

ELECTRONIC FILING INSTRUCTIONS
AXIOM INVESTMENT ADVISORS, LLC V. BARCLAYS BANK PLC

I. IMPORTANT INFORMATION – PLEASE READ

You should only submit transactions using the process below after you have submitted a claim and reviewed the Covered Transactions included in your claim. Covered Transactions will be available for review on the Claimant Portal beginning on January 9, 2017.

To facilitate the claims submission process, Class Counsel have identified and compiled the available Covered Transactions applicable to each individual Class Member based on records maintained by Barclays. These records capture information about each available trade or trade instructions for an FX Instrument submitted to Barclays via BARX. Class Counsel's experts undertook an extensive analysis of the data, as directed by Class Counsel, to identify those records that qualify as Covered Transactions.

Covered Transaction data is available for the majority of the Settlement Class Period (June 1, 2008 and April 21, 2016) but is not available for the following dates:

- June 1, 2008 – December 31, 2008 (rejected and accepted trades);
- January 1, 2009 – June 19, 2009 (rejected trades);
- July 5, 2009 (rejected trades);
- July 19, 2009 (rejected trades);
- November 8, 2009 to November 11, 2009 (rejected trades);
- January 1, 2010 (rejected and accepted trades);
- April 25, 2010 – April 28, 2010 (rejected trades);
- March 30, 2014 (rejected trades);
- January 1, 2016 (rejected and accepted trades);
- March 20, 2016 – April 21, 2016 (rejected trades).

Transaction data is not available for these dates because it was either not usable or not recoverable from Barclays' records.

If, after reviewing your Covered Transactions in detail via the Claimant Portal, you believe that you engaged in additional Covered Transactions (e.g., trade or trade instructions taking place on one or more of the dates listed above) qualifying for claims under the Settlement that are not included in the list on the Claimant Portal, or that information provided in the Claimant Portal about one or more of your Covered Transactions is incorrect, you may submit a Challenge and/or supplement the Covered Transactions.

The deadline for submission of a Challenge and/or to supplement the Covered Transactions is the same as the claim filing deadline, which is July 7, 2017. In order for such a submission to be considered timely, it must be submitted electronically by **11:59 p.m. Eastern Time on July 7, 2017**, in the format requested by the Claims Administrator. Please contact the Claims Administrator in advance of the deadline if you have any questions.

II. **COVERED TRANSACTIONS**

Covered Transactions include trade or trade instructions for an FX Instrument submitted to Barclays over BARX (whether submitted on BARX or via an electronic communications network (“ECN”) or any other connection to BARX) between June 1, 2008 and April 21, 2016. To qualify, such trades or trade instructions must have been submitted by a person who was either (i) domiciled in the United States or (ii) domiciled outside the United States but had such trade or trade instruction routed over a Barclays server in the United States.

III. **METHODS OF SUBMISSION**

Electronic files will not be deemed properly submitted unless the Claims Administrator issues an email after processing your file with your claim numbers and respective account information. Do not assume that your file has been received or processed until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at eClaim@gardencitygroup.com to inquire about your file and confirm that it was received and is acceptable.

The following methods are available for submitting your electronic claims:

1. **Email**

- You may email your electronic claim submission to eClaim@gardencitygroup.com.
- If you choose to email your file, you MUST also attach all documentation requirements (see section IV., below) in the email as .pdf documents or equivalent.

2. **Mail**

- You may send your electronic claim submission in the mail on a disk or CD along with all other documentation requirements (see section IV., below). Please use the following address if mailing via U.S. Mail:

Axiom Investment Advisors, LLC v. Barclays Bank PLC
c/o GCG
Attn: Electronic Filing Department
P.O. Box 9349
Dublin, OH 43017-4249

If you need to send your submission via Federal Express or UPS, please use the following street address:

Axiom Investment Advisors, LLC v. Barclays Bank PLC
c/o GCG
Attn: Electronic Filing Department
5151 Blazer Parkway, Suite A
Dublin, OH 43017

IV. **DOCUMENTATION REQUIREMENTS**

The documentation requirements outlined below must be submitted with your electronic file. Your electronic claims will not be considered valid until all documentation is received. Please note that one single document may meet more than one requirement.

1. Signature Verification Document: If you are not the individual who filed the paper or electronic claim form, you must provide a document verifying that you are authorized to submit the supplemental documentation on behalf of the company. Some common types of documents that fulfill this requirement include:
 - Copy of company's by-laws, including signature page(s)
 - Copy of company's Corporate Resolution, including signature page(s)
 - Notarized affidavit signed by an officer of the institution clearly granting a specific individual authorization or confirming authority to sign on behalf of the company.

2. Data Verification Document: you must provide a notarized affidavit or signed letter on firm letterhead which meets the below criteria:
 - Confirms the number of distinct accounts and transactions on your file
 - Discloses the source of your data (i.e., internal data retention system)
 - Attests to the truth and accuracy of the transactions and holdings on your electronic file
 - Is executed by an authorized signatory who is listed on your signature verification document, and specifies both the capacity and contact information of that signatory.

3. Authorization Document (if filing on behalf of client or customer accounts): you must provide a current document verifying that you are authorized to file and sign claims on behalf of your clients. Some common types of documents that fulfill this requirement include the following:
 - Power of Attorney
 - Service Agreement
 - Signed/dated letter on client's company letterhead specifically granting your company authority to file/sign claims on their behalf.
 - Notarized affidavit or signed letter on your company's letterhead confirming your authority to file and sign claims on behalf of your clients. It must be executed by an officer of the company and reference the capacity and contact information of the signatory.

4. Additional Documentation
 - a. If your Challenge includes additional transactions not included in your list of Covered Transactions, your submission must include a description of why you believe the transaction(s) qualifies as a Covered Transaction. In order for a transaction to be a Covered Transaction, either (i) the Person on whose behalf the trade or trade instruction was made must be domiciled in the United States or its territories at the time of the transaction; or (ii) the Person was domiciled outside of the United States at the time of the transaction and had such a trade or trade instruction routed over a Barclays server in the United States.

- b. If the purpose of your Challenge is to contest the Covered Transactions listed in the Claimant Portal, you must provide documentary proof of the transaction. If you intend to challenge any other aspect of a listed Covered Transaction, please discuss your concern with the Claims Administrator prior to submitting your Challenge. Your submission will need to include the specific data points listed below, as well as additional documentation. The more information you are able to provide, the greater the Claims Administrator's ability to review and make an accurate determination on your Challenge. Challenges with too few data points may be rejected.

V. **REQUIRED FILING FORMAT**

1. General Instructions

- Transaction files may be submitted as a fixed-length text file or a comma-separated values (CSV) file.
- All fields in the below format must be included on your file
- Any fields that do not apply to your file must be left blank (do not delete any fields)
- Your file must include one header row with column headings
- Do not exceed maximum character lengths for any field
- Do not provide any blank rows on your file
- Any files not in accordance with the below format are subject to rejection
- Certain fields are **mandatory**. Any mandatory fields are noted as such in the required file layout, below, and template spreadsheet.

2. Required File Layout

Col	Field	Start Position	Length	Notes
A	Name	1	40	Class Member Entity Name THIS FIELD IS MANDATORY
B	Country	41	2	Domicile of the class member entity. This should be provided using ISO 3166-1 two-letter country codes.
C	Claimant ID	43	10	If present on the Notice mailed to you.
D	Claim ID	53	10	If available following the online filing of your claim.
E	Broker	63	60	Name of the broker through which the trade or trade instruction was submitted, if applicable
F	Submitted Date/Time	123	19	Calendar date and time that the trade instruction was submitted to Barclays for execution. This must be provided in one of the following formats: "YYYY-MM-DD HH:MM:SS", "YYYY-MM-DD HH:MM" or "YYYY-MM-DD" THIS FIELD IS MANDATORY
G	Time Zone	142	40	This is the time zone of the Submitted Date/Time values supplied. This should be in IANA (tz) format, for example "UTC", "US/Eastern" or

Col	Field	Start Position	Length	Notes
				"Asia/Singapore". THIS FIELD IS MANDATORY
H	Value Date	182	10	Optionally, the value (settlement) date of the trade instruction, in YYYY-MM-DD format.
I	Base Currency	192	3	ISO 4217 code of the base currency. THIS FIELD IS MANDATORY
J	Quoted Currency	195	3	ISO 4217 code of the quoted currency. THIS FIELD IS MANDATORY
K	BUY/SELL	198	4	BUY if the class member bought the base currency. SELL if the class member sold the base currency. THIS FIELD IS MANDATORY
L	Amount	202	16	Notional amount of the trade instruction, in the base currency. THIS FIELD IS MANDATORY
M	Contra Amount	218	16	Optionally, the contra amount in the quoted currency. Blank otherwise.
N	Price	234	12	The limit price at which the trade instruction was submitted. Blank otherwise. THIS FIELD IS MANDATORY
O	Accepted? (Y/N)	246	1	Y if the trade instruction was accepted by Barclays (filled). N if the trade instruction was rejected by Barclays (not filled). THIS FIELD IS MANDATORY
P	Username	247	40	Authorized user (logon) that submitted the trade instruction, or SenderCompID in the case of the Barclays FX FIX API. THIS FIELD IS MANDATORY
Q	Barclays Server	287	60	Optionally, hostname or IP address of the Barclays server (or "Point of Presence") to which the trade instruction was submitted.
R	FIX Order ID	347	40	For a trade instruction submitted over the Barclays FX FIX API, value of the "OrderID" FIX field that was provided by Barclays. THIS FIELD IS MANDATORY FOR FIX TRADES.
S	FIX Exec ID	387	40	For a trade instruction submitted and accepted (filled) over the Barclays FX FIX API, value of the "ExecID" FIX field that was provided by Barclays. THIS FIELD IS MANDATORY FOR FIX TRADES.