



## ND STATE INVESTMENT BOARD SECURITIES LITIGATION COMMITTEE MEETING

Friday, September 20, 2019 - 2:30 PM  
North Dakota Retirement and Investment Office (RIO)  
3442 East Century Avenue, Bismarck, ND 58503

### AGENDA

1. Call to Order and Approval of Agenda - Chief Deputy Attorney General Seibel **Committee Action**
2. Minutes (May 20, 2019) **Committee Action**
3. Annual Review of Securities Litigation Committee Charter - Mr. Hunter (15 minutes) *Informational*
  - a. Annual Election of Chair and Vice Chair **Committee Action**
  - b. Committee Approved Securities Litigation Firms *Informational*
  - c. Biennial Agenda *Informational*
4. Annual Securities Litigation Report - Ms. Flanagan (15 minutes) **Committee Action**
  - a. Comparison of Recoveries versus Prior Years
5. Securities Litigation Firm Updates (15 minutes) *Informational*
  - a. Grant & Eisenhofer (VW and Danske Bank) - Mr. Marc Weinberg (TLCF) \*
  - b. Other Cases - Mr. Hunter
6. Other - Next Proposed SIB Securities Litigation Committee Meeting

North Dakota Retirement and Investment Office  
3442 E Century Ave, Bismarck, ND 58503  
Thursday, November 7, 2019 at 3:00 PM

7. Adjournment

*\* Possible Executive Session for attorney consultation pursuant to NDCC §44-04-18.4(1), §44-04-19.1(9), & §44-04-19.2*

Any individual requiring an auxiliary aid or service should contact the Retirement and Investment Office at (701) 328-9885 at least (3) days prior to the scheduled meeting.

**NORTH DAKOTA STATE INVESTMENT BOARD  
SECURITIES LITIGATION SUBCOMMITTEE  
MINUTES OF THE MAY 20, 2019, MEETING**

**BOARD MEMBERS PRESENT:** Troy Seibel, Chair  
Treasurer Kelly Schmidt, Vice Chair  
Connie Flanagan, Chief Financial Officer  
David Hunter, ED/CIO  
Anders Odegaard, Attorney General's Office

**STAFF PRESENT:** Bonnie Heit, Admin Svs Suprv  
Sara Sauter, Suprv of Internal Audit

**GUESTS:** Craig D'Alessio, Financial Recovery Technologies (Audio)  
Emily Fortin, Financial Recovery Technologies

**CALL TO ORDER:**

Mr. Seibel, Chair, called the State Investment Board (SIB) Securities Litigation Committee meeting to order at 3:10 p.m. on Monday, May 20, 2019, at the Retirement and Investment Office, 3442 E Century Ave, Bismarck, ND.

**AGENDA:**

IT WAS MOVED BY TREASURER SCHMIDT AND SECONDED BY MR. HUNTER AND CARRIED BY A VOICE VOTE TO APPROVE THE AGENDA FOR THE MAY 20, 2019, MEETING.

**AYES:** TREASURER SCHMIDT, MR. SEIBEL, MR. HUNTER, MS. FLANAGAN, AND MR. ODEGAARD  
**NAYS:** NONE  
**MOTION CARRIED**

**MINUTES:**

IT WAS MOVED BY TREASURER SCHMIDT AND SECONDED BY MS. FLANAGAN AND CARRIED BY A VOICE VOTE TO ACCEPT THE MINUTES OF THE NOVEMBER 5, 2018, MEETING AS DISTRIBUTED.

**AYES:** MS. FLANAGAN, MR. ODEGAARD, TREASURER SCHMIDT, MR. SEIBEL, AND MR. HUNTER  
**NAYS:** NONE  
**MOTION CARRIED**

**SECURITIES LITIGATION REVIEW:**

The Committee reviewed the history of the Securities Litigation Committee, their Charter and Securities Litigation Policy.

Financial Recovery Technologies (FRT) - FRT representatives reviewed the US "Opt-Out" settlements, International "Opt-In" Actions and Jurisdictions, and Global Anti-Trust activity. FRT also reviewed recent litigation activity.

FRT recommended the following changes to the Securities Litigation Policy based on changing market conditions and observed best practices in securities litigation monitoring for "Non-U.S. Opt-In & Group Litigation Jurisdiction Thresholds" in the past year.

1. Increase the frequency of the Securities Monitoring and Litigation Policy review from every three years to annually.
2. Lower the dollar threshold in the Non-US Opt-In and Group Litigation Jurisdictions for Passive/Very Low Risk Thresholds from \$20,000 to zero.

After discussion,

**IT WAS MOVED BY MR. HUNTER AND SECONDED BY TREASURER SCHMIDT AND CARRIED BY A ROLL CALL VOTE TO CONDUCT ANNUAL REVIEWS OF THE SECURITIES MONITORING AND LITIGATION POLICY AND LOWER THE DOLLAR THRESHOLD IN THE NON-US OPT-IN AND GROUP LITIGATION JURISDICTIONS FOR PASSIVE/VERY LOW RISK THRESHOLDS FROM \$20,000 TO ZERO.**

**AYES: MR. ODEGAARD, MR. HUNTER, MS. FLANAGAN, MR. SEIBEL, AND TREASURER SCHMIDT**

**NAYS: NONE**

**MOTION CARRIED**

Ms. Fortin reviewed the Danske Bank litigation. Danske Bank laundered more than \$200 billion through its Estonian Branch between 2007 and 2015. FRT is estimating the SIB has potentially lost \$2 million dollars.

After discussion,

**IT WAS MOVED BY MR. HUNTER AND SECONDED BY MR. ODEGAARD AND CARRIED BY A ROLL CALL VOTE TO ENGAGE GRANT & EISENHOWER AND FRT TO PURSUE AN OPT IN LITIGATION POSITION ON THE DANSKE BANK CASE.**

**AYES: MR. HUNTER, MS. FLANAGAN, MR. SEIBEL, TREASURER SCHMIDT, AND MR. ODEGAARD**

**NAYS: NONE**

**MOTION CARRIED**

Ms. Fortin continued with the review of opt-in opportunities for passive/very low, low, moderate, and high risk jurisdictions as well as anti-trust cases.

Ms. Fortin notified the Committee a disbursement of \$36,473.64 was recovered as a result of their efforts in the Tesco PLSC Compensation Scheme (KPMG) on November 20, 2018.

Mortgage Related Securities Litigation - Mr. Hunter reviewed mortgage related securities litigation recoveries. As of April 30, 2019, \$622,854.81 has been recovered.

Treasurer Schmidt requested a footnote be added to clarify the information. The following footnote will be added:

"The above information was based on the best available data using our prior claims filing agent. Please note that no conclusions should be drawn from individual line items or "Amount Recovered" in relation to "Total RL" (Recognized Loss) due to different methodologies used to derive a historical estimate. The main point to be drawn is that clients of the North Dakota State Investment Board have recovered at least \$622,854 of cash proceeds from class action claims filings relating to mortgage related securities litigation actions as of April 30, 2019."

**SECURITIES LITIGATION UPDATE:**

Committee Membership - Treasurer Schmidt no longer desires to serve on the Securities Litigation Committee. New Committee members will be appointed by the SIB at their July 26, 2019, meeting.

Committee Meeting Schedule - The next Committee meetings are scheduled for August 22, 2019, and November 7, 2019. The 2020 schedule will be established at the November 7, 2019 meeting. The Committee concurred with the schedule.

Securities Litigation Firms - On November 5, 2018, the Committee identified three firms to serve as pre-approved law firms to be utilized on a case by case basis. The firms - Bernstein Litowitz Berger & Grossman, Grant & Eisenhofer, and Labaton Sucharow will represent the SIB when new securities litigation related cases are raised for further consideration by FRT.

Kasowitz Benson Torres (General Motors case) and K&L Gates (Tribune case) have been engaged by the SIB. Grant & Eisenhofer (as a plaintiff's attorney) was engaged to recover investment losses resulting from international securities litigation involving Volkswagen and other related parties.

FRT has been retained since March 1, 2018, to recover investment losses in US and international securities litigation cases to include those involving anti-trust actions in addition to US class action claims filing.

Northern Trust, the SIB custodian, continues to seek US class action claim filing recoveries prior to March 1, 2018.

Since 2011, annual cash recoveries have varied significantly ranging from a low of \$153,480 in fiscal 2014 to a high of \$692,958 in fiscal year 2012. Securities litigation recoveries were approximately \$189,000 for the fiscal year ended June 30, 2018.

Biennial Agenda - Mr. Hunter reviewed a draft biennial agenda for 2019-21. After discussion,

**IT WAS MOVED BY TREASURER SCHMIDT AND SECONDED BY MS. FLANAGAN AND CARRIED BY A ROLL CALL VOTE TO APPROVE THE BIENNIAL AGENDA FOR 2019-21.**

**AYES: TREASURER SCHMIDT, MR. SEIBEL, MR. HUNTER, MS. FLANAGAN, AND MR. ODEGAARD**

**NAYS: NONE**

**MOTION CARRIED**

**OTHER:**

The next Securities Litigation meeting is scheduled for August 22, 2019, at the Retirement and Investment Office, 3442 East Century Avenue, Bismarck, ND.

**ADJOURNMENT:**

With no further business to come before the Committee, Mr. Seibel adjourned the meeting at 4:03 p.m.

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Mr. Seibel, Chair

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Bonnie Heit  
Recorder

***Committee Action Requested***

**TO:** SIB Securities Litigation Committee  
**FROM:** Dave Hunter and Connie Flanagan  
**DATE:** September 20, 2019  
**SUBJECT:** ***Annual Election of Chair and Vice Chair***

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**Securities Litigation Committee, Charter and Policy Background:**

Committee - On January 26, 2018, the SIB established a new five member Securities Litigation Committee including Chief Deputy Attorney General Troy Seibel, State Treasurer Kelly Schmidt, Assistant Attorney General Patrick Brooke, RIO Chief Financial Officer Connie Flanagan and RIO Executive Director Dave Hunter.

Charter and Policy - On April 27, 2018, the SIB unanimously approved the following Securities Litigation Committee Charter and Securities Monitoring and Litigation Policy.

**CHARTER OF THE  
SECURITIES LITIGATION COMMITTEE OF THE  
NORTH DAKOTA STATE INVESTMENT BOARD**

**PURPOSE**

The Securities Litigation Committee (the Committee) is a standing committee of the North Dakota State Investment Board (SIB) created to assist in fulfilling its fiduciary oversight responsibilities of monitoring the investment of assets entrusted to it by the various statutory and contracted funds, and to serve as a communications link for the SIB, RIO's management and staff, third party securities litigation firms, and others.

The Committee will determine when an active role should be pursued in regards to securities litigation affecting securities within the SIB's portfolios.

**AUTHORITY**

The Committee is authorized to:

- draft policy (to be formally approved by SIB) regarding dollar and/or risk thresholds for determining when to opt-out of class actions and/or seek direct litigation or lead plaintiff status;
- based on SIB approved policy, make decisions on the level of participation the SIB will take in direct litigation, opt-in or group litigation, anti-trust and other class actions; and
- approve the selection of special assistant attorneys in cases of direct litigation.

## **COMPOSITION**

The Committee will consist of the Executive Director of RIO, one member of RIO fiscal or investment staff, RIO general counsel, and two members of the SIB appointed by the Chair.

Membership on the Committee will be for one year or termination of term on the SIB. Vacancies will be filled by the SIB Chair at the first scheduled meeting following the vacancy. There will be no limit to the number of terms served on the Committee.

**ACTION: The Committee will elect a Chair and a Vice Chair. The Chair will preside at all meetings of the Committee and serve as the liaison to the SIB. In the absence of the Chair, the Vice Chair will perform the duties of the Chair. The liaison will report at least two ~~four~~ times a year to the SIB on the activities of the Committee and other pertinent information.**

The Committee may form, and delegate authority to, subcommittees when it deems appropriate.

## **MEETINGS**

The Committee will meet generally four times a year, with authority to convene additional meetings, as circumstances require or to adequately fulfill all the obligations and duties as outlined in this charter.

Meeting agendas will be prepared by the Executive Director and approved by the Committee Chair, unless otherwise directed by the Committee and will be provided to the Committee members along with briefing materials before the scheduled committee meeting.

Committee members are expected to attend each meeting, in person or via tele- or video-conference. RIO's executive management and others necessary to provide information and to conduct business will attend meetings. The Committee may invite staff of RIO or others to attend meetings, as necessary. The Committee may hold executive sessions as allowed under state law.

The Committee will act only on the affirmative vote of three of the committee members at a meeting. To conduct business, a quorum will be three members of the Committee. Should a quorum not be present before a scheduled meeting or during a meeting, the Chair will announce the absence of a quorum and the members will disburse. Meetings unable to transact business for lack of a quorum are not considered meetings. Meeting minutes will be prepared by RIO, or as otherwise directed by the Committee. Approved meeting minutes of the Committee will be submitted to the SIB.

## **RESPONSIBILITIES**

RIO's management is responsible for ongoing monitoring of securities litigation and claims filing. Based on SIB approved policy guidelines, the Committee has the responsibility to provide oversight in the areas of:

- policy development
- determination on direct litigation and/or lead plaintiff status
- approval of special assistant attorneys (outside counsel)

To this end, the Committee will:

- Develop initial policy and periodically review policy to determine if changes are needed.
- Review reports from RIO staff and third parties in order to maintain awareness of potential and actual securities litigation affecting the SIB portfolios.
- Make decisions on whether to pursue direct litigation and/or lead plaintiff status on cases exceeding policy thresholds for passive participation.
- Select third party litigation firms when deemed appropriate.
- Perform other activities related to this charter as requested by the SIB.
- Review and assess the adequacy of the Committee charter annually, requesting the SIB approval for proposed changes.
- Confirm annually the review of all responsibilities outlined in this charter.

#### Reporting Responsibilities

- Report to the SIB about the Committee's activities, issues, and related recommendations.
- Provide a written report annually to the SIB, describing the Committee's composition, responsibilities and how they were discharged, and any other information required.

**DATE SECURITIES LITIGATION COMMITTEE CHARTER ADOPTED:** April 27, 2018

#### **POLICY TITLE: SECURITIES MONITORING AND LITIGATION POLICY**

##### General Purpose

1. The North Dakota State Investment Board (“SIB”) is a fiduciary for assets held in trust for the benefit of SIB clients, including their beneficiaries.
2. In order to carry out its fiduciary duty to prudently invest and diversify the assets of the various investment funds, the SIB invests considerable assets in global public securities markets.
3. The efficient and effective deployment of plan assets requires that in seeking returns market risks must be prudently assumed and managed. Investing in publicly-traded securities in regulated markets under accounting, disclosure and business practice laws and regulations provides general, but not perfect assurance that the information forming the basis for investments is accurate, conforms with accepted accounting practices, and is not distorted due to misfeasance, malfeasance or nonfeasance, or the timing of information disclosures by persons or entities with the ability to affect market prices of the investment securities.
4. Legal action is sometimes necessary to attempt to recover all or part of losses the funds may incur due to alleged improper action or inaction which results in the impairment of the value of the funds’ security holdings.
5. Most such actions will be prosecuted through class action litigation whether or not the SIB takes an active role as a plaintiff or a passive role as a member of a certified class of plaintiffs. Any ultimate award or settlement from a class action will be ratably allocated among legitimate claimants.
6. The SIB will generally only consider pursuing active participation in securities actions when such a role is expected to add value by enhancing the prospect for recovery, increasing the amount of recovery, assuring more efficient and effective prosecution of the case, or identifying and addressing corporate governance issues through litigation.

For purposes of this Policy, “active participation” means seeking status as lead plaintiff, co-lead plaintiff, or filing separate legal action.

#### Non-Active Recovery and Filing

1. SIB will require as part of its agreement with its custodial bank or other designated agent, that adequate securities class action monitoring is maintained on an ongoing basis, sufficient to assure that most of the actual awards and settlements for such cases are tracked and identified and that proof of claim forms, including supporting documentation, will be properly and timely filed.
2. SIB may engage one or more legal firms that specialize in prosecuting security class-action cases; any such engagement is subject to the special appointment requirements of N.D.C.C. § 54-12-08. For these purposes only, such firm(s) may



be granted ongoing access to security holdings information through the custodian bank or other designated agent.

3. An agreement with any law firm for non-litigation services will not commit SIB to employing said firm in the event that it seeks to represent SIB as an active participant in any securities related litigation. Such representation must be effected by a separate retainer agreement between the SIB and said firm, or another, depending on such factors as the potential monetary scope, the nature of the case and industry specialty that may be required, the allocation of current or past cases among candidate firms, the likely duration and cost of prosecuting such a case, retainer fees or contingency splits, the venue in which the case is to be filed, and other considerations.
4. The custodial bank or other designated agent will be required to provide the Retirement and Investment Office (“RIO”) with periodic reports that detail class action cases monitored, claims filed, and award or settlement distributions received. RIO will maintain these records and provide an update to the SIB or Securities Litigation Committee (Committee) with regards to accounting information on distributions received on claims filed by the custodian bank or other designated agent on our behalf.

#### Active Participation in Cases

1. The Executive Director will initiate active participation in securities cases only upon prior review and approval of the SIB or Committee. Before bringing any recommendations to the SIB or Committee, the Executive Director, with significant assistance from legal counsel from the Office of the Attorney General, will assess the merits and prospects for active participation by reference to the criteria and factors outlined in this section.
2. Decision Criteria and Factors:
  - a. The decision to participate in an active capacity in security litigation should be based on the totality of the circumstances. Dollar loss amounts are important, but not the sole or overriding factor to consider in making such recommendations by the Executive Director, or determinations by the SIB or Committee.
  - b. Potential losses to SIB clients must be significant in order to warrant participation as a lead plaintiff, co-lead plaintiff, or separate litigant in U.S. or Canadian cases. Generally, in cases where the potential loss does not exceed the \$5 million, the SIB will generally avoid active participation.
  - c. The *prima facie* merits of the claim for loss, and the factual basis for the action, recognizing that the full discovery process will not commence until the class has been certified by the court in which such case is to be filed.

- d. The availability of witnesses, and possible support that may be obtained from investment managers, consultants, and the custodial bank through discovery.
  - e. The potential that any defendants or insurers will be able to pay an adequate recovery to the class, without impairing the value of any current security holdings SIB may yet hold in the issuer in the portfolio.
  - f. The ability of the law firm recommending action on the part of SIB to prosecute the case effectively, in the venue where such case is likely to be filed, and the experience of the firm in managing such cases individually or in partnership with other firms.
  - g. Potential long-term benefits from corporate governance changes from pursuing litigation.
  - h. The ability of SIB to serve as a fiduciary on behalf of all class members in the case, especially in relative terms to other institutional investors that may be considering the same case.
  - i. Potential costs that may be incurred. Special consideration must be given to any case that must be filed in a non-U.S. venue under the “Morrison” criteria established by the U. S. Supreme Court in a 2010 decision, since costs of litigation and potential liabilities of unsuccessful claims may be significant.
  - j. Current workload and staffing resources required for the fulfillment of SIB’s primary member service functions, and whether participation might displace time and staff resources needed for core business functions.
3. Decision Criteria and Factors for cases filed in a non-U.S. venue: In addition to the Criteria and Factors set forth in Subsection 2, the SIB or Committee may consider the following:
- a. The proposed funding arrangements for the action.
  - b. Evaluate the merits and risks of the case in light of the law of the jurisdiction in which the action would be brought. Generally, in cases where the potential loss does not exceed the Jurisdictional Thresholds referenced in Exhibit A, the SIB will avoid opt-in or group litigation participation.

#### Roles in Managing & Monitoring Litigation

1. The SIB or Committee will make the final determination of whether it is in the SIB’s best interest to pursue active participation in any case and whether to engage any law firm and the terms of such engagement.

2. Decisions regarding the conduct and implementation of the SIB's or Committee's decision to participate will be the responsibility of the Executive Director, or an approved member of the management staff if he so delegates. When feasible and advisable, the Executive Director shall seek advice and direction from the SIB or Committee on strategic and legal issues that may arise in prosecuting the action on behalf of the SIB and its clients. The Executive Director shall timely report to the SIB or Committee on the progress of the litigation.
3. The Executive Director shall be responsible for management of the relationship with any portfolio monitoring law firm or organization for such purpose. Based on the need for additional coverage, the Executive Director and Committee will determine whether one or several firms are needed to fulfill the goals of this Policy and may terminate such monitoring agreements as judgment advises.
4. Any agreement for portfolio monitoring services that includes a fee or subscription cost must first be approved by the SIB or Committee before execution by the Executive Director.

#### Policy Review

1. The Committee and SIB shall review this policy at least every three years to ensure that it remains relevant and appropriate.

#### **Board Approved on May 24, 2019 (following SLC approval on May 20, 2019):**

**In order to adhere to industry best practices, RIO requested FRT to provide an annual review of our own securities litigation monitoring and claims filing policies including: 1) "U.S. Opt-out" settlements; 2) "International Opt-in" Actions and Jurisdictions; and 3) Global Anti-Trust activity. Based on this review, RIO recommend to lower the International "Opt-In" threshold from \$20,000 to zero for "Passive/Very Low Risk Jurisdictions". The Committee approved this recommendation on May 20, 2019, which the SIB approved on May 24, 2019.**

## Exhibit A

### Non-US Opt-In and Group Litigation Jurisdictional Thresholds

Jurisdictional Description	Threshold
Passive/very low risk jurisdictions, simple registration or claim filing (no participation in litigation required, strong anonymity, very low costs) including, but potentially not limited to: Australia, Israel, Netherlands (including Dutch Foundations), regulatory funds (e.g. Compensation Schemes in UK)	<b>\$20,000 (FRT proposal to lower to zero)</b>
Low risk jurisdictions (no discovery, low cost) including, but potentially not limited to: Japan	<b>\$1 million</b>
Moderate risk jurisdictions (moderate cost, funded/insured to protect from cost shifting, some restricted discovery, not fully public) including but potentially not limited to: Germany, Austria, Belgium, Switzerland, Denmark, Spain, Finland, France, Hong Kong, Indonesia, Ireland, Italy, Korea, Luxembourg, Malaysia, Norway, New Zealand, Portugal, Sweden, and Thailand	<b>\$5 million</b>
High risk jurisdictions (potential in-person discovery, no anonymity, uncapped fees) including, but potentially not limited to: Taiwan, United Kingdom, Singapore, Brazil	<b>\$10 million</b>

Jurisdictional Thresholds are developed in consultation with legal counsel including other designated agents which are experts in global securities litigation matters.

**Policy Implemented:** November 20, 2015

**Policy Amended:** April 27, 2018

*Informational*

**TO:** SIB Securities Litigation Committee  
**FROM:** Dave Hunter, ED/CIO  
**DATE:** September 20, 2019  
**SUBJECT: Summary of Securities Litigation Representation Firms**

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The Board has currently engaged two law firms to defend the SIB in two securities litigation cases:

- 1.) **Kasowitz Benson Torres** on General Motors; and
- 2.) **K&L Gates** on Tribune.

In 2016, the Board engaged **Grant & Eisenhofer** (as a plaintiff's attorney) to recover investment losses resulting from international securities litigation involving VW and other related parties. **In 2019, the Board approved the Committee's recommendation to engage Grant & Eisenhofer (as a plaintiff's attorney) to recover investment losses from international securities litigation involving Danske Bank and other related parties.**

In 2018, the Board engaged **Financial Recovery Technologies** (FRT) to enhance our ability to recover investment losses in U.S. and international securities litigation cases including those involving anti-trust actions in addition to our continuing U.S. class action claims filing activity since March 1, 2018. Northern Trust, as our custodian, continues to seek U.S. class action claim filing recoveries prior to March 1, 2018 (when we transitioned from Northern Trust to FRT).

Since 2011, annual cash recoveries have varied significantly ranging from a low of \$153,480 in fiscal 2014 to a high of \$692,958 in fiscal 2012, noting the annual recoveries are often materially impacted by the occurrence (or absence) of one or two major cases in any year. Securities litigation recoveries approximated \$189,000 for the SIB in the fiscal year ended June 30, 2018.

In 2018, the Securities Litigation Committee met with several prominent law firms widely considered to be leading experts in the securities litigation field including: Bernstein Litowitz Berger & Grossman; Robbins Geller Rodman & Dowd; Labaton Sucharow; Kaplan Fox; and Grant & Eisenhofer.

On November 5, 2019, the Committee identified: 1) Bernstein Litowitz Berger & Grossman; 2) Grant & Eisenhofer; and 3) Labaton Sucharow to serve as our pre-approved law firms to be utilized on a case by case basis to provide expert advice when new securities litigation related cases are raised for further consideration by our global securities litigation monitoring firm, FRT.

***Board Action Requested***

**TO:** SIB Securities Litigation Committee

**FROM:** Dave Hunter and Connie Flanagan

**DATE:** September 20, 2019

**SUBJECT: Annual Review of Biennial Agenda for 2019-21**

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If the Securities Litigation Committee so desires, the may review and approve the proposed biennial agenda for the 2019-21, which will serve as a guide for our four annual meetings in the upcoming biennium.

**SIB Securities Litigation Committee  
Biennial Agenda**

Fiscal 2019-20	August	November	February	May
	Annual Election of Committee Officers	Approve 2020 Committee Meeting Schedule	Annual Review of Committee Charter and Policies	Annual FRT Securities Litigation Review
	Annual Review of Litigation Recoveries	Board Education on Securities Litigation	Annual Review of Approved Law Firms	Annual Review of Biennial Agenda

Fiscal 2020-21	August	November	February	May
	Annual Election of Committee Officers	Approve 2021 Committee Meeting Schedule	Annual Review of Committee Charter and Policies	Annual FRT Securities Litigation Review
	Annual Review of Litigation Recoveries	Board Education on Securities Litigation	Annual Review of Approved Law Firms	Annual Review of Biennial Agenda

Annual Securities Litigation Activity Report  
For the Fiscal Year Ended June 30, 2019

NDSIB Securities Litigation Committee  
September 20, 2019

# Claims Status Report for North Dakota State Investment Board

## Class Action Claims



Period from 7/1/2018 to 6/30/2019

Status	# Cases	Settlement Fund	Total Recognized Loss	Pro Rata Shares	\$ Recovered
Newly Filed	27	\$1,408,235,725	\$566,451.50	3,775	\$ -
Newly Paid	5	532,147,769	114,416.95	0	11,183.26
Previously Filed	3	3,132,000,001	102,999.15	0	-
<b>Total</b>	<b>35</b>	<b>\$5,072,383,495</b>	<b>\$783,867.60</b>	<b>3,775</b>	<b>\$11,183.26</b>

## Northern Trust

Status	# Cases	Settlement Fund	Total Recognized Loss	Pro Rata Shares	\$ Recovered
Newly Paid	55	N/A	N/A	N/A	\$333,500.29
Previously Filed	20	N/A	N/A	N/A	-
<b>Total</b>	<b>75</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>\$333,500.29</b>

**Total Class Action Recoveries FY2019**

**\$344,683.55**

## Anti-trust Claims



Status	# Cases	Settlement Fund	# Claims	\$ Recovered
Newly Filed	5	\$1,336,000,000	5	0
Previously Filed	3	2,546,275,000	3	0
<b>Total</b>	<b>8</b>	<b>3,882,275,000</b>	<b>455</b>	<b>\$0.00</b>



## Newly Paid Class Action Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	\$ Recovered	FRT Fees	Net to Client
Credit Suisse Bulk Settlement Practice Fair Fund	ZZND PEN FIXED WESTERN ASS-SL	11/15/2016	101,747,769	01/25/2005	01/24/2008	6,192.88	1,114.72	5,078.16
EZCORP, INC.	NDLEG PIMCO RAE SMALL CAP -SL	05/19/2017	5,900,000	04/19/2012	01/02/2015	126.07	-	126.07
OSI SYSTEMS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	01/15/2016	15,000,000	01/24/2012	03/07/2014	167.13	30.08	137.05
PFIZER, INC.	NDLEG-LSV LARGE CAP -SL	07/30/2015	400,000,000	01/18/2006	04/24/2009	124.59	22.43	102.16
RESOURCE CAPITAL CORPORATION	NDINS PIMCO RAE SMALL CAP-SL	07/23/2018	9,500,000	10/30/2012	08/05/2015	703.95	-	703.95
RESOURCE CAPITAL CORPORATION	NDLEG PIMCO RAE SMALL CAP -SL	07/23/2018	9,500,000	10/30/2012	08/05/2015	3,868.64	-	3,868.64
RESOURCE CAPITAL CORPORATION						<u>4,572.59</u>	<u>-</u>	<u>4,572.59</u>
<b>TOTAL PROCEEDS FROM FRT</b>						<b><u>11,183.26</u></b>	<b><u>1,167.23</u></b>	<b><u>10,016.03</u></b>

## Northern Trust Newly Paid Claims

Period from 7/1/2018 to 6/30/2019

Class Action Name	Account name	Claim Deadline	Class Period		Date of Distribution	Gross paid	Filing Fee	Net Paid
ADVANCED EMISSIONS SOLUTIONS, INC	*NDINS PIMCO RAE SMALL CAP-SL	2/10/2017	5/11/2011	4/29/2015	9/18/2018	\$ 139.42	\$ 5.00	\$ 134.42
ADVANCED MICRO DEVICES INC (2014)	NDPEN NTGI ENHANCED	2/13/2018	4/1/2011	1/16/2013	2/13/2019	105.94	5.00	100.94
AIG-GENERAL REINSURANCE CORP	ZZND PEN STATE ST LARGE CAP	9/12/2013	10/27/1999	12/15/2010	7/6/2018	93.76	5.00	88.76
AIG-GENERAL REINSURANCE CORP	ZZND INS ALLIANCE	9/12/2013	10/27/1999	12/15/2010	7/6/2018	35.69	5.00	30.69
AIG-GENERAL REINSURANCE CORP	*ZZND INS CONV BOND TCW-SL	9/12/2013	10/27/1999	12/15/2010	7/6/2018	287.17	5.74	281.43
AIG-GENERAL REINSURANCE CORP	ZZND PEN ALLIANCE	9/12/2013	10/27/1999	12/15/2010	7/6/2018	116.06	5.00	111.06
AIG-GENERAL REINSURANCE CORP	ZZNDSIB - INS TRANSITION	9/12/2013	10/27/1999	12/15/2010	7/6/2018	92.24	5.00	87.24
AIG-GENERAL REINSURANCE CORP	ZZND PEN CONV BOND TCW	9/12/2013	10/27/1999	12/15/2010	7/6/2018	169.04	5.00	164.04
AIG-GENERAL REINSURANCE CORP	NDPEN LA CAPITAL	9/12/2013	10/27/1999	12/15/2010	7/6/2018	194.37	5.00	189.37
AIG-GENERAL REINSURANCE CORP	NDPEN NTGI ENHANCED	9/12/2013	10/27/1999	12/15/2010	7/6/2018	238.57	5.00	233.57
AIG-GENERAL REINSURANCE CORP						1,226.90	40.74	1,186.16
AMEDISYS INC (2010)	*NDINS PIMCO RAE SMALL CAP-SL	1/16/2018	8/1/2005	12/30/2011	3/20/2019	423.86	8.47	415.39
Amer. Intl. Grp. (2004) (PWC)	ZZND PEN STATE ST LARGE CAP	1/28/2009	10/27/1999	6/29/2005	7/9/2018	128.43	5.00	123.43
Amer. Intl. Grp. (2004) (PWC)	ZZND PEN CONV BOND TCW	1/28/2009	10/27/1999	6/29/2005	7/9/2018	197.94	5.00	192.94
Amer. Intl. Grp. (2004) (PWC)	ZZND INS ALLIANCE	1/28/2009	10/27/1999	6/29/2005	7/10/2018	54.00	5.00	49.00
Amer. Intl. Grp. (2004) (PWC)	*ZZND INS CONV BOND TCW-SL	1/28/2009	10/27/1999	6/29/2005	7/10/2018	318.78	6.37	312.41
Amer. Intl. Grp. (2004) (PWC)	ZZND PEN ALLIANCE	1/28/2009	10/27/1999	6/29/2005	7/10/2018	203.68	5.00	198.68
Amer. Intl. Grp. (2004) (PWC)	ZZNDSIB - INS TRANSITION	1/28/2009	10/27/1999	6/29/2005	7/10/2018	126.35	5.00	121.35
Amer. Intl. Grp. (2004) (PWC)	NDPEN LA CAPITAL	1/28/2009	10/27/1999	6/29/2005	7/9/2018	305.46	6.10	299.36
Amer. Intl. Grp. (2004) (PWC)	NDPEN NTGI ENHANCED	1/28/2009	10/27/1999	6/29/2005	7/9/2018	368.65	7.37	361.28
Amer. Intl. Grp. (2004) (PWC)						1,703.29	44.84	1,658.45
Amer. Intl. Grp. (2004) (COMPANY)	ZZND INS ALLIANCE	1/23/2012	10/27/1999	12/15/2010	7/2/2018	465.03	9.30	455.73
Amer. Intl. Grp. (2004) (COMPANY)	ZZND PEN ALLIANCE	1/23/2012	10/27/1999	12/15/2010	7/2/2018	1,738.61	34.77	1,703.84
Amer. Intl. Grp. (2004) (COMPANY)	ZZNDSIB - INS TRANSITION	1/23/2012	10/27/1999	12/15/2010	7/2/2018	1,076.24	21.52	1,054.72
Amer. Intl. Grp. (2004) (COMPANY)	ZZND PEN STATE ST LARGE CAP	1/23/2012	10/27/1999	12/15/2010	7/2/2018	781.22	15.62	765.60
Amer. Intl. Grp. (2004) (COMPANY)	NDPEN LA CAPITAL	1/23/2012	10/27/1999	12/15/2010	7/2/2018	2,435.39	48.70	2,386.69
Amer. Intl. Grp. (2004) (COMPANY)	NDPEN NTGI ENHANCED	1/23/2012	10/27/1999	12/15/2010	7/2/2018	2,923.11	58.46	2,864.65
Amer. Intl. Grp. (2004) (COMPANY)						9,419.60	188.37	9,231.23
AMERICAN INTL GRP (04) (STARR DEFENDENTS)	ZZND PEN STATE ST LARGE CAP	6/4/2012	10/27/1999	12/15/2010	7/5/2018	109.24	5.00	104.24
AMERICAN INTL GRP (04) (STARR DEFENDENTS)	ZZND INS ALLIANCE	6/4/2012	10/27/1999	12/15/2010	7/5/2018	65.03	5.00	60.03
AMERICAN INTL GRP (04) (STARR DEFENDENTS)	*ZZND INS CONV BOND TCW-SL	6/4/2012	10/27/1999	12/15/2010	7/5/2018	610.08	12.20	597.88
AMERICAN INTL GRP (04) (STARR DEFENDENTS)	ZZND PEN ALLIANCE	6/4/2012	10/27/1999	12/15/2010	7/5/2018	243.12	5.00	238.12
AMERICAN INTL GRP (04) (STARR DEFENDENTS)	ZZNDSIB - INS TRANSITION	6/4/2012	10/27/1999	12/15/2010	7/5/2018	150.50	5.00	145.50
AMERICAN INTL GRP (04) (STARR DEFENDENTS)	ZZND PEN CONV BOND TCW	6/4/2012	10/27/1999	12/15/2010	7/5/2018	392.33	7.84	384.49
AMERICAN INTL GRP (04) (STARR DEFENDENTS)	NDPEN LA CAPITAL	6/4/2012	10/27/1999	12/15/2010	7/5/2018	358.48	7.16	351.32
AMERICAN INTL GRP (04) (STARR DEFENDENTS)	NDPEN NTGI ENHANCED	6/4/2012	10/27/1999	12/15/2010	7/5/2018	429.29	8.58	420.71
AMERICAN INTL GRP (04) (STARR DEFENDENTS)						2,358.07	55.78	2,302.29
AMERICAN INTL. GRP. (2008)	ZZ*ND PEN - CALAMOS -SL	5/5/2015	3/15/2006	9/5/2014	4/26/2019	6,408.57	128.17	6,280.40
AMERICAN INTL. GRP. (2008)	NDK15-NDPEN WESTRN F	5/5/2015	3/15/2006	9/5/2014	4/26/2019	231.10	5.00	226.10
AMERICAN INTL. GRP. (2008)	NDPEN NTGI ENHANCED	5/5/2015	3/15/2006	9/5/2014	4/26/2019	617.29	12.34	604.95
AMERICAN INTL. GRP. (2008)	*NDINS LSV LARGE CAP -SL	5/5/2015	3/15/2006	9/5/2014	4/26/2019	1,395.85	27.91	1,367.94
AMERICAN INTL. GRP. (2008)	NDI06-NDINS WSTRN FI	5/5/2015	3/15/2006	9/5/2014	4/26/2019	446.20	8.92	437.28
AMERICAN INTL. GRP. (2008)	ZZ*ND PEN LSV-SL -	5/5/2015	3/15/2006	9/5/2014	4/26/2019	10,236.22	204.72	10,031.50
AMERICAN INTL. GRP. (2008)						19,335.23	387.06	18,948.17

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ANADARKO PETROLEUM CORP	NDK14-NDPEN EPOCH IN	11/8/2014	6/11/2009	6/9/2010	1/23/2019	21.81	5.00	16.81
ASSISTED LIVING CONCEPTS, INC (2012)	*NDINS PIMCO RAE SMALL CAP-SL	2/6/2014	3/3/2011	11/2/2012	11/2/2018	993.57	19.87	973.70
AVON PRODUCTS INC. (2011)	NDPEN NTGI ENHANCED	1/19/2016	7/28/2006	1/24/2012	11/6/2018	268.77	5.37	263.40
AVON PRODUCTS INC. (2011)	NDPEN L.A. CAPITAL	1/19/2016	7/28/2006	1/24/2012	11/6/2018	2,325.39	46.50	2,278.89
AVON PRODUCTS INC. (2011)	*NDINS LA CAPITAL GROWTH -SL	1/19/2016	7/28/2006	1/24/2012	11/6/2018	207.12	5.00	202.12
AVON PRODUCTS INC. (2011)	*NDINS LA CAPITAL ENHANCED -SL	1/19/2016	7/28/2006	1/24/2012	11/6/2018	391.63	7.83	383.80
AVON PRODUCTS INC. (2011)						3,192.91	64.70	3,128.21
BANK OF AMERICA CORP (2011)	NDPEN LA CAPITAL	11/14/2016	2/26/2009	1/14/2011	3/1/2019	6,349.28	126.98	6,222.30
BANK OF AMERICA CORP (2011)	NDPEN NTGI ENHANCED	11/14/2016	2/26/2009	1/14/2011	3/1/2019	4,382.04	87.64	4,294.40
BANK OF AMERICA CORP (2011)	*NDINS LA CAPITAL ENHANCED -SL	11/14/2016	2/26/2009	1/14/2011	3/1/2019	1,282.39	25.64	1,256.75
BANK OF AMERICA CORP (2011)	*NDINS LSV LARGE CAP -SL	11/14/2016	2/26/2009	1/14/2011	3/1/2019	1,599.25	31.98	1,567.27
BANK OF AMERICA CORP (2011)	ZZ*ND PEN LSV-SL -	11/14/2016	2/26/2009	1/14/2011	3/1/2019	11,899.40	237.98	11,661.42
BANK OF AMERICA CORP (2011)						25,512.36	510.22	25,002.14
BANK OF NEW YORK MELLON	NDPEN NTGI ENHANCED	12/11/2015	2/27/2008	12/30/2011	7/30/2018	22.94	5.00	17.94
BARRICK GOLD CORPORATION (2013)	NDK02-NDPEN CAPIT GU	9/29/2016	5/6/2009	1/30/2014	7/10/2018	641.73	12.83	628.90
BARRICK GOLD CORPORATION (2013)	NDI03-NDINS CAPIT GU	9/29/2016	5/6/2009	1/30/2014	7/10/2018	324.36	6.48	317.88
BARRICK GOLD CORPORATION (2013)	NDK10-NDPEN LSV	9/29/2016	5/6/2009	1/30/2014	7/10/2018	2,246.24	44.92	2,201.32
BARRICK GOLD CORPORATION (2013)	NDK10-NDPEN LSV	9/29/2016	5/6/2009	1/30/2014	4/10/2019	22.25	5.00	17.25
BARRICK GOLD CORPORATION (2013)						3,234.58	69.23	3,165.35
CERADYNE INC (SUPERIOR COURT OF CALIF)	*NDINS PIMCO RAE SMALL CAP-SL	3/1/2018	10/1/2012	12/31/2012	5/10/2019	692.28	13.84	678.44
CLIFFS NATURAL RESOURCES (2014)(N.D.OHIO)	NDPEN LA CAPITAL	8/8/2016	3/13/2012	6/24/2013	5/3/2019	11.77	5.00	6.77
CLIFFS NATURAL RESOURCES (2014)(N.D.OHIO)	NDPEN NTGI ENHANCED	8/8/2016	3/13/2012	6/24/2013	5/3/2019	16.68	5.00	11.68
CLIFFS NATURAL RESOURCES (2014)(N.D.OHIO)						28.45	10.00	18.45
COLONIAL BANCGROUP, INC(UNDERWRITER,PWC)	NDPEN LA CAPITAL	7/27/2015	4/17/2007	8/6/2009	11/14/2018	17.02	5.00	12.02
COLONIAL BANCGROUP, INC(UNDERWRITER,PWC)	ZZ*ND PEN LSV-SL -	7/27/2015	4/17/2007	8/6/2009	11/14/2018	96.22	5.00	91.22
COLONIAL BANCGROUP, INC(UNDERWRITER,PWC)						113.24	10.00	103.24
CORINTHIAN COLLEGES, INC. (2010)	*NDINS PIMCO RAE SMALL CAP-SL	11/2/2017	10/29/2007	11/17/2010	2/20/2019	21.72	5.00	16.72
CORNERSTONE THERAPEUTICS INC.	*NDINS PIMCO RAE SMALL CAP-SL	3/27/2017	9/13/2013	12/14/2016	8/8/2018	8,006.37	160.12	7,846.25
DFC GLOBAL CORP.	*NDINS PIMCO RAE SMALL CAP-SL	9/4/2017	1/27/2011	5/2/2014	2/20/2019	1,698.53	33.97	1,664.56
DOLE FOOD COMPANY, INC. (2015)	*NDINS PIMCO RAE SMALL CAP-SL	8/9/2017	12/31/2012	11/20/2013	10/29/2018	2,870.79	57.41	2,813.38
EZCORP, INC. (2014)	*NDINS PIMCO RAE SMALL CAP-SL	5/19/2017	4/18/2012	1/2/2015	11/2/2018	126.07	5.00	121.07
FANNIE MAE (2008)	NDI04-NDINS WESTERN	4/3/2015	11/7/2006	12/5/2008	7/23/2018	50.54	5.00	45.54
FANNIE MAE (2008)	NDI06-NDINS WSTRN FI	4/3/2015	11/7/2006	12/5/2008	7/23/2018	12.05	5.00	7.05
FANNIE MAE (2008)	NDK09-NDPEN LOOMIS SA	4/3/2015	11/7/2006	12/5/2008	7/23/2018	10.83	5.00	5.83
FANNIE MAE (2008)						73.42	15.00	58.42

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FEDERAL HOME LOAN MTG CORP (SEC)(FREDDIE)	ZZND INS ALLIANCE	7/10/2017	4/17/2000	6/6/2003	2/22/2019	59.71	5.00	54.71
FEDERAL HOME LOAN MTG CORP (SEC)(FREDDIE)	ZZND PEN ALLIANCE	7/10/2017	4/17/2000	6/6/2003	2/22/2019	183.40	5.00	178.40
FEDERAL HOME LOAN MTG CORP (SEC)(FREDDIE)						243.11	10.00	233.11
GENWORTH FINANCIAL, INC. (2014) (E.D.VA.)	NDPEN NTGI ENHANCED	8/22/2016	10/29/2013	2/3/2015	10/23/2018	183.99	5.00	178.99
GENWORTH FINANCIAL, INC. (2014) (E.D.VA.)	*NDINS WELLS BBB -SL	8/22/2016	10/29/2013	2/3/2015	10/23/2018	390.79	7.81	382.98
GENWORTH FINANCIAL, INC. (2014) (E.D.VA.)	*NDINS LSV LARGE CAP -SL	8/22/2016	10/29/2013	2/3/2015	10/23/2018	1,808.14	36.16	1,771.98
GENWORTH FINANCIAL, INC. (2014) (E.D.VA.)						2,382.92	48.97	2,333.95
HALLIBURTON COMPANY	NDPEN LA CAPITAL	8/12/2017	8/13/1999	3/6/2002	9/14/2018	2,728.69	54.57	2,674.12
HARMAN INTL INDUSTRIES INC.(2007)(D.D.C.	NDPEN L.A. CAPITAL	9/8/2017	4/25/2007	5/5/2008	5/30/2019	101.17	5.00	96.17
INDYMAC MORTGAGE PASS-THROUGH (INDV&UND)	NDK15-NDPEN WESTRN F	1/28/2015	1/3/2004	11/10/2014	10/10/2018	97.81	5.00	92.81
INDYMAC MORTGAGE PASS-THROUGH (INDV&UND)	NDI06-NDINS WSTRN FI	1/28/2015	1/3/2004	11/10/2014	10/10/2018	211.93	5.00	206.93
INDYMAC MORTGAGE PASS-THROUGH (INDV&UND)						309.74	10.00	299.74
INVACARE CORP	*NDINS PIMCO RAE SMALL CAP-SL	12/22/2015	2/26/2009	3/6/2012	10/4/2018	386.82	7.73	379.09
J.P. MORGAN SECURITIES LLC (BULK SETTLEMENT)	ZZ*ND PEN FIXED WESTERN ASS-SL	11/28/2017	1/3/2000	9/14/2017	4/17/2019	4,678.70	93.57	4,585.13
JOHNSON & JOHNSON (2010)	NDPEN NTGI ENHANCED	12/24/2013	10/13/2008	11/26/2010	11/27/2018	13.96	5.00	8.96
JP MORGAN CHASE & CO	NDPEN NTGI ENHANCED	6/13/2016	4/12/2012	8/17/2012	12/26/2018	29.67	5.00	24.67
LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II	NDK15-NDPEN WESTRN F	4/17/2014	6/11/2007	10/28/2008	9/10/2018	4,738.76	94.77	4,643.99
LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II	NDPEN NTGI ENHANCED	4/17/2014	6/11/2007	10/28/2008	9/10/2018	27.34	5.00	22.34
LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II	NORTH DAKOTA SIB INSURANCE-	4/17/2014	6/11/2007	10/28/2008	9/10/2018	228.91	5.00	223.91
LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II	NDI06-NDINS WSTRN FI	4/17/2014	6/11/2007	10/28/2008	9/10/2018	1,241.93	24.83	1,217.10
LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II	NDK09-NDPEN LOOMIS SA	4/17/2014	6/11/2007	10/28/2008	9/10/2018	3,038.88	60.77	2,978.11
LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II						9,275.82	190.37	9,085.45
MERCK & CO.	NDPEN LA CAPITAL	9/12/2016	5/20/1999	1/28/2005	11/1/2018	41,879.67	250.00	41,629.67
MERCK & CO.	NDPEN NTGI ENHANCED	9/12/2016	5/20/1999	1/28/2005	11/1/2018	31,074.30	250.00	30,824.30
MERCK & CO.	NDPEN L.A. CAPITAL	9/12/2016	5/20/1999	1/28/2005	11/1/2018	60,908.03	250.00	60,658.03
MERCK & CO.	*NDINS LA CAPITAL GROWTH -SL	9/12/2016	5/20/1999	1/28/2005	11/1/2018	11,552.52	231.05	11,321.47
MERCK & CO.	*NDINS LA CAPITAL ENHANCED -SL	9/12/2016	5/20/1999	1/28/2005	11/1/2018	15,821.74	250.00	15,571.74
MERCK & CO.	*NDINS LSV LARGE CAP -SL	9/12/2016	5/20/1999	1/28/2005	11/1/2018	2,012.49	40.24	1,972.25
MERCK & CO.	ZZ*ND PEN LSV-SL -	9/12/2016	5/20/1999	1/28/2005	11/1/2018	17,074.62	250.00	16,824.62
MERCK & CO.						180,323.37	1,521.29	178,802.08
MERRILL LYNCH & CO IN (BNDS OR PFD SHRS)	NDK15-NDPEN WESTRN F	1/4/2010	1/22/2007	4/27/2009	12/7/2018	72.63	5.00	67.63
MERRILL LYNCH & CO IN (BNDS OR PFD SHRS)	*NDINS WELLS BBB -SL	1/4/2010	1/22/2007	4/27/2009	12/7/2018	47.09	5.00	42.09
MERRILL LYNCH & CO IN (BNDS OR PFD SHRS)	NORTH DAKOTA SIB INSURANCE-	1/4/2010	1/22/2007	4/27/2009	12/7/2018	46.97	5.00	41.97
MERRILL LYNCH & CO IN (BNDS OR PFD SHRS)	NDI06-NDINS WSTRN FI	1/4/2010	1/22/2007	4/27/2009	12/7/2018	181.57	5.00	176.57
MERRILL LYNCH & CO IN (BNDS OR PFD SHRS)						348.26	20.00	328.26
MF GLOBAL HOLDINGS LTD. (IND. DEF & PWC)	*NDINS PIMCO RAE SMALL CAP-SL	6/7/2016	5/19/2010	6/30/2015	1/7/2019	5,955.77	119.11	5,836.66
MGM MIRAGE (N/K/A MGM RESORTS INTL)	ZZ*ND PEN - SUTTER HY -SL	1/6/2016	8/1/2007	6/2/2009	7/18/2018	189.82	5.00	184.82

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MOLYCORP INC	NDPEN LA CAPITAL	5/18/2017	2/17/2012	1/13/2014	7/11/2018	84.60	5.00	79.60
MOLYCORP INC	NDPEN NTGI ENHANCED	5/18/2017	2/17/2012	1/13/2014	7/11/2018	33.29	5.00	28.29
MOLYCORP INC	NDPEN L.A. CAPITAL	5/18/2017	2/17/2012	1/13/2014	7/11/2018	24.48	5.00	19.48
MOLYCORP INC	*NDINS LA CAPITAL ENHANCED -SL	5/18/2017	2/17/2012	1/13/2014	7/11/2018	19.10	5.00	14.10
MOLYCORP INC						161.47	20.00	141.47
OCWEN FINANCIAL CORPORATION	NDPEN LA CAPITAL	12/8/2017	5/1/2013	3/19/2015	5/28/2019	1,497.50	29.95	1,467.55
OCWEN FINANCIAL CORPORATION	*NDINS LA CAPITAL ENHANCED -SL	12/8/2017	5/1/2013	3/19/2015	5/28/2019	925.59	18.51	907.08
OCWEN FINANCIAL CORPORATION						2,423.09	48.46	2,374.63
OSI SYSTEMS INC.	*NDINS PIMCO RAE SMALL CAP-SL	1/15/2016	1/23/2012	3/7/2014	11/15/2018	167.13	5.00	162.13
PFIZER, INC. (2004)	NDPEN LA CAPITAL	1/28/2017	10/30/2000	3/16/2005	3/11/2019	7,027.04	140.54	6,886.50
PFIZER, INC. (2004)	NDPEN NTGI ENHANCED	1/28/2017	10/30/2000	3/16/2005	3/11/2019	10,214.73	204.29	10,010.44
PFIZER, INC. (2004)	NDPEN L.A. CAPITAL	1/28/2017	10/30/2000	3/16/2005	3/11/2019	13,788.60	250.00	13,538.60
PFIZER, INC. (2004)	*NDINS LA CAPITAL GROWTH -SL	1/28/2017	10/30/2000	3/16/2005	3/11/2019	1,031.03	20.62	1,010.41
PFIZER, INC. (2004)	*NDINS LA CAPITAL ENHANCED -SL	1/28/2017	10/30/2000	3/16/2005	3/11/2019	14.55	5.00	9.55
PFIZER, INC. (2004)						32,075.95	620.45	31,455.50
PTC INC	*NDINS LA CAPITAL GROWTH -SL	5/30/2017	11/23/2011	10/27/2015	7/16/2018	266.12	5.32	260.80
PTC INC	*NDINS LA CAPITAL ENHANCED -SL	5/30/2017	11/23/2011	10/27/2015	7/16/2018	19.26	5.00	14.26
PTC INC						285.38	10.32	275.06
RINO INTERNATIONAL CORPORATION	*NDINS PIMCO RAE SMALL CAP-SL	8/27/2012	3/30/2009	3/7/2011	3/8/2019	20.13	5.00	15.13
RUBY TUESDAY, INC. (2014)	*NDINS PIMCO RAE SMALL CAP-SL	7/17/2017	4/9/2013	1/7/2014	7/18/2018	467.73	9.35	458.38
RURAL/METRO CORP (2011)	*NDINS PIMCO RAE SMALL CAP-SL	1/3/2014	3/28/2011	6/30/2011	7/25/2018	42.71	5.00	37.71
SAUER-DANFOSS INC. (2013)	*NDINS PIMCO RAE SMALL CAP-SL	9/14/2017	3/15/2013	5/30/2013	7/25/2018	221.84	5.00	216.84
SCHERING-PLOUGH CORP (2008)	ZZ*ND PEN - CALAMOS -SL	11/18/2013	1/2/2007	6/27/2008	8/23/2018	33.27	5.00	28.27
STAAR SURGICAL COMPANY (2014)	*NDINS PIMCO RAE SMALL CAP-SL	10/9/2017	10/31/2013	9/26/2014	7/11/2018	1,799.32	35.98	1,763.34
STATE STREET CORP	NDPEN LA CAPITAL	12/16/2014	10/16/2006	1/19/2010	11/20/2018	29.09	5.00	24.09
STATE STREET CORP	*NDINS LA CAPITAL ENHANCED -SL	12/16/2014	10/16/2006	1/19/2010	11/20/2018	10.79	5.00	5.79
STATE STREET CORP						39.88	10.00	29.88
TANGOE, INC (2016)	*NDLEG PIMCO RAE SMALL CAP -SL	2/22/2018	5/9/2013	6/16/2017	11/27/2018	265.20	5.30	259.90
TANGOE, INC (2016)	*NDINS PIMCO RAE SMALL CAP-SL	2/22/2018	5/9/2013	6/16/2017	11/27/2018	96.82	5.00	91.82
TANGOE, INC (2016)						362.02	10.30	351.72
VENOCO INC	*NDINS PIMCO RAE SMALL CAP-SL	12/5/2016	5/1/2011	10/31/2012	11/27/2018	57.23	5.00	52.23
VERIFONE HOLDINGS, INC	NDPEN LA CAPITAL	1/29/2014	8/30/2006	6/30/2008	11/23/2018	33.76	5.00	28.76
VERIFONE HOLDINGS, INC	NDPEN L.A. CAPITAL	1/29/2014	8/30/2006	6/30/2008	11/23/2018	108.57	5.00	103.57
VERIFONE HOLDINGS, INC	*NDINS LA CAPITAL GROWTH -SL	1/29/2014	8/30/2006	6/30/2008	11/23/2018	14.05	5.00	9.05
VERIFONE HOLDINGS, INC	*NDINS LA CAPITAL ENHANCED -SL	1/29/2014	8/30/2006	6/30/2008	11/23/2018	4.81	4.81	-
VERIFONE HOLDINGS, INC	*NDINS PIMCO RAE SMALL CAP-SL	1/29/2014	8/30/2006	6/30/2008	11/23/2018	1.68	1.68	-
VERIFONE HOLDINGS, INC						162.87	21.49	141.38

## Northern Trust Newly Paid Claims

Period from 7/1/2018 to 6/30/2019

Class Action Name	Account name	Claim Deadline	Class Period		Date of Distribution	Gross paid	Filing Fee	Net Paid
WILLIAMS COMPANIES INC (WMB SUBCLASS)	ZZND PEN CONV BOND TCW	12/22/2006	7/24/2000	7/22/2002	5/3/2019	40.59	5.00	35.59
WILLIAMS COMPANIES INC (WMB SUBCLASS)	*ZZND INS CONV BOND TCW-SL	12/22/2006	7/24/2000	7/22/2002	5/3/2019	63.45	5.00	58.45
WILLIAMS COMPANIES INC (WMB SUBCLASS)						<u>104.04</u>	<u>10.00</u>	<u>94.04</u>
WORLD ACCEPTANCE CORPORATION	*NDLEG PIMCO RAE SMALL CAP -SL	1/17/2018	1/29/2013	11/6/2015	10/24/2018	4,091.03	81.82	4,009.21
WORLD ACCEPTANCE CORPORATION	*NDLEG PIMCO RAE SMALL CAP -SL	1/17/2018	1/29/2013	11/6/2015	5/13/2019	66.30	5.00	61.30
WORLD ACCEPTANCE CORPORATION	*NDINS PIMCO RAE SMALL CAP-SL	1/17/2018	1/29/2013	11/6/2015	10/24/2018	386.66	7.73	378.93
WORLD ACCEPTANCE CORPORATION	NDK10-NDPEN LSV	1/17/2018	1/29/2013	11/6/2015	10/24/2018	57.12	5.00	52.12
WORLD ACCEPTANCE CORPORATION						<u>4,601.11</u>	<u>99.55</u>	<u>4,501.56</u>
YUKOS OIL COMPANY (DISTRIBUTION FUND)	ND INS INT'L EQ CAP GUARD	5/30/2016	7/1/2003	11/28/2007	4/5/2019	2,185.95	43.71	2,142.24
<b>TOTAL PROCEEDS FROM NORTHERN TRUST</b>						<b><u>\$ 333,500.29</u></b>	<b><u>\$4,784.84</u></b>	<b><u>\$328,715.45</u></b>

## Newly Filed Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Est Pay Date
ALERE INC.,	NDINS LA CAPITAL ENHANCED -SL	06/26/2019	20,000,000	05/08/2013	10/03/2017	-	09/30/2020
ALERE INC.,	NDINS LA CAPITAL GROWTH -SL	06/26/2019	20,000,000	05/08/2013	10/03/2017	-	09/30/2020
ALERE INC.,	NDINS PIMCO RAE SMALL CAP-SL	06/26/2019	20,000,000	05/08/2013	10/03/2017	-	09/30/2020
ALERE INC.,	NDLEG PIMCO RAE SMALL CAP -SL	06/26/2019	20,000,000	05/08/2013	10/03/2017	-	09/30/2020
ALERE INC.,	NDPEN L.A. CAPITAL	06/26/2019	20,000,000	05/08/2013	10/03/2017	-	09/30/2020
ALERE INC.,	NDPEN LA CAPITAL	06/26/2019	20,000,000	05/08/2013	10/03/2017	-	09/30/2020
ALIBABA GROUP HOLDING LTD	NDI03-NDINS CAPIT GU	05/02/2019	75,000,000	05/06/2014	10/05/2015	-	08/31/2020
ALIBABA GROUP HOLDING LTD	NDLG02-NDLEG CAPITAL	05/02/2019	75,000,000	05/06/2014	10/05/2015	-	08/31/2020
ALLERGAN, INC.,	NDPEN LA CAPITAL	08/07/2018	250,000,000	02/24/2014	04/21/2014	-	11/30/2019
BIG LOTS, INC.	NDSIB AGGREGATE	10/08/2018	38,000,000	03/01/2012	11/20/2012	35,264.22	01/31/2020
CLUBCORP HOLDINGS INC	NDINS PIMCO RAE SMALL CAP-SL	02/18/2019	5,000,000	07/12/2013	11/18/2017	0	05/31/2020
CLUBCORP HOLDINGS INC	NDLEG PIMCO RAE SMALL CAP -SL	02/18/2019	5,000,000	07/12/2013	11/18/2017	0	05/31/2020
COMSCORE (RENTRAK),	NDINS PIMCO RAE SMALL CAP-SL	11/22/2018	4,750,000	09/29/2015	07/16/2018	-	02/29/2020
COMSCORE (RENTRAK),	NDLEG PIMCO RAE SMALL CAP -SL	11/22/2018	4,750,000	09/29/2015	07/16/2018	-	02/29/2020
CONNS, INC.	NDINS PIMCO RAE SMALL CAP-SL	11/10/2018	22,500,000	04/02/2013	03/10/2015	23.36	09/30/2019
CONNS, INC.	NDLEG PIMCO RAE SMALL CAP -SL	11/10/2018	22,500,000	04/02/2013	03/10/2015	3,178.81	09/30/2019
EMERGENT BIOSOLUTIONS, INC.,	NDINS PIMCO RAE SMALL CAP-SL	02/16/2019	6,500,000	01/10/2016	09/19/2016	146.68	05/31/2020
EMERGENT BIOSOLUTIONS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	02/16/2019	6,500,000	01/10/2016	09/19/2016	964.44	05/31/2020
EXTREME NETWORKS, INC.,	NDINS PIMCO RAE SMALL CAP-SL	06/06/2019	7,000,000	09/11/2013	07/08/2015	17,239.50	09/30/2020
EXTREME NETWORKS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	06/06/2019	7,000,000	09/11/2013	07/08/2015	61,741.54	09/30/2020
FACEBOOK, INC.,	NDINS LA CAPITAL ENHANCED -SL	07/24/2018	35,000,000	02/01/2012	02/23/2018	-	10/31/2019
FACEBOOK, INC.,	NDINS LA CAPITAL GROWTH -SL	07/24/2018	35,000,000	02/01/2012	02/23/2018	-	10/31/2019
FACEBOOK, INC.,	NDLEG-LA CAPITAL ENHANCEME-SL	07/24/2018	35,000,000	02/01/2012	02/23/2018	-	10/31/2019
FACEBOOK, INC.,	NDLEG-LA CAPITAL GROWTH -SL	07/24/2018	35,000,000	02/01/2012	02/23/2018	-	10/31/2019
FACEBOOK, INC.,	NDPEN L.A. CAPITAL	07/24/2018	35,000,000	02/01/2012	02/23/2018	-	10/31/2019
FACEBOOK, INC.,	NDPEN LA CAPITAL	07/24/2018	35,000,000	02/01/2012	02/23/2018	-	10/31/2019
FACEBOOK, INC.,	NDPEN NTGI ENHANCED	07/24/2018	35,000,000	02/01/2012	02/23/2018	-	10/31/2019
Heartware International, Inc.,	NDINS PIMCO RAE SMALL CAP-SL	05/14/2019	54,500,000	06/09/2014	04/08/2016	-	08/31/2020
Heartware International, Inc.,	NDLEG PIMCO RAE SMALL CAP -SL	05/14/2019	54,500,000	06/09/2014	04/08/2016	-	08/31/2020
INSULET CORPORATION,	NDINS PIMCO RAE SMALL CAP-SL	09/04/2018	19,500,000	05/06/2013	07/29/2015	274.48	12/31/2019
INSULET CORPORATION,	NDLEG PIMCO RAE SMALL CAP -SL	09/04/2018	19,500,000	05/06/2013	07/29/2015	1,321.28	12/31/2019
INVESTMENT TECHNOLOGY GROUP, INC.,	NDINS PIMCO RAE SMALL CAP-SL	04/04/2019	18,000,000	02/27/2011	10/30/2015	6,277.63	07/31/2020
INVESTMENT TECHNOLOGY GROUP, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	04/04/2019	18,000,000	02/27/2011	10/30/2015	22,491.73	07/31/2020
KOBE STEEL LIMITED,	NDK12-NDPEN TRANSITI	03/27/2019	500,000	05/28/2013	04/26/2018	-	09/30/2019

## Newly Filed Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Est Pay Date
LIQUIDITY SERVICES, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	11/03/2018	17,000,000	01/31/2012	08/05/2014	3,014.90	02/29/2020
MEDTRONIC, INC.	NDSIB AGGREGATE	01/02/2019	43,000,000	09/07/2010	09/26/2011	52,812.30	09/30/2019
ORBITAL ATK, INC.,	NDINS LA CAPITAL ENHANCED -SL	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
ORBITAL ATK, INC.,	NDINS LA CAPITAL GROWTH -SL	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
ORBITAL ATK, INC.,	NDINS PIMCO RAE SMALL CAP-SL	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
ORBITAL ATK, INC.,	NDK14-NDPEN EPOCH IN	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
ORBITAL ATK, INC.,	NDPEN CALLAN ASSOCIATES-SL	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
ORBITAL ATK, INC.,	NDPEN L.A. CAPITAL	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
ORBITAL ATK, INC.,	NDPEN LA CAPITAL	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
ORBITAL ATK, INC.,	NDPEN NTGI ENHANCED	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
ORBITAL ATK, INC.,	ZZNSIB - INS TRANSITION	05/30/2019	108,000,000	04/01/1990	11/07/2016	-	09/30/2019
QUALITY SYSTEMS, INC.,	NDINS PIMCO RAE SMALL CAP-SL	12/12/2018	19,000,000	05/25/2011	10/23/2012	967.38	03/31/2020
QUALITY SYSTEMS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	12/12/2018	19,000,000	05/25/2011	10/23/2012	112.16	03/31/2020
SNC-Lavalin Group Inc. Securities Litigation	NDK12-NDPEN TRANSITI	05/13/2019	110,000,000	11/05/2009	05/13/2019	-	08/31/2020
SPROUTS FARMERS MARKET INC	NDINS LA CAPITAL ENHANCED -SL	06/25/2019	9,500,000	03/04/2015	12/31/2099	-	09/30/2020
SPROUTS FARMERS MARKET INC	NDINS LA CAPITAL GROWTH -SL	06/25/2019	9,500,000	03/04/2015	12/31/2099	-	09/30/2020
SPROUTS FARMERS MARKET INC	NDINS PIMCO RAE SMALL CAP-SL	06/25/2019	9,500,000	03/04/2015	12/31/2099	-	09/30/2020
SPROUTS FARMERS MARKET INC	NDLEG PIMCO RAE SMALL CAP -SL	06/25/2019	9,500,000	03/04/2015	12/31/2099	-	09/30/2020
SPROUTS FARMERS MARKET INC	NDLEG-LA CAPITAL ENHANCEME-SL	06/25/2019	9,500,000	03/04/2015	12/31/2099	-	09/30/2020
SPROUTS FARMERS MARKET INC	NDLEG-LA CAPITAL GROWTH -SL	06/25/2019	9,500,000	03/04/2015	12/31/2099	-	09/30/2020
SPROUTS FARMERS MARKET INC	NDPEN L.A. CAPITAL	06/25/2019	9,500,000	03/04/2015	12/31/2099	-	09/30/2020
SPROUTS FARMERS MARKET INC	NDPEN LA CAPITAL	06/25/2019	9,500,000	03/04/2015	12/31/2099	-	09/30/2020
STATE STREET CORP	NDINS LA CAPITAL ENHANCED -SL	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
STATE STREET CORP	NDINS LA CAPITAL GROWTH -SL	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
STATE STREET CORP	NDINS LSV LARGE CAP -SL	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
STATE STREET CORP	NDK10-NDPEN LSV	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
STATE STREET CORP	NDLEG-LSV LARGE CAP -SL	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
STATE STREET CORP	NDPEN L.A. CAPITAL	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
STATE STREET CORP	NDPEN LA CAPITAL	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
STATE STREET CORP	NDPEN NTGI ENHANCED	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
STATE STREET CORP	ZZND PEN LSV-SL -	03/04/2019	4,900,000	02/26/2012	04/18/2017	-	09/30/2019
THORATEC CORPORATION	NDINS LA CAPITAL ENHANCED -SL	06/18/2019	11,900,000	05/10/2011	11/04/2014	-	09/30/2019
THORATEC CORPORATION	NDINS LA CAPITAL GROWTH -SL	06/18/2019	11,900,000	05/10/2011	11/04/2014	-	09/30/2019
THORATEC CORPORATION	NDINS PIMCO RAE SMALL CAP-SL	06/18/2019	11,900,000	05/10/2011	11/04/2014	-	09/30/2019
THORATEC CORPORATION	NDLEG PIMCO RAE SMALL CAP -SL	06/18/2019	11,900,000	05/10/2011	11/04/2014	1,945.81	09/30/2019
THORATEC CORPORATION	NDPEN L.A. CAPITAL	06/18/2019	11,900,000	05/10/2011	11/04/2014	-	09/30/2019
UNITED DEVELOPMENT FUNDING IV	NDINS PIMCO RAE SMALL CAP-SL	02/21/2019	10,435,725	03/07/2011	03/08/2016	6,265.18	05/31/2020
UNITED DEVELOPMENT FUNDING IV	NDLEG PIMCO RAE SMALL CAP -SL	02/21/2019	10,435,725	03/07/2011	03/08/2016	30,947.95	05/31/2020



## Newly Filed Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Est Pay Date
VIRTUS INVESTMENT PARTNERS, INC.,	NDINS PIMCO RAE SMALL CAP-SL	10/10/2018	22,000,000	01/24/2013	08/07/2015	1,105.65	01/31/2020
VIRTUS INVESTMENT PARTNERS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	10/10/2018	22,000,000	01/24/2013	08/07/2015	3,962.79	01/31/2020
VISTA OUTDOOR INC.,	NDINS PIMCO RAE SMALL CAP-SL	11/26/2018	6,250,000	08/10/2016	02/08/2018	4,786.70	02/29/2020
VISTA OUTDOOR INC.,	NDLEG PIMCO RAE SMALL CAP -SL	11/26/2018	6,250,000	08/10/2016	02/08/2018	19,871.74	02/29/2020
WELLS FARGO & COMPANY,	NDSIB AGGREGATE	01/23/2019	480,000,000	02/25/2014	12/19/2016	278,293.53	04/30/2020
WILLBROS GROUP, INC.,	NDINS PIMCO RAE SMALL CAP-SL	09/06/2018	10,000,000	02/27/2014	06/15/2015	13,441.74	12/31/2019

## Previously Filed Class Action Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
CITIGROUP, INC.,	NDSIB AGGREGATE	07/01/2018	75,000,001	02/25/2007	07/17/2008	102,999.15	0	10/31/2019
PETROBRAS	NDSIB AGGREGATE	06/09/2018	3,000,000,000	01/21/2010	10/26/2015	-	0	09/27/2019
TERRAFORM GLOBAL, INC.,	NDINS PIMCO RAE SMALL CAP-SL	04/13/2018	57,000,000	05/07/2015	12/15/2017	-	0	12/31/2019
TERRAFORM GLOBAL, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	04/13/2018	57,000,000	05/07/2015	12/15/2017	-	0	12/31/2019

## Northern Trust Previously Filed Claims

Period from 7/1/2018 to 6/30/2019

Class Action Name	Claimed Account Name	Class Period Start	Class Period End	Claim Deadline
BANK OF AMERICA (SEC) A	NDPEN LA CAPITAL	12/31/2008	12/31/2008	11/12/2010
BANK OF AMERICA (SEC) A	NDPEN NTGI ENHANCED	12/31/2008	12/31/2008	11/12/2010
BANK OF AMERICA (SEC) A	*NDINS LA CAPITAL ENHANCED -SL	12/31/2008	12/31/2008	11/12/2010
BANK OF AMERICA (SEC) A	ZZ*ND PEN LSV-SL -	12/31/2008	12/31/2008	11/12/2010
BANK OF AMERICA (SEC) A	*NDINS LSV LARGE CAP -SL	12/31/2008	12/31/2008	11/12/2010
CABLETRON SYS INC	ZZND PEN WG TRADING/CLIFTON	6/27/2000	8/3/2001	12/3/2003
CABLETRON SYS INC	NDPEN LA CAPITAL	6/27/2000	8/3/2001	12/3/2003
CABLETRON SYS INC	NDPEN NTGI ENHANCED	6/27/2000	8/3/2001	12/3/2003
CLARENT CORP	ZZNDSIB EQ NICH APPLE SM CAP	4/26/2000	8/31/2001	7/6/2005
CLARENT CORP	ZZND INS SM CAP EQ POOL NICH	4/26/2000	8/31/2001	7/6/2005
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	NDK08-NDPEN BRANDYWI	3/11/2004	8/7/2013	12/15/2013
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	NDK15-NDPEN WESTRN F	3/11/2004	8/7/2013	12/15/2013
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	ZZ*ND PEN FIXED WESTERN ASS-SL	3/11/2004	8/7/2013	12/15/2013
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	ZZ*NDINS CLIFTON LARGE CAP -	3/11/2004	8/7/2013	12/15/2013
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	ZZ*ND INS - DECLARATION -SL	3/11/2004	8/7/2013	12/15/2013
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	ZZV*NDINS CLIFTON SMALL CAP	3/11/2004	8/7/2013	12/15/2013
DOLE FOOD COMPANY, INC. (2013) (DELAWARE)	*NDINS PIMCO RAE SMALL CAP-SL	6/11/2013	11/29/2013	4/11/2016
DYNEGY INC 2	NDPEN LA CAPITAL	12/19/2001	12/20/2001	4/25/2005
FANNIE MAE	ZZND PEN STATE ST LARGE CAP	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	ZZND PEN WG TRADING/CLIFTON	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	NDPEN LA CAPITAL	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	NDPEN NTGI ENHANCED	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	NDPEN L.A. CAPITAL	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	*NDINS LA CAPITAL GROWTH -SL	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	*NDINS LA CAPITAL ENHANCED -SL	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	ZZNDSIB - INS TRANSITION	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	ZZND PEN ALLIANCE	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	ZZ*ND PEN LSV-SL -	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	ZZND INS ALLIANCE	1/13/1999	5/23/2006	7/26/2007
FANNIE MAE	*NDINS LSV LARGE CAP -SL	1/13/1999	5/23/2006	7/26/2007

## Northern Trust Previously Filed Claims

Period from 7/1/2018 to 6/30/2019

Class Action Name	Claimed Account Name	Class Period Start	Class Period End	Claim Deadline
HALLIBURTON COMPANY	ZZND PEN WG TRADING/CLIFTON	5/18/1998	5/28/2002	8/9/2004
HALLIBURTON COMPANY	NDPEN LA CAPITAL	5/18/1998	5/28/2002	8/9/2004
HALLIBURTON COMPANY	NDPEN NTGI ENHANCED	5/18/1998	5/28/2002	8/9/2004
HALLIBURTON COMPANY	ND PENSION ALPH	5/18/1998	5/28/2002	8/9/2004
HALLIBURTON COMPANY	ZZND PEN ALLIANCE	5/18/1998	5/28/2002	8/9/2004
HALLIBURTON COMPANY	ZZND INS ALLIANCE	5/18/1998	5/28/2002	8/9/2004
HUNTINGTON BANCSHARES INC (SEC)	NDPEN LA CAPITAL	1/18/2002	7/3/2003	2/28/2007
IMPERVA INC	*NDINS PIMCO RAE SMALL CAP-SL	5/1/2013	7/8/2014	1/22/2018
LEHMAN BROTHERS HOLDINGS , INC (EQTY/DBT)	NDI06-NDINS WSTRN FI	1/2/2007	11/14/2013	2/4/2014
LEHMAN BROTHERS HOLDINGS , INC (EQTY/DBT)	*NDINS WELLS BBB -SL	1/2/2007	11/14/2013	2/4/2014
LEHMAN BROTHERS HOLDINGS , INC (EQTY/DBT)	ZZ*ND PEN WELLS CAP FIXED-SL	1/2/2007	11/14/2013	2/4/2014
LEHMAN BROTHERS HOLDINGS , INC (EQTY/DBT)	ZZ*ND INS FIXED WESTERNASSET-S	1/2/2007	11/14/2013	2/4/2014
METRIS COMPANIES INC	NDPEN LA CAPITAL	11/5/2001	7/17/2002	12/16/2005
MONEYGRAM INTL INC DISTRIBUTION OF FUNDS	*NDINS PIMCO RAE SMALL CAP-SL	4/11/2011	4/11/2011	8/26/2013
PEREGRINE SYSTEMS INC	NDPEN LA CAPITAL	7/22/1999	5/3/2002	9/28/2006
PIMCO/CBOTJUNE 2005 10 YR TREAS NT FUTUR	ZZND PEN WG TRADING/CLIFTON	5/6/2005	6/30/2005	6/7/2011
PIMCO/CBOTJUNE 2005 10 YR TREAS NT FUTUR	NDPEN NTGI ENHANCED	5/6/2005	6/30/2005	6/7/2011
PIMCO/CBOTJUNE 2005 10 YR TREAS NT FUTUR	ZZND INS WG TRADING/CLIFTON	5/6/2005	6/30/2005	6/7/2011
SEPRACOR INC.	*ZZND INS CONV BOND TCW-SL	5/14/1999	6/4/2002	10/31/2007
TD BANKNORTH, INC.	NDPEN LA CAPITAL	11/17/2006	8/20/2007	6/15/2009
TD BANKNORTH, INC.	NDPEN L.A. CAPITAL	11/17/2006	8/20/2007	6/15/2009
TD BANKNORTH, INC.	*NDINS LA CAPITAL GROWTH -SL	11/17/2006	8/20/2007	6/15/2009
TEXAS GENCO HOLDINGS INC	*NDINS LA CAPITAL ENHANCED -SL	7/21/2004	2/4/2005	9/9/2005
TEXTRON INC/HARMAN INT'L (SEC FAIR FUND)	NDPEN NTGI ENHANCED	4/8/2009	7/20/2009	6/30/2014

## Northern Trust Previously Filed Claims

Period from 7/1/2018 to 6/30/2019

Class Action Name	Claimed Account Name	Class Period Start	Class Period End	Claim Deadline
WELLS FARGO MTG. BACKED SEC. (1 OF 4)	NDK08-NDPEN BRANDYWI	12/30/2004	1/29/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (1 OF 4)	ZZ*NDINS CLIFTON LARGE CAP -	12/30/2004	1/29/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (1 OF 4)	ZZ*ND INS - DECLARATION -SL	12/30/2004	1/29/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (1 OF 4)	ZZV*NDINS CLIFTON SMALL CAP	12/30/2004	1/29/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (2 OF 4)	NDK08-NDPEN BRANDYWI	12/30/2004	3/27/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (2 OF 4)	ZZ*NDINS CLIFTON LARGE CAP -	12/30/2004	3/27/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (2 OF 4)	ZZ*ND INS - DECLARATION -SL	12/30/2004	3/27/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (2 OF 4)	ZZV*NDINS CLIFTON SMALL CAP	12/30/2004	3/27/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (3 OF 4)	NDK08-NDPEN BRANDYWI	12/30/2004	4/13/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (3 OF 4)	ZZ*NDINS CLIFTON LARGE CAP -	12/30/2004	4/13/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (3 OF 4)	ZZ*ND INS - DECLARATION -SL	12/30/2004	4/13/2009	12/7/2011
WELLS FARGO MTG. BACKED SEC. (3 OF 4)	ZZV*NDINS CLIFTON SMALL CAP	12/30/2004	4/13/2009	12/7/2011

## Newly Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
EURIBOR	ND INS LSV	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	ND PEN BANK OF IRELAND	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	ND PEN LAZARD	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	NDI03-NDINS CAPIT GU	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	NDI04-NDINS WESTERN	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	NDINS WELLS BBB -SL	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	NDK02-NDPEN CAPIT GU	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	NDK10-NDPEN LSV	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	NORTH DAKOTA SIB INSURANCE-	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	ZZND PEN WELLS CAP FIXED-SL	08/01/2018	309,000,000	06/01/2005	03/31/2011	0	0	11/30/2019
EURIBOR	ND INS LSV	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	ND PEN BANK OF IRELAND	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	ND PEN LAZARD	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	NDI03-NDINS CAPIT GU	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	NDI04-NDINS WESTERN	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	NDINS WELLS BBB -SL	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	NDK02-NDPEN CAPIT GU	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	NDK10-NDPEN LSV	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	NORTH DAKOTA SIB INSURANCE-	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
EURIBOR	ZZND PEN WELLS CAP FIXED-SL	07/31/2019	182,500,000	06/01/2005	03/31/2011	0	0	10/31/2020
ISDAfix	ND PEN EURO CRDT MGMT	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ND PEN-PIMCO UNCONSTRAINED	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDI03-NDINS CAPIT GU	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDI04-NDINS WESTERN	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDI06-NDINS WSTRN FI	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS BABSON CAPITALMGMT-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS INSURANCE CASH -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS JPM SHORT-TERM FD -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS LA CAPITAL ENHANCED -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS LA CAPITAL GROWTH -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS LSV LARGE CAP -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS PIMCO RAE SMALL CAP-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS WELLS BBB -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDINS-WILLIAM BLAIR	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDK02-NDPEN CAPIT GU	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDK08-NDPEN BRANDYWI	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDK09-NDPEN LOOMIS SA	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDK10-NDPEN LSV	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019

## Newly Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
ISDAfix	NDK12-NDPEN TRANSITI	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDK14-NDPEN EPOCH IN	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDK15-NDPEN WESTRN F	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLEG PIMCO RAE SMALL CAP -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLEG WELLS BBB -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLEG-LA CAPITAL ENHANCEME-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLEG-LA CAPITAL GROWTH -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLEG-LSV LARGE CAP -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLEG-WILLIAM BLAIR	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLG02-NDLEG CAPITAL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLG03-NDLEG PRUDENTL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDLG04-NDLEG WESTERN	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN BROKER CASH	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN CALLAN ASSOCIATES-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN CLIFTON ENHANCED SM -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN JPMORGAN MBS-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN L.A. CAPITAL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN LA CAPITAL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN MATLIN PATTERSON GLB-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN NTGI ENHANCED	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN PENSION CASH-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN PIMCO MBS-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN-ATLANTA CAPITAL SMALL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NDPEN-WILLIAM BLAIR	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	NORTH DAKOTA SIB INSURANCE-	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND BSF-ENHANCED CASH	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND INS FIXED BK OF ND-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND INS FIXED WESTERNASSET-S	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND INS WESTERN TIPS -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND PEN - SUTTER HY -SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND PEN FIXED WEST LB-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND PEN FIXED WESTERN ASS-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND PEN LSV-SL -	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZND PEN WELLS CAP FIXED-SL	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZNDINS BABSON CAPITAL MGMT -	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZNDLEG BABSON ST	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ZZNDLEG JP MORGAN ST	07/16/2018	408,500,000	01/01/2006	01/31/2014	0	0	10/31/2019
ISDAfix	ND PEN EURO CRDT MGMT	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ND PEN-PIMCO UNCONSTRAINED	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDI03-NDINS CAPIT GU	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDI04-NDINS WESTERN	12/23/2018	96,000,000			0	0	09/30/2019

## Newly Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
ISDAfix	NDI06-NDINS WSTRN FI	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS BABSON CAPITALMGMT-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS INSURANCE CASH -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS JPM SHORT-TERM FD -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS LA CAPITAL ENHANCED -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS LA CAPITAL GROWTH -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS LSV LARGE CAP -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS PIMCO RAE SMALL CAP-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS WELLS BBB -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDINS-WILLIAM BLAIR	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDK02-NDPEN CAPIT GU	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDK08-NDPEN BRANDYWI	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDK09-NDPEN LOOMIS SA	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDK10-NDPEN LSV	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDK12-NDPEN TRANSITI	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDK14-NDPEN EPOCH IN	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDK15-NDPEN WESTRN F	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLEG PIMCO RAE SMALL CAP -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLEG WELLS BBB -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLEG-LA CAPITAL ENHANCEME-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLEG-LA CAPITAL GROWTH -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLEG-LSV LARGE CAP -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLEG-WILLIAM BLAIR	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLG02-NDLEG CAPITAL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLG03-NDLEG PRUDENTL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDLG04-NDLEG WESTERN	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN BROKER CASH	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN CALLAN ASSOCIATES-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN CLIFTON ENHANCED SM -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN JPMORGAN MBS-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN L.A. CAPITAL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN LA CAPITAL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN MATLIN PATTERSON GLB-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN NTGI ENHANCED	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN PENSION CASH-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN PIMCO MBS-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN-ATLANTA CAPITAL SMALL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NDPEN-WILLIAM BLAIR	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	NORTH DAKOTA SIB INSURANCE-	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND BSF-ENHANCED CASH	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND INS FIXED BK OF ND-SL	12/23/2018	96,000,000			0	0	09/30/2019



## Newly Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
ISDAfix	ZZND INS FIXED WESTERNASSET-S	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND INS WESTERN TIPS -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND PEN - CALAMOS -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND PEN - SUTTER HY -SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND PEN FIXED WEST LB-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND PEN FIXED WESTERN ASS-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND PEN LSV-SL -	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZND PEN WELLS CAP FIXED-SL	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZNDINS BABSON CAPITAL MGMT -	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZNDLEG BABSON ST	12/23/2018	96,000,000			0	0	09/30/2019
ISDAfix	ZZNDLEG JP MORGAN ST	12/23/2018	96,000,000			0	0	09/30/2019
LIBOR OTC	NDI06-NDINS WSTRN FI	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDINS CLIFTON SMALL CAP -SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDINS WELLS BBB -SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDK09-NDPEN LOOMIS SA	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDK15-NDPEN WESTRN F	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDLEG WELLS BBB -SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDLEG-LA CAPITAL ENHANCEME-SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDLG03-NDLEG PRUDENTL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDLG04-NDLEG WESTERN	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDPEN CLIFTON ENHANCED SM -SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDPEN LA CAPITAL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NDPEN NTGI ENHANCED	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	NORTH DAKOTA SIB INSURANCE-	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	ZZND INS - DECLARATION -SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	ZZND INS FIXED WESTERNASSET-S	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	ZZND PEN - CALAMOS -SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	ZZND PEN - SUTTER HY -SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	ZZND PEN FIXED WESTERN ASS-SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	ZZND PEN WELLS CAP FIXED-SL	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	ZZNDINS BABSON CAPITAL MGMT -	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019
LIBOR OTC	ZZNDLEG BABSON ST	12/20/2018	340,000,000	01/01/1900	05/31/2010	0	0	09/30/2019

## Previously Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
EUROYEN	ND INS LSV	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	ND PEN-PIMCO UNCONSTRAINED	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDI03-NDINS CAPIT GU	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDINS-WILLIAM BLAIR	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDK02-NDPEN CAPIT GU	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDK08-NDPEN BRANDYW1	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDK10-NDPEN LSV	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDK14-NDPEN EPOCH IN	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDLEG-WILLIAM BLAIR	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDLG01-NDLEG LSV INTL	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDLG02-NDLEG CAPITAL	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDLG03-NDLEG PRUDENTL	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDPEN-WILLIAM BLAIR	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NORTH DAKOTA SIB INSURANCE-	02/20/2018	206,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	ND INS LSV	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	ND PEN-PIMCO UNCONSTRAINED	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDI03-NDINS CAPIT GU	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDINS-WILLIAM BLAIR	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDK02-NDPEN CAPIT GU	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDK08-NDPEN BRANDYW1	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDK10-NDPEN LSV	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDK14-NDPEN EPOCH IN	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDLEG-WILLIAM BLAIR	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDLG01-NDLEG LSV INTL	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDLG02-NDLEG CAPITAL	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDLG03-NDLEG PRUDENTL	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NDPEN-WILLIAM BLAIR	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
EUROYEN	NORTH DAKOTA SIB INSURANCE-	09/25/2018	30,000,000	01/01/2006	06/30/2011	0	0	12/31/2019
FX	3238 NORTH DAKOTA STATE INVESTMENT BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	3238 NORTH DAKOTA STATE INVESTMENT BOARD/PIMCO	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	BRANDYWINE 8424 - NORTH DAKOTA STATE INVESTMENT BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	CAP GROUP - 44283000	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	CGTC 44044700-NORTH DAKOTA STATE INVESTMENT BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	CLIFTON INTERNATIONAL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	LMS M411N5 - NORTH DAKOTA STATE INV BOS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	LOOMIS - NORTH DAKOTA STATE INVESTMENT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	LOOMIS SAYLES AND COMPANY LP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND INS CLIFTON EAFE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND INS INTL EQ CAP GUARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND INS LSV	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND INSURANCE TNT LIQUIDATION	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND JOB SERVICE - CASH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND PEN BANK OF IRELAND	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND PEN CLIFTON EAFE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND PEN EURO CRDT MGMT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND PEN LAZARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND PEN-PIMCO UNCONSTRAINED	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND PENSION ALPH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ND TEACHERS CASH ACCOUNT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDI03-NDINS CAPIT GU	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDI04-NDINS WESTERN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019

## Previously Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
FX	NDI06-NDINS WSTRN FI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS BABSON CAPITALMGMT-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS CLIFTON LARGE CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS CLIFTON SMALL CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS DECLARATION TRBF -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS DFA INTL SMALL CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS GROSVENOR CUST INFR -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS INSURANCE CASH -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS INVESCO CORE -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS JP MORGAN IG -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS JP MRGN INFRASTRUCTU-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS JPM SHORT-TERM FD -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS LA CAPITAL ENHANCED -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS LA CAPITAL GROWTH -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS LSV LARGE CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS PIMCO BRAVO II -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS PIMCO DISCO II -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS PIMCO RAE SMALL CAP-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS STATE STREET G/C -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS TIMBER INVEST RESOUR-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS VANGUARD -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS WELLS BBB -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDINS-WILLIAM BLAIR	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDJOB - SEI -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDK02-NDPEN CAPIT GU	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDK08-NDPEN BRANDYWI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDK09-NDPEN LOOMIS SA	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDK10-NDPEN LSV	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDK12-NDPEN TRANSITI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDK14-NDPEN EPOCH IN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDK15-NDPEN WESTRN F	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG CLIFTON SMALL CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG DECLARATION TRBF -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG DFA INTL SMALL CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG GROSVENOR CUST INFR -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG INVESCO CORE -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG JP MORGAN IG -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG PIMCO RAE SMALL CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG STATE STREET G/C -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG VANGUARD -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG WELLS BBB -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG WESTERN TIPS -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG-CLIFTON LARGE CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG-JPMORGAN INFRASTRUCT-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG-LA CAPITAL ENHANCEME-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG-LA CAPITAL GROWTH -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG-LSV LARGE CAP -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLEG-WILLIAM BLAIR	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLG01-NDLEG LSV INTL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLG02-NDLEG CAPITAL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLG03-NDLEG PRUDENTL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDLG04-NDLEG WESTERN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019

## Previously Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
FX	NDPEN ADAMS ST 2015 FUNDS -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN ADAMS ST PARTNERS-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN ADAMS STREET 2010-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN AXIOM EM-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN BROKER CASH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN CALLAN ASSOCIATES-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN CAPITAL INTL EQTY F-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN CLIFTON ENHANCED SM -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN CLIFTON ENHANCED SP-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN CORSAIR CAPITAL-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN DECLARATION TOTAL RE-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN DFA EMERGING MARKETS-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN DFA INTL SMALL CAP-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN EIG-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN EMERGING MRKTS TRANSITIO	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN GLOBAL EQUITY TRANSITION	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN GOLDMAN SACHS-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN GROSVENOR CUST INFR -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN GROSVENOR CUST INFR-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN HEARTHSTONE-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN INVESCO ASIA RE III	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN INVESCO FUND II-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN INVESCO FUND III-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN INVESCO VALUE ADDED -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN INVESCO-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN INVESTAMERICA LEWIS -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN JP MORGAN ASIAN INFR-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN JP MORGAN REAL ESTAT-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN JP MORGAN-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN JPM GREATER EUR OPP PR	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN JPMORGAN ALT FD-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN JPMORGAN GREATER CHI-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN JPMORGAN MBS-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN L.A. CAPITAL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN LA CAPITAL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN MATLIN PATTERSON GLB-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN NTGI ENHANCED	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN NTGI WORLD EX US-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN PENSION CASH-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN PIMCO BRAVO-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN PIMCO DISCO FUND LP-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN PIMCO MBS-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN QUANTUM ENERGY LP-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN SEI PERS RTREE HLTH-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN STATE ST LONG TREAS-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN TIR-SPRINGBANK-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN TIR-TEREDO-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN UBS GLOBAL FIXED-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN WELLINGTON INTL SM -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN-ADAMS STREET 2016-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN-ATLANTA CAPITAL SMALL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN-BLACKROCK PE-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019

## Previously Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
FX	NDPEN-INVESCO ASIA REAL ESTATE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPEN-WILLIAM BLAIR	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDPERS CASH ACCOUNT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSI NORTH DAKOTA STATE INVESTMENT BOARD-INSURANCE TRUST: ND-SIB-IT PO	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSI NORTH DAKOTA STATE INVESTMENT BOARD-INSURANCE TRUST: ND-SIB-IT PORTFOLIO	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSIB ALPHA TRANSITION	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSIB BISMARCK EMPLOYEES CASH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSIB BISMARCK POLICE CASH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSIB INSURANCE TRANSITION	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSIB TRANSITION	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSICP1 NORTH DAKOTA STATE INVESTMENT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDSICP1 NORTH DAKOTA STATE INVESTMENT BOARD-INSURANCE TRUST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDTOB - SSGA SHORT TERM FI-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NDTOB - SSGA SP 500 -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA LAND FIA-INTERNATIONAL FI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA LAND FIZ-INTERNATIONAL FI (NDL01)	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA SIB INSURANCE-	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INV BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD -	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD - LEGACY FUND	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD - M411N5	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD -LEGACY FUND	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD INSURANCE TRUST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD LOOMIS SAYLES AND COMPANY LP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD-INSURANCE TRUST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD-UBF-(3238)	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD/(NDSIB)	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD/(PIMCO 3238)	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	BLACKROCK INSTITUTIONAL TRUST COMPANY	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD/LOOMIS, SAYLES & COMPANY, L.P.	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD/PGIM, INC.	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE INVESTMENT BOARD/PIMCO	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NORTH DAKOTA STATE LAND DEPARTMENT (INT BOND PORTFOLIO)	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NTI NDI03 NORTH DAKOTA STATE INVESTMENT BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NTI NDI03 NORTH DAKOTA STATE INVESTMENT BOARD THE NORTHERN TRUST COMPANY	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NTI NDK02 NORTH DAKOTA STATE INVESTMENT BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NTI NDK02 NORTH DAKOTA STATE INVESTMENT BOARD THE NORTHERN TRUST COMPANY	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NTI NDL02 NORTH DAKOTA STATE INVESTMENT BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	NTI NDL02 NORTH DAKOTA STATE INVESTMENT BOARD THE NORTHERN TRUST COMPANY	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIM-NORTH DAKOTA STATE INV BRD-INS TR-CORE PLUS ACCT [NDSIPLUS]/NDSIPL-EWR	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIM-NORTH DAKOTA STATE INVESTMENT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIM-NORTH DAKOTA STATE INVESTMENT BOARD-INSURANCE TRUST A-C NDSI/PRNDSI-EW	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIM-NORTH DAKOTA STATE INVESTMENT BOARD-INSURANCE TRUST A-C NDSI/PRNDSI-EWR	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIM-NORTH DAKOTA STATE INVESTMENT BOARD-LEGACY FUND [NDSICP2]/NDSICP-EWR	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIMC-NORTH DAKOTA STATE INVESTMENT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIMC-NORTH DAKOTA STATE INVESTMENT BOARD (3238)/PI3238-NBH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIMCO 3238-NORTH DAKOTA STATE INVESTMENT BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PIMCO A/C NORTH DAKOTA STATE INVESTMENT BOARD - 3238	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PRU (NDSI) NORTH DAKOTA INV BOARD,PRUNDSI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PRU (NDSI) NORTH DAKOTA STATE INV BOARD,PRUNDSI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019

## Previously Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
FX	PRUDENTIAL (NDSI) NORTH DAKOTA STATE INVESTMENT BOARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PRUDENTIAL INVESTMENT MANAGEMENT INC AC	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	PRUDENTIAL INVESTMENT MANAGEMENT INC	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	SSGA IE - NORTH DAKOTA STATE INVESTMENT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	SSGA IE - NORTH DAKOTA STATE INVESTMENT FUND	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZ ND INS CASH SHORT TERM	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZ ND INSURANCE EQUITY TCW	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZ PEN PERS CORAL PARTNERS II	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZ*ND INSURANCE EQUITY SPA -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZ*NDINSURANCE LG CAP EQCHA-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZ*NDSIB FIXED LEHMAN -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND BSF-ENHANCED CASH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND HEALTH CARE STATE ST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS - DECLARATION -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS ALLIANCE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS BABSON BK LOANS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS CONV BOND TCW-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS FIXED BK OF ND-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS FIXED WESTERNASSET-S	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS JP MORGAN CASH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS LAZARD	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS SM CAP EQ POOL NICH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS SM CAP EQ SEI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS STATE ST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS WESTERN TIPS -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS WG TRADING/CLIFTON	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS-CLIFTON LEHMAN AGG	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS-CLIFTON RUSSELL 2000	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS-CLIFTON SP500	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND INS-WESTERN GLOBAL TIPS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - BLACKFRIARS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - CALAMOS -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - JP MORGAN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - PANAGORA	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - PRUDENTIAL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - PRUDENTIAL PRAMERIC	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - SUTTER HY -SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - UBS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN - WESTRIDGE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN ALLIANCE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN CALAMOS GLOBAL OPPTS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN CAP GUARD EMERG MKTS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN CONV BOND TCW	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN DECLARATION MNGMT LP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN FIXED BK OF ND-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN FIXED WEST LB-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN FIXED WESTERN ASS-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN FRANKLIN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN LSV-SL -	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN PERS ADAMS ST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN REAL ESTATE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN STATE ST INTL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019

## Previously Filed Anti-Trust Claims

Period from 7/1/2018 to 6/30/2019

Case Name	Account Name	Claim Deadline	Settlement Fund	Class Period Start	Class Period End	Total Recognized Loss	Pro Rata Shares	Est Pay Date
FX	ZZND PEN STATE ST LARGE CAP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN STRONG CAP ENHAN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN TEACHERS ADAMS ST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN WELLS CAP FIXED-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN WESTERN ASSET HIGH YE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN WG TRADING/CLIFTON	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-ALLIANCE/CLIFTON	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-CLIFTON BARCLAYS AGG	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-CLIFTON RUSSELL 2000	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-CLIFTON SP500	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-DECLARATION/CLIFTON	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-NTGI EMERGING MARKETS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-PIMCO	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-PIMCO UNCONSTRAINED	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-SEI FIXED INC	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PEN-WELLS CAP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZND PERS STATE ST PRFND HLTH	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDINS BABSON CAPITAL MGMT -	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDLEG BABSON ST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDLEG JP MORGAN ST	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDPEN CORAL PARTNERS-SL	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDPEN SM CAP EQ SEI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB - INS TRANSITION	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB BRINSON GLOBAL HEDGI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB BRINSON GLOBAL HEDGING	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB BRINSON GLOBAL HEDGING	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB BRINSON POST VENTURE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB BRINSON SMALL CAP EQ	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB CAPITAL GUARDIAN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB EQ NICH APPLE SM CAP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB EQ WILSHIRE SM CAP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB EQUITY DELAWARE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB EQUITY MCSTAY	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB EQUITY SPARE,KAPLAN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB FIXED IAI	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB FIXED SANFORD BRNSTN	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB LG CAP EQ NORTH CAP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB LG CAP EQUITY CHANCE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB SIRACH CAP MGT	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB STATE STREET	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB STATE STREET EAFE	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB WILSHIRE LARGE CAP	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZNDSIB-INS NTGI TIPS	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019
FX	ZZWACHOVIA SEC LENDING	05/16/2018	2,310,275,000	01/01/2003	12/15/2015	0	0	12/31/2019

## Securities Litigation Recoveries by Fiscal Year

<u>Fiscal Year</u>	<u>\$ Recovered</u>	<u># Cases</u>
2011	405,676	54
2012	692,958	47
2013	185,789	59
2014	153,480	55
2015	645,943	55
2016	457,616	42
2017	424,362	51
2018	189,006	54
2019	344,684	60