

# PROOF OF CLAIM FORM

## I. GENERAL INSTRUCTIONS

- A. If you already submitted a Proof of Claim for the *In re Countrywide Financial Corporation Securities Litigation*, No. cv 07-05295 MRP (MANx) (“Countrywide Class Action”), you do not need to submit another Proof of Claim Form. The trading information you already supplied will be used to determine your Fair Fund claim. **DO NOT submit another Proof of Claim Form.** If you did not submit a Proof of Claim in the Countrywide Class Action, include all of your transactions in the approved Countrywide Class Action claim, or your Countrywide Class Action claim was denied, then in order to participate in the Fair Fund established in connection with the enforcement action entitled *Securities and Exchange Commission v. Angelo Mozilo, David Sambol and Eric Sieracki*, Case No.: CV 09-3994 JFW (MANx), you or your representative must fully complete this Proof of Claim Form. The Proof of Claim Form must be signed by the beneficial owner of Countrywide Financial Corporation (“Countrywide”) common stock or by their representative under the penalty of perjury. If you fail to complete the Proof of Claim Form, your claim may be rejected and you may be precluded from any recovery from this action.
- B. DO NOT use highlighter on the Proof of Claim Form or any supportive documents.
- C. Submission of the Proof of Claim Form does not guarantee that you will receive payment.
- D. You must mail your completed and signed Proof of Claim Form so that it is **postmarked no later than December 9, 2012**, addressed as follows:

SEC v. Mozilo Fair Fund  
c/o Rust Consulting, Inc, Distribution Agent  
P.O. Box 8045  
Faribault, MN 55021-9445

## II. CLAIMANT IDENTIFICATION

- A. If you purchased or otherwise acquired Countrywide common stock during the period March 1, 2005 to April 24, 2008 (the “Relevant Period”), and held the shares in your name, you are the beneficial owner (holder) as well as the record owner. If, however, the shares were registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial owner and the third party is the record owner.
- B. THE PROOF OF CLAIM FORM MUST BE FILED BY THE ACTUAL BENEFICIAL OWNER OR OWNERS, OR THE LEGAL REPRESENTATIVE OF SUCH OWNER(S) OR OWNERS OF THE SHARES OF COMMON STOCK UPON WHICH THIS CLAIM IS BASED.
- C. If the Beneficial Owner is an entity, the entity name should be provided (e.g., corporation, trust, estate, etc.)
- D. If this account is an IRA, the name of the IRA should be provided (e.g., John Doe IRA).
- E. All joint owners must sign this Proof of Claim Form. Executors, administrators, guardians, conservators and trustees must complete and sign this Proof of Claim Form on behalf of persons and/or entities represented by them, proof of their authority must accompany this Proof of Claim Form and their titles or capacities must be stated.
- F. The Social Security (or taxpayer identification) number and telephone number of the claimant may be used in verifying the Proof of Claim Form. Failure to provide the foregoing information could delay verification of your Proof of Claim Form or result in rejection of the claim.

G. The following shall not be a Potentially Eligible Claimant: (i) a current or former Countrywide Financial Corporation officer or director or any of their past or present affiliates (or any of their affiliates, assigns, creditors (provided that such entity shall only be excluded in its capacity as such without regard to whether it may otherwise be an Eligible Claimant), heirs, distributees, spouses, parents, children, or controlled entities) who had access to the allegedly undisclosed information that is the subject of the Action; (ii) any Person who assigned that Person's right to obtain a recovery in the Action; (iii) any assignee of another Person's right to obtain a recovery in the Action, provided, however, this provision shall not be construed to exclude those Persons who obtained such a right by inheritance or devise; or (iv) the Distribution Agent, its employees, and those persons assisting the Distribution Agent in its role as Distribution Agent.

**III. PROOF OF CLAIM FORM**

A. Use Section II of the Proof of Claim Form titled "Schedule of Transactions" to supply all required details of your transaction(s) in Countrywide.

B. Please provide all of the requested transactional information related to purchases and sales of Countrywide common stock during the Relevant Period. Failure to provide all transactional information may result in the rejection of your claim.

C. Broker confirmations or other valid third party supporting documentation of your purchases and sales of Countrywide common stock should be attached to your Proof of Claim Form. Failure to provide this documentation could delay verification of your Proof of Claim Form or result in rejection of your claim.

D. The Proof of Claim Form must be submitted to the Distribution Agent with a postmark dated on or before December 9, 2012.

E. The Proof of Claim Form is designed to require the minimum amount of information necessary to process the form. The Distribution Agent may request additional information as required to efficiently and reliably calculate your claim.

F. If the Proof of Claim Form is completed by the beneficial owner of Countrywide common stock, please complete Section III titled "Certification and Declaration of Beneficial Owner."

G. If the Proof of Claim Form is completed by a representative of the beneficial owner, please complete Section IV titled "Declaration of Representative."

**IF YOU HAVE ADDITIONAL QUESTIONS,**

Call: 1-877-225-9893;

Write to the Mozilo Fair Fund Distribution Agent at:

SEC v. Mozilo Fair Fund  
c/o Rust Consulting, Inc., Distribution Agent  
P.O. Box 8045  
Faribault, MN 55021-9445

Email: [info@MoziloFairFund.com](mailto:info@MoziloFairFund.com)

**Beneficial Owners must complete Sections I, II, and III.  
Representatives must complete Sections I, II and IV.**

**POSTMARKED  
NO LATER THAN  
DECEMBER 9, 2012**

SEC V. ANGELO MOZILO ET AL.  
CASE NO.: CV 09-3994-JFW (MANx)  
UNITED STATES DISTRICT COURT  
CENTRAL DISTRICT OF CALIFORNIA

For Official Use Only  
**03**

# PROOF OF CLAIM FORM



## Section I – CLAIMANT IDENTIFICATION

### A. Beneficial Owner Information:

Name of Beneficial Owner: \_\_\_\_\_  
*First, Middle, Last or Entity Name (if Beneficial Owner is an Entity, e.g., corporation, trust, estate, etc.)  
If this account is an IRA, you must enter the name of the IRA, such as "John Doe IRA".*

Name of Joint Beneficial Owner, if any: \_\_\_\_\_  
*(First, Middle, Last)*

Name of IRA Custodian, if applicable: \_\_\_\_\_

### B. Mailing/Contact Information:

Name of Representative (if different from Beneficial Owner above): \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Foreign Province: \_\_\_\_\_ Foreign Postal Code: \_\_\_\_\_

Country (if other than United States): \_\_\_\_\_

Daytime Phone Number: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Evening Phone Number: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_  
*(including Area Code) (including Area Code)*

Email Address: \_\_\_\_\_

## Section II – SCHEDULE OF TRANSACTIONS

List the trade history by listing each individual purchase and sale, or otherwise acquired common stock in chronological trade order. For each transaction please provide: (A) the trade date; (B) the number of shares traded; (C) the price per share; and (D) the total transaction amount.

You must submit required supporting documentation for your trading history. Required supporting documentation may include: (a) monthly stock brokerage or other investment account statements; (b) trade confirmation slips; (c) applicable year-end statement(s); (d) a signed letter from your broker on firm letterhead verifying the information you are providing; (e) a Deposit or Escrow Receipt showing your holdings; or (f) other equivalent proof of your transactions. All documentation must be legible and include your account name, date of purchase, quantity, total transaction amount and security name or CUSIP. Stock certificates containing only the issue date, handwritten documentation, and/or personally prepared spreadsheets are not acceptable forms of documentation. If you are claiming any transfer transactions, securities transferred in or out cannot be treated as eligible purchases or sales unless you provide acceptable documentation showing that the original purchase date for the transfer in or sale date for the transfer out of these securities was during the relevant time period. Please send copies of documents, not originals.

Account Type:  Individual(s)  Corporation  UGMA Custodian  IRA  
 Partnership  Estate  Trust  Other: \_\_\_\_\_

If you have more than one Account Type, you must complete a Proof of Claim Form for each Account Type.



**SCHEDULE OF TRANSACTIONS IN COUNTRYWIDE FINANCIAL ("COUNTRYWIDE") COMMON STOCK (CUSIP 222372104)**

YOU MUST SUBMIT DOCUMENTATION SUPPORTING THE INFORMATION BELOW.

**COMMON STOCK BEGINNING HOLDINGS**

1. Total Number of shares of Countrywide common stock held at the beginning of trading on **March 1, 2005**. (If none, write "zero" or "0"; if other than zero, must be documented)  Number of Shares

**COMMON STOCK PURCHASES**

2. List (in chronological order) all purchases and/or acquisitions of Countrywide common stock made between **March 1, 2005** and **June 30, 2008**, inclusive.

A. Date(s) of Purchase (List Chronologically) Month/Day/Year	B. Number of Shares of Common Stock Purchased	C. Purchase Price Per Share of Common Stock	D. Amount Paid (Excluding Commissions, Taxes & Fees)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**COMMON STOCK SALES**

4. List (in chronological order) all sales of Countrywide common stock made between **March 1, 2005** and **June 30, 2008**, inclusive.

A. Date(s) of Sale (List Chronologically) Month/Day/Year	B. Number of Shares of Common Stock Sold	C. Sale Price Per Share of Common Stock	D. Amount Received (Excluding Commissions, Taxes & Fees)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**COMMON STOCK ENDING HOLDINGS**

5. Number of shares of Countrywide common stock held at the close of trading on **June 30, 2008**. (If none, write "zero" or "0"; if other than zero, must be documented)  Number of Shares

If additional space is required, please photocopy this page and attach.

**Section III– CERTIFICATION AND DECLARATION OF BENEFICIAL OWNER**

Enter your Tax Identification Number (“TIN”) in the appropriate box below. **This information is required.**

- Individuals use your Social Security Number (“SSN”). (Resident alien, sole proprietor, or disregarded entity, see Part I of W-9 instructions.)
- For sole proprietors, you must show your individual name, but you may also enter your business or “doing business as” name. You may enter either your SSN or your Employer Identification Number (“EIN”).
- For other entities, it is your SSN or EIN.

SSN  OR EIN

If you are exempt from backup withholding, enter your current TIN above and write “exempt” on the following line: \_\_\_\_\_

I (We) declare UNDER PENALTY OF PERJURY under the laws of the United States of America that:

1. the number shown on this form is my current SSN or EIN; and
2. I (we) have read my (our) foregoing Proof of Claim Form, including any attachments and enclosures, and that the Proof of Claim Form including any attachments and enclosures is true and correct in every aspect.
3. I (we) affirm that at this time I (we) have not received any compensation from any other sources regarding this matter. In the event that I (we) receive any compensation for my (our) losses from any individual or litigation other than the present matter involving the United States, I (we) will immediately notify the SEC v. Mozilo Distribution Agent.
4. I (we) understand that this Proof of Claim Form will be governed by the regulations, including definitions of terms such as “victim” and “related offense,” set forth in 28 C.F.R. Section 9.1 et seq.
5. I (we) understand the deadline for filing and returning this Proof of Claim Form is the 9th day of December, 2012 and that the completed documents and all required supporting documentation must be postmarked on or before that date and received at SEC v. Mozilo Fair Fund, c/o Rust Consulting, Inc., Distribution Agent at, P.O. Box 8045, Faribault, MN 55021-9445. I (we) understand that if I (we) fail to comply with the deadline, it may result in the denial of my Proof of Claim Form.
6. I (we) have not authorized nor am aware of anyone else who has filed a Proof of Claim Form on my (our) behalf for the same losses covered in this Proof of Claim Form.
7. all notices regarding remission shall be sent to me at my (our) residence address set forth above, unless I (we) provide to you in writing any change of address.

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 2012 in \_\_\_\_\_, \_\_\_\_\_.  
(City) (State/Country)

Signature of Claimant

(Type/print name of Claimant)

Signature of Joint Claimant, if any

(Type/print name of Joint Claimant, if any)

**Section IV – DECLARATION OF REPRESENTATIVE (if Represented by a Legal Representative or Attorney)**

Beneficial Owner Social Security No.  OR EIN  (REQUIRED)

I, \_\_\_\_\_, declare under penalty of perjury that I have been duly authorized by above named beneficial owner to submit this Proof of Claim Form on his/her behalf. Further, I agree to all terms set forth in this Proof of Claim Form, including Section III – Certification and Declaration of Beneficial Owner.

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 2012 in \_\_\_\_\_, \_\_\_\_\_.  
(City) (State/Country)

Signature

(Type/print name)

Capacity of person signing; e.g., administrator, executor, trustee, beneficial purchaser, etc.)

Telephone Number

Please check mark the box to the left to indicate that you have attached a properly executed power of attorney or comparable legal document authorizing you to complete this Proof of Claim Form on behalf of the beneficial owner named above.

If you have additional questions, please call 1-877-225-9893; write to the SEC v Mozilo Fair Fund Distribution Agent at the address above; email [info@MoziloFairFund.com](mailto:info@MoziloFairFund.com); or visit the website at [www.MoziloFairFund.com](http://www.MoziloFairFund.com).

**REMINDER CHECKLIST**

1.  **Signature Required** – Sign the certification section. If this Proof of Claim Form is submitted on behalf of joint account holders, then both account holders must sign.
2.  **Postmark Date** – This form, with your supporting documentation, must be submitted to the Distribution Agent such that it is postmarked on or before December 9, 2012.
3.  **Mailing Address** – Mail to:  
SEC v. Mozilo Fair Fund  
c/o Rust Consulting, Inc., Distribution Agent  
P.O. Box 8045  
Faribault, MN 55021-9445
4.  **Supporting Documentation** – Remember to attach the required supporting documentation. Do NOT provide originals of brokerage statements or any other documentation. If the name appears different on the supporting documentation, you must provide proof of name/bank account change (i.e. marriage certificate/divorce decree, death certificate or appropriate court documents).  
Required supporting documentation may include: (a) monthly stock brokerage or other investment account statements; (b) trade confirmation slips; (c) applicable year-end statement(s); (d) a signed letter from your broker on firm letterhead verifying the information you are providing; (e) a deposit or escrow receipt showing your holdings; or (f) other equivalent proof of your transactions. All documentation must be legible and include your account name, date of purchase, quantity, total transaction amount and security name or CUSIP. Stock certificates containing only the issue date, handwritten documentation, and/or personally prepared spreadsheets are not acceptable forms of documentation. If you are claiming any transfer transactions, securities transferred in or out cannot be treated as eligible purchases or sales unless you provide acceptable documentation showing that the original purchase date for the transfer in or sale date for the transfer out of these securities was during the relevant time period. Please send copies of documents, not originals.
5.  **Retain Copies of Submitted Documents** – Keep a copy of your Proof of Claim Form and all documents submitted for your records. Keep copies of everything you submit.
6.  **Notice of Address Change** – If you move after submitting this Proof of Claim Form, please notify the Distribution Agent in writing, to the address above, of the change in your address.