

Must be Postmarked
or Received No
Later Than
January 29, 2026

USA v. TD Securities
(USA) LLC c/o Epiq
PO Box 2691
Portland, OR 97208-2691
(888) 890-0947

NOTICE AND PETITION FOR VICTIM COMPENSATION FORM

You are receiving this Petition form because you may be entitled to receive a distribution from the Victim Compensation Amount in connection with *United States v. TD Securities (USA) LLC*; Criminal Case Number 24-CR-623; **(District of New Jersey)**. On September 29, 2024, TD Securities (USA) LLC (“TD”) entered into a deferred prosecution agreement (DPA) with the United States, Department of Justice, Criminal Division, Fraud Section (the “Fraud Section”) to resolve criminal charges concerning a scheme to defraud involving hundreds of episodes of unlawful trading in the secondary (cash) market for U.S. Treasuries.

Pursuant to the DPA, TD admitted to knowing acts of spoofing and layering, between April 3, 2018 and May 14, 2019, for U.S. Treasuries Products including but not limited to five-year U.S. Treasury notes, ten-year U.S. Treasury notes, and 30-year U.S. Treasury bonds. At times during the spoofing and layering scheme, TD provided a false impression of supply and demand to other market participants trading U.S. Treasuries Products. In this way, TD allegedly manipulated and artificially increased or decreased the market prices of the U.S. Treasuries Products with the intent to benefit itself.

The United States is initiating a victim compensation process to return funds to eligible victims of frauds perpetrated by TD. The victim compensation process is governed by the DPA and overseen by the Fraud Section. Epiq Class Action & Claims Solutions, Inc. (“Epiq”) serves as the Victim Compensation Administrator for this matter. Please beware of other websites, entities, or communications you may receive claiming to administer the victim compensation process, remission payments, or any other kind of refund. **Victims are never required to pay to take part in any Department of Justice Victim Compensation process, including this one.**

This form contains your calculated loss amount. The loss amount is used to calculate your distribution payment. You are asked to confirm or object to the loss amount no later than January 29, 2026. If you object to the loss amount, you must provide documentation to reflect your transactions. Failure to return a complete Petition form and include the required documentation by the deadline, January 29, 2026 may result in your exclusion from the distribution group. In addition, you have an obligation to provide Epiq with current contact information. Failure to maintain a valid address with Epiq could result in your exclusion from the distribution group.

YOU MUST COMPLETE THIS PETITION AND SUBMIT IT BY JANUARY 29, 2026 TO BE ELIGIBLE TO RECEIVE A DISTRIBUTION. YOU MAY FILE YOUR PETITION ONLINE AT www.TDVictimCompensation.com, BY EMAILING IT TO Info@TDVictimCompensation.com OR BY MAILING IT TO THE ADDRESS ABOVE.

To view Epiq’s Privacy Notice, please visit <https://www.epiqglobal.com/en-us/privacy-statement>

Please note that email is not secure and we recommend that you encrypt any documents containing personal or otherwise sensitive information.

The Victim Compensation Administrator will use this information for all communications relevant to this Petition (including payment, if eligible). If this information changes, you **MUST** notify the Victim Compensation Administrator by email to Info@TDVictimCompensation.com or by writing at the address on the prior page.

PETITIONER INFORMATION

Petitioner/Contact Name: (Last, First) (as you would like the name(s) to appear on the check, if eligible for payment)

[illegible]

Business/Institution Name: (if applicable)

[illegible]

Address 1: (Include Street, City, State, and ZIP Code)

[illegible]

Address 2: (apartment, unit or box number)

[illegible]

City:

[illegible]

State:

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ZIP:

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Social Security Number/Tax Identification Number: (Enter N/A if you do not have one)

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Please provide an explanation why you do not have a Tax Identification Number, if above is N/A:

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Daytime Telephone Number:
$$\begin{array}{|c|c|c|} \hline & & \\ \hline \end{array} - \begin{array}{|c|c|c|} \hline & & \\ \hline \end{array} - \begin{array}{|c|c|c|c|} \hline & & & \\ \hline \end{array}$$
Evening Telephone Number:

$3 \times 10 - 1 \times 10 = 2 \times 10$
 $3 \times 10 - 1 \times 10 = 2 \times 10$

Email:[illegible]

Account Number (where securities were traded)

[illegible]

Claimant Account Type (check appropriate box)

□ Individual

☐ IRA/401K

□ Estate

☐ Joint

☐ Pension Plan

☐ Trust

☐ Corporation

☐ Other _____ (please specify)

PART III - PETITIONER'S STATEMENT, CERTIFICATION, RELEASE & SIGNATURE

The following certification should be completed by the petitioner.

I attest and declare under penalty of perjury that my petition is not frivolous, and the information provided in support of my petition is true and correct to the best of my knowledge and belief.

Signature

Printed Name

Date: - -
MM DD YYYY

Filing by Attorneys or Legal Guardians on behalf of the Petitioner

- 1) A petition for victim compensation may be filed by a petitioner or by his or her attorney or legal guardian. If an attorney or legal guardian files on behalf of the petitioner, the petitioner must include a signed and sworn statement by the client-petitioner stating that:
 - i. The attorney has the authority to represent the petitioner in this proceeding;
 - ii. The petitioner has fully reviewed the petition; and
 - iii. The petition is truthful and accurate in every respect
- 2) Verbal notification of representation is not acceptable. Responses and notification of rulings shall not be sent to an attorney claiming to represent a petitioner unless a written notice of representation is filed. No extensions of time shall be granted due to delays in submission of the notice of representation.

A petition containing false information may subject the petitioner to criminal prosecution under Title 18 United States Code Section 1001 and Title 18 United States Code Section 1621.

Privacy Act Notice: The Department of Justice is collecting this information for the purpose of processing your petition for victim compensation. Providing this information is voluntary; however, the information is necessary to process your application. Information collected is covered by Privacy Act System of Records Notice Department of Justice (DOJ), DOJ-002-DOJ Computer Systems Activity & Access Records, Federal Register (71 FR 29170). This information may be disclosed to contractors when necessary to accomplish an agency function, to law enforcement when there is a violation or potential violation of law, or in accordance with other published routine uses. For a complete list of routine uses, see the system of records notice listed above.

REMINDER CHECKLIST

1. Please sign the above Petitioner's Statement, Certification and Release.
2. If this Petitioner is represented by an attorney, the attorney must submit a signed and sworn statement by the client-petitioner (see instructions listed above). If you are filing online, you must upload the signed sworn statement.
3. Remember to attach copies of supporting documentation. If you are filing online, you must upload supporting documentation.
4. **DO NOT SEND original supporting documentation. Send copies.**
5. Keep a copy of your Petition and all supporting documentation for your records.
6. If you move, you must send your new address to:

USA v. TD Securities
(USA) LLC
c/o Epiq
PO Box 2691
Portland, OR 97208-2691

7. DO NOT USE RED PEN, PENCIL or HIGHLIGHTER on the Petition or supporting documentation.

YOU MAY FILE YOUR PETITION EITHER ONLINE AT www.TDVictimCompensation.com OR BY EMAIL TO Info@TDVictimCompensation.com NO LATER THAN JANUARY 29, 2026. YOU CAN ALSO MAIL THE PETITION TO THE VICTIM COMPENSATION ADMINISTRATOR'S ADDRESS LISTED ABOVE. THE FORM MUST BE POSTMARKED NO LATER THAN JANUARY 29, 2026.

**QUESTIONS OR NEED HELP? E-MAIL US AT
Info@TDVictimCompensation.com.**