

申請手続きの手順書(法人用)

弊社が一括してMVFに郵送を行う場合のお手続き

申請書類一式のお受け取り

今回の救済措置のご申請のための下記書類一式をお客様にお渡しいたします。

【書類一式の内容】

- ① 「救済措置の申請手続きのお知らせ」(A3サイズの書面)
※「日興アロー・ファンド グローバル・マルチ・ストラテジー(償還済)」および「日興グローバル・ファンズ オルタナティブ・ファンド」の片方、あるいは両方についての書面が同封されております。
- ② 「申請書(PETITION FORM IND)」
- ③ 「申請手続きの手順書」(本書)
- ④ 「申請書の和訳」
- ⑤ 返信用封筒

申請書のご記入

本書3頁以降の赤字で記載された指示に従い、「申請書(PETITION FORM IND)」に必要事項をご記入ください。**申請書の所定欄に必ずご署名をご記入ください。**

現在の支店名やその所在地の英語表記については、「救済措置の申請手続きのお知らせ」に記載がある【お客様情報】をご参照ください。

弊社へのご返送

「返信用封筒」に次の書類を同封いただいた後、**4月11日(金)(消印有効)**までに弊社宛にご郵送ください。切手の貼添は不要です。

- ① 「救済措置の申請手続きのお知らせ」の右側半分
※お客様が申請するファンドに該当するものを全て同封ください。
- ② ご記入済みの申請書(コピーをお手元に保管ください。)

受領確認書のお受け取り

弊社より郵送した申請書をMVFが受領してから30日以内に、MVFより受領確認書がe-mailあるいは郵送にてお客様宛に送付される見込みです。

(注) 確認書は受領を確認するためのものであり、申請書が完全であることや回収金を受け取る資格があることを意味するものではありません。また、MVFより、追加の情報提供について、直接的にお客様に要求される可能性があります。

【ご参考】 申請書のご記入の際に、記載内容の訂正が生じた場合の対応

お渡しした申請書に誤った内容を記載した、あるいは書面を著しく毀損してしまった場合等は、弊社にお問い合わせくださいますようお願いいたします。また、弊社のホームページにて当該申請書を掲載しています。訂正が生じた場合には、当該申請書を印刷し、ご利用いただくことも可能です。

なお、海外の書面において一般的な修正方法は、訂正箇所にも二重線を引き、正しい文言を記載した後、署名、あるいはイニシャルを空白の位置に記載することとされており（右記参照）。ただし、あくまで一般例であり本件における適切性を保証するものではありません

NIKKO
Taro NIKO
T.N または 日興太郎

【ご参考】 お客様が「ご自身で」申請書をMVFへ提出する場合のお手続き

1. お客様ご自身で申請書をMVFに提出する意向がある旨を、お取引支店の担当営業員にお伝えください。
2. 担当営業員が「取引明細・残高証明書」発行のための「証明依頼書」をお渡しいたしますので、下記の青字の通りにご記入いただいたうえで、「取引明細・残高証明書」をご請求ください。なお、本件に係る発行手数料については、無料となります。

種 類	証 明 事 項
1 残高証明書 発行手数料： 証明依頼書 1 枚につき 200 円（消費税込）	2008年12月11日 現在 < 和文・ 英文 < 時値なし・ 時値あり > (参考値であり、商品により表示されないものがあります)
依 頼 理 由	マドフ救済ファンド提出用

(注) 依頼理由の欄に、「マドフ救済ファンド提出用」とご記入いただかない場合は、取引明細・残高証明書が適切に入手できないほか、発行手数料が発生する可能性がございますので、お忘れなくご記入ください。

3. 本書3頁以降の赤字で記載された指示に従い、申請書(PETITION FORM IND)にご記入ください。申請書の所定欄に必ずご署名いただくようお願いいたします。
4. ①ご記入済みの申請書、②取引明細・残高証明書の写し、の2つの書面をMVF宛に2014年4月30日(水)(消印有効)までに国際郵便にて下記へお送りください。
※申請書のコピーをお手元に保管ください。

(注) お客様ご自身がMVFへ国際郵便にてお送りいただく際に発生する 諸費用は、お客様のご負担になります。

郵送先	Madoff Victim Fund P.O. Box 6310, Syracuse, NY 13217-6310, USA
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5. お客様より郵送した申請書をMVFが受領してから30日以内に、MVFより受領確認書がe-mailあるいは郵送にてお客様宛に送付される見込みです。

(注) 確認書は受領を確認するためのものであり、申請書が完全であることや回収金を受け取る資格があることを意味するものではありません。また、MVFより、追加の情報提供について、直接的にお客様に要求される可能性があります。

PETITION FORM IND

For Claims By Indirect Investors

本書につきましては、署名を除き全て英語により表記ください。

MADOFF VICTIM FUND

Distribution Vehicle for Forfeited Assets

on behalf of the



UNITED STATES DEPARTMENT OF JUSTICE

Submissions to the Madoff Victim Fund must be verified under the penalty of perjury pursuant to 28 U.S.C. § 1746.

INSTRUCTIONS

Form IND is for use by investors who invested with Madoff Securities through an investment in, or purchase of shares from, an intermediate investment entity such as a feeder fund, bank, investment company, family trust or other pooled entity.

The United States Department of Justice (“DOJ”) will determine eligibility to make a claim on MVF in its sole discretion.

Victim Status

To qualify for a recovery from the MVF a claimant must have been a “victim” of the crimes that took place involving Madoff Securities. This involves showing that an individual suffered losses when:

- The funds in question were the victim’s own money;
- The funds were actually invested in Madoff Securities either directly or through an intermediary; and
- The funds were lost as a direct result of the crimes that took place at Madoff Securities.

The victim is the person who took funds out of any of their other assets and invested them either directly or indirectly with Madoff Securities. Funds may have been withdrawn from an investment or savings account in a financial institution, or they may have come from the sale of other investment assets. The money may also have come out of a 401(k) or other retirement savings vehicle. However, in order to be eligible you must have lost money that belonged to you in the fraud at Madoff Securities.

Eligibility for Defrauded Investors, not Intermediaries. MVF will look through issues of formal title to determine whose funds were ultimately lost in the fraud at Madoff Securities. The “ultimate or underlying investors” are generally the persons who will be eligible to recover from MVF, irrespective of how many layers their funds flowed through in reaching Madoff Securities.

Unlike the bankruptcy proceedings, pooled funds themselves are not eligible claimants except to the extent that they lost their own proprietary funds. Similarly, someone who managed funds on behalf of an investor, whether a bank or an investment manager of some other type, is not eligible for a recovery with respect to funds actually belonging to the investor.

Losses on investments in swaps or other derivatives whose value was measured by reference to interests in Madoff Securities, but where funds were never actually invested **in** Madoff Securities, do NOT qualify for purposes of claims on MVF. The FAQs describe other types of losses that are NOT eligible for a recovery.

Making an Individual Claim

Pooled investment vehicles can file a claim on behalf of their investors on Form PV. However, we strongly recommend that individual investors who lost their funds in the fraud should file their own individual claim, rather than relying on any current or former money manager, feeder fund or any other entity to file claims on their behalf. We will integrate the data from any dual filings.

Offsets

In determining eligibility and measuring loss, MVF will aggregate all the deposits and withdrawals a single investor had at any time with Madoff Securities, either directly or indirectly. MVF will not generally aggregate the deposits and withdrawals of multiple persons who invested through a single feeder fund or other account unless we determine that there are identical interests among two or more investors or accounts in different names. MVF considers individual, not group claims.

Full Disclosure. In making a claim, you must disclose all accounts and investments you ever had, directly or indirectly, with interests in Madoff Securities. MVF will evaluate all your investments and withdrawals from Madoff Securities, and not just transactions in a single account. Part of the certification you are required to submit with your claim is a sworn statement that the information you have provided is complete, and does not omit any deposits, withdrawals, recoveries or similar items relating to your investments with Madoff Securities through any account. Failure to fully disclose information could result in a variety of sanctions, including disqualification of all claims.

Collateral Recoveries. You must disclose all recoveries you have already received from (i) SIPC, (ii) the bankruptcy estate; (iii) litigation settlements; (iv) banks or fund managers; and (v) any other source **relating to your investment in Madoff Securities**. If you do not know what you might receive in the future, no estimate is required. However, you must disclose the source of all reasonably likely future recoveries.

For additional information regarding MVF eligibility requirements, please refer to our website at www.madoffvictimfund.com. The Frequently Asked Questions of the website shall control in case of any conflict with the provisions of this Form IND.

Submission Requirements

- This Form IND should be completed and signed by the **underlying or “ultimate” investor** of the investment in Madoff Securities. This form is for individuals to complete and may not be executed by a bank, brokerage firm, hedge fund, feeder fund or other intermediary.
- For investments made jointly, all parties must complete and sign the Petition.
- Parties represented by counsel must nonetheless personally execute the claim form.
- If submitted on behalf of an estate, the claim form should be submitted by a court-appointed executor or administrator of the estate. Any such Petition must be accompanied by proof of the individual’s authority to act on behalf of the estate. If an estate has already been closed, counsel or other official representatives should email our Customer Service to inquire about alternate procedures.
- You must disclose all accounts that held investments relating to Madoff Securities or interests therein on your behalf, whether directly or indirectly.
- Please attach copies of all relevant documentation regarding each entity through which your money travelled on its way to or from Madoff Securities. Please be sure to include confirmations of investments and withdrawals, as well as account statements showing all transactions and the last statement you received relating to the period prior to December 11, 2008. If you are missing copies of any suggested documentation, we suggest that you file your claim with an attached statement of why certain records are not available.
- Attach as many supplemental sheets as you need to document how your funds flowed into Madoff Securities. When completed, your claim must establish the security you purchased or investment you made, the entity through which you made your investment, where the investment was held in custody, when you added or withdrew additional funds (and the exact amounts), and all amounts you have been paid to date from any source with respect to losses from your investment.

Completion and submission of this Petition does not automatically entitle you to a distribution from MVF. Determination letters regarding the eligibility of claims will be mailed later in the claims process.

PETITION FORM IND

Submitted by Indirect Investors

Please type or print all answers using blue or black ink. Please print carefully and legibly – if we cannot read your information your claim may be rejected.

I Claimant Information

Primary Claimant

Claimant's (Investor's) Name お客様の法人名をご記入下さい。(例：NKT Corporation Inc.)

Claimant's Email Address ご連絡先のe-mailアドレスをご記入ください。(例：bc123@xmail.com)
※e-mailアドレスをお持ちでない場合は記入不要です。

If you filed a claim in the bankruptcy proceeding, please enter your claim ID here: _____

(The name and email address of the claimant whose funds were lost must be provided, even for investments otherwise held in the name of a nominee.)

U.S. Tax ID: _____ SSN EIN

Foreign ID and Country: (if applicable) JAPAN

Street Address 法人の所在地について、建物名および階数、番地、市区町村より小さい住所表記、の順にご記入ください。(例：Tokyo Building 7F, 1-5-X, Marunouchi) ※"F"は階数 (Floor) を意味します。

City, State/Province, Postal Code 市区町村、都道府県を日本語の住所の順番と逆にご記入いただき、最後に郵便番号をご記入ください。(例：Chiyoda-ku, Tokyo, 100-65XX)

Country JAPAN

Daytime Phone +81- (例：+81-3-1234-XXXX) Alternate/Cell Phone +81- (例 (携帯電話)：+81-90-1234-56XX)

Alternate Contact (if any) _____

Joint Claimant (if any)

Joint Claimant's Name _____

Joint Claimant's Email Address _____

U.S. Tax ID: _____ SSN EIN

Foreign ID and Country: (if applicable) _____

Joint Claimant's Street Address _____

Daytime Phone _____ Alternate/Cell Phone _____

II Information on the Account(s) Through Which You Invested [Your bank or other firm where you kept your account]

This Section calls for information about where the account through which you purchased an investment was located. This will generally be your bank or another type of financial firm where you first purchased an investment security that ultimately, through one or more steps, found its way into Madoff Securities. For this section we want to know where you kept your account and the steps taken in subsequent steps.

If you placed your investments through more than one firm, please complete supplemental sheets and list all such firms and related accounts.

現在お取引いただいているSMBC日興証券の支店名を、「救済措置の申請手続きのお知らせ」をご参考にしてください。なお、「SMB@Nikko Securities Inc.」は、「SMBC日興証券」を、「branch」は「支店」を意味します。

Name of Firm and branch (if relevant): _____
SMBC Nikko Securities Inc., _____ branch

Street Address, City, State/Province, Country, Postal Code where your account was located: _____
上記にご記入いただいた支店の住所を、「救済措置の申請手続きのお知らせ」の【お客様情報】をご参考にして、ご記入ください。(例: Nikko Building 1F, 1-6-X, Nihonbashi, Chuo-ku, Tokyo, JAPAN, 103-XXXX)

Exact Name on your Account: (Enter the name which appears on your account statements)
現在お取引いただいているSMBC日興証券のお客様の口座の名称をご記入ください。(例: NKT Corporation Inc.)

Your Account Number: (If relevant, it should match your backup documents)
上記口座の口座番号をご記入ください。(例: 20X-123XXX)

Name of Contact Person at Financial Institution: (Person Familiar With Your Account, if known)

Institution or Contact Person Daytime Phone: _____

Institution or Contact Person Email Address: _____

IF YOU DID NOT USE A BANK OR FINANCIAL INSTITUTION FOR YOUR PURCHASE OF A MADOFF-RELATED SECURITY OR INVESTMENT, TELL US THE FIRST LOCATION WHERE YOU SENT YOUR FUNDS.

For example, if you mailed or wired funds directly to a feeder fund, investment partnership, mutual fund, family partnership or other entity of this kind, please give us the information requested above with respect to that entity and identify the entity as completely as possible.

III Investment Products Purchased [What exactly did you invest in?]

Please list ALL your investments that directly or indirectly resulted in an investment in Madoff Securities.

2つの対象ファンド（日興アロー・ファンド - グローバル・マルチ・ストラテジーおよび日興グローバル・ファンズ - オルタナティブ・ファンド）のうち、2008年12月11日時点で保有されていたものにチェックマークをご記入ください。
 当時、対象ファンドの両方を保有されていた場合は、両方にチェックマークをご記入ください。
 (例)



Name of Security

For example, did you invest in any of the following securities?
 Please tell us what securities you purchased.

List below each security you purchased.

Relevant investment products are identified by a check mark(s) as below.

- Nikko Arrow Fund - Global Multi Strategy (日興アロー・ファンド - グローバル・マルチ・ストラテジー)
- Nikko Global Funds - Alternative Fund (日興グローバル・ファンズ - オルタナティブ・ファンド)

If not already identified, where were these products held in custody during your ownership?

Ultimately, we need to understand the path your investment took in flowing to Madoff Securities. If you are uncertain, or if the form does not exactly match your situation, please list as many steps as you know concerning your Madoff investments and we will review it.

If you provide information in the wrong sections, it will not invalidate your claim.

For any question, please attach however many supplemental sheets you need to explain your situation.

Account Documentation

Please provide documentation detailing the investment you made, and the feeder fund or other entity in which you invested. Please provide a copy of any key documents describing your investment, such as a partnership agreement, offering memorandum, account agreement or sale confirmations.

We need to see documentation showing the date and the amount of each purchase of a Madoff-related investment, each deposit in an account that was transferred in whole or in part to Madoff Securities, and each withdrawal from any such investment or account. Please also provide a copy of the last statement you received before or at the time Madoff Securities collapsed, which includes your Madoff-related investment.

Documentary proof of transactional information can include statements you received from the pooled investment vehicle and/or custodial bank, trade confirmations, wire transfer confirmations, cancelled checks, receipts, letters from fund administrators or investment advisors (signed and on company letterhead), etc. To evaluate your claim MVF has to be able to trace the flow of your investments in and out of the pooled investment vehicle, and ultimately in and out of Madoff Securities.

Please submit copies and keep the originals.

IV Transactions

Please complete the transaction table below, including every deposit (or purchase of shares) and withdrawal (or sale of shares) in any intermediary pooled investment vehicle that ultimately resulted in your funds being invested in Madoff Securities. Please enter the full amount of each transaction.

For funds that held investments in addition to those related to Madoff, please give us the percentage that was allocated to Madoff Securities if you have that information.

If you need additional space, please make copies of the table or download additional pages from our website.

Your net loss on Madoff-related investments must be computed on a “cash-in, cash-out” basis, disregarding any falsely reported profits (which never existed). For some funds, constantly shifting NAVs or portfolio allocations will complicate tracing the net cash investment in Madoff-related products. However, MVF cannot pay compensation on any basis other than the net cash investment in Madoff Securities that was lost as a direct result of the fraud. Please give us as much information as you have that will show your personal cash deposits and withdrawals, and their allocation if less than 100% of the fund’s portfolio consisted of interests in Madoff Securities.

V Secondary Pooled Investment Vehicles

If any of your investments detailed in the table above flowed through more than one intermediary entity before it was invested in a Madoff Securities account, please identify each such intermediary of which you are aware. For example, if you invested in Fund A and it in turn invested in Fund B, which invested in Fund C, then give us as much information as you have on where your funds went in each subsequent step after the first account (already listed in section II).

VI Tax-Deferred Accounts (For U.S. investors only)

If an investment in Madoff Securities was made through an individual tax-deferred account, such as a 401(k), 403(b) or IRA account, please provide the name, phone number and account number for the institution in which the investor's tax-deferred account is currently held.

Financial Institution _____
Account Number _____

VII Other Madoff Investments

本書に記載の対象ファンド以外に、過去にマドフ証券に投資されたことがない場合は、こちら[No]にチェックマークをご記入ください。
例)



Did you at any time have any
This question requires you to
additional indirect investments that ended up in a Madoff Securities account.

本書に記載の対象ファンド以外に、マドフ証券に投資されたご経験がある場合は、別途ご相談ください。

- No
 Yes

If Yes, all investments, whether or not they resulted in a net loss, must be fully disclosed. You may make copies of blank pages of this Form to report the investments and attach the pages to the Form, or submit a separate claim form for each investment.

VIII Recoveries

Please report any recoveries you have received for the losses you incurred as a result of your investment in Madoff Securities (e.g., distributions from the pooled vehicle in which you invested, litigation recoveries, insurance recoveries, or recoveries from any other source). Please include documentation to support any recovery you have received.

Amount	Date	Source

If it is reasonably certain that you will receive future recoveries from a specific source, such as a litigation settlement now in escrow, please provide us information on any such likely future recovery. You do not need to list all pending lawsuits or other legal actions if you have not been advised of any settlement or recovery.

マドフ証券から、手数料、報酬等を受け取っていない場合は、こちら [No] にチェックマークをご記入ください (なお、本書に記載の対象ファンド以外に、過去にマドフ証券に投資されたことがない場合も、こちら [No] にチェックマークをご記入ください。)。

例)



マドフ証券から、手数料、報酬等を受け取ったご経験がある場合は、別途ご相談ください。

IX Disclosure of Fees, Commissions or Other Financial Compensation You Received

Did you receive any fees, commissions or any financial compensation of any nature from any source for causing any investments in Madoff Securities?

No

Yes

If yes, you are required to complete Form A, which is available on our website.

X Certification and Release

A. CERTIFICATION. The undersigned represents and certifies under penalty of perjury that:

1. All personal and transactional information and all disclosures regarding any recovery for the loss resulting from the Madoff fraud, are complete and accurate to the best of the undersigned's knowledge. Information regarding all accounts, whether showing a net investment or net withdrawals, has been provided.
2. All accompanying documents in support of this Petition and documents submitted to the Madoff Securities bankruptcy trustee in support of the bankruptcy claim are true, correct and complete to the best of the undersigned's knowledge.
3. He/she/it is not and/or has not been any of the following.
 - a. A person who knowingly participated in, benefitted from or acted in a willfully blind manner relating to the fraud, and has not earned fees, commissions or other payments from handling or directing investments in Madoff Securities, except as disclosed in Form A (available on our website).
 - b. A person who was an officer, director or employee of Madoff Securities at any time during the Madoff fraud through and including December 11, 2008.
 - c. A member of the Madoff family.
 - d. A person who forfeited cash or property to the DOJ in connection with the Madoff fraud.
 - e. A defendant in any state or federal criminal action relating to the Madoff fraud.
 - f. A person who is otherwise prohibited from receiving payments in the United States, including all prohibited persons under regulations of the Office of Foreign Assets Control (see www.treasury.gov/about/organizational-structure/offices/Pages/Office-of-Foreign-Assets-Control.aspx).
 - g. An affiliate, assign, heir, distributee, parent, spouse, child, or other relative of any of the foregoing, or an entity controlled by, or under common control of, any of such persons.

B. He/she/it consents to the use by the U.S. Department of Justice, the MVF and its staff, and any of the Department's agents of any of the information provided herein for any purpose relating to this claims and remission process, including verifying the Petition or the identity of the Petitioner. This information includes, but is not limited to, the Social Security Number (or taxpayer identification number or similar foreign identifying information), address, telephone number and brokerage account information of the persons involved in any claim.

PETITION FORM CHECKLIST

Before mailing your Petition Form please read these reminders.

- 1) The complete signed Petition Form must be mailed to the Special Master and postmarked on or before April 30, 2014, or such other date as the Department may later establish, in order to be eligible for consideration. If your backup documentation is voluminous and you would like to send it on a CD, you may do so. However, the Petition Form itself must be received in paper form with an original signature.
- 2) Remember to **sign the Certification and Release**. The Certification and Release must be signed by the primary claimant and all joint claimants. If you received any fees, commissions or other payments for handling or directing investments in Madoff Securities, you must disclose any such compensation on Form A, which is available on our website. You must file Form A with this Petition Form.
- 3) Remember to supply your Social Security Number or Tax Identification Number (or the foreign equivalents of such identifying information) and any joint Social Security Number if applicable.
- 4) Remember to attach all supporting documentation you may have. Do not send originals of any supporting documentation; *send copies*.
- 5) Keep copies of the Petition Form and supporting documentation for your records.
- 6) We will email or send a confirmation of receipt of the Petition Form within 30 days after receiving it. If you do not receive a confirmation within 35 days of mailing the Petition Form, please call us at (866) 624-3670. **Please note that the Petition Form is not deemed filed until you receive a confirmation. The confirmation only confirms receipt and does not mean that your Petition Form is complete or that you are eligible for a recovery.** Once the petition has been reviewed you may receive correspondence concerning any additional information or documentation needed to make the petition complete.
- 7) You are responsible for notifying us of any changes in the information you file, including changes of address or contact information changes, or new collateral recoveries received. Please call us at (866) 624-3670, email us at info@madoffvictimfund.com, or mail us your new contact information. Please include the MVF petition number on any correspondence.

Please mail your completed claim form to:

**Madoff Victim Fund
P.O. Box 6310
Syracuse, NY 13217-6310**