

**UNITED STATES BANKRUPTCY COURT
NORTHERN DISTRICT OF ILLINOIS
EASTERN DIVISION**

In re:

PEREGRINE FINANCIAL GROUP, INC.,

Debtor.

Chapter 7

Case No. 12-27488

Hon. Carol A. Doyle

**COMMODITY FUTURES
CUSTOMER CLAIM FORM
PEREGRINE FINANCIAL GROUP, INC.**

Account Name:

Daytime Phone:

Account Number:

Email:

Address:

Taxpayer I.D. Number

Contact Person:

(Social Security No.):

PLEASE NOTE

THIS CLAIM FORM SHOULD BE USED IF YOU ARE A CUSTOMER OF PEREGRINE FINANCIAL GROUP, INC. ("PFG") AND YOU HAVE A CUSTOMER CLAIM BASED ON A FUTURES ACCOUNT AT PFG. A FUTURES ACCOUNT COULD BE ONE OR MORE OF THE FOLLOWING TYPES OF ACCOUNTS, WHICH MAY COMPRISE SUBACCOUNTS UNDER A MASTER ACCOUNT OR SEPARATE ACCOUNT BALANCES UNDER A SINGLE PFG ACCOUNT NUMBER: (1) A COMMODITY FUTURES ACCOUNT; (2) A FOREIGN FUTURES ACCOUNT; AND/OR A (3) DELIVERY ACCOUNT.

- **A "COMMODITY FUTURES ACCOUNT" IS AN ACCOUNT OPENED FOR THE PURPOSE OF TRADING FUTURES OR OPTIONS ON FUTURES ON A U.S. FUTURES EXCHANGE. YOUR ACCOUNT STATEMENT FOR A "COMMODITY FUTURES ACCOUNT" WOULD TYPICALLY INCLUDE THE TERM "SEG" IN THE TITLE OR DESCRIPTION OF THE ACCOUNT.**

- A “FOREIGN FUTURES ACCOUNT” IS AN ACCOUNT OPENED FOR THE PURPOSE OF TRADING FUTURES OR OPTIONS ON FUTURES ON AN EXCHANGE LOCATED OUTSIDE THE U.S. YOUR ACCOUNT STATEMENT FOR A “FOREIGN FUTURES ACCOUNT” WOULD TYPICALLY INCLUDE THE TERM “30.7” IN THE TITLE OR DESCRIPTION OF THE ACCOUNT.
- A “DELIVERY ACCOUNT” IS AN ACCOUNT DENOMINATED AS SUCH AT PFG AND THROUGH WHICH DELIVERIES OF PHYSICAL COMMODITIES OCCURS UNDER EXPIRING FUTURES CONTRACTS. A DELIVERY ACCOUNT MAY HOLD CASH BALANCES AND/OR TITLE DOCUMENTS FOR COMMODITIES SUCH AS METALS WAREHOUSE RECEIPTS THAT ARE DELIVERABLE UNDER AN EXCHANGE’S FUTURES CONTRACT.

IF YOU DO NOT HAVE A CUSTOMER CLAIM BASED ON A FUTURES ACCOUNT, PLEASE DO NOT USE THIS FORM.

SEPARATE CLAIM FORMS MUST BE FILED FOR OTHER TYPES OF CLAIMS, INCLUDING FOR CLAIMS RELATED TO A FOREIGN EXCHANGE ACCOUNT OR A PRECIOUS METALS ACCOUNT WITH PFG.

PLEASE ALSO NOTE THAT IF YOU HOLD (1) A CLAIM AGAINST PFG BASED ON A FUTURES ACCOUNT, AND (2) A CLAIM AGAINST PFG BASED ON ANY OTHER RELATIONSHIP WITH PFG (SUCH AS A FOREIGN EXCHANGE ACCOUNT, A PRECIOUS METALS ACCOUNT OR OTHER CLAIM), YOU SHOULD USE THIS FORM SOLELY TO FILE YOUR CLAIM BASED ON A FUTURES ACCOUNT AND USE A SEPARATE CLAIM FORM (OR FORMS) TO FILE A CLAIM (OR CLAIMS) AGAINST PFG BASED ON ANY OTHER APPLICABLE RELATIONSHIPS.

GENERAL INSTRUCTIONS

1. If you cannot compute the amount of your claim, you **must** file an estimated claim. In that case, please be sure to indicate that your claim is an estimated claim.
2. You should file a single claim covering each of the types of accounts that may comprise your futures account (i.e., commodity futures, foreign futures and/or delivery) under a single master account number. However, if you have multiple futures accounts with PFG under more than one master account number, you **must** file a separate claim for each. You will be asked to identify any other futures accounts in response to VII.B. of this claim form.
3. Proper documentation will speed the review, allowance, and satisfaction of your claim.
4. Please enclose: copies (not originals) of any documentation or correspondence you believe will be of assistance in processing your claim, including, but not limited to, customer confirmations, account statements, and statements of purchase or sale.

5. Please feel free to include attachments providing additional explanations of the calculations or other evidence supporting your claim or claim amounts. **Please note that each attachment must be signed and dated by you.**
6. If your account balances are in a currency other than U.S. dollars, please either (a) file your claim based on balances in the applicable foreign currency, or (b) if you file your claim in U.S. dollars, identify the exchange rate used and the basis for using any such rate.
7. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the claim that you are asserting with this claim form, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

I. TYPE OF FUTURES ACCOUNT

For each type of account that is applicable, state the amount of your claim against PFG.

- a. Commodity futures account claim in the amount of \$_____.
- b. Foreign futures account claim in the amount of \$_____.
- c. Delivery account claim in the amount of \$_____.

II. ACCOUNT BALANCE BASED ON CUSTOMER STATEMENT AND YOUR POSITION ON SAME

Please state your account balance at PFG for your Futures account(s) based the most recent customer statement provided by PFG. If you have multiple Futures accounts, please state the aggregate net account balance. Please attach your PFG customer statement (or statements if you have multiple accounts) reflecting that balance.

Futures Account Balance per most recent PFG Customer Statement(s): \$_____

Do you agree with the Futures Account Balance on your most recent PFG Customer Statement as set forth above?

YES ☐

NO ☐

**If yes, you may skip Nos. III and IV below
and should continue to No. V below**

**If no, please continue to No.
III below**

III. ACCOUNT BALANCE AS OF JULY 10, 2012

If you had any open positions in your commodity futures account or foreign futures account or title documents in your delivery account at PFG as of the close of business on July 10, 2012, please skip to No. IV below.

If you did not have any open positions in your commodity futures account or foreign futures account or title documents in your delivery account at PFG as of the close of business on July 10, 2012, please state your ending account balances as of July 10, 2012, including all cash, cash equivalents, or other property (including margin) and then please skip to No. V below.

A. Commodity Futures Account Balance

7-10-12 Ending balance: \$_____

B. Foreign Futures Account Balance

7-10-12 Ending balance: \$_____

C. Delivery Account Balance

7-10-12 Ending balance: \$_____

IV. OPEN POSITIONS IN COMMODITY FUTURES, FOREIGN FUTURES AND/OR DELIVERY ACCOUNTS

No. IV(A) addresses balances in commodity futures accounts at PFG.

No. IV(B) addresses balances in foreign futures accounts at PFG.

No. IV(C) addresses balances in delivery accounts at PFG.

A. Did you have any open positions in your commodity futures account at PFG as of the close of business on July 10, 2012?

YES ☐

NO ☐

If yes, answer Nos. IV(A)(1)-(3)

If no, skip to No. IV(B)

- (1) Have all of your open positions in your commodity futures account at PFG been liquidated after July 10, 2012?

YES ☐

NO ☐

If yes, please (i) state the value of your commodity futures account as of the date of liquidation of all of your open positions, (ii) explain the basis for that value, and (iii) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Value of Account as of
Liquidation of all Open Positions \$_____

- (2) Have any of your open positions in your commodity futures account been transferred out of PFG after July 10, 2012?

YES ☐

NO ☐

If yes, please (i) identify the transferee(s) and type of the position transferred, (ii) state the value of your commodity futures account as of the date of transfer, (iii) explain the basis for that value, and (iv) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Transferee _____

Type of Position Transferred _____

Value of Account as of
Transfer Date \$_____

- (3) Do any positions remain open in your commodity futures account at PFG as of the filing of this claim?

YES ☐

NO ☐

If yes, please identify (i) the type of open position(s), (ii) state the value of your commodity futures account as of a date certain no more than ten (10) days before the date of filing this claim, (iii) explain the basis for that value, and (iv) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Type of Open Position _____

Value of Account \$_____

Date of Valuing Account _____

- B. Did you have any open positions in your foreign futures account at PFG as of the close of business on July 10, 2012?

YES ☐

NO ☐

If yes, answer Nos. IV(B)(1)-(3)

If no, skip to No. IV(C)

- (1) Have all of your open positions in your foreign futures account at PFG been liquidated after July 10, 2012?

YES ☐

NO ☐

If yes, please (i) state the value of your foreign futures account as of the date of liquidation of all of your open positions, (ii) explain the basis for that value, and (iii) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Value of Account as of
Liquidation of all Open Positions \$_____

- (2) Have any of your open positions in your foreign futures account been transferred out of PFG after July 10, 2012?

YES ☐

NO ☐

If yes, please (i) identify the transferee(s) and type of position transferred, (ii) state the value of your foreign futures account as of the date of transfer, (iii) explain the basis for that value, and (iv) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Transferee _____

Type of Position Transferred _____

Value of Account as of
Transfer Date \$ _____

- (3) Do any positions remain open in your foreign futures account at PFG as of the filing of this claim?

YES ☐

NO ☐

If yes, please identify (i) the type of open position(s), (ii) state the value of your foreign futures account as of a date certain no more than ten (10) days before the date of filing this claim, (iii) explain the basis for that value, and (iv) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Type of Open Position _____

Value of Account \$ _____

Date of Valuing Account _____

C. Did you have any title documents in your delivery account at PFG as of the close of business on July 10, 2012?

YES ☐

NO ☐

If yes, answer Nos. IV(C)(1)-(3)

If no, skip to No. V

(1) Have all of your title documents in your delivery account at PFG been liquidated after July 10, 2012?

YES ☐

NO ☐

If yes, please (i) state the value of your delivery account as of the date of liquidation of all of your title documents, (ii) explain the basis for that value, and (iii) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Value of Account as of
Liquidation of all Title Documents \$_____

(2) Have any of your title documents in your delivery account been transferred out of PFG after July 10, 2012?

YES ☐

NO ☐

If yes, please (i) identify the transferee(s) and type of position transferred, (ii) state the value of your delivery account as of the date of transfer, (iii) explain the basis for that value, and (iv) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Transferee _____

Type of Property Transferred _____

Value of Account as of
Transfer Date \$_____

- (3) Do any title documents remain in your delivery account at PFG as of the filing of this claim?

YES ☐

NO ☐

If yes, please (i) identify the type of title document, (ii) state the value of your delivery account as of a date certain no more than ten (10) days before the date of filing this claim, (iii) explain the basis for that value, and (iv) attach all evidence that supports that value to this claim form. Attach additional pages if necessary.

Type of Title Document _____

Value of Account \$_____

Date of Valuing Account _____

V. CAPACITY IN WHICH ACCOUNT HELD

Please specify the capacity in which you hold the account at PFG for which this claim is asserted (check all that are applicable):

- ☐ a. Individual capacity
- ☐ b. As guardian, custodian, or conservator for the benefit of a ward or a minor under the Uniform Gift to Minors Act
- ☐ c. As executor or administrator of an estate
- ☐ d. As trustee for the trust beneficiary
- ☐ e. In the name of a corporation, partnership, or unincorporated association
- ☐ f. As an omnibus customer account of the undersigned futures commission merchant
- ☐ g. As part owner of a joint account
- ☐ h. In the name of a plan which, on July 10, 2012, had in effect a registration statement in accordance with the requirements of § 1031 of the Employee Retirement Income Security Act of 1974 (known as “ERISA”) and the regulations thereunder

- ☐ i. As agent or nominee for a principle or beneficial owner (and not described in Items (V(a)-(h))
- ☐ j. In any other capacity not described above in Items (V(a)-(i)) (please specify the capacity):

VI. CONNECTIONS WITH THE DEBTOR

Is any person (including a general partnership, limited partnership, corporation, or other type of association) on whose behalf the account is held one of the following persons or does one of the following persons, alone or jointly, hold a 10% or more interest in the account? (Check all that are applicable):

- ☐ a. Peregrine Financial Group Inc.
- ☐ b. Director of Peregrine Financial Group Inc.
- ☐ c. Officer of Peregrine Financial Group Inc.
- ☐ d. Person in control of Peregrine Financial Group Inc.
- ☐ e. Partnership in which Peregrine Financial Group Inc. is a general partner
- ☐ f. Owner of ten percent or more of the capital stock of Peregrine Financial Group Inc.
- ☐ g. Employee of Peregrine Financial Group Inc. whose duties include (1) the management of the business of Peregrine Financial Group Inc. or any part thereof; (2) the handling of the trades or customer funds of customers of Peregrine Financial Group Inc.; (3) the keeping of records pertaining to the trades or funds of customers of Peregrine Financial Group Inc.; or (4) the signing or cosigning of checks or drafts on behalf of Peregrine Financial Group Inc.
- ☐ h. Managing agent of Peregrine Financial Group Inc.
- ☐ i. A spouse or minor dependent living in the same household of ANY OF THE FOREGOING PERSONS (listed in Items (VI(a)-(h), above), or any other relative, regardless of residency, defined as an individual related by affinity or consanguinity within the third degree as determined by the common law, or individual in a step or adoptive relationship with such degree.
- ☐ j. "Affiliate" of Peregrine Financial Group Inc.
- ☐ k. A person having one of the relationships listed in Items (VI(a)-(h)) with an affiliate of Peregrine Financial Group Inc.

VII. OTHER MATTERS

A. Is this a joint account?

Check one: YES ☐ NO ☐

NOTE: If you selected "YES," specify the amount of your percentage interest in the account, and whether all participants in a joint account are claiming jointly.

(1) My percentage interest in the account is: _____%

(2) Participants in a joint account are claiming: _____ (Check one)
☐ SEPARATELY ☐ FULLY JOINTLY

B. Do you have any other futures accounts with PFG?

Check one: YES ☐ NO ☐

NOTE: If you selected "YES," specify the account numbers of your related account(s) and the type of each such account. AS EXPLAINED IN THE INSTRUCTIONS, YOU MUST FILE A SEPARATE CLAIM FOR EACH FUTURES ACCOUNT WITH A SEPARATE MASTER ACCOUNT NUMBER.

Account Numbers	Type of Accounts
1. _____	_____
2. _____	_____

(Attach additional page(s) if necessary)

C. Do you have any accounts at PFG other than a futures account(s)?

Check one: YES ☐ NO ☐

NOTE: If you selected "YES," specify the account numbers of your related account(s) and the type and balances of each such account.

Account Numbers	Type of Accounts	Account Balance
1. _____	_____	_____
2. _____	_____	_____

(Attach additional page(s) if necessary)

D. Is your claim based on securities futures products?

Check one: YES ☐ NO ☐

NOTE: If you selected "YES," are these securities futures products held in a futures account or a securities account?

Check one: SECURITIES ☐ FUTURES ☐
ACCOUNT ACCOUNT

VIII. DETAILS OF YOUR CLAIM

A. Do you owe any amounts to PFG not already included in your account balances provided in Nos. II-IV above?

Check one: YES ☐ NO ☐

NOTE: If you selected "YES," please provide a detailed description in a signed attachment of any such claim or claims, and attach any supporting documentation you have. If you do not provide sufficient details, you may be sent a deficiency letter seeking additional information.

WHEN COMPLETING THE ABOVE PLEASE KEEP IN MIND:

Please list the full name, address, phone number, and email address of anyone assisting you in the preparation of this claim form:

1. Full name: _____
Address: _____
Phone number: _____
Email address: _____

2. Full name: _____
Address: _____
Phone number: _____
Email address: _____

If more than two people are assisting you, attach additional pages providing the information in the exact format above.

**IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM.
CONVICTION CAN RESULT IN A FINE OF UP TO \$50,000 OR IMPRISONMENT OF
UP TO FIVE YEARS OR BOTH.**

**THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY
INFORMATION AND BELIEF.**

Date _____	Signature _____
Date _____	Signature _____

(If ownership of the account is shared (i.e., there is more than one name on the account), all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, agent, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)