

**IN THE UNITED STATES DISTRICT COURT  
FOR THE NORTHERN DISTRICT OF TEXAS  
DALLAS DIVISION**

SECURITIES AND EXCHANGE COMMISSION,	§	
	§	
Plaintiff,	§	
	§	
v.	§	Case No. 3:09-CV-0298-N
	§	
STANFORD INTERNATIONAL BANK, LTD., ET AL.,	§	
	§	
Defendants.	§	

---

**NOTICE OF BAR DATE AND PROCEDURES FOR SUBMITTING PROOFS OF CLAIM**

---

TO: ALL CLAIMANTS OF THE STANFORD RECEIVERSHIP ENTITIES  
PLEASE TAKE NOTICE OF THE FOLLOWING:

On May 4, 2012, the United States District Court for the Northern District of Texas — Dallas Division (the “District Court”) entered an order in the above-captioned case (the “Bar Date Order”) establishing September 1, 2012, at 11:59 p.m. (prevailing Central Time) as the deadline (the “Bar Date”) for certain Claimants to submit a completed and signed Proof of Claim Form under penalty of perjury, together with supporting documentation (a “Proof of Claim Form”), against the Defendants in the above-captioned case<sup>1</sup> and all the entities they own or control (collectively, the “Receivership Entities”).<sup>2</sup>

**1. WHAT IS THE BAR DATE?**

The Bar Date is the date by which the individuals and entities described below must submit a Proof of Claim Form with the Receiver’s Claim Agent in the manner indicated below. The Bar Date is September 1, 2012, at 11:59 p.m. (prevailing Central Time), and all Proof of Claim Forms must be postmarked on or before that deadline. For Proof of Claim Forms sent by mail, an official postmark shall serve as proof of the date sent. Claimants who choose to submit Proof of Claim Forms by courier service, hand delivery, electronic mail or facsimile should retain a copy of their bill of lading or other proof that their Proof of Claim Form was sent by the Bar Date. Please note that any Proof of Claim Forms submitted after the Bar Date will be subject to disallowance, which means that you would not receive any distribution from the Receiver or the Receivership Entities.

**2. WHO NEEDS TO SUBMIT A PROOF OF CLAIM FORM?**

All persons or entities (including, without limitation, individuals, partnerships, corporations, joint ventures, estates, trusts, and governmental units) that believe they possess a potential or claimed right to payment, or a potential claim of any nature, against any of the Receivership Entities and believe that they are owed any money by, or are entitled to a distribution from, any of the Receivership Entities must submit a Proof of Claim Form, unless otherwise expressly stated herein, regardless of whether such claim has been acknowledged by the Receiver (each a “Claimant”).

Claimants include, but are not limited to, any person or entity (including, without limitation, individuals, partnerships, corporations, joint ventures, estates, trusts, and governmental units) that holds a Claim. Without limiting the generality of the foregoing, Claimants specifically include, but are not limited to, any person or entity holding:

- a Claim based on an investment in, with or through a Receivership Entity or a customer transaction with or through a Receivership Entity (“Customer Claims”), including but not limited to claims relating to
  - certificate(s) of deposit issued by Stanford International Bank, Ltd. (“Stanford International Bank, Ltd. CD Claim”);

---

<sup>1</sup> The Defendants include: Stanford International Bank, Ltd.; Stanford Group Company; Stanford Capital Management, LLC; Robert Allen Stanford; James M. Davis; Laura Pendergest-Holt; Stanford Financial Group Company; and The Stanford Financial Group Building, Inc.

<sup>2</sup> The Receivership Entities include, without limitation: Stanford International Bank, Ltd.; Stanford Financial Group Company; Stanford Group Company; Stanford Trust Company; Stanford Capital Management, LLC; Stanford Coins & Bullion, Inc.; and the entities listed in Exhibit 8 to the Appendix in Support of the Receiver’s Amended Motion for Entry of an Order (I) Establishing Bar Date for Claims; (II) Approving Form and Manner of Notice Thereof; and (III) Approving Proof of Claim Form and Procedures for Submitting Proofs of Claim filed with the District Court in the above-captioned case [Doc. 1584] and on the Receiver’s website at <http://stanfordfinancialreceivership.com/>.

- other customer accounts or transactions with Stanford International Bank, Ltd. (“Other Stanford International Bank, Ltd. Claim”);
  - investments in, with or through Stanford Coins & Bullion, Inc. or other customer transactions relating to coins and bullion (“Coin & Bullion Claim”);
  - investments in partnerships or other entities sponsored by a Receivership Entity (“Partnership Claim”);
  - investments in and transactions relating to brokerage accounts held through a Receivership Entity (“Brokerage Account Claim”);
  - investments in, with or through or customer transactions with Stanford Development Corporation (“Stanford Development Corporation Claim”); and
  - investments in, with or through any other Receivership Entity or a customer transaction with any other Receivership Entity (“Other Customer Claim”).
- a Claim of any other kind whatsoever against any Receivership Entity, including, without limitation, Claims based on or relating to
    - the provision of goods or services to any Receivership Entity for which payment has not been made in whole or in part (“Services Claim”);
    - real estate owned or leased by Receivership Entities, including but not limited to past due rent (“Real Estate Claim”);
    - money loaned to any Receivership Entity and that has not been repaid in whole or in part (“Loan Claim”);
    - unpaid wages, compensation, or other employment benefits (“Employment Compensation Claim”);
    - tax liabilities, including those held by federal, state, local or other governmental entities or authorities (“Tax Claim”); and
    - primary, secondary, direct, indirect, secured, unsecured, or contingent liability, whether based on contract, tort, indemnity, reimbursement, subrogation, or other legal or equitable theory (“Other Claim”).

This notice is being sent to many persons and entities that have had some relationship or have done business with the Receivership Entities. The fact that you have received this notice does not necessarily mean that you are a Claimant, that you have a valid claim, or that the District Court or the Receiver believes you have a claim against the Receivership Entities.

**3. DO I NEED TO SUBMIT A PROOF OF CLAIM FORM IF I HAVE PREVIOUSLY SUBMITTED EVIDENCE OF A CLAIM TO THE LIQUIDATORS IN ANTIGUA?**

Yes. There is a proceeding pending in the courts of Antigua and Barbuda, in which those courts have appointed liquidators for Stanford International Bank, Ltd. and receivers for Stanford Trust Company Limited (an Antiguan entity controlled by R. Allen Stanford). A Claimant that has submitted evidence of a Claim with the Antiguan liquidators or receivers or that has a Claim as a beneficiary of a trust for which Stanford Trust Company Limited is the trustee must submit a Proof of Claim Forms evidencing such Claim in order to be entitled to receive a distribution from any of the Receivership Entities. This includes, but is not limited to, any claim registered through the prior Antiguan liquidators’ website or with Vantis plc, through the current Antiguan liquidators’ website or with Grant Thornton, or with other representatives of the Antiguan liquidators or receivers.

Submission of evidence of a Claim with the Antiguan liquidators or receivers, whether submitted prior to or after the date of the Bar Date Order, will not constitute a waiver of the right to submit or otherwise bar a Claimant from submitting a Proof of Claim Form with the Receiver.

**4. DO I NEED TO SUBMIT A PROOF OF CLAIM FORM IF I HAVE PREVIOUSLY SUBMITTED EVIDENCE OF A CLAIM TO THE RECEIVER?**

No. A Claimant that has previously submitted a “Claimant Form” through the Receiver’s website (<http://stanfordfinancialreceivership.com/claims.php>) and who has received a unique claim number from the Receiver may, but is not required to, submit a Proof of Claim Form with respect to such Claim. If such a Claimant does not submit a Proof of Claim Form, the Claimant Form will be treated as a timely and sufficiently filed Proof of Claim Form. However, upon request from the Receiver, or his Claims Agent, the Claimant will be required to submit additional supporting documentation in order for the claim asserted in the Claimant Form to be allowed. Beginning on May 4, 2012, the date

the Bar Date Order was entered, Claimants may no longer submit a Claimant Form but shall, instead, submit a Proof of Claim Form in accordance with the terms of the Bar Date Order.

## **5. WHAT ARE THE CONSEQUENCES OF NOT SUBMITTING A PROOF OF CLAIM FORM?**

ANY CLAIMANT WHO IS REQUIRED TO SUBMIT A PROOF OF CLAIM FORM, BUT THAT FAILS TO DO SO IN A TIMELY MANNER, WILL BE FOREVER BARRED, ESTOPPED, AND ENJOINED TO THE FULLEST EXTENT ALLOWED BY APPLICABLE LAW FROM ASSERTING, IN ANY MANNER, SUCH CLAIM AGAINST THE RECEIVERSHIP ENTITIES AND THEIR RESPECTIVE PROPERTY OR ESTATES; WILL NOT BE PERMITTED TO OBJECT TO ANY DISTRIBUTION PLAN PROPOSED BY THE RECEIVER ON ACCOUNT OF SUCH CLAIM; WILL BE DENIED ANY DISTRIBUTIONS UNDER ANY DISTRIBUTION PLAN IMPLEMENTED BY THE RECEIVER ON ACCOUNT OF SUCH CLAIM; AND WILL NOT RECEIVE ANY FURTHER NOTICES ON ACCOUNT OF SUCH CLAIM. FURTHER, THE RECEIVERSHIP ENTITIES AND THEIR RESPECTIVE PROPERTY OR ESTATES WILL BE DISCHARGED FROM ANY AND ALL INDEBTEDNESS OR LIABILITY WITH RESPECT TO SUCH CLAIM.

## **6. WHERE CAN I GET A COPY OF THE PROOF OF CLAIM FORM?**

For your convenience, enclosed with this notice is a Proof of Claim Form. A copy of the Proof of Claim Form is also available at [www.stanfordfinancialclaims.com](http://www.stanfordfinancialclaims.com). Additional information can be found on the Receiver's website at [www.stanfordfinancialreceivership.com](http://www.stanfordfinancialreceivership.com) and on the Examiner's website at [www.lpf-law.com/sub/stanford.jsp](http://www.lpf-law.com/sub/stanford.jsp). The Receiver will also provide this notice and the Proof of Claim Form to any potential Claimant who makes a written request for such documents to (a) the e-mail address [info@stanfordfinancialclaims.com](mailto:info@stanfordfinancialclaims.com); (b) the address of the Receiver's Claims Agent, Stanford Financial Claims, P.O. Box 990, Corte Madera, CA 94976-0990; or (c) via telephone at (866) 964-6301 or (317) 324-0757.

## **7. HOW DO I SUBMIT MY PROOF OF CLAIM FORM?**

A completed and signed Proof of Claim Form, together with supporting documentation, must be submitted to the Receiver's Claims Agent, so as to be postmarked no later than September 1, 2012, at 11:59 p.m. (prevailing Central Time).

Proof of Claim Forms must be submitted to the Receiver's Claims Agent (a) electronically online at [www.stanfordfinancialclaims.com](http://www.stanfordfinancialclaims.com); (b) by mail to Stanford Financial Claims, P.O. Box 990, Corte Madera, CA 94976-0990; (c) by express courier service or hand delivery, to Stanford Financial Claims, 3301 Kerner Blvd., San Rafael, CA 94901; (d) by electronic mail, as an attachment in portable document format (.pdf), to [info@stanfordfinancialclaims.com](mailto:info@stanfordfinancialclaims.com) or (e) by facsimile or by telecopy to (415) 258-9639. If you do not receive an acknowledgement via postcard and/or email of receipt of your claim form within forty (40) days of your mailing the form, then please contact the Claims Agent at [info@stanfordfinancialclaims.com](mailto:info@stanfordfinancialclaims.com) or toll free at (866) 964-6301 or (317) 324-0757. Proof of Claim Forms should not be filed with the District Court, and any Proof of Claim Form so filed will not be considered properly submitted.

You must identify, in the Proof of Claim Form, the Receivership Entity against which you are asserting a Claim if such information is available to you. However, you may submit Proof of Claim Form against several or all of the Receivership Entities if, based upon a reasonable investigation, you believe that you hold a Claim against those Receivership Entities or are unsure which Receivership Entity you hold a Claim against. If the Receiver or his Claims Agent requests additional information regarding the identity of the Receivership Entity or Receivership Entities against which your Claim is properly asserted, you must respond to the request and provide the requested information if available to you.

If you reasonably believe that you have or may have more than one type of Claim against the Receivership Entities, you must submit a separate Proof of Claim Form for each type of Claim. A failure to submit a separate Proof of Claim Form for each type of Claim shall be a basis for the Receiver to issue a Notice of Deficiency as described further below.

## **8. SUPPORTING DOCUMENTS**

Please attach to your Proof of Claim Form only documents that support your Proof of Claim Form. Such documentation may include, but is not limited to: copies of personal checks, cashiers checks, wire transfer advices, Stanford International Bank, Ltd. account statements and other documents evidencing the investment or payment of funds; a copy of your Stanford International Bank, Ltd. certificate of deposit, and any written contract or agreement made in connection with any investment in or with any Receivership Entity; a chronological accounting of all money received by the Claimant from any Receivership Entity or the Receiver, whether such payments are denominated as the return of principal, interest, commissions, finder's fee, sponsor payments, or otherwise; copies of all documentation and records reflecting or regarding any withdrawals ever made by or payments received by the Claimant from any Receivership Entity or the Receiver; copies of all agreements, promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, court judgments, mortgages, security agreements, evidence of perfection of lien; and other documents evidencing the amount and basis of the Claim. **DO NOT SEND ORIGINAL DOCUMENTS.** If such supporting documentation is not available, please explain why in an addendum that is attached to your Proof of Claim Form.

Please do not submit the following types of materials with a Proof of Claim Form unless requested by the Receiver or his Claims Agent: (1) marketing brochures and other marketing materials received from Receivership Entities; (2) routine or form correspondence received from Receivership Entities; (3) copies of pleadings on file in any case involving the Receiver or the Receivership Entities, and (4) other documents received from Receivership Entities that do not reflect Claimant specific information concerning the existence or value of a Claim.

#### **9. REQUESTS FOR ADDITIONAL INFORMATION AND NOTICES OF DEFICIENCY**

If after receiving a Proof of Claim Form the Receiver determines that he needs additional information to process a Claim, the Receiver or his Claims Agent may contact you by telephone, mail or email to request such additional information.

Prior to disallowing a Claim for lack of information, the Receiver will send to you, by email or mail to an email or physical address provided by you in the Proof of Claim Form (if provided) or if no such address was provided, to the original email or physical address to which the Bar Date Notice was sent, a written Notice of Deficiency that specifically identifies the information required to process the Claim. The Notice of Deficiency will further state that the Claim will be disallowed for lack of sufficient information if you do not provide the additional information within sixty (60) days of issuance of the Notice of Deficiency. The Receiver may disallow a Claim if you fail to respond to a Notice of Deficiency within sixty (60) days of the Notice of Deficiency.

#### **10. NOTICE OF DETERMINATION**

The Receiver or his Claims Agent will provide a written Notice of Determination to each Claimant that submits a Proof of Claim Form. If the Receiver has disallowed the Claim in whole or in part, the Notice of Determination shall so state and will include a statement setting forth the reasons for disallowing the Claim. The Notice of Determination will provide instructions for challenging the Receiver's determination.

#### **11. COOPERATION**

The Court has directed all parties and Claimants to cooperate with the Receiver to the maximum extent possible to achieve swift resolution of disputes concerning Claims without the need for a determination by the Court.

#### **12. CONSENT TO JURISDICTION**

If you submit a Proof of Claim Form in this case, you consent to the jurisdiction of the District Court for all purposes related to this claim and agree to be bound by its decisions, including, without limitation, a determination as to the validity and amount of any claims asserted against the Receivership Entities. In submitting a Proof of Claim Form, you agree to be bound by the actions of the District Court even if that means your claim is limited or denied.

#### **13. RESERVATION OF RIGHTS**

The Receiver reserves the right to dispute, or assert offsets or defenses as to the nature, amount, liability, classification, or otherwise against, any amounts asserted in any Proof of Claim Form. Nothing set forth in this notice or the Proof of Claim Form shall preclude the Receiver from objecting to any Proof of Claim Form, on any grounds.

Dated this 4<sup>th</sup> day of May.

BY ORDER OF THE HONORABLE DAVID GODBEY  
UNITED STATES DISTRICT COURT JUDGE  
**BAKER BOTTS L.L.P.**  
ATTORNEYS FOR RECEIVER RALPH S. JANVEY