

CHICAGO CLEARING CORPORATION: OPT-IN / OPT-OUT FORM

SPC Financial, Inc.

INDEPENDENT REGISTERED INVESTMENT ADVISOR/SEC

I/we _____

choose to Opt-In / Opt-Out (check one)

the class action litigation monitoring and claim filing services being offered to me
by Chicago Clearing Corporation through SPC Financial, Inc.

Client Signature: _____

Client Signature: _____

Client Name: _____
(Please Print)

Client Name: _____
(Please Print)

Date: _____

Date: _____

***This Chicago Clearing Corporation: Opt-In / Opt-Out Form
is in effect until revoked in writing by all signors or by SPC Financial, Inc.***

Since 2009, SPC Financial, Inc. (SPC) has arranged with Chicago Clearing Corporation (CCC) to provide a class action litigation claims service for our clients. CCC monitors securities class action websites and news sources, cases in the court system, and pending settlements. SPC provides data to CCC semi-annually consisting of our clients' securities trades and account information to enable CCC to identify qualifying trades which CCC uses in filing proof of claims on behalf of our clients. CCC's contingency fee for monitoring class actions and filing claims is twenty percent (20%) of the settlement amount recovered for a client. CCC is authorized to gather documentation necessary to file accurate claims, accept settlement payments from the Claims Administrator, and deduct its fee before forwarding the balance of the settlement payment to our clients. If a client has received a settlement payment directly and CCC had not collected its fee, CCC will debit its fee from future payments, if any, to the client. SPC does not pay any fee to CCC. SPC does not receive any payment or compensation from CCC. The services of CCC are independent from, and are not those of, SPC. Securities activity for SPC clients conducted in accounts not managed by SPC are not monitored by CCC and are not included in this service.

Clients have the right to Opt-In or Opt-Out of the service. For clients living in the states of CA, VT, AK, ME, MA, ND and LA, the default is Opt-Out. To receive the service of CCC, clients must affirmatively check the Opt-In box and return this signed form to SPC. For clients living in all other states, the default is Opt-In. Clients who do not want to participate in this service must affirmatively check the Opt-Out box and return this signed form to SPC.

This Opt-In/Opt-Out Form supersedes any prior Opt-In/Opt-Out Form signed by the clients.



© July 2024