



**ND STATE INVESTMENT BOARD  
SECURITIES LITIGATION COMMITTEE MEETING**

**Thursday, November 5, 2020, 1:00 p.m.  
North Dakota Retirement and Investment Office (RIO)  
RIO Conference Room (Virtual)  
3442 East Century Avenue, Bismarck, ND**

**Teleconference 701-328-0950, Conference ID: 859 348 519#**

**AGENDA**

1. Call to Order and Approval of Agenda – Chief Deputy Attorney General Seibel **Committee Action**
2. Minutes (August 11, 2020) **Committee Action**
3. Securities Litigation Committee Meeting Schedule – Mr. Hunter (10 minutes) **Committee Action**
4. Securities Litigation Recoveries (10-Year History) – Ms. Flanagan (10 minutes) *Informational*
5. RIO Financial Statement Contingency Disclosure – Mr. Hunter (10 minutes) *Informational*
6. International Securities Fraud Cases (30 minutes) (to be distributed separately via secure email)  
*Grant & Eisenhofer – Mr. Marc Weinberg and Mr. Olav Haazen  
Executive Session for confidential and privileged attorney client consultation  
pursuant to NDCC 44-04-17.1(4), NDCC 44-04-19.1, and NDCC 44-04-19.2.*
7. Other - Next Proposed SIB Securities Litigation Committee Meeting  
North Dakota Retirement and Investment Office  
3442 E Century Ave, Bismarck, ND 58503  
Thursday, February 4, 2021 at 2:00 PM (subject to Committee approval)
8. Adjournment

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 COMMITTEE  
MINUTES OF THE AUGUST 11, 2020, MEETING**

**MEMBERS PRESENT:** Troy Seibel, Chair  
Jodi Smith, Vice Chair  
Dean DePountis, Attorney General's Office  
Connie Flanagan, Chief Financial Officer  
David Hunter, Executive Director/CIO

**STAFF PRESENT:** Missy Kopp, Retirement Asst  
Jan Murtha, Dep Exec Dir/Chief Retirement Officer

**GUESTS:** John Blessington, K&L Gates  
Ron Sparkes, K&L Gates  
Ryan Tosi, K&L Gates

**CALL TO ORDER:**

Mr. Seibel, Chair, called the State Investment Board (SIB) Securities Litigation Committee (SLC) regular meeting (virtual) to order at 2:05 p.m. on Tuesday, August 11, 2020, at the Retirement and Investment Office (RIO) (virtual host), 3442 E Century Ave, Bismarck, ND.

**AGENDA:**

IT WAS MOVED BY COMMISSIONER SMITH AND SECONDED BY MS. FLANAGAN AND CARRIED BY A VOICE VOTE TO APPROVE THE AGENDA FOR THE AUGUST 11, 2020, MEETING.

AYES: COMMISSIONER SMITH, MS. FLANAGAN, MR. DEPOUNTIS, MR. HUNTER, AND MR. SEIBEL  
NAYS: NONE  
MOTION CARRIED

**MINUTES:**

IT WAS MOVED BY MR. HUNTER AND SECONDED BY MS. FLANAGAN AND CARRIED BY A VOICE VOTE TO ACCEPT THE MINUTES OF THE APRIL 30, 2020, MEETING AS DISTRIBUTED.

AYES: MS. FLANAGAN, MR. DEPOUNTIS, MR. HUNTER, COMMISSIONER SMITH, AND MR. SEIBEL  
NAYS: NONE  
MOTION CARRIED

**CHARTER:**

Mr. Hunter reviewed the SLC charter, authority, and policy.

Election of officers of the SLC took place for the period of July 1, 2020 - June 30, 2021.

IT WAS MOVED BY MR. HUNTER AND SECONDED BY MS. FLANAGAN AND CARRIED BY A VOICE VOTE TO NOMINATE MR. SEIBEL AS CHAIR AND COMMISSIONER SMITH AS VICE CHAIR OF THE SIB SECURITIES LITIGATION COMMITTEE FOR THE PERIOD OF JULY 1, 2020 - JUNE 30, 2021.

AYES: MR. DEPOUNTIS, MR. HUNTER, COMMISSIONER SMITH, MS. FLANAGAN, AND MR. SEIBEL

NAYS: NONE

MOTION CARRIED

**SECURITIES LITIGATION FIRMS:**

Mr. Hunter reviewed Securities Litigation firms the SIB and SLC has engaged since 2009.

- K&L Gates - 2009 WG Trading (plaintiff's attorney)
- K&L Gates - 2012 Tribune
- Kasowitz Benson Torres - 2015 General Motors
- Grant & Eisenhofer - 2016 Volkswagen (plaintiff's attorney)
- Grant & Eisenhofer - 2019 Danske Bank (plaintiff's attorney)
- Kessler, Topaz, Meltzer, Check, LLP - 2020 Nissan Motor Co., Ltd.

Financial Recovery Technologies (FRT) was hired in 2018 to recover investment losses in the U.S. and international securities litigation cases.

Since 2011, annual cash recoveries have ranged 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 \$345,000 in the fiscal year ended June 30, 2019 and \$644,000 in the fiscal year ended June 30, 2020.

On November 5, 2019, the SLC identified Bernstein Litowitz Berger & Grossman, Grant & Eisenhofer, and Labaton Sucharow as pre-approved law firms to be utilized on a case by case basis to provide legal counsel when new securities litigation related cases are raised for further consideration by FRT.

**CASE UPDATES:**

K&L Gates representatives updated the SLC on the WG Trading and Tribune cases.

WG Trading - The SIB's initial investment with Westridge Capital Management was \$75,269,880.

There were 17 SIB client funds impacted by the case; Public Employees Retirement System, Teachers' Fund for Retirement, Bismarck City Employee and Police Pension Plans, Job Service, City of Fargo Employee Pension Plan, WSI, State Fire & Tornado, State Bonding, Risk Management, Risk Management Workers Compensation, Insurance Regulatory Trust Fund, Petroleum Tank Release Compensation Fund, ND Association of Counties, City of Bismarck Deferred Sick Leave, Fargo Dome Permanent Fund and Cultural Endowment Fund.

To date, the Receiver has made three distributions of funds to investors. The distributions to SIB were as followed:

1. On March 21, 2011, SIB recovered a total of \$63,930,633.62, distributed as follows:
  - a. ND Pension Trust: \$19,912,957.02
  - b. ND Insurance Trust: \$12,294,359.53
  - c. ND Enhanced Lehman: \$31,723,317.07
  
2. On December 28, 2012, SIB recovered a total of \$3,137,614.23, distributed as follows:
  - a. ND Pension Trust: \$ 977,294.52
  - b. ND Insurance Trust: \$ 603,375.62
  - c. ND Enhanced Lehman: \$1,556,944.00
  
3. On October 14, 2015, SIB recovered a total of \$5,944,067.48, distributed as follows:
  - a. ND Pension Trust: \$1,851,443.74
  - b. ND Insurance Trust: \$1,143,091.73
  - c. ND Enhanced Lehman: \$2,949,532.01

On June 29, 2020, the Receiver sought court approval for a final distribution of assets. Under the plan submitted by the Receiver, SIB is scheduled to receive the following additional funds:

4. Final Distribution: A total distribution of \$2,257,404.67, to be distributed as follows:
  - a. ND Pension Trust: \$ 703,124.72
  - b. ND Insurance Trust: \$ 439,113.12
  - c. ND Enhanced Lehman: \$1,120,146.83

The SIB will have recovered all of the \$75,269,880 it invested in the Westridge entities once the final distribution is received.

Tribune - The SIB was named as a defendant arising out of the Tribune bankruptcy proceedings which related to securities that were purchased by external investment managers in one or more portfolios held by the SIB on behalf of its clients. In 2007, all of the stockholders of the Tribune Company engaged in a buyout. The creditors allege that as a result of that buyout, the Tribune company filed for bankruptcy. On July 15, 2019, the Litigation Trustee filed a Notice of Appeal to the Second Circuit, appealing the various judgments of the U.S. District Court that dismissed the claims against defendants in the action and denying leave to amend the complaint to add a constructive fraudulent transfer claim. Briefing of the legal issues before the Second Circuit is complete, and oral argument is set for August 24, 2020.

**OTHER:**

The next Securities Litigation meeting is scheduled for Thursday, November 5, 2020, at 1:00 p.m. at the Retirement and Investment Office, 3442 East Century Avenue, Bismarck, ND.

**ADJOURNMENT:**

With no further business to come before the SLC, Mr. Seibel adjourned the meeting at 2:31 p.m.

---

Mr. Seibel, Chair

---

Bonnie Heit  
Recorder

***Committee Action***

**TO:** SIB Securities Litigation Committee (SLC)  
**FROM:** Dave Hunter  
**DATE:** November 5, 2020  
**SUBJECT:** **Proposed Meeting Schedule for 2021**

---

Proposed meeting dates for the SIB Securities Litigation Committee are as follows for 2021:

**February 4, 2021** (Thursday from 2:00 to 3:30 p.m.)  
**May 6, 2021** (Thursday from 2:00 to 3:30 p.m.)  
**August 5, 2021** (Thursday from 2:00 to 3:30 p.m.)  
**November 4, 2021** (Thursday from 2:00 to 3:30 p.m.)

RIO will seek to review the proposed 2021 meeting schedule and seek Committee member input at our SLC meeting on November 5, 2020.

*Informational*

**TO:** SIB Securities Litigation Committee (SLC)  
**FROM:** Connie Flanagan  
**DATE:** November 5, 2020  
**SUBJECT:** Securities Litigation Recoveries -  
Fiscal Years Ended June 30, 2011 to June 30, 2020

---

**Securities Litigation Recoveries  
By Fiscal Year**

<u>Fiscal Year</u>	<u>\$ Recovered</u>	<u># Cases</u>
2011	405,676	54
<b>2012</b>	<b>692,958</b>	<b>47</b>
2013	185,789	59
2014	153,480	55
<b>2015</b>	<b>645,943</b>	<b>55</b>
2016	457,616	42
2017	424,362	51
2018	189,006	54
2019	344,684	60
<b>2020</b>	<b>638,661</b>	<b>37</b>

Annual Securities Litigation Activity Report  
For the Fiscal Year Ended June 30, 2020

NDSIB Securities Litigation Committee  
November 5, 2020



## Claims Status Report for ND State Investment Board For Fiscal Year Ended June 30, 2020

**Total Recoveries for FY2020** **\$638,661.40**

### Class Action Claims



Status	# Cases	# Claims	Total Recognized Loss	Net \$ Recovered
Newly Filed	37	127	\$1,578,179.43	
Newly Paid	14	17	2,066,589.35	363,285.83
Previously Filed	14	43	530,866.88	
<b>Total</b>	<b>65</b>	<b>187</b>	<b>\$4,175,635.66</b>	<b>\$363,285.83</b>

### Northern Trust

Status	# Cases	# Claims	Total Recognized Loss	Net \$ Recovered
Newly Paid	22	57		264,699.81
Previously Filed	9	19		
<b>Total</b>	<b>65</b>	<b>187</b>		<b>\$264,699.81</b>

**Total Class Action Recoveries FY2020** **\$ 627,985.64**

## Anti-trust Claims



Status	# Cases	Settlement Fund	# Claims	Net \$ Recovered
Newly Filed	3	\$569,000,000.00	52	
Newly Paid	1	\$96,000,000.00	10	10,675.76
Previously Filed	6	\$3,377,775,000.00	121	
<b>Total</b>	<b>9</b>	<b>\$4,042,775,000.00</b>	<b>183</b>	<b>\$10,675.76</b>

## Non-US Group Recovery



Status	# Cases	# Claims	FRT Damages	Damaged Shares	\$ Recovered
Newly Filed	1	4	\$43,429.57		
Previously Filed	1	1		18,900	
<b>Total</b>	<b>2</b>	<b>5</b>	<b>\$43,429.57</b>	<b>18,900</b>	

## Non-US Opt-In Monitoring



Status	# Cases	# Claims	FRT Damages	Damaged Shares	\$ Recovered
Newly Filed	1	6	\$1,541,037.45		
<b>Total</b>	<b>1</b>	<b>6</b>	<b>\$1,541,037.45</b>		

**Class Action Claims**
**Newly Paid**

Case Name	Account Name	Claim Deadline	Filed Date	Class Period		Remit Date	\$ Recovered	FRT Fees	Net to Client
ALLERGAN, INC.,	NDPEN LA CAPITAL	08-07-2018	08-06-2018	02-24-2014	04-21-2014	03-17-2020	\$616.53	\$0.00	\$616.53
BANCORP, INC.	NDINS PIMCO RAE SMALL CAP-SL	01-13-2017	06-08-2017	01-25-2011	09-25-2015	10-15-2019	750.69	135.12	615.57
BANCORP, INC.	NDLEG PIMCO RAE SMALL CAP -SL	01-13-2017	03-05-2018	01-25-2011	09-25-2015	10-15-2019	1,707.58	307.36	1,400.22
BANCORP, INC.							2,458.27	442.48	2,015.79
BIG LOTS, INC.	NDSIB AGGREGATE	10-08-2018	09-10-2018	03-01-2012	11-20-2012	04-28-2020	4,202.22	-	4,202.22
COMSCORE, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	05-29-2018	05-29-2018	02-10-2014	02-22-2017	10-15-2019	2,945.98	-	2,945.98
L-3 COMMUNICATIONS HOLDINGS, INC.	NDLEG-LSV LARGE CAP -SL	07-29-2017	03-05-2018	01-29-2014	10-28-2014	10-15-2019	2,366.81	426.03	1,940.78
LEAPFROG ENTERPRISES, INC.,	NDSIB AGGREGATE	08-08-2018	08-07-2018	05-04-2014	09-11-2015	10-15-2019	891.86	-	891.86
MEDTRONIC, INC.	NDSIB AGGREGATE	01-02-2019	01-02-2019	09-07-2010	09-26-2011	04-28-2020	7,360.94	-	7,360.94
OCWEN FINANCIAL CORPORATION	NDINS LA CAPITAL ENHANCED -SL	12-08-2017	03-05-2018	05-02-2013	03-19-2015	10-15-2019	925.59	166.61	758.98
PETROBRAS	NDSIB AGGREGATE	06-09-2018	06-07-2018	01-21-2010	10-26-2015	11-19-2019	284,889.35	-	284,889.35
PETROBRAS	NDSIB AGGREGATE	06-09-2018	06-07-2018	01-21-2010	10-26-2015	03-17-2020	54,959.87	-	54,959.87
PETROBRAS							339,849.22	-	339,849.22
QUALITY SYSTEMS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	12-12-2018	12-12-2018	05-25-2011	10-23-2012	03-17-2020	19.23	-	19.23
SYMBOL TECHNOLOGIES	NDSIB AGGREGATE	11-29-2018	11-12-2018	03-11-2004	10-31-2005	10-15-2019	1,576.28	-	1,576.28
VIRTUS INVESTMENT PARTNERS, INC.,	NDINS PIMCO RAE SMALL CAP-SL	10-10-2018	10-10-2018	01-24-2013	08-07-2015	11-19-2019	66.34	-	66.34
VIRTUS INVESTMENT PARTNERS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	10-10-2018	10-10-2018	01-24-2013	08-07-2015	11-19-2019	237.78	-	237.78
VIRTUS INVESTMENT PARTNERS, INC.,							304.12	-	304.12
VISTA OUTDOOR INC.,	NDINS PIMCO RAE SMALL CAP-SL	11-26-2018	11-26-2018	08-10-2016	02-08-2018	03-17-2020	101.71	-	101.71
VISTA OUTDOOR INC.,	NDLEG PIMCO RAE SMALL CAP -SL	11-26-2018	11-26-2018	08-10-2016	02-08-2018	03-17-2020	422.25	-	422.25
VISTA OUTDOOR INC.,							523.96	-	523.96
WILLBROS GROUP, INC.,	NDINS PIMCO RAE SMALL CAP-SL	09-06-2018	08-31-2018	02-27-2014	06-15-2015	03-17-2020	279.94	-	279.94
<b>TOTAL PROCEEDS FROM FRT</b>							<b>\$364,320.95</b>	<b>\$1,035.12</b>	<b>\$363,285.83</b>

# Northern Trust Newly Paid Claims

Period from 7/1/2019 to 6/30/2020

Class Action Name	Account name	Claim			Date of Distribution	Gross paid	Filing Fee	Net Paid
		Deadline	Class Period					
Amer. Intl. Grp. (2004) (COMPANY)	ZZND PEN ALLIANCE	1/23/2012	10/27/1999	12/15/2010	12/2/2019	\$ 53.25	\$ 5.00	\$ 48.25
Amer. Intl. Grp. (2004) (COMPANY)	ZZNDSIB - INS TRANSITION	1/23/2012	10/27/1999	12/15/2010	12/2/2019	32.96	5.00	27.96
Amer. Intl. Grp. (2004) (COMPANY)	NDPEN-LA CAPITAL ENHANCED LG	1/23/2012	10/27/1999	12/15/2010	12/2/2019	74.59	5.00	69.59
Amer. Intl. Grp. (2004) (COMPANY)	NDPEN-NTAM QUANT ENHANCED S&P	1/23/2012	10/27/1999	12/15/2010	12/2/2019	89.52	5.00	84.52
Amer. Intl. Grp. (2004) (COMPANY)						250.32	20.00	230.32
AMGEN INC. (2007)	NDPEN-LA CAPITAL ENHANCED LG	12/23/2016	4/21/2004	8/8/2007	7/18/2019	1,837.04	36.74	1,800.30
AMGEN INC. (2007)	NDPEN-NTAM QUANT ENHANCED S&P	12/23/2016	4/21/2004	8/8/2007	7/18/2019	2,259.18	45.18	2,214.00
AMGEN INC. (2007)	NDPEN-LA CAPITAL LG CAP GROWTH	12/23/2016	4/21/2004	8/8/2007	7/18/2019	1,179.79	23.59	1,156.20
AMGEN INC. (2007)	NDINS-LA CAPITAL LG CAP GROWTH	12/23/2016	4/21/2004	8/8/2007	7/18/2019	130.93	5.00	125.93
AMGEN INC. (2007)	NDINS-LA CAPITAL ENHANCED LG	12/23/2016	4/21/2004	8/8/2007	7/18/2019	153.36	5.00	148.36
AMGEN INC. (2007)						5,560.30	115.51	5,444.79
BANK OF AMER CRP SEC. DERIVATIVE & ERISA	NDPEN-LA CAPITAL ENHANCED LG	4/25/2013	9/17/2008	4/21/2009	6/26/2020	41.36	5.00	36.36
BANK OF AMER CRP SEC. DERIVATIVE & ERISA	NDPEN-NTAM QUANT ENHANCED S&P	4/25/2013	9/17/2008	4/21/2009	6/26/2020	48.74	5.00	43.74
BANK OF AMER CRP SEC. DERIVATIVE & ERISA	NDINS-LSV LARGE CAP VALUE	4/25/2013	9/17/2008	4/21/2009	6/26/2020	33.22	5.00	28.22
BANK OF AMER CRP SEC. DERIVATIVE & ERISA	ZZ*ND PEN LSV-SL -	4/25/2013	9/17/2008	4/21/2009	6/26/2020	219.50	5.00	214.50
BANK OF AMER CRP SEC. DERIVATIVE & ERISA						342.82	20.00	322.82
BARRETT BUSINESS SERVICES, INC.	NDINS-PIMCO RAE US SMALL	3/21/2017	2/11/2013	6/7/2016	7/30/2018	12.96	5.00	7.96
CITIGROUP INC BONDS	NDI04-NDINS WESTERN	8/21/2013	5/10/2006	3/18/2013	6/15/2020	320.60	6.41	314.19
CITIGROUP INC BONDS	ZZ*ND PEN WELLS CAP FIXED-SL	8/21/2013	5/10/2006	3/18/2013	6/15/2020	68.09	5.00	63.09
CITIGROUP INC BONDS	ZZ*ND PEN - CALAMOS -SL	8/21/2013	5/10/2006	3/18/2013	6/15/2020	207.09	5.00	202.09
CITIGROUP INC BONDS	NDINS-WELLS CAPITAL BBB	8/21/2013	5/10/2006	3/18/2013	6/15/2020	187.77	5.00	182.77
CITIGROUP INC BONDS						783.55	21.41	762.14
COMPUTER SCIENCES CORP (SEC FAIR FUND)	NDPEN-LA CAPITAL ENHANCED LG	9/11/2017	8/4/2008	3/23/2012	7/12/2019	14,757.42	250.00	14,507.42
COMPUTER SCIENCES CORP (SEC FAIR FUND)	NDPEN-LA CAPITAL LG CAP GROWTH	9/11/2017	8/4/2008	3/23/2012	7/12/2019	44,290.94	250.00	44,040.94
COMPUTER SCIENCES CORP (SEC FAIR FUND)	NDINS-LA CAPITAL LG CAP GROWTH	9/11/2017	8/4/2008	3/23/2012	7/12/2019	7,941.61	158.83	7,782.78
COMPUTER SCIENCES CORP (SEC FAIR FUND)	NDINS-LA CAPITAL ENHANCED LG	9/11/2017	8/4/2008	3/23/2012	7/12/2019	2,950.26	59.00	2,891.26
COMPUTER SCIENCES CORP (SEC FAIR FUND)	NDINS-LSV LARGE CAP VALUE	9/11/2017	8/4/2008	3/23/2012	7/12/2019	7,727.72	154.55	7,573.17
COMPUTER SCIENCES CORP (SEC FAIR FUND)						77,667.95	872.38	76,795.57
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	ZZ*ND INS - DECLARATION -SL	12/15/2013	3/11/2004	8/7/2013	11/14/2018	108.83	5.00	103.83
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	NDK15-NDPEN WESTRN F	12/15/2013	3/11/2004	8/7/2013		82.68	5.00	77.68
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	NDK08-NDPEN BRANDYWI	12/15/2013	3/11/2004	8/7/2013	11/14/2018	712.58	14.25	698.33
COUNTRYWIDE FNCL CORP (2010) MBS SETTLE						904.09	24.25	879.84
DELL SEC FAIR FUND	ZZND INS ALLIANCE	5/25/2013	5/2/2001	5/15/2002	10/29/2019	39.45	5.00	34.45
DELL SEC FAIR FUND	ZZND PEN ALLIANCE	5/25/2013	5/2/2001	5/15/2002	10/29/2019	115.11	5.00	110.11
DELL SEC FAIR FUND						154.56	10.00	144.56
DELL, INC.	NDPEN-LA CAPITAL ENHANCED LG	5/11/2010	5/15/2002	9/8/2006	10/29/2019	30.03	5.00	25.03
DELL, INC.	NDPEN-NTAM QUANT ENHANCED S&P	5/11/2010	5/15/2002	9/8/2006	10/29/2019	130.94	5.00	125.94
DELL, INC.						160.97	10.00	150.97

## Northern Trust Newly Paid Claims

Period from 7/1/2019 to 6/30/2020

Class Action Name	Account name	Claim Deadline	Class Period		Date of Distribution	Gross paid	Filing Fee	Net Paid
GENERAL MOTORS COMPANY	NDPEN-LA CAPITAL ENHANCED LG	4/27/2016	11/1/2010	7/24/2014	9/3/2019	10,333.53	206.67	10,126.86
GENERAL MOTORS COMPANY	NDINS-LA CAPITAL LG CAP GROWTH	4/27/2016	11/1/2010	7/24/2014	9/3/2019	279.22	5.58	273.64
GENERAL MOTORS COMPANY	NDINS-LA CAPITAL ENHANCED LG	4/27/2016	11/1/2010	7/24/2014	9/3/2019	5,279.29	105.58	5,173.71
GENERAL MOTORS COMPANY	NDPEN-LOOMIS SAYLES HIGH YIELD	4/27/2016	11/1/2010	7/24/2014	9/3/2019	61,520.30	250.00	61,270.30
GENERAL MOTORS COMPANY	NDPEN-EPOCH GLOBAL CHOICE	4/27/2016	11/1/2010	7/24/2014	9/3/2019	62,985.79	250.00	62,735.79
GENERAL MOTORS COMPANY						<u>140,398.13</u>	<u>817.83</u>	<u>139,580.30</u>
GENWORTH FINANCIAL, INC. (2014) (E.D.VA.)	NDINS-LSV LARGE CAP VALUE	8/22/2016	10/29/2013	2/3/2015	11/26/2019	27.23	5.00	22.23
GLOBAL CROSSING 1	ZZND PEN CONV BOND TCW	7/9/2004	2/1/1999	12/8/2003	2/19/2020	344.25	6.88	337.37
GLOBAL CROSSING 1	*ZZND INS CONV BOND TCW-SL	7/9/2004	2/1/1999	12/8/2003	2/19/2020	409.29	8.18	401.11
GLOBAL CROSSING 1	ZZND PEN WESTERN ASSET HIGH YE	7/9/2004	2/1/1999	12/8/2003	2/19/2020	75.80	5.00	70.80
GLOBAL CROSSING 1						<u>829.34</u>	<u>20.06</u>	<u>809.28</u>
HALLIBURTON COMPANY	NDPEN-LA CAPITAL ENHANCED LG	8/12/2017	8/13/1999	3/6/2002	2/19/2020	13.61	5.00	8.61
IMPERVA INC	NDINS-PIMCO RAE US SMALL	1/22/2018	5/1/2013	7/8/2014	9/26/2019	345.98	6.91	339.07
JP MORGAN ACCEPTANCE CORP	ZZ*ND INS - DECLARATION -SL	12/16/2015	1/3/2000	10/22/2015	4/28/2020	8,458.85	169.17	8,289.68
MEDTRONIC, INC (2013)	ZZ*ND PEN LSV-SL -	1/2/2019	9/7/2010	9/26/2011	4/21/2020	6,037.94	120.75	5,917.19
MERCK & CO.	NDPEN-LA CAPITAL ENHANCED LG	9/12/2016	5/20/1999	1/28/2005	1/23/2020	5,186.31	103.72	5,082.59
MERCK & CO.	NDPEN-NTAM QUANT ENHANCED S&P	9/12/2016	5/20/1999	1/28/2005	1/23/2020	3,848.19	76.96	3,771.23
MERCK & CO.	NDPEN-LA CAPITAL LG CAP GROWTH	9/12/2016	5/20/1999	1/28/2005	1/23/2020	7,542.76	150.85	7,391.91
MERCK & CO.	NDINS-LA CAPITAL LG CAP GROWTH	9/12/2016	5/20/1999	1/28/2005	1/23/2020	1,430.64	28.61	1,402.03
MERCK & CO.	NDINS-LA CAPITAL ENHANCED LG	9/12/2016	5/20/1999	1/28/2005	1/23/2020	1,959.34	39.18	1,920.16
MERCK & CO.	NDINS-LSV LARGE CAP VALUE	9/12/2016	5/20/1999	1/28/2005	1/23/2020	249.22	5.00	244.22
MERCK & CO.	ZZ*ND PEN LSV-SL -	9/12/2016	5/20/1999	1/28/2005	1/23/2020	2,114.49	42.28	2,072.21
MERCK & CO.						<u>22,330.95</u>	<u>446.60</u>	<u>21,884.35</u>
MERRILL LYNCH & CO IN (BND\$ OR PFD SHRS)	NDINS-WESTERN US CORE FIXED IN	1/4/2010	1/22/2007	4/27/2009	1/30/2020	29.30	5.00	24.30
REGIONS FINANCIAL CORP (2010)	ZZ*ND PEN LSV-SL -	9/9/2015	2/26/2008	4/17/2009	1/7/2020	47.32	5.00	42.32
THE BANCORP INC	NDLEG-PIMCO RAE US SMALL	1/13/2017	1/25/2011	9/25/2015	8/13/2020	2,458.27	49.16	2,409.11
TOWER GROUP INTL LTD. (2013)(TOWER DEFEN	NDINS-PIMCO RAE US SMALL	12/28/2015	2/26/2010	3/18/2014	5/28/2019	18.75	5.00	13.75
TOWER GROUP INTL LTD. (2013)(TOWER DEFEN	NDPEN-LSV GLOBAL VALUE EQUITY	12/28/2015	2/26/2010	3/18/2014	5/28/2019	486.74	9.73	477.01
TOWER GROUP INTL LTD. (2013)(TOWER DEFEN						<u>505.49</u>	<u>14.73</u>	<u>490.76</u>
UNITED HEALTHCARE CORP (1998) DISTRIBUTI	ZZND INS ALLIANCE	10/4/2019	2/11/1998	8/5/1998	10/23/2019	25.68	5.00	20.68
UNITED HEALTHCARE CORP (1998) DISTRIBUTI	ZZND PEN ALLIANCE	10/4/2019	2/11/1998	8/5/1998	10/23/2019	127.96	5.00	122.96
UNITED HEALTHCARE CORP (1998) DISTRIBUTI						<u>153.64</u>	<u>10.00</u>	<u>143.64</u>
<b>TOTAL PROCEEDS FROM NORTHERN TRUST</b>						<u><b>\$ 267,473.57</b></u>	<u><b>\$ 2,773.76</b></u>	<u><b>\$ 264,699.81</b></u>

**Class Action Claims**
**Newly Filed**

Case Name	Account Name	Claim Deadline	Filed Date	Class Period	Total Recognized Loss	Est Pay Date
ADEPTUS HEALTH INC	NDLEG PIMCO RAE SMALL CAP -SL	06-08-2020	06-08-2020	05-21-2014 05-30-2017	\$13,841.67	09-30-2021
AKORN, INC.,	NDINS PIMCO RAE SMALL CAP-SL	01-24-2020	01-24-2020	11-02-2016 04-08-2019	10,517.00	04-30-2021
AKORN, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	01-24-2020	01-24-2020	11-02-2016 04-08-2019	96,011.22	04-30-2021
ALLEGIANT TRAVEL COMPANY,	NDINS PIMCO RAE SMALL CAP-SL	04-23-2020	04-23-2020	06-07-2015 08-07-2018	-	07-31-2021
ALLEGIANT TRAVEL COMPANY,	NDLEG PIMCO RAE SMALL CAP -SL	04-23-2020	04-23-2020	06-07-2015 08-07-2018	-	07-31-2021
AMERICAN REALTY CAPITAL PROPERTIES, INC.	ZZNDINS BABSON CAPITAL MGMT -	01-23-2020	01-23-2020	02-27-2013 01-30-2015	-	04-30-2021
AMERICAN REALTY CAPITAL PROPERTIES, INC.	ZZNDLEG BABSON ST	01-23-2020	01-23-2020	02-27-2013 01-30-2015	-	04-30-2021
APOLLO EDUCATION GROUP, INC.,	NDPEN LA CAPITAL	07-19-2019	07-19-2019	11-12-2013 01-19-2016	27,406.70	10-31-2020
BABCOCK & WILCOX ENTERPRISES, INC.,	NDINS LA CAPITAL ENHANCED -SL	01-02-2020	01-02-2020	06-16-2015 11-07-2017	-	04-30-2021
BABCOCK & WILCOX ENTERPRISES, INC.,	NDINS PIMCO RAE SMALL CAP-SL	01-02-2020	01-02-2020	06-16-2015 11-07-2017	17,724.68	04-30-2021
BABCOCK & WILCOX ENTERPRISES, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	01-02-2020	01-02-2020	06-16-2015 11-07-2017	78,471.85	04-30-2021
BABCOCK & WILCOX ENTERPRISES, INC.,	NDLEG-LA CAPITAL ENHANCEME-SL	01-02-2020	01-02-2020	06-16-2015 11-07-2017	-	04-30-2021
BANC OF CALIFORNIA, INC.,	NDINS PIMCO RAE SMALL CAP-SL	03-17-2020	03-17-2020	04-14-2016 04-21-2017	-	06-30-2021
BANC OF CALIFORNIA, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	03-17-2020	03-17-2020	04-14-2016 04-21-2017	-	06-30-2021
BANCO BRADESCO S.A.,	NDI03-NDINS CAPIT GU	12-21-2019	12-20-2019	08-07-2014 10-25-2016	13,793.42	03-31-2021
BANCO BRADESCO S.A.,	NDLG02-NDLEG CAPITAL	12-21-2019	12-20-2019	08-07-2014 10-25-2016	51,643.86	03-31-2021
BANK OF NEW YORK MELLON	ND INS INTL EQ CAP GUARD	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	ND PEN BANK OF IRELAND	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	ND PEN LAZARD	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDI03-NDINS CAPIT GU	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDINS PIMCO RAE SMALL CAP-SL	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDK02-NDPEN CAPIT GU	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDK10-NDPEN LSV	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDK14-NDPEN EPOCH IN	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDLEG PIMCO RAE SMALL CAP -SL	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDLEG-LSV LARGE CAP -SL	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDLG02-NDLEG CAPITAL	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	NDSIB AGGREGATE	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	ZZND INS CONV BOND TCW-SL	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020
BANK OF NEW YORK MELLON	ZZND PEN CONV BOND TCW	08-15-2019	08-15-2019	01-01-1997 01-17-2019		11-30-2020

## Class Action Claims

### Newly Filed

Case Name	Account Name	Claim Deadline	Filed Date	Class Period		Total Recognized Loss	Est Pay Date
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	ND PEN-PIMCO UNCONSTRAINED	07-02-2019	07-02-2019	01-01-2004	12-31-2099	386,201.80	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NDINS BABSON CAPITALMGMT-SL	07-02-2019	07-02-2019	01-01-2004	12-31-2099	-	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NDINS CLIFTON SMALL CAP -SL	07-02-2019	07-02-2019	01-01-2004	12-31-2099	-	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NDK09-NDPEN LOOMIS SA	07-02-2019	07-02-2019	01-01-2004	12-31-2099	-	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NDK15-NDPEN WESTRN F	07-02-2019	07-02-2019	01-01-2004	12-31-2099	-	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NDLEG CLIFTON SMALL CAP -SL	07-02-2019	07-02-2019	01-01-2004	12-31-2099	-	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NDLEG-CLIFTON LARGE CAP -SL	07-02-2019	07-02-2019	01-01-2004	12-31-2099	-	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NDLG03-NDLEG PRUDENTL	07-02-2019	07-02-2019	01-01-2004	12-31-2099	76.20	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NDPEN JPMORGAN MBS-SL	07-02-2019	07-02-2019	01-01-2004	12-31-2099	192.56	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	NORTH DAKOTA SIB INSURANCE-	07-02-2019	07-02-2019	01-01-2004	12-31-2099	63.00	10-31-2020
BLACKROCK WELLS FARGO TRUSTEE CLASS ACTION	ZZND PEN FIXED WESTERN ASS-SL	07-02-2019	07-02-2019	01-01-2004	12-31-2099	-	10-31-2020
CITIBANK ADR	NDI03-NDINS CAPIT GU	08-12-2019	08-12-2019	01-01-1900	09-04-2018	10.35	12-27-2020
CITIBANK ADR	NDK02-NDPEN CAPIT GU	08-12-2019	08-12-2019	01-01-1900	09-04-2018	10.89	12-27-2020
CITIBANK ADR	NDK10-NDPEN LSV	08-12-2019	08-12-2019	01-01-1900	09-04-2018	174.99	12-27-2020
CITIBANK ADR	NDK14-NDPEN EPOCH IN	08-12-2019	08-12-2019	01-01-1900	09-04-2018	-	12-27-2020
COMMUNITY HEALTH SYSTEMS, INC.	NDINS LA CAPITAL ENHANCED -SL	06-27-2020	06-26-2020	07-26-2006	01-24-2012	-	12-25-2020
COMMUNITY HEALTH SYSTEMS, INC.	NDINS LA CAPITAL GROWTH -SL	06-27-2020	06-26-2020	07-26-2006	01-24-2012	-	12-25-2020
COMMUNITY HEALTH SYSTEMS, INC.	NDPEN L.A. CAPITAL	06-27-2020	06-26-2020	07-26-2006	01-24-2012	-	12-25-2020
COMMUNITY HEALTH SYSTEMS, INC.	NDPEN LA CAPITAL	06-27-2020	06-26-2020	07-26-2006	01-24-2012	-	12-25-2020
CONSTANT CONTACT, INC.,	NDINS PIMCO RAE SMALL CAP-SL	04-13-2020	04-13-2020	07-24-2014	10-21-2015	-	07-31-2021
CONSTANT CONTACT, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	04-13-2020	04-13-2020	07-24-2014	10-21-2015	-	07-31-2021
DELL INC	NDPEN LA CAPITAL	02-14-2020	02-14-2020	02-21-2012	08-20-2012	5,280.00	05-31-2021
DELL INC	NDPEN NTGI ENHANCED	02-14-2020	02-14-2020	02-21-2012	08-20-2012	8,247.36	05-31-2021
DELL INC	ZZND PEN - CALAMOS -SL	02-14-2020	02-14-2020	02-21-2012	08-20-2012	-	05-31-2021
DIPLOMAT PHARMACY, INC,	NDLEG PIMCO RAE SMALL CAP -SL	09-23-2019	09-23-2019	02-28-2016	01-31-2017	-	12-31-2020
ENDO INTERNATIONAL PLC	NDINS LA CAPITAL ENHANCED -SL	11-14-2019	11-14-2019	06-02-2015	11-13-2018	-	02-28-2021
ENDO INTERNATIONAL PLC	NDINS LA CAPITAL GROWTH -SL	11-14-2019	11-14-2019	06-02-2015	11-13-2018	-	02-28-2021
ENDO INTERNATIONAL PLC	NDLEG-LA CAPITAL ENHANCEME-SL	11-14-2019	11-14-2019	06-02-2015	11-13-2018	226.24	02-28-2021
ENDO INTERNATIONAL PLC	NDLEG-LA CAPITAL GROWTH -SL	11-14-2019	11-14-2019	06-02-2015	11-13-2018	-	02-28-2021
ENDO INTERNATIONAL PLC	NDPEN L.A. CAPITAL	11-14-2019	11-14-2019	06-02-2015	11-13-2018	-	02-28-2021
ENDO INTERNATIONAL PLC	NDPEN LA CAPITAL	11-14-2019	11-14-2019	06-02-2015	11-13-2018	-	02-28-2021
ENDO INTERNATIONAL PLC,	NDINS LA CAPITAL ENHANCED -SL	02-07-2020	02-06-2020	11-29-2012	09-06-2017	-	05-31-2021
ENDO INTERNATIONAL PLC,	NDINS LA CAPITAL GROWTH -SL	02-07-2020	02-06-2020	11-29-2012	09-06-2017	-	05-31-2021
ENDO INTERNATIONAL PLC,	NDINS PIMCO RAE SMALL CAP-SL	02-07-2020	02-06-2020	11-29-2012	09-06-2017	-	05-31-2021
ENDO INTERNATIONAL PLC,	NDK10-NDPEN LSV	02-07-2020	02-06-2020	11-29-2012	09-06-2017	-	05-31-2021
ENDO INTERNATIONAL PLC,	NDPEN L.A. CAPITAL	02-07-2020	02-06-2020	11-29-2012	09-06-2017	-	05-31-2021
ENDO INTERNATIONAL PLC,	NDPEN LA CAPITAL	02-07-2020	02-06-2020	11-29-2012	09-06-2017	-	05-31-2021

## Class Action Claims

### Newly Filed

Case Name	Account Name	Claim Deadline	Filed Date	Class Period		Total Recognized Loss	Est Pay Date
EZCORP, INC.,	NDINS PIMCO RAE SMALL CAP-SL	01-25-2020	01-24-2020	01-27-2014	10-20-2015	3,492.93	04-30-2021
EZCORP, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	01-25-2020	01-24-2020	01-27-2014	10-20-2015	12,407.27	04-30-2021
FLEETCOR TECHNOLOGIES, INC.,	NDINS LA CAPITAL GROWTH -SL	05-13-2020	05-13-2020	02-04-2016	07-31-2017	-	08-31-2021
FLEETCOR TECHNOLOGIES, INC.,	NDLEG-LA CAPITAL GROWTH -SL	05-13-2020	05-13-2020	02-04-2016	07-31-2017	-	08-31-2021
GT ADVANCED TECHNOLOGIES INC.	NDINS PIMCO RAE SMALL CAP-SL	06-29-2020	06-25-2020	11-04-2013	05-18-2015	-	09-29-2021
ICONIX BRAND GROUP, INC.,	NDINS PIMCO RAE SMALL CAP-SL	01-06-2020	01-06-2020	02-21-2012	02-03-2016	7,620.67	04-30-2021
ICONIX BRAND GROUP, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	01-06-2020	01-06-2020	02-21-2012	02-03-2016	22,445.62	04-30-2021
JPMORGAN	NDI03-NDINS CAPIT GU	09-19-2019	09-19-2019	01-01-1900	07-18-2018		10-27-2020
JPMORGAN	NDINS LA CAPITAL GROWTH -SL	09-19-2019	09-19-2019	01-01-1900	07-18-2018		10-27-2020
JPMORGAN	NDLG02-NDLEG CAPITAL	09-19-2019	09-19-2019	01-01-1900	07-18-2018		10-27-2020
K12 INC.,	NDINS PIMCO RAE SMALL CAP-SL	07-13-2019	07-12-2019	10-09-2013	01-22-2016	4,709.20	12-25-2020
K12 INC.,	NDLEG PIMCO RAE SMALL CAP -SL	07-13-2019	07-12-2019	10-09-2013	01-22-2016	17,914.33	12-25-2020
KRATON CORPORATION,	NDINS PIMCO RAE SMALL CAP-SL	03-27-2020	03-27-2020	10-24-2017	05-21-2018	-	06-30-2021
KRATON CORPORATION,	NDLEG PIMCO RAE SMALL CAP -SL	03-27-2020	03-27-2020	10-24-2017	05-21-2018	-	06-30-2021
MCAFEE, INC.	NDINS LA CAPITAL ENHANCED -SL	09-09-2019	09-09-2019	10-06-1992	05-01-2011		12-31-2020
MCAFEE, INC.	NDINS LA CAPITAL GROWTH -SL	09-09-2019	09-09-2019	10-06-1992	05-01-2011		12-31-2020
MCAFEE, INC.	NDPEN L.A. CAPITAL	09-09-2019	09-09-2019	10-06-1992	05-01-2011		12-31-2020
MCAFEE, INC.	NDPEN LA CAPITAL	09-09-2019	09-09-2019	10-06-1992	05-01-2011		12-31-2020
PATRIOT NATIONAL, INC.,	NDPEN CALLAN ASSOCIATES-SL	12-17-2019	12-17-2019	01-14-2015	02-26-2018	-	03-31-2021
PG&E Corporation	ND PEN-PIMCO UNCONSTRAINED	04-16-2020	04-16-2020	04-29-2015	11-15-2018	-	12-25-2020
PG&E Corporation	NDI06-NDINS WSTRN FI	04-16-2020	04-16-2020	04-29-2015	11-15-2018	29,088.70	12-25-2020
PG&E Corporation	NDINS JPM SHORT-TERM FD -SL	04-16-2020	04-16-2020	04-29-2015	11-15-2018	-	12-25-2020
PG&E Corporation	NDINS LA CAPITAL ENHANCED -SL	04-16-2020	04-16-2020	04-29-2015	11-15-2018	-	12-25-2020
PG&E Corporation	NDINS WELLS BBB -SL	04-16-2020	04-16-2020	04-29-2015	11-15-2018		12-25-2020
PG&E Corporation	NDLEG WELLS BBB -SL	04-16-2020	04-16-2020	04-29-2015	11-15-2018		12-25-2020
PG&E Corporation	NDLEG-LA CAPITAL ENHANCEME-SL	04-16-2020	04-16-2020	04-29-2015	11-15-2018	-	12-25-2020
PG&E Corporation	NDLG03-NDLEG PRUDENTL	04-16-2020	04-16-2020	04-29-2015	11-15-2018	9,019.35	12-25-2020
PG&E Corporation	NDLG04-NDLEG WESTERN	04-16-2020	04-16-2020	04-29-2015	11-15-2018	-	12-25-2020
PG&E Corporation	NDPEN LA CAPITAL	04-16-2020	04-16-2020	04-29-2015	11-15-2018	-	12-25-2020
PG&E Corporation	NORTH DAKOTA SIB INSURANCE-	04-16-2020	04-16-2020	04-29-2015	11-15-2018	4,870.04	12-25-2020
QUANTUM CORPORATION,	NDINS PIMCO RAE SMALL CAP-SL	12-13-2019	12-10-2019	04-17-2016	05-09-2018	1,424.00	03-31-2021
QUANTUM CORPORATION,	NDLEG PIMCO RAE SMALL CAP -SL	12-13-2019	12-10-2019	04-17-2016	05-09-2018	7,937.22	03-31-2021



## Class Action Claims

### Newly Filed

Case Name	Account Name	Claim Deadline	Filed Date	Class Period		Total Recognized Loss	Est Pay Date
ROADRUNNER TRANSPORTATION SYSTEMS, INC.,	NDINS PIMCO RAE SMALL CAP-SL	11-07-2019	11-07-2019	03-13-2013	04-30-2018	5,661.46	02-28-2021
ROADRUNNER TRANSPORTATION SYSTEMS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	11-07-2019	11-07-2019	03-13-2013	04-30-2018	24,399.38	02-28-2021
SAIC, INC.	NDINS LA CAPITAL ENHANCED -SL	02-14-2020	02-14-2020	03-24-2011	08-31-2011	-	12-25-2020
SAIC, INC.	NDINS LA CAPITAL GROWTH -SL	02-14-2020	02-14-2020	03-24-2011	08-31-2011	1,901.20	12-25-2020
SAIC, INC.	NDPEN L.A. CAPITAL	02-14-2020	02-14-2020	03-24-2011	08-31-2011	9,590.00	12-25-2020
SAIC, INC.	NDPEN LA CAPITAL	02-14-2020	02-14-2020	03-24-2011	08-31-2011	-	12-25-2020
SILVER WHEATON CORPORATION	NDK12-NDPEN TRANSITI	06-13-2020	06-12-2020	03-29-2011	07-06-2015	-	12-25-2020
SPECTRUM PHARMACEUTICALS, INC.	NDSIB AGGREGATE	06-08-2020	06-08-2020	01-30-2013	12-14-2016	10,824.15	12-25-2020
STERICYCLE, INC.,	NDINS LA CAPITAL ENHANCED -SL	08-07-2019	08-07-2019	02-06-2013	05-22-2018	24,951.26	11-30-2020
STERICYCLE, INC.,	NDINS LA CAPITAL GROWTH -SL	08-07-2019	08-07-2019	02-06-2013	05-22-2018	248,325.11	11-30-2020
STERICYCLE, INC.,	NDPEN L.A. CAPITAL	08-07-2019	08-07-2019	02-06-2013	05-22-2018	56,743.53	11-30-2020
STERICYCLE, INC.,	NDPEN LA CAPITAL	08-07-2019	08-07-2019	02-06-2013	05-22-2018	8,649.11	11-30-2020
TEREX CORP	NDINS LA CAPITAL ENHANCED -SL	08-13-2019	08-13-2019	02-19-2008	05-12-2009	-	11-30-2020
TEREX CORP	NDPEN LA CAPITAL	08-13-2019	08-13-2019	02-19-2008	05-12-2009	-	11-30-2020
TEREX CORP	NDPEN NTGI ENHANCED	08-13-2019	08-13-2019	02-19-2008	05-12-2009	-	11-30-2020
THE ADVISORY BOARD COMPANY,	NDINS PIMCO RAE SMALL CAP-SL	05-26-2020	05-26-2020	05-05-2015	01-06-2020	-	08-31-2021
THE ADVISORY BOARD COMPANY,	NDLEG PIMCO RAE SMALL CAP -SL	05-26-2020	05-26-2020	05-05-2015	01-06-2020	-	08-31-2021
THE ADVISORY BOARD COMPANY,	NDPEN-ATLANTA CAPITAL SMALL	05-26-2020	05-26-2020	05-05-2015	01-06-2020	-	08-31-2021
TRINITY INDUSTRIES, INC.,	NDINS LA CAPITAL ENHANCED -SL	03-25-2020	03-25-2020	02-15-2012	07-24-2015	1,810.35	12-25-2020
TRINITY INDUSTRIES, INC.,	NDINS LA CAPITAL GROWTH -SL	03-25-2020	03-25-2020	02-15-2012	07-24-2015	4,735.26	12-25-2020
TRINITY INDUSTRIES, INC.,	NDLEG-LA CAPITAL ENHANCEME-SL	03-25-2020	03-25-2020	02-15-2012	07-24-2015	-	12-25-2020
TRINITY INDUSTRIES, INC.,	NDLEG-LA CAPITAL GROWTH -SL	03-25-2020	03-25-2020	02-15-2012	07-24-2015	-	12-25-2020
TRINITY INDUSTRIES, INC.,	NDPEN L.A. CAPITAL	03-25-2020	03-25-2020	02-15-2012	07-24-2015	17,018.10	12-25-2020
TRINITY INDUSTRIES, INC.,	NDPEN LA CAPITAL	03-25-2020	03-25-2020	02-15-2012	07-24-2015	4,831.65	12-25-2020
VALEANT PHARMACEUTICALS INTERNATIONAL, INC.,	NDK09-NDPEN LOOMIS SA	05-06-2020	05-06-2020	01-03-2013	09-02-2016	242,138.25	12-25-2020
VALEANT PHARMACEUTICALS INTERNATIONAL, INC.,	NDK12-NDPEN TRANSITI	05-06-2020	05-06-2020	01-03-2013	09-02-2016	-	12-25-2020
VALEANT PHARMACEUTICALS INTERNATIONAL, INC.,	NDLG03-NDLEG PRUDENTL	05-06-2020	05-06-2020	01-03-2013	09-02-2016	55,085.00	12-25-2020
VALEANT PHARMACEUTICALS INTERNATIONAL, INC.,	NORTH DAKOTA SIB INSURANCE-	05-06-2020	05-06-2020	01-03-2013	09-02-2016	30,692.50	12-25-2020

**Class Action Claims**
**Previously Filed**

Case Name	Account Name	Claim Deadline	Filed Date	Class Period		Total Recognized Loss	Est Pay Date
ALIBABA GROUP HOLDING LTD	NDI03-NDINS CAPIT GU	05-02-2019	05-02-2019	05-06-2014	10-05-2015	\$0.00	12-31-2020
ALIBABA GROUP HOLDING LTD	NDLG02-NDLEG CAPITAL	05-02-2019	05-02-2019	05-06-2014	10-05-2015	-	12-31-2020
CITIGROUP, INC.,	NDSIB AGGREGATE	07-01-2018	06-28-2018	02-25-2007	07-17-2008	102,999.15	12-25-2020
EXTREME NETWORKS, INC.,	NDINS PIMCO RAE SMALL CAP-SL	06-06-2019	06-06-2019	09-11-2013	07-08-2015	17,239.50	09-30-2020
EXTREME NETWORKS, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	06-06-2019	06-06-2019	09-11-2013	07-08-2015	61,741.54	09-30-2020
FACEBOOK, INC.,	NDINS LA CAPITAL ENHANCED -SL	07-24-2018	07-24-2018	02-01-2012	02-23-2018	-	12-25-2020
FACEBOOK, INC.,	NDINS LA CAPITAL GROWTH -SL	07-24-2018	07-24-2018	02-01-2012	02-23-2018	-	12-25-2020
FACEBOOK, INC.,	NDLEG-LA CAPITAL ENHANCEME-SL	07-24-2018	07-24-2018	02-01-2012	02-23-2018	-	12-25-2020
FACEBOOK, INC.,	NDLEG-LA CAPITAL GROWTH -SL	07-24-2018	07-24-2018	02-01-2012	02-23-2018	-	12-25-2020
FACEBOOK, INC.,	NDPEN L.A. CAPITAL	07-24-2018	07-24-2018	02-01-2012	02-23-2018	-	12-25-2020
FACEBOOK, INC.,	NDPEN LA CAPITAL	07-24-2018	07-24-2018	02-01-2012	02-23-2018	-	12-25-2020
FACEBOOK, INC.,	NDPEN NTGI ENHANCED	07-24-2018	07-24-2018	02-01-2012	02-23-2018	-	12-25-2020
Heartware International, Inc.,	NDINS PIMCO RAE SMALL CAP-SL	05-14-2019	05-14-2019	06-09-2014	04-08-2016	-	12-31-2020
Heartware International, Inc.,	NDLEG PIMCO RAE SMALL CAP -SL	05-14-2019	05-14-2019	06-09-2014	04-08-2016	-	12-31-2020
INSULET CORPORATION,	NDINS PIMCO RAE SMALL CAP-SL	09-04-2018	08-23-2018	05-06-2013	07-29-2015	274.48	12-25-2020
INSULET CORPORATION,	NDLEG PIMCO RAE SMALL CAP -SL	09-04-2018	08-23-2018	05-06-2013	07-29-2015	1,321.28	12-25-2020
INVESTMENT TECHNOLOGY GROUP, INC.,	NDINS PIMCO RAE SMALL CAP-SL	04-04-2019	04-04-2019	02-27-2011	10-30-2015	6,277.63	12-31-2020
INVESTMENT TECHNOLOGY GROUP, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	04-04-2019	04-04-2019	02-27-2011	10-30-2015	22,491.73	12-31-2020
LIQUIDITY SERVICES, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	11-03-2018	10-19-2018	01-31-2012	08-05-2014	3,014.90	12-31-2020
ORBITAL ATK, INC.,	NDINS PIMCO RAE SMALL CAP-SL	05-30-2019	05-30-2019	04-01-1990	11-07-2016	-	12-25-2020
ORBITAL ATK, INC.,	NDPEN CALLAN ASSOCIATES-SL	05-30-2019	05-30-2019	04-01-1990	11-07-2016	-	12-25-2020
SPROUTS FARMERS MARKET INC	NDINS LA CAPITAL ENHANCED -SL	06-25-2019	06-25-2019	03-04-2015	12-31-2099	-	09-30-2020
SPROUTS FARMERS MARKET INC	NDINS LA CAPITAL GROWTH -SL	06-25-2019	06-25-2019	03-04-2015	12-31-2099	-	09-30-2020
SPROUTS FARMERS MARKET INC	NDINS PIMCO RAE SMALL CAP-SL	06-25-2019	06-25-2019	03-04-2015	12-31-2099	-	09-30-2020
SPROUTS FARMERS MARKET INC	NDLEG PIMCO RAE SMALL CAP -SL	06-25-2019	06-25-2019	03-04-2015	12-31-2099	-	09-30-2020
SPROUTS FARMERS MARKET INC	NDLEG-LA CAPITAL ENHANCEME-SL	06-25-2019	06-25-2019	03-04-2015	12-31-2099	-	09-30-2020
SPROUTS FARMERS MARKET INC	NDLEG-LA CAPITAL GROWTH -SL	06-25-2019	06-25-2019	03-04-2015	12-31-2099	-	09-30-2020
SPROUTS FARMERS MARKET INC	NDPEN L.A. CAPITAL	06-25-2019	06-25-2019	03-04-2015	12-31-2099	-	09-30-2020
SPROUTS FARMERS MARKET INC	NDPEN LA CAPITAL	06-25-2019	06-25-2019	03-04-2015	12-31-2099	-	09-30-2020

## Class Action Claims

### Previously Filed

Case Name	Account Name	Claim Deadline	Filed Date	Class Period		Total Recognized Loss	Est Pay Date
STATE STREET CORP	NDINS LA CAPITAL ENHANCED -SL	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
STATE STREET CORP	NDINS LA CAPITAL GROWTH -SL	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
STATE STREET CORP	NDINS LSV LARGE CAP -SL	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
STATE STREET CORP	NDK10-NDPEN LSV	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
STATE STREET CORP	NDLEG-LSV LARGE CAP -SL	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
STATE STREET CORP	NDPEN L.A. CAPITAL	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
STATE STREET CORP	NDPEN LA CAPITAL	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
STATE STREET CORP	NDPEN NTGI ENHANCED	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
STATE STREET CORP	ZZND PEN LSV-SL -	03-04-2019	03-04-2019	02-26-2012	04-18-2017	-	12-25-2020
TERRAFORM GLOBAL, INC.,	NDINS PIMCO RAE SMALL CAP-SL	04-13-2018	04-10-2018	05-07-2015	12-15-2017	-	12-25-2020
TERRAFORM GLOBAL, INC.,	NDLEG PIMCO RAE SMALL CAP -SL	04-13-2018	04-10-2018	05-07-2015	12-15-2017	-	12-25-2020
UNITED DEVELOPMENT FUNDING IV	NDINS PIMCO RAE SMALL CAP-SL	02-21-2019	02-21-2019	03-07-2011	03-08-2016	6,265.18	12-25-2020
UNITED DEVELOPMENT FUNDING IV	NDLEG PIMCO RAE SMALL CAP -SL	02-21-2019	02-21-2019	03-07-2011	03-08-2016	30,947.95	12-25-2020
WELLS FARGO & COMPANY,	NDSIB AGGREGATE	01-23-2019	01-23-2019	02-25-2014	12-19-2016	278,293.53	10-27-2020

## Northern Trust Previously Filed Claims

### Filed Prior to March 31, 2018 (not yet received)

Class Action Name	Claimed Account Name	Class Period		Claim Deadline
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
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
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
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

**Anti-trust Claims**
**Newly Paid**

Case Name	Account Name	Claim Deadline	Filed Date	Class Period	Remit Date	\$ Recovered	FRT Fees	Net to Client
ISDAfix	NDIQ4-NDINS WESTERN	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	\$100.00	\$12.00	\$88.00
ISDAfix	NDINS LA CAPITAL ENHANCED -SL	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	100.00	12.00	88.00
ISDAfix	NDINS LA CAPITAL GROWTH -SL	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	100.00	12.00	88.00
ISDAfix	NDPEN CLIFTON ENHANCED SM -SL	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	100.00	12.00	88.00
ISDAfix	NDPEN L.A. CAPITAL	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	100.00	12.00	88.00
ISDAfix	NDPEN LA CAPITAL	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	100.00	12.00	88.00
ISDAfix	NDPEN MATLIN PATTERSON GLB-SL	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	100.00	12.00	88.00
ISDAfix	NORTH DAKOTA SIB INSURANCE-	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	11,231.55	1,347.79	9,883.76
ISDAfix	ZZND BSF-ENHANCED CASH	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	100.00	12.00	88.00
ISDAfix	ZZNDINS BABSON CAPITAL MGMT -	12-23-2018	07-13-2018	01-01-2006 01-31-2014	04-28-2020	100.00	12.00	88.00
						<u>\$12,131.55</u>	<u>\$1,455.79</u>	<u>\$10,675.76</u>

**Anti-trust Claims**
**Newly Filed**

Case Name	Account Name	Claim Deadline	Filed Date	Class Period		Est Pay Date
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDI06-NDINS WSTRN FI	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDI06-NDINS WSTRN FI	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDINS CLIFTON SMALL CAP -SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDINS CLIFTON SMALL CAP -SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDINS JPM SHORT-TERM FD -SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDINS JPM SHORT-TERM FD -SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDK08-NDPEN BRANDYWI	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDK08-NDPEN BRANDYWI	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDK09-NDPEN LOOMIS SA	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDK09-NDPEN LOOMIS SA	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDK12-NDPEN TRANSITI	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDK12-NDPEN TRANSITI	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDK15-NDPEN WESTRN F	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDK15-NDPEN WESTRN F	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDLEG CLIFTON SMALL CAP -SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDLEG CLIFTON SMALL CAP -SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDLEG-CLIFTON LARGE CAP -SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDLEG-CLIFTON LARGE CAP -SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDLG03-NDLEG PRUDENTL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDLG03-NDLEG PRUDENTL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDLG04-NDLEG WESTERN	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDLG04-NDLEG WESTERN	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDPEN CLIFTON ENHANCED SM -SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDPEN CLIFTON ENHANCED SM -SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDPEN CLIFTON ENHANCED SP-SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDPEN CLIFTON ENHANCED SP-SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDPEN PIMCO MBS-SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NDPEN PIMCO MBS-SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NORTH DAKOTA SIB INSURANCE-	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	NORTH DAKOTA SIB INSURANCE-	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	ZZND INS - DECLARATION -SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	ZZND INS - DECLARATION -SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	ZZND INS FIXED BK OF ND-SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	ZZND INS FIXED BK OF ND-SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	ZZND PEN FIXED BK OF ND-SL	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	ZZND PEN FIXED BK OF ND-SL	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020
(GSE Bonds) In re GSE Bonds Antitrust Litigation	ZZNDLEG JP MORGAN ST	02-28-2020	02-28-2020	01-01-2009	01-01-2019	05-31-2021
(GSE Bonds) In re GSE Bonds Antitrust Litigation	ZZNDLEG JP MORGAN ST	05-12-2020	05-12-2020	01-01-2009	01-01-2019	12-25-2020

## Anti-trust Claims

### Newly Filed

Case Name	Account Name	Claim Deadline	Filed Date	Class Period	Est Pay Date
EURIBOR	CLIFTON INTERNATIONAL	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	ND PEN CLIFTON EAFE	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	ND PEN EURO CRDT MGMT	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	NDI06-NDINS WSTRN FI	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	NDINS CLIFTON SMALL CAP -SL	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	NDK15-NDPEN WESTRN F	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	NDPEN CALLAN ASSOCIATES-SL	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	NDPEN CLIFTON ENHANCED SM -SL	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	NDPEN PENSION CASH-SL	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	ZZND INS FIXED WESTERNASSET-S	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	ZZND INS WESTERN TIPS -SL	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	ZZND PEN - CALAMOS -SL	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	ZZND PEN FIXED WESTERN ASS-SL	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020
EURIBOR	ZZND PEN-CLIFTON RUSSELL 2000	07-31-2019	07-31-2019	06-01-2005 03-31-2011	10-31-2020

**Anti-trust Claims**
**Previously Filed**

Case Name	Account Name	Claim Deadline	Filed Date	Class Period		Est Pay Date
EURIBOR	ND INS LSV	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	ND INS LSV	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	ND PEN BANK OF IRELAND	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	ND PEN BANK OF IRELAND	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	ND PEN LAZARD	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	ND PEN LAZARD	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	NDI03-NDINS CAPIT GU	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	NDI03-NDINS CAPIT GU	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	NDI04-NDINS WESTERN	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	NDI04-NDINS WESTERN	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	NDINS WELLS BBB -SL	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	NDINS WELLS BBB -SL	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	NDK02-NDPEN CAPIT GU	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	NDK02-NDPEN CAPIT GU	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	NDK10-NDPEN LSV	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	NDK10-NDPEN LSV	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	NORTH DAKOTA SIB INSURANCE-	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	NORTH DAKOTA SIB INSURANCE-	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EURIBOR	ZZND PEN WELLS CAP FIXED-SL	08-01-2018	07-31-2018	06-01-2005	03-31-2011	12-25-2020
EURIBOR	ZZND PEN WELLS CAP FIXED-SL	07-31-2019	07-31-2018	06-01-2005	03-31-2011	10-31-2020
EUROYEN	ND INS LSV	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	ND INS LSV	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	ND PEN-PIMCO UNCONSTRAINED	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	ND PEN-PIMCO UNCONSTRAINED	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDI03-NDINS CAPIT GU	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDI03-NDINS CAPIT GU	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDINS-WILLIAM BLAIR	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDINS-WILLIAM BLAIR	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDK02-NDPEN CAPIT GU	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDK02-NDPEN CAPIT GU	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDK08-NDPEN BRANDYWI	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDK08-NDPEN BRANDYWI	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDK10-NDPEN LSV	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDK10-NDPEN LSV	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDK14-NDPEN EPOCH IN	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDK14-NDPEN EPOCH IN	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDLEG-WILLIAM BLAIR	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDLEG-WILLIAM BLAIR	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDLG01-NDLEG LSV INTL	02-20-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020
EUROYEN	NDLG01-NDLEG LSV INTL	09-25-2018	02-16-2018	01-01-2006	06-30-2011	12-25-2020



# Anti-trust Claims

## Previously Filed

Case Name	Account Name	Claim Deadline	Filed Date	Class Period	Est Pay Date
EUROYEN	NDLG02-NDLEG CAPITAL	02-20-2018	02-16-2018	01-01-2006 06-30-2011	12-25-2020
EUROYEN	NDLG02-NDLEG CAPITAL	09-25-2018	02-16-2018	01-01-2006 06-30-2011	12-25-2020
EUROYEN	NDLG03-NDLEG PRUDENTL	02-20-2018	02-16-2018	01-01-2006 06-30-2011	12-25-2020
EUROYEN	NDLG03-NDLEG PRUDENTL	09-25-2018	02-16-2018	01-01-2006 06-30-2011	12-25-2020
EUROYEN	NDPEN-WILLIAM BLAIR	02-20-2018	02-16-2018	01-01-2006 06-30-2011	12-25-2020
EUROYEN	NDPEN-WILLIAM BLAIR	09-25-2018	02-16-2018	01-01-2006 06-30-2011	12-25-2020
EUROYEN	NORTH DAKOTA SIB INSURANCE-	02-20-2018	02-16-2018	01-01-2006 06-30-2011	12-25-2020
EUROYEN	NORTH DAKOTA SIB INSURANCE-	09-25-2018	02-16-2018	01-01-2006 06-30-2011	12-25-2020
FX	3238 NDSIB	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	3238 NDSIB/PIMCO	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	BRANDYWINE 8424 - NDSIB	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	CAP GROUP - 44283000	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	CGTC 44044700-NDSIB	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	LMS M411N5 - NORTH DAKOTA STATE INV BOS	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	LOOMIS - NORTH DAKOTA STATE INVESTMENT	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	M411N5 NDSIB LOOMIS SAYLES AND COMPANY LP	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSI NDSIB-INSURANCE TRUST: ND-SIB-IT PO	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSI NDSIB-INSURANCE TRUST: ND-SIB-IT PORTFOLIO	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSICP1 NORTH DAKOTA STATE INVESTMENT	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSICP1 NDSIB-INSURANCE TRUST	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NORTH DAKOTA STATE INVESTMENT	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB -	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB - LEGACY FUND	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB - M411N5	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB -LEGACY FUND	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB INSURANCE TRUST	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB LOOMIS SAYLES AND COMPANY LP	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB-INSURANCE TRUST	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB-UBF-(3238)	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB/(NDSIB)	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB/(PIMCO 3238)	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB/BLACKROCK INSTITUTIONAL	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB/LOOMIS, SAYLES & COMPANY, L.P.	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB/PACIFIC INVESTMENT MANAGEMENT COMPANY LLC	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB/PGIM, INC.	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NDSIB/PIMCO	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NTI NDI03 NDSIB	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NTI NDI03 NDSIB THE NORTHERN TRUST COMPANY	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NTI NDK02 NDSIB	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NTI NDK02 NDSIB THE NORTHERN TRUST COMPANY	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	NTI NDLO2 NDSIB	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX	NTI NDLO2 NDSIB THE NORTHERN TRUST COMPANY	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	PIM-NDSIB-INS TR-CORE PLUS ACCT [NDSIPLUS]/NDSIPL-EWR	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX	PIM-NORTH DAKOTA STATE INVESTMENT	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020

# Anti-trust Claims

## Previously Filed

	Case Name	Account Name	Claim Deadline	Filed Date	Class Period	Est Pay Date
FX		PIM-NDSIB-INSURANCE TRUST A-C NDSI/PRNDSI-EW	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX		PIM-NDSIB-INSURANCE TRUST A-C NDSI/PRNDSI-EWR	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX		PIM-NDSIB-LEGACY FUND [NDSICP2]/NDSICP-EWR	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX		PIMC-NORTH DAKOTA STATE INVESTMENT	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX		PIMC-NDSIB (3238)/PI3238-NBH	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX		PIMCO 3238-NDSIB	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX		PIMCO A/C NDSIB - 3238	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX		PRU (NDSI) NORTH DAKOTA INV BOARD,PRUNDSI	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX		PRU (NDSI) NORTH DAKOTA STATE INV BOARD,PRUNDSI	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX		PRUDENTIAL (NDSI) NDSIB	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX		PRUDENTIAL INVESTMENT MANAGEMENT INC AC	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX		PRUDENTIAL INVESTMENT MANAGEMENT INC AC NDSI NDSIB	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
FX		SSGA IE - NORTH DAKOTA STATE INVESTMENT	05-16-2018	05-01-2018	01-01-2003 12-15-2015	12-25-2020
FX		SSGA IE - NORTH DAKOTA STATE INVESTMENT FUND	05-16-2018	06-20-2018	01-01-2003 12-15-2015	12-25-2020
LIBOR OTC		NDI06-NDINS WSTRN FI	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDINS CLIFTON SMALL CAP -SL	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDINS WELLS BBB -SL	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDK09-NDPEN LOOMIS SA	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDK15-NDPEN WESTRN F	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDLEG WELLS BBB -SL	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDLEG-LA CAPITAL ENHANCEME-SL	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDLG03-NDLEG PRUDENTL	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDLG04-NDLEG WESTERN	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDPEN CLIFTON ENHANCED SM -SL	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDPEN LA CAPITAL	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NDPEN NTGI ENHANCED	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		NORTH DAKOTA SIB INSURANCE-	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		ZZND INS - DECLARATION -SL	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		ZZND INS FIXED WESTERNASSET-S	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		ZZND PEN - CALAMOS -SL	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		ZZND PEN - SUTTER HY -SL	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		ZZND PEN FIXED WESTERN ASS-SL	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		ZZND PEN WELLS CAP FIXED-SL	12-20-2018	12-19-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		ZZNDINS BABSON CAPITAL MGMT -	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020
LIBOR OTC		ZZNDLEG BABSON ST	12-20-2018	12-18-2018	01-01-1900 05-31-2010	12-25-2020

**Non-US Group Recoveries**

**Newly Registered**

Case Name	Account Name	Participation	Participation Date	Class Period		FRT Damages	Damaged Shares
FORTIS (AGEAS) DUTCH FOUNDATION	ND INS LSV	07-28-2019	07-26-2019	01-08-1999	10-14-2008	\$6,913.39	
FORTIS (AGEAS) DUTCH FOUNDATION	NDI03-NDINS CAPIT GU	07-28-2019	07-26-2019	01-08-1999	10-14-2008	-	
FORTIS (AGEAS) DUTCH FOUNDATION	NDK02-NDPEN CAPIT GU	07-28-2019	07-26-2019	01-08-1999	10-14-2008	-	
FORTIS (AGEAS) DUTCH FOUNDATION	NDK10-NDPEN LSV	07-28-2019	07-26-2019	01-08-1999	10-14-2008	36,516.18	

**Newly Paid**

\* For multiple currencies see portal

Case Name	Account Name	Participation	Participation Date	Class Period	Remit Date	\$ Recovered *	FRT Fees *	Net to Client *
None in Period								

**Previously Registered**

Case Name	Account Name	Participation	Participation Date	Class Period		FRT Damages	Damaged Shares
CIMIC Group Ltd (Maurice Blackburn)	ND INS LSV	10-01-2018	09-25-2018	11-23-2010	10-07-2013		18,900

**Non-US Opt-In Monitoring**

**Newly Registered**

Case Name	Account Name	Participation	Participation Date	Class Period		FRT Damages	Damaged Shares
Nissan Motor Co. Ltd. (KTMC)	ND INS LSV	05-25-2020	05-28-2020	06-01-2011	12-31-2019	\$100,078.94	
Nissan Motor Co. Ltd. (KTMC)	NDI03-NDINS CAPIT GU	05-25-2020	05-28-2020	06-01-2011	12-31-2019	352,385.98	
Nissan Motor Co. Ltd. (KTMC)	NDK02-NDPEN CAPIT GU	05-25-2020	05-28-2020	06-01-2011	12-31-2019	-	
Nissan Motor Co. Ltd. (KTMC)	NDK12-NDPEN TRANSITI	05-25-2020	05-28-2020	06-01-2011	12-31-2019	-	
Nissan Motor Co. Ltd. (KTMC)	NDLG01-NDLEG LSV INTL	05-25-2020	05-28-2020	06-01-2011	12-31-2019	1,088,572.53	
Nissan Motor Co. Ltd. (KTMC)	NDLG02-NDLEG CAPITAL	05-25-2020	05-28-2020	06-01-2011	12-31-2019	-	

**Newly Paid**

\* For multiple currencies see portal

Case Name	Account Name	Participation	Participation Date	Class Period Start	Class Period End	Remit Date	\$ Recovered *	FRT Fees *	Net to Client *
None in Period									

**Previously Registered**

Case Name	Account Name	Participation	Participation Date	Class Period Start	Class Period End	FRT Damages	Damaged Shares
None in Period							

*Informational*

**TO:** SIB Securities Litigation Committee

**FROM:** Dave Hunter, ED/CIO, and Connie Flanagan, Chief Financial Officer

**DATE:** November 1, 2019

**SUBJECT:** Securities Litigation – Footnote Disclosure of Contingencies

---

**Note 11 - Contingencies/Litigation**

The State Investment Board has been named as a defendant in two cases, arising out of the Tribune and General Motors bankruptcy proceedings, relating to securities that were purchased by external investment managers in one or more portfolios held by the SIB on behalf of its investment client funds. Outside counsel has been retained for both cases, in addition to assistance received from the ND Office of Attorney General. The SIB became a party to a Settlement Agreement dated April 10, 2019, as a Term Lender in the General Motors bankruptcy proceeding. This liability will be borne by other parties, so no liability was accrued by the SIB as of June 30, 2019. On July 15, 2019, in the Tribune proceeding, the Litigation Trustee filed a Notice of Appeal to the Second Circuit, appealing the various judgements of the U.S. District Court that dismissed his claims against defendants in the Action and denying leave to amend his complaint to add a constructive fraudulent conveyance claim. It is expected that briefing of the legal issues before the Second Circuit will occur in late 2019 and early 2020. Accordingly, no liability has been recorded at this time.

---

**Note:** K&L Gates has been retained for legal representation in the Tribune case and Kasowitz Benson Torres has been retained for legal representation in the General Motors case, as overseen and approved by North Dakota's Office of the Attorney General.