## Banco Bradesco S.A. Securities Litigation Settlement c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 4259 Portland, OR 97208-4259

Toll-Free Number: 1-877-848-4284 Email: info@BancoBradescoSecuritiesLitigation.com Website: www.BancoBradescoSecuritiesLitigation.com

#### PROOF OF CLAIM AND RELEASE FORM

TO BE ELIGIBLE TO RECEIVE A SHARE OF THE NET SETTLEMENT FUND IN CONNECTION WITH THE PROPOSED SETTLEMENT, YOU MUST COMPLETE AND SIGN THIS PROOF OF CLAIM AND RELEASE FORM ("CLAIM FORM") AND MAIL IT BY PREPAID, FIRST-CLASS MAIL TO THE ABOVE ADDRESS, OR SUBMIT IT ONLINE AT <a href="https://www.bancobradescosecuritieslitigation.com">www.bancobradescosecuritieslitigation.com</a>, <a href="https://www.bancobradescosecuritieslitigation.com">www.bancobradescosecuritieslitigation.com</a>, <a href="https://www.bancobradescosecuritieslitigation.com">postmarked (or received) no later than december 21, 2019.</a>

FAILURE TO SUBMIT YOUR CLAIM FORM BY THE DATE SPECIFIED WILL SUBJECT YOUR CLAIM TO REJECTION AND MAY PRECLUDE YOU FROM BEING ELIGIBLE TO RECOVER ANY MONEY IN CONNECTION WITH THE PROPOSED SETTLEMENT.

DO NOT MAIL OR DELIVER YOUR CLAIM FORM TO THE COURT, THE PARTIES TO THE ACTION, OR THEIR COUNSEL. SUBMIT YOUR CLAIM FORM ONLY TO THE CLAIMS ADMINISTRATOR AT THE ADDRESS SET FORTH ABOVE, OR ONLINE AT WWW.BANCOBRADESCOSECURITIESLITIGATION.COM.

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## **PART I – GENERAL INSTRUCTIONS**

- 1. This Claim Form is directed to members of the Settlement Class, as defined in the Stipulation and Agreement of Settlement dated July 1, 2019 ("Stipulation") and Notice of (I) Pendency of Class Action and Proposed Settlement; (II) Motion for an Award of Attorneys' Fees and Payment of Litigation Expenses; and (III) Settlement Fairness Hearing ("Notice"), available for download on the website <a href="www.BancoBradescoSecuritiesLitigation.com">www.BancoBradescoSecuritiesLitigation.com</a>. Certain persons and entities are excluded from the Settlement Class by definition as set forth in ¶ 21 of the Notice. Please read the Notice carefully. By signing and submitting this Claim Form, you will be certifying that you have read and that you understand the Notice, including the terms of the Releases described therein and provided for herein.
- 2. By submitting this Claim Form, you will be making a request to share in the proceeds of the Settlement described in the Notice. IF YOU ARE NOT A SETTLEMENT CLASS MEMBER (see definition of Settlement Class contained in ¶ 21 of the Notice), OR IF YOU SUBMITTED A REQUEST FOR EXCLUSION FROM THE SETTLEMENT CLASS, DO NOT SUBMIT A CLAIM FORM AS YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENT. THUS, IF YOU ARE EXCLUDED FROM THE SETTLEMENT CLASS, ANY CLAIM FORM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.
- 3. Submission of this Claim Form does not guarantee that you will share in the proceeds of the Settlement. The distribution of the Net Settlement Fund will be governed by the Plan of Allocation set forth in the Notice, if it is approved by the Court, or by such other plan of allocation as the Court approves.
- 4. Use the Schedule of Transactions in Part III of this Claim Form to supply all required details of your transaction(s) (including free transfers and deliveries) in and holdings of Bradesco PADS. On this schedule, please provide all of the requested information with respect to your holdings, purchases, acquisitions, and sales of Bradesco PADS, whether such transactions resulted in a profit or a loss. Failure to report all transaction and holding information during the requested time period may result in the rejection of your claim.

- 5. You are required to submit genuine and sufficient documentation for all of your transactions in and holdings of Bradesco PADS set forth in the Schedule of Transactions in Part III of this Claim Form. Documentation may consist of copies of brokerage confirmation slips or monthly brokerage account statements, or an authorized statement from your broker containing the transactional and holding information found in a broker confirmation slip or account statement. The Parties and the Claims Administrator do not independently have information about your investments in Bradesco PADS. IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OF THE DOCUMENTS OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS. Please keep a copy of all documents that you send to the Claims Administrator. Also, do not highlight any portion of the Claim Form or any supporting documents.
- 6. All joint beneficial owners each must sign this Claim Form and their names must appear as "Claimants" in Part II of this Claim Form. The complete name(s) of the beneficial owner(s) must be entered. If you purchased or otherwise acquired Bradesco PADS during the Settlement Class Period and held the PADS in your name, you are the beneficial owner as well as the record owner. If you purchased or otherwise acquired Bradesco PADS during the Settlement Class Period and the PADS were registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial owner of these PADS, but the third party is the record owner. The beneficial owner, not the record owner, must sign this Claim Form.
- 7. **One Claim should be submitted for each separate legal entity**. Separate Claim Forms should be submitted for each separate legal entity (*e.g.*, a claim from joint owners should not include separate transactions of just one of the joint owners, and an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Conversely, a single Claim Form should be submitted on behalf of one legal entity including all transactions made by that entity on one Claim Form, no matter how many separate accounts that entity has (*e.g.*, a corporation with multiple brokerage accounts should include all transactions made in all accounts on one Claim Form).
- 8. Agents, executors, administrators, guardians, and trustees must complete and sign the Claim Form on behalf of persons represented by them, and they must:
  - (a) expressly state the capacity in which they are acting;
  - (b) identify the name, account number, last four digits of the Social Security Number (or taxpayer identification number), address, and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the Bradesco PADS; and
  - (c) furnish herewith evidence of their authority to bind to the Claim Form the person or entity on whose behalf they are acting. (Authority to complete and sign a Claim Form cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade securities in another person's accounts.)
- 9. If you have questions concerning the Claim Form, or need additional copies of the Claim Form or a copy of the Notice, you may contact the Claims Administrator, Epiq Class Action & Claims Solutions, Inc., at the above address, by email at info@BancoBradescoSecuritiesLitigation.com, or by toll-free phone at 1-877-848-4284, or you can visit the website maintained by the Claims Administrator, <a href="www.BancoBradescoSecuritiesLitigation.com">www.BancoBradescoSecuritiesLitigation.com</a>, where copies of the Claim Form and Notice are available for downloading.
- 10. NOTICE REGARDING ELECTRONIC FILES: Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. To obtain the *mandatory* electronic filing requirements and file layout, you may visit the website for the Settlement, <a href="https://www.BancoBradescoSecuritiesLitigation.com">www.BancoBradescoSecuritiesLitigation.com</a>, or you may email the Claims Administrator's electronic filing department at info@BancoBradescoSecuritiesLitigation.com. Any file that is not in accordance with the required electronic filing format will be subject to rejection. No electronic files will be considered to have been properly submitted unless the Claims Administrator issues an email to that effect. Do not assume that your file has been received until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the Claims Administrator's electronic filing department at info@BancoBradescoSecuritiesLitigation.com to inquire about your file and confirm it was received.

IMPORTANT PLEASE NOTE: YOUR CLAIM IS NOT DEEMED FILED UNTIL YOU RECEIVE AN ACKNOWLEDGEMENT POSTCARD. THE CLAIMS ADMINISTRATOR WILL ACKNOWLEDGE RECEIPT OF YOUR CLAIM FORM BY MAIL WITHIN 60 DAYS. IF YOU DO NOT RECEIVE AN ACKNOWLEDGEMENT POSTCARD WITHIN 60 DAYS, CALL THE CLAIMS ADMINISTRATOR TOLL-FREE AT 1-877-848-4284.

# **PART II – CLAIMANT INFORMATION**

Please complete this PART II in its entirety. The Claims Administrator will use this information for all communications regarding this Claim Form. If this information changes, you MUST notify the Claims Administrator in writing at the address above.

Beneficial Owner's First Name										MI	Beneficial Owner's Last Name																			
Co-Beneficial Owner's First Name											MI	MI Co-Beneficial Owner's Last Name																		
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Ent	Entity Name (if Beneficial Owner is not an individual)										J		J		l	l	1					<u> </u>								
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☐ Corporation ☐										I	Estate																			
☐ IRA/401(k)									Other(plea								ase	ase specify)												

If the account number is unknown, you may leave blank. If filing for more than one account for the same legal entity you may write "multiple." Please see ¶ 7 of the General Instructions above for more information on when to file separate Claim Forms for multiple accounts.

# PART III - SCHEDULE OF TRANSACTIONS IN BRADESCO PADS

Complete this Part III if and only if you purchased or otherwise acquired Bradesco PADS during the period from August 8, 2014 through July 27, 2016, inclusive. Please be sure to include proper documentation with your Claim Form as described in detail in Part I – General Instructions,  $\P$  5, above. Do not include information regarding securities other than Bradesco PADS.

<b>1. HOLDINGS AS OF</b> A August 8, 2014. (Must be			OS held as of the opening of trading on							
each and every purchase/a	equisition (including free		<b>7, 2016, INCLUSIVE</b> – Separately list fter the opening of trading on August 8, d.)							
Date of Purchase/ Acquisition (List Chronologically) (Month/Day/Year)	Number of PADS Purchased/ Acquired	Purchase/Acquisition Price Per PADS	Total Purchase/ Acquisition Price (excluding taxes, commissions, and fees)							
		•	•							
		•	•							
		•	•							
		•	•							
Bradesco PADS purchased including the close of tradi	d/acquired (including free ing on October 25, 2016.  UST 8, 2014 THROUG asposition (including free		SIVE – Separately after the opening HERE							
Date of Sale  Number of  (List Chronologically)  (Month/Day/Year)  Sales Price  Price Per PADS  (excluding taxe commissions, and										
		•	•							
		•	•							
		•	•							
		•	•							
5. HOLDINGS AS OF O October 25, 2016. (Must b	OCTOBER 25, 2016 – Store documented.) If none, v	ate the total number of Bradesco F vrite "zero" or "0."	ADS held as of the close of trading on							
THE SAME FORMAT. I	PRINT THE BENEFICI R IDENTIFICATION N	AL OWNER'S FULL NAME AN	ATTACH EXTRA SCHEDULES IN DLAST FOUR DIGITS OF SOCIAL NAL PAGE. IF YOU DO ATTACH							

<sup>&</sup>lt;sup>2</sup> Please note: Information requested with respect to your purchases/acquisitions of Bradesco PADS from after the opening of trading on July 28, 2016 through and including the close of trading on October 25, 2016 is needed in order to perform the necessary calculations for your claim; purchases/acquisitions during this period, however, are not eligible transactions and will not be used for purposes of calculating Recognized Loss Amounts pursuant to the Plan of Allocation.



## PART IV - RELEASE OF CLAIMS AND SIGNATURE

# YOU MUST ALSO READ THE RELEASE AND CERTIFICATION BELOW AND SIGN ON PAGE 6 OF THIS CLAIM FORM.

I (we) hereby acknowledge that, pursuant to the terms set forth in the Stipulation, without further action by anyone, upon the Effective Date of the Settlement, I (we), on behalf of myself (ourselves) and my (our) heirs, executors, administrators, trustes, estates, beneficiaries, insurers, reinsurers, predecessors, successors and assigns (and assignees of each of the foregoing) in their capacities as such, shall be deemed to have, and by operation of law and of the Judgment shall have, fully, finally and forever compromised, settled, released, resolved, relinquished, waived and discharged each and every Released Plaintiffs' Claim against the Defendant Releasees, and shall forever be barred and enjoined from prosecuting any or all of the Released Plaintiffs' Claims against any of the Defendant Releasees.

#### CERTIFICATION

By signing and submitting this Claim Form, the Claimant(s) or the person(s) who represent(s) the Claimant(s) agree(s) to the release above and certifies (certify) as follows:

- 1. that I (we) have read and understand the contents of the Notice and this Claim Form, including the Releases provided for in the Settlement and the terms of the Plan of Allocation;
- 2. that the Claimant(s) is a (are) member(s) of the Settlement Class Member(s), as defined in the Notice, and is (are) not excluded by definition from the Settlement Class as set forth in the Notice;
  - 3. that the Claimant has **not** submitted a request for exclusion from the Settlement Class;
- 4. that I (we) own(ed) the Bradesco PADS identified in the Claim Form and have not assigned the claim against Defendants or any of the other Defendant Releasees to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;
- 5. that the Claimant(s) has (have) not submitted any other claim covering the same purchases/acquisitions of Bradesco PADS and knows (know) of no other person having done so on the Claimant's (Claimants') behalf;
- 6. that the Claimant(s) submit(s) to the jurisdiction of the Court with respect to the Claimant's (Claimants') Claim and for purposes of enforcing the Releases set forth herein;
- 7. that I (we) agree to furnish such additional information with respect to this Claim Form as Lead Counsel, the Claims Administrator, or the Court may require;
- 8. that the Claimant(s) waive(s) the right to trial by jury, to the extent it exists, agree(s) to the determination by the Court of the validity or amount of this Claim and waives any right of appeal or review with respect to such determination;
- 9. that I (we) acknowledge that the Claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and
- 10. that the Claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (a) the Claimant(s) is (are) exempt from backup withholding or (b) the Claimant(s) has (have) not been notified by the IRS that he/she/it is subject to backup withholding as a result of a failure to report all interest or dividends or (c) the IRS has notified the Claimant(s) that he/she/it is no longer subject to backup withholding. If the IRS has notified the Claimant(s) that he/she/it is subject to backup withholding, please strike out the language in the preceding sentence indicating that the Claim is not subject to backup withholding in the certification above.

UNDER THE PENALTIES OF PERJURY, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE.

		Date		
Signature of Claimant		MN		YY
Print Claimant name here				
Signature of joint Claimant, if any		Date MM	DD	- YY
Print joint Claimant name here				
If the claimant is other be provided:	er than an individual, or is not the person completing	ng this form,	the followin	ig also must
Signature of person signing on behalf of Claimant		Date MN		
Print name of person signing on behalf of Claimant here				
Capacity of person signing on behalf of Claimant, if other than an individual, e.g., executor, president,				
trustee, custodian, etc. (Must provide evidence of authority to act on behalf of claimant – see				

## **REMINDER CHECKLIST**

- 1. Sign the above release and certification. If this Claim Form is being made on behalf of joint Claimants, then both must sign.
- 2. Attach only **copies** of acceptable supporting documentation, as these documents will not be returned to you.
- 3. Do not highlight any portion of the Claim Form or any supporting documents.
- 4. Keep copies of the completed Claim Form and documentation for your own records.
- 5. The Claims Administrator will acknowledge receipt of your Claim Form by mail, within 60 days. Your Claim is not deemed filed until you receive an acknowledgement postcard. If you do not receive an acknowledgement postcard within 60 days, please call the Claims Administrator toll-free at 1-877-848-4284.
- 6. If your address changes in the future, you must send the Claims Administrator written notification of your new address. If you change your name, inform the Claims Administrator.
- 7. If you have any questions or concerns regarding your claim, please contact the Claims Administrator at the address below, by email at info@BancoBradescoSecuritiesLitigation.com, or by toll-free phone at 1-877-848-4284 or you may visit <a href="www.BancoBradescoSecuritiesLitigation.com">www.BancoBradescoSecuritiesLitigation.com</a>. DO NOT call the Court, Defendants, or Defendants' Counsel with questions regarding your claim.

THIS CLAIM FORM MUST BE MAILED TO THE CLAIMS ADMINISTRATOR BY FIRST-CLASS MAIL, OR SUBMITTED ONLINE AT <u>WWW.BANCOBRADESCOSECURITIESLITIGATION.COM</u>, **POSTMARKED** (OR RECEIVED) NO LATER THAN DECEMBER 21, 2019. IF MAILED, THE CLAIM FORM SHOULD BE ADDRESSED AS FOLLOWS:

Banco Bradesco S.A. Securities Litigation Settlement c/o Epiq Class Action & Claims Solutions, Inc. P.O. Box 4259 Portland, OR 97208-4259

If mailed, a Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if a postmark date on or before December 21, 2019, is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Claims Administrator of any change of address.

