

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

SECURITIES AND EXCHANGE COMMISSION	§	
	§	
Plaintiff,	§	
	§	
v.	§	Case No.: 3-09CV0298-N
	§	
STANFORD INTERNATIONAL BANK, LTD.,	§	
ET AL.,	§	
	§	
Defendants.	§	

**APPLICATION FOR REVIEW AND POTENTIAL RELEASE OF
STANFORD GROUP COMPANY BROKERAGE ACCOUNTS**

Please read carefully the instructions provided in the **Procedures for Applying for Review and Potential Release of Accounts** before submitting this application. You are encouraged to seek the assistance of legal counsel before submitting this application. Your legal rights may be affected by the submission of this application. Incomplete applications may result in your application for release of account being rejected. Applicants fall under two categories. For a description of the Account Categories, consult the **Procedures for Applying for Review and Potential Release of Accounts**. Attach additional sheets of paper, if necessary.

Submit a separate application for each account. However, you do not need to repeat all the required information on each application form if you are also submitting another application form. In that event, please follow the Instructions for Holders of Multiple Accounts, below.

Information required from all applicants (regardless of Account Category):

Your full legal name (and any aliases):	
Current address to which you want all information regarding Stanford to be sent (not P.O. Box):	
If you are not a citizen and resident of the United States, the country in which you are a citizen and in which you reside:	Citizen of: Resident of:
Your current phone number(s) where you may be contacted:	Daytime: Nighttime:

Your current email address (if any)	
Your Social Security number, tax identification number (if a U.S. citizen or U.S. domesticated entity), or national identification number (if applicable):	
Your Stanford broker's name	
Your Stanford broker's office location	
Your Stanford Group Company brokerage account number, market value as of most recent statement, and description	Number: Market value: Description:
Your Stanford International Bank, Ltd. ("SIBL") account number, market value as of most recent statement, and description	Number: Market value: Description:
If you have used any other services provided by other Stanford companies, provide the following information:	
Your Stanford Capital Management account number, market value as of most recent statement, and description	Number: Market value: Description:
Your Stanford Trust Company account number, market value as of most recent statement, and description	Number: Market value: Description:
Your Stanford Coins and Bullion account number, market value as of most recent statement, and description	Number: Market value: Description:
Your Stanford Family Office account number, market value as of most recent statement, and description	Number: Market value: Description:

Your account number(s) for any other Stanford account, market value as of most recent statement, and description	Number: Market value: Description:
Account numbers of accounts related to brokerage or Stanford accounts by social security number, tax identification number, or other factors, the market value as of most recent statement, and description:	Number: Market value: Description:

If you are an applicant whose account falls under Account Category 1 (see the Procedures for Applying for Review and Potential Release of Accounts for a description of Account Categories), answer the following questions truthfully and completely. Attach an additional sheet(s) of paper with your answer if you answer “YES” to any question.

1. Have you ever owned a certificate of deposit issued by SIBL? YES or NO.
 - 1a. If you answered “YES” to question number 1, provide the date(s) of purchase, the amount(s), and the broker(s) who sold the CD(s). Submit your account statement(s).
 - 1b. If you answered “NO” to question number 1, proceed to question 3.

2. Have you ever received a redemption of all or a portion of the principal on a CD issued by SIBL, an interest payment on a CD issued by SIBL, or roll-over of interest to principal on a CD issued by SIBL? YES or NO.
 - 2a. If you answered “YES” to question number 2, provide the date and amount of each redemption, interest payment, or roll-over of interest to principal, and an explanation of what you did with the funds. If you transferred them to another account, provide account details. Submit all relevant documents.
 - 2b. If you answered “NO” to question number 2, proceed to question 3.

3. Aside from a transfer to purchase or sell a CD, have you ever transferred funds to or received funds from SIBL for any purpose? YES or NO.
 - 3a. If you answered “YES” to question number 3, provide the date and amount of each transaction, the purpose of the transaction, an explanation of what you did with the funds, and an explanation of why you think your account should be released from the Freeze Order. Submit all relevant supporting documents.
 - 3b. If you answered “NO” to question number 3, proceed to the Declaration to submit your application.

If you are an applicant whose account falls under Account Category 2, in addition to providing the information required of all applicants, you **must** provide a statement explaining either (1) why you think you should not be classified as a person who had any of the relationships to the Defendants or entities controlled by them as set forth in Category 2 above or (2) even if you were a person with such a relationship, why you think the Receiver should not view you as an account holder who has participated in or benefited from fraudulent activities. Attach an additional sheet(s) of paper with your explanation, and submit documentation supporting your explanation.

INSTRUCTIONS FOR HOLDERS OF MULTIPLE ACCOUNTS

1. Put the account number for your Stanford Group Company brokerage account that you put on the other application form in this box:

Account Number for the Stanford Group Company brokerage account that is covered by any other application form you are submitting:

2. Complete the boxes above for (a) your name, (b) your address, (c) your phone number, and (d) the account number and other information for your additional Stanford Group Company brokerage account. You do not need to complete any of the boxes above except for those four, if you are submitting an application form for another Stanford Group Company brokerage account and have provided its account number in the box above. If you have more than two accounts, you should follow the same pattern for each other form.

WARNING

Filing an Application for Review and Potential Release of Accounts is voluntary. You are not required to submit anything to the Receiver; however, **if you do not complete an application and follow all the procedures described in this notice, your account will not be eligible for release at this time and will remain frozen** unless and until the Receiver is able to determine that your account is eligible for release. By court order, the Receiver is obligated to provide the Securities and Exchange Commission and other governmental agencies with all information and documentation they may seek in connection with their regulatory or investigatory activities. **Consequently, if you complete an Application for Review and Potential Release of Accounts, the information you provide will be made available to the SEC, the Court, and possibly other U.S. governmental agencies (excluding the IRS and foreign equivalents, if the Receiver is able to withhold such information upon request).** Any information you provide to the Receiver will be deemed to be provided not only to the Receiver but also to the Court and the SEC. If you submit an Application for Review and Potential Release of Accounts, the Receiver (and the Court) will rely on the information and documentation you provide. **Consequently, you must be truthful and complete in your responses.** The information you submit may be cross-checked by the Receiver based on information obtained in his investigation. If the Receiver files with the Court information you submit in a manner in which it might be accessible by the public, your personal identifying information (e.g., social security number or tax identification number) and personal contact information (name, phone number(s), email address(es), and physical address(es)) will be redacted and not accessible to the public.

DECLARATION

Pursuant to 28 U.S.C. § 1746, I declare under penalty of perjury that the information and documentation I am providing in and with this application, including in any attachments or supplements thereto, are true and accurate.

By filing this application, I submit to the exclusive jurisdiction of the United States District Court for the Northern District of Texas, Dallas Division and irrevocably waive any right I or any entity I control may otherwise have to object to any action being brought in the Court or to claim that the Court does not have jurisdiction over the matters relating to my account.

By filing this application, I signify that I understand and agree that if the Receiver releases any assets in my account(s) in reliance on the information and documentation I provided, and it is subsequently determined that (1) I have participated, or any entity I control has participated, in a fraud with any Defendant or any Defendant's associates or any person(s) in active participation with them, or (2) I have received (knowingly or unknowingly) any assets and/or funds resulting from fraudulent activities or products at issue in the above-captioned case, I will cause such assets and/or funds to be returned promptly to the Receiver.

SIGNED (If there is more than one owner of the account, all owners must sign)

Signed: _____ Date: _____

Print Name: _____

Title (if signing on behalf of a trust or entity): _____

Signed: _____ Date: _____

Print Name: _____

Title (if signing on behalf of a trust or entity): _____

Note: If there are more than 2 account owners please attach a sheet of paper with the signature, printed name, title (if applicable) and date of signature for each additional owner.

To submit the completed form: You may email the form (PDF version) to the following email address: accountreview@stanfordfinancialreceivership.com or you may mail it to:

**Stanford Receivership Brokerage Account Review
PO Box 460089
Houston, Texas 77056-8089**