UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF MISSOURI
WESTERN DIVISION

PAUL LUMAN, Individually and On Behalf of All Others Similarly Situated, Plaintiff, vs. PAUL G. ANDERSON, et al., Defendants.	No. 4:08-cv-00514-C-W-HFS (Consolidated) <u>CLASS ACTION</u>

PROOF OF CLAIM AND RELEASE

I. GENERAL INSTRUCTIONS

1. All capitalized terms not otherwise defined herein shall have the meanings set forth in the Stipulation of Settlement dated as of February 8, 2013 (the "Stipulation").

2. To recover as a Member of the Class based on your claims in the action entitled *Luman v. Anderson, et al.*, No. 4:08-cv-00514-C-W-HFS (the "Litigation"), you must complete and, on page 8 hereof, sign this Proof of Claim and Release. If you fail to submit a properly addressed Proof of Claim and Release form as set forth below, your claim may be rejected and you may be precluded from any recovery from the Net Settlement Fund created in connection with the proposed settlement of the Litigation.

3. Submission of this Proof of Claim and Release, however, does not assure that you will share in the proceeds of the proposed settlement.

4. YOU MUST MAIL YOUR COMPLETED AND SIGNED PROOF OF CLAIM AND RELEASE POSTMARKED ON OR BEFORE AUGUST 16, 2013, ADDRESSED AS FOLLOWS:

FCStone Securities Litigation
Claims Administrator
c/o Gilardi & Co. LLC
P.O. Box 8040
San Rafael, CA 94912-8040

If you are NOT a Member of the Class (as defined in the Notice of Pendency and Proposed Settlement of Class Action) DO NOT submit a Proof of Claim and Release form.

5. If you are a Member of the Class you will be bound by the terms of any judgment entered in the Litigation, WHETHER OR NOT YOU SUBMIT A PROOF OF CLAIM AND RELEASE FORM.

II. DEFINITIONS

1. "FCStone" means FCStone Group, Inc.

2. "Defendants" means FCStone, Paul G. Anderson, and William J. Dunaway.

III. CLAIMANT IDENTIFICATION

1. If you purchased or otherwise acquired FCStone publicly traded securities and held the certificate(s) in your name, you are the beneficial purchaser as well as the record purchaser. If, however, you purchased or otherwise acquired FCStone publicly traded securities but the certificate(s) were registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial purchaser and the third party is the record purchaser.

2. Use Part I of this form entitled "Claimant Identification" to identify each beneficial purchaser and each purchaser of record ("nominee"), if such nominee is different from the beneficial purchaser of FCStone publicly traded securities which forms the basis of this claim. THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S), OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S), OF THE FCSTONE PUBLICLY TRADED SECURITIES UPON WHICH THIS CLAIM IS BASED.

3. All joint purchasers must sign this claim. Executors, administrators, guardians, conservators, and trustees must complete and sign this claim on behalf of Persons represented by them and their authority must accompany this claim and their titles or capacities must be stated. The Social Security (or taxpayer identification) number and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of the claim.

IV. CLAIM FORM

1. Use Part II of this form entitled "Schedule of Transactions in FCStone Publicly Traded Securities" to supply all required details of your transaction(s) in FCStone publicly traded securities. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same manner. Sign and print or type your name on each additional sheet.

2. On the schedules, provide all of the requested information with respect to ***all*** of your purchases or acquisitions of FCStone publicly traded securities which took place beginning on November 3, 2008 through and including May 22, 2009, and ***all*** of your sales of FCStone publicly traded securities which took place beginning on November 3, 2008 through and including May 22, 2009, whether such transactions resulted in a profit or a loss. You must also set forth your holdings of FCStone common stock as of November 2, 2008, February 24, 2009, and May 22, 2009. Failure to report all such transactions may result in the rejection of your claim.

3. List each transaction separately and in chronological order, by trade date, beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

4. The date of covering a "short sale" is deemed to be the date of purchase of FCStone common stock. The date of a "short sale" is deemed to be the date of sale of FCStone common stock.

5. Copies of broker confirmations or other documentation of your transactions in FCStone publicly traded securities should be attached to your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim.

6. NOTICE REGARDING ELECTRONIC FILES: Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. All claimants MUST submit a manually signed paper Proof of Claim and Release form whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at 1-888-267-4128 to obtain the required file layout. No electronic files will be considered to have been properly submitted unless the Claims Administrator issues to the claimant a written acknowledgment of receipt and acceptance of electronically submitted data.

Official Office Use Only

UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF MISSOURI
WESTERN DIVISION

Luman v. Anderson, et al.

No. 4:08-cv-00514-C-W-HFS

PROOF OF CLAIM AND RELEASE

Please Type or Print in the Boxes Below
Do NOT use Red Ink, Pencil, or Staples

Must Be Postmarked On or Before August 16, 2013

FCSTONE

PART I: CLAIMANT IDENTIFICATION

Last Name | M.I. | First Name

Last Name (Co-Beneficial Owner) | M.I. | First Name (Co-Beneficial Owner)

○ IRA ○ Joint Tenancy ○ Employee ○ Individual ○ Other______ (specify)

Company Name (Beneficial Owner - If Claimant is not an Individual) or Custodian Name if an IRA

Trustee/Asset Manager/Nominee/Record Owner's Name (if Different from Beneficial Owner Listed Above)

Account#/Fund# (Not Necessary for Individual Filers)

Social Security Number ___ — __ — ____ or Taxpayer Identification Number __ — _______

Telephone Number (Primary Daytime) ___ — ___ — ____

Telephone Number (Alternate) ___ — ___ — ____

Email Address

MAILING INFORMATION

Address

Address

City | State | Zip Code

Foreign Province | Foreign Postal Code | Foreign Country Name/Abbreviation

FOR CLAIMS PROCESSING ONLY	OB	CB	○ ATP ○ KE ○ ICI	○ BE ○ DR ○ EM	○ FL ○ ME ○ ND	○ OP ○ RE ○ SH	MM / DD / YYYY	FOR CLAIMS PROCESSING ONLY

PART II. SCHEDULE OF TRANSACTIONS IN FCSTONE PUBLICLY TRADED SECURITIES

COMMON STOCK

A. Number of shares of FCStone common stock held at the close of trading on November 2, 2008: ________ Proof Enclosed? ○ Y ○ N

B. Purchases or acquisitions of FCStone common stock (November 3, 2008 – May 22, 2009, inclusive):

PURCHASES

	Trade Date(s) of Shares (List Chronologically) MM / DD / YYYY	Number of Shares Purchased or Acquired	Total Purchase or Acquisition Price (Excluding Commissions, Taxes and Fees) *Please round off to the nearest whole dollar*	Proof of Purchase Enclosed?
1.	/ /		$ .00	○ Y ○ N
2.	/ /		$ .00	○ Y ○ N
3.	/ /		$ .00	○ Y ○ N
4.	/ /		$ .00	○ Y ○ N

IMPORTANT: (i) If any purchase listed covered a "short sale," please mark Yes: ○ Yes

(ii) If you received shares through an acquisition or merger, please identify the date, the share amount and the company acquired:

MM / DD / YYYY	Merger Shares:	Company:
/ /		

C. Sales of FCStone common stock (November 3, 2008 – May 22, 2009, inclusive):

SALES

	Trade Date(s) of Shares (List Chronologically) MM / DD / YYYY	Number of Shares Sold	Total Sales Price (Excluding Commissions, Taxes and Fees) *Please round off to the nearest whole dollar*	Proof of Sale Enclosed?
1.	/ /		$ .00	○ Y ○ N
2.	/ /		$ .00	○ Y ○ N
3.	/ /		$ .00	○ Y ○ N
4.	/ /		$ .00	○ Y ○ N

D. Number of shares of FCStone common stock held at the close of trading on February 24, 2009: ________ Proof Enclosed? ○ Y ○ N

E. Number of shares of FCStone common stock held at the close of trading on May 22, 2009: ________ Proof Enclosed? ○ Y ○ N

If you require additional space, attach extra schedules in the same format as above. Sign and print your name on each additional page.

YOU MUST READ AND SIGN THE RELEASE ON PAGE 8. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.

CALL AND/OR PUT OPTIONS

PURCHASES/REPURCHASES

F. I made the following purchase/repurchase of options on FCStone common stock during the period from November 3, 2008 through May 22, 2009, inclusive:

Option Type	Date(s) of transaction (MM/DD/YY)	Number of option contracts acquired	Expiry Date (MM/YY)	Strike Price	Transaction price per option contract	[X]expired [A]ssigned [E]xercised	Proof of transaction Enclosed?
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N

SALES/WRITTEN

G. I made the following sales/written options on FCStone common stock during the period from November 3, 2008 through May 22, 2009, inclusive:

Option Type	Date(s) of transaction (List Chronologically) (MM/DD/YY)	Number of option contracts acquired	Expiry Date (MM/YY)	Strike Price	Transaction price per option contract	[X]expired [A]ssigned [E]xercised	Proof of transaction Enclosed?
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N
○ Put ○ Call				.	.		○ Y ○ N

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FCSTONE EQUITY FUTURES CONTRACTS

SECURITY TYPE - Bloomberg Identification Numbers:

B: BBG0005BRL62	D: BBG000TSGBT4	F: BBG000V2YDT3
C: BBG000TY8MV2	E: BBG000VOFZ55	G: BBG000TX42C3

H. Purchases or acquisitions of FCStone Equity Futures Contracts (November 3, 2008 – February 24, 2009, inclusive):

PURCHASES

	Security Type	Trade Date(s) (List Chronologically) M M / D D / Y Y	Number of Contracts Purchased or Acquired	Total Purchase or Acquisition Price (Excluding Commissions, Taxes and Fees) *Please round off to the nearest whole dollar*	Proof of Purchase Enclosed?
1.		/ /		$ .00	Y N
2.		/ /		$ .00	Y N
3.		/ /		$ .00	Y N
4.		/ /		$ .00	Y N
5.		/ /		$ .00	Y N

I. Sales of FCStone Equity Futures Contracts (November 3, 2008 – April 3, 2013, inclusive):

SALES

	Security Type	Trade Date(s) (List Chronologically) M M / D D / Y Y	Number of Contracts Sold	Total Sales Price (Excluding Commissions, Taxes and Fees) *Please round off to the nearest whole dollar*	Proof of Sale Enclosed?
1.		/ /		$ .00	Y N
2.		/ /		$ .00	Y N
3.		/ /		$ .00	Y N
4.		/ /		$ .00	Y N
5.		/ /		$ .00	Y N

If you require additional space, attach extra schedules in the same format as above. Sign and print your name on each additional page.

YOU MUST READ AND SIGN THE RELEASE ON PAGE 8. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.

V. SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS

I (We) submit this Proof of Claim and Release form under the terms of the Stipulation of Settlement described in the Notice. I (We) also submit to the jurisdiction of the United States District Court for the Western District of Missouri, with respect to my (our) claim as a Class Member and for purposes of enforcing the release set forth herein. I (We) further acknowledge that I am (we are) bound by and subject to the terms of any judgment that may be entered in the Litigation. I (We) agree to furnish additional information regarding transactions in FCStone publicly traded securities to the Claims Administrator to support this claim if required to do so. I (We) have not submitted any other claim covering the same purchases or sales of FCStone publicly traded securities during the Class Period and know of no other Person having done so on my (our) behalf.

VI. RELEASE

1. I (We) hereby acknowledge full and complete satisfaction of, and do hereby fully, finally, and forever settle, release, and discharge from, and covenant not to sue with respect to, the Released Claims as against all Released Persons.

2. "Released Claims" means any and all claims or causes of action (including Unknown Claims as defined below), demands, rights, liabilities, suits, debts, obligations and causes of action of every nature and description whatsoever, known or unknown, contingent or absolute, mature or unmature, discoverable or undiscoverable, whether concealed or hidden, asserted or that might have been asserted in this Litigation, by Plaintiffs, the Class Representative or Class Members, or any of them, against the Released Persons based upon, arising out of, or related to both: (i) the purchase or acquisition of FCStone publicly traded securities during the Class Period and (ii) any of the facts, transactions, events, occurrences, disclosures, statements, acts, omissions, or failures to act which were or could have been alleged in the Litigation, regardless of the legal theory upon which they are based. Released Claims does not include claims under the Employee Retirement Income Security Act of 1974.

3. "Released Persons" means each and all of the Defendants and each and any of Defendants' respective past, present or future: directors, officers, employees, partnerships and partners, principals, agents, controlling shareholders, any entity in which any Defendant and/or any member(s) of that Defendant's immediate family has or have a controlling interest (directly or indirectly), attorneys, accountants, auditors, investment banks and investment bankers, underwriters, advisors, financial advisors, consultants, personal or legal representatives, analysts, agents, associates, servants, Insurers, co-insurers and reinsurers and each or any of their respective employees, agents, and attorneys, predecessors, successors, parents, subsidiaries, divisions, assigns, joint ventures and joint venturers, spouses, heirs, executors, administrators, related or affiliated entities, members of a Defendant's immediate family, and any trust of which any Defendant is the settlor or which is for the benefit of any Defendant and/or member(s) of his family. This definition of Released Persons also specifically includes all former officers, directors, and employees of FCStone and any of FCStone's successors, parents, subsidiaries, affiliates, or related entities.

4. "Unknown Claims" means any Released Claims that Plaintiffs, the Class Representative or any Class Member does not know or suspect to exist in his, her or its favor at the time of the release of the Released Persons that, if known by him, her or it, might have affected his, her or its determination to enter into, or the terms of any, settlement with, and release of, the Released Persons, or that might have affected his, her or its decision not to object to, or request exclusion from, this settlement. Unknown Claims include those claims in which some or all of the facts comprising the claim may be suspected, or even undisclosed or hidden. With respect to any and all Released Claims, the Settling Parties stipulate and agree that, upon the Effective Date, Plaintiffs and the Class Representative shall expressly waive, and each of the Class Members shall be deemed to have, and by operation of the Judgment shall have, expressly waived the provisions, rights, and benefits of California Civil Code §1542, which provides:

> **A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.**

Plaintiffs and the Class Representative shall expressly waive, and each of the Class Members shall be deemed to have, and by operation of the Judgment shall have, expressly waived any and all provisions, rights, and benefits conferred by any law of any state or territory of the United States, or principle of common law or foreign law, which is similar, comparable or equivalent in effect to California Civil Code §1542. Plaintiff and the Class Representative and Class Members may hereafter discover facts in addition to or different from those which he, she or it now knows or believes to be true with respect to the subject matter of the Released Claims, but the Plaintiffs and Class Representative shall expressly and each Class Member, upon the Effective Date, shall be deemed to have, and by operation of the Judgment shall have, fully, finally, and forever settled and released any and all Released Claims, known or unknown, suspected or unsuspected, contingent or non-contingent, whether or not concealed or hidden, which now exist, or heretofore have existed, upon any theory of law or equity now existing or coming into existence in the future, including, but not limited to, conduct which is negligent, reckless, intentional, with or without malice, or a breach of any duty, law or rule, without regard to the subsequent discovery or existence of such different or additional facts. Plaintiffs and the Class Representative acknowledge, and the Class Members shall be deemed by operation of the Judgment to have acknowledged, that the foregoing waiver was separately bargained for and a key element of the settlement of which this release is a part.

5. This release shall be of no force or effect unless and until the Court approves the Stipulation and the Stipulation becomes effective on the Effective Date (as defined in the Stipulation).

6. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any matter released pursuant to this release or any other part or portion thereof.

7. I (We) hereby warrant and represent that I (we) have included information about all of my (our) transactions in FCStone publicly traded securities which occurred during the Class Period, as well as the number of shares of FCStone common stock held by me (us) at the close of trading on November 2, 2008, February 24, 2009, and May 22, 2009.

I (WE) CERTIFY THAT I AM (WE ARE) NOT SUBJECT TO BACKUP WITHHOLDING UNDER THE PROVISIONS OF SECTION 3406(A)(1)(C) OF THE INTERNAL REVENUE CODE.

NOTE: IF YOU HAVE BEEN NOTIFIED BY THE INTERNAL REVENUE SERVICE THAT YOU ARE SUBJECT TO BACKUP WITHHOLDING, PLEASE STRIKE OUT THE LANGUAGE THAT YOU ARE NOT SUBJECT TO BACKUP WITHHOLDING IN THE CERTIFICATION ABOVE AND FILL THE CIRCLE. ○

I (WE) DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES OF AMERICA THAT ALL OF THE FOREGOING INFORMATION SUPPLIED ON THIS PROOF OF CLAIM AND RELEASE FORM BY THE UNDERSIGNED IS TRUE AND CORRECT.

Executed this_______________ day of _________________________ in ____
(Month/Year) (City/State/Country)

____
(Sign your name here)

____
(Sign your name here)

____
(Type or print your name here)

____
(Type or print your name here)

____
(Capacity of person(s) signing, *e.g.*,
Beneficial Purchaser or Acquirer, Executor or Administrator)

____
(Capacity of person(s) signing, *e.g.*,
Beneficial Purchaser or Acquirer, Executor or Administrator)

ACCURATE CLAIMS PROCESSING TAKES A SIGNIFICANT AMOUNT OF TIME.
THANK YOU FOR YOUR PATIENCE.

Reminder Checklist:

1. Please sign the above release and declaration.
2. If this Claim is being made on behalf of Joint Claimants, then both must sign.
3. Remember to attach copies of supporting documentation, if available.
4. **Do not send** originals of certificates.
5. Keep a copy of your claim form and all supporting documentation for your records.
6. If you desire an acknowledgment of receipt of your claim form please send it Certified Mail, Return Receipt Requested.
7. If you move, please send your new address to:

   FCStone Securities Litigation
   Claims Administrator
   c/o Gilardi & Co. LLC
   P.O. Box 8040
   San Rafael, CA 94912-8040

8. **Do not use red pen or highlighter** on the Proof of Claim and Release form or supporting documentation.

THIS PROOF OF CLAIM AND RELEASE MUST BE POSTMARKED NO LATER THAN AUGUST 16, 2013
AND MUST BE MAILED TO:

FCStone Securities Litigation
Claims Administrator
c/o Gilardi & Co. LLC
P.O. Box 8040
San Rafael, CA 94912-8040