

Monex Restitution Fund

Frequently Asked Questions

Investors are discouraged from calling the Monitor's office, which diverts resources from processing claims and will increase the time until the distribution is made, as well as potentially reduce the amount of funds available for distribution. Please see if your question can be answered by the answers to the following Frequently Asked Questions.

How do I know if my claim has been received through the portal?

If you filed your claim correctly, you would have received a confirming email. Please be sure to check your Junk or Spam folders.

If I mailed my form in, how do I know if it was received?

Please email us at mail@monexrestitutionfund.com

The claim holder is deceased and I am an heir, how should I file a claim?

If you are a beneficiary of a decedent's estate, we recommend filing your claim using the hard copy claim you received in the mail. Line out the decedent's name, insert your name and the name of any other beneficiaries and include a copy the death certificate and the applicable will, trust or other estate documents. Also provide a copy of the beneficiarie(s)' driver's license or passport for identification purposes.

I received a claim form in the mail after I submitted my claim on the portal. Do I need to also mail in a paper claim?

No, only submit one claim form, which you may do **either** on the portal, **or** by mailing in a completed paper copy.

I have submitted my claim, when will I receive my payment?

The timing of the payment is not certain and will depend on the time that it will take for the Monitor to confirm the claims and the number of claimants who do not agree with the Monitor's loss calculation. The Monitor is aiming for late spring to early summer 2024.

How much will my payment be?

The exact amount of your claim will be determined by the amount that your pro rata share is as a percentage of the total investor losses multiplied by the amount to be distributed, currently expected to approximately \$33,000,000. The total losses are approximately \$449,000,000. If all investors file a claim and agree with the Monitor's determination of their claim, the investors can expect to recover approximately 7% of their losses. So, for example, if your loss was \$100,000, then your recovery would be about \$7,000.

Will my payment be taxable?

You should seek independent tax advice on your particular situation to determine the proper tax treatment of the payment. The Monitor will not be issuing Form 1099s.

If I do not file a claim, will I receive a distribution from the Monex Restitution Fund?

No. As stated in the Bar Date Notice that was sent to you and which was posted to the Monex Restitution Fund website: **"If you do not submit a Claim Form by the Bar Date, then you will forfeit your right to participate in or receive a payment from the Restitution Fund."** This is the case even if the Monitor includes a net realized loss amount in section 5 of the claim form sent to you or in the claim portal.

When is the last day that I can submit my claim?

The deadline to submit a claim to participate in the MONEX Restitution Fund has been extended from March 29, 2024, at 11:59 p.m. (prevailing Eastern Time) to April 15, 2024, at 11:59 p.m. (prevailing Eastern Time) (the "Extended Bar Date") in order to allow time for the Monitor to locate investors who have not received or filed Claim Forms. If you have not received your claim form, please contact the Monitor's office either by email to mail@monexrestitutionfund.com or by leaving a voicemail with your contact information at (949) 222-0305. Please have your MONEX account number available. Please note that if you do not submit a Claim Form on or before the Extended Bar Date, then you will forfeit your right to participate in or receive a payment from the Restitution Fund.

I have submitted my claim by email. Is this acceptable?

No, the Monitor will not accept claims submitted via email. If you previously submitted your claim by email, you must re-submit your claim by the acceptable method. The two acceptable methods for submitting your claim are electronically through the online claim portal or via first class mail, overnight mail, courier service or hand delivery to:

Monex Restitution Fund
c/o Thomas Seaman Company, Monitor
1 Park Plaza, Suite 580
Irvine, CA 92614

I'm having difficulty submitting my claim electronically through the online claim portal. What do I do?

If you are having technical issues submitting your claim through the online claim portal, please contact the Monitor's claims and distribution agent, Stretto, by email at monexinquiries@stretto.com and someone will assist you.