery on an options or futures contract, which cash or other property is identified on MF Global Inc.'s records as received from or for your account within three or less days of the notice date or three or less days of the exercise date. **NOTE: If you check this box, the Trustee's Office will contact you to request that you provide specific additional information regarding this type of property.**
- 7. Open commodity contracts transferred to another futures commission merchant by the Trustee.

OR

- ~~8.~~ My claim is not based on any of the types of ~~money, securities~~cash, cash equivalents, or other property listed in Items (IV.B.1-7), above.

C. If you checked any boxes in (IV.B.1-7), above, did you separately identify any such potentially "Specifically Identifiable Property" to the Trustee by written or electronic mail on or before November 15, 2011?

Check one:    YES                       NO

D. If you are claiming securities for this account, do you wish to receive payment in kind, to the extent possible?

**Check one:**    YES                       NO

**WHEN COMPLETING THE ABOVE PLEASE KEEP IN MIND:**



- If you cannot compute the amount of your claim, you may file an estimated claim. In that case, please be sure to indicate that your claim is an estimated claim.
- Proper documentation can speed the review, allowance, and satisfaction of your claim.
- Please enclose: copies (not originals) of any documentation or correspondence you believe will be of assistance in processing your claim, including, but not limited to, customer confirmations, account statements, and statements of purchase or sale.
- If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash or other property that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

**Please list the full name, address, phone number, and email address of anyone assisting you in the preparation of this claim form:**

Full name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Phone number: \_\_\_\_\_

Email address: \_\_\_\_\_

If more than one person is assisting you, attach additional pages providing the information in the exact format above.

**IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF UP TO \$50,000 OR IMPRISONMENT OF UP TO FIVE YEARS OR BOTH.**

**THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.**

Date \_\_\_\_\_ Signature \_\_\_\_\_

Date \_\_\_\_\_ Signature \_\_\_\_\_

(If ownership of the account is shared (*i.e., there is more than one name on the account*), all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, agent, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)