

Must be  
Postmarked  
No Later Than  
May 25, 2013

Dell SEC Fair Fund  
c/o The Garden City Group, Inc.  
PO Box 9857  
Dublin OH 43017- 5757  
Toll-Free: 1 (888) 513-5033

DSF



Claim Number:

Control Number:

## PROOF OF CLAIM

**YOU MUST COMPLETE AND MAIL THIS CLAIM FORM POSTMARKED BY MAY 25, 2013 TO BE ELIGIBLE TO SHARE IN THE DELL SEC FAIR FUND.**

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IF YOU WISH TO FILE YOUR CLAIM ON THE INTERNET, PLEASE VISIT [WWW.DELLSECSETTLEMENT.COM](http://WWW.DELLSECSETTLEMENT.COM)

**Important** - This form should be completed IN CAPITAL LETTERS using BLACK or DARK BLUE ballpoint/fountain pen. Characters and marks used should be similar in the style to the following:

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z 1 2 3 4 5 6 7 0



## PART I - CLAIMANT IDENTIFICATION

**LAST NAME (CLAIMANT)**

**FIRST NAME (CLAIMANT)**

**Last Name (Beneficial Owner if Different From Claimant)**

**First Name (Beneficial Owner)**

**Claimant Social Security Number/Taxpayer ID Number**

**Last Name (Co-Beneficial Owner)**

**First Name (Co-Beneficial Owner)**

**Company/Other Entity (If Claimant Is Not an Individual)**

**Contact Person (If Claimant is Not an Individual)**

**Trustee/Nominee/Other**

**Account Number (If Claimant Is Not an Individual)**

**Trust/Other Date (If Applicable)**

**Address Line 1**

**Address Line 2 (If Applicable)**

**City**

**State**

**Zip Code**

**Foreign Province**

**Foreign Country**

**Foreign Zip Code**

**Telephone Number (Day)**

**Telephone Number (Night)**

**Email Address** (Email address is not required, but if you provide it you authorize the Distribution Agent to use it in providing you with information relevant to this claim.)

**IDENTITY OF CLAIMANT (check only one box):**

- Individual
  Joint Owners
  Estate
  Corporation
  Trust
  Partnership
- Private Pension Fund
  Legal Representative
- IRA, Keogh, or other type of individual retirement plan (indicate type of plan, mailing address, and name of current custodian)
- Other (specify, describe on separate sheet)

**NOTE TO INSTITUTIONAL FILERS:** Claims with 100 or more transactions or on behalf of 20 or more different accounts must be submitted electronically and in the required format. To obtain the mandatory electronic filing requirements and file layout, you may visit the Dell SEC Fair Fund's website at [www.dellsecsettlement.com](http://www.dellsecsettlement.com) or you may e-mail the Distribution Agent at [eClaim@gcginc.com](mailto:eClaim@gcginc.com). Any submission not in accordance with the required electronic filing format may be rejected. Proof of authority to submit a Proof of Claim form on behalf of any managed accounts must be submitted with any Proofs of Claim for such accounts. If you intend to file electronically, you can submit and track the history of your claims by using our secure website, GCG ICE™ ([www.gcgice.com](http://www.gcgice.com)), which is available 24/7. GCG ICE™ allows institutional investors to upload electronic claims and documents, track the history and status of submissions, view claim rejections and how to fix them, update contact information, and receive important status alerts via e-mail.



## PART II - INSTRUCTIONS FOR FILING PROOF OF CLAIM

If you submitted a Proof of Claim in the class action settlement of *In re Dell Inc., Securities Litigation*, Case No. A-06-CA-00726 (W.D. Tex.) (SS) ("Dell Class Action"), and your claim was approved, you do not need to submit a Proof of Claim to be a potentially eligible claimant for your previously approved transactions during the period of May 16, 2002 to September 8, 2006. You are automatically deemed to be an eligible claimant with respect to those transactions in Dell Inc. common stock for which a claim was previously approved in the Dell Class Action, so long as your approved transactions calculate to an eligible loss under The Plan of Allocation for the Dell SEC Fair Fund. You do not need to do anything further at this time to participate in the Dell SEC Fair Fund. (If you would like to verify the details of the claim approved in the Dell Class Action, please visit the Dell SEC Fair Fund's website at [www.dellsecsettlement.com](http://www.dellsecsettlement.com). To access this site, you will need to enter your claim and control numbers).

If you would like to make a claim in the Dell SEC Fair Fund regarding additional transactions in common stock for which a claim was not previously approved in the Dell Class Action (i.e., for transactions occurring from May 3, 2001 through May 15, 2002), you must submit this proof of claim form (and all required documentation) with respect to those additional transactions. Submission of new claims can also be made on-line at [www.dellsecsettlement.com](http://www.dellsecsettlement.com).

Also, if you purchased Dell common stock during the period of May 3, 2001 through September 8, 2006, inclusive (the "Recovery Period") and either (a) you submitted a Proof of Claim to participate in the Dell Class Action settlement but your claim was denied in whole or in part; or (b) you did not submit a proof of Claim in the Dell Class Action, you must submit a completed Proof of Claim Form with the necessary documentation so that it is postmarked no later than May 25, 2013 (the "Claims Bar Date") to be eligible to participate in the Dell SEC Fair Fund.

### REQUIREMENTS FOR FILING

Your claim will be considered only upon compliance with all of the following conditions:

1. You must accurately complete all portions of this Proof of Claim form.

**NOTE:** The Proof of Claim contains purchase and sale schedules for Dell Inc. ("Dell") common stock. You must carefully complete these schedules. Do not omit any potentially relevant information regarding your purchases and sales of Dell common stock. This information is necessary to determine your share of any distributions. If you cannot list all transactions in the spaces provided in the Proof of Claim, or if you believe that you must or should supply additional information with respect to any transaction, attach additional sheets to the Proof of Claim supplying the required information. You must be properly identified on each additional sheet of paper. The date of purchase and sale is the "trade" or "contract" date, and not the "settlement" or "payment" date. The purchase price is the price paid excluding commissions or other expenses. The sale price is the price received less commissions or other expenses.

2. You must sign the Proof of Claim form.

**NOTE:** If the securities were or are owned jointly, all joint owners must sign the Proof of Claim. Executors, administrators, guardians, conservators and trustees may complete and sign the Proof of Claim on behalf of persons or entities represented by them, but they must identify such persons or entities and provide proof of their authority (for example, currently effective letters testamentary or letters of administration) to complete and execute the Proof of Claim. Any Proof of Claim submitted by legal representatives of a claimant must be executed by all such representatives.

Separate Proofs of Claim should be submitted for each separate legal entity (for example, a claim form by joint owners should not include separate transactions of just one of the joint owners, an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Conversely, a single Proof of Claim should be submitted on behalf of one legal entity including all transactions made by that entity no matter how many separate accounts that entity has (for example, a corporation with multiple brokerage accounts should include all transactions made in Dell common stock during the Recovery Period on one Proof of Claim, no matter how many accounts the transactions were made in).

3. You must attach to the Proof of Claim form legible copies of broker confirmation slips, monthly brokerage statements or other satisfactory proof confirming your purchases and sales, your closing balance as of May 2, 2001 and closing balance as of September 8, 2006 of Dell common stock. **IF ANY SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN A COPY OR EQUIVALENT DOCUMENTS FROM YOUR BROKER BECAUSE THESE DOCUMENTS ARE NECESSARY TO PROVE AND PROCESS YOUR CLAIM.**

4. You must mail the completed and signed Proof of Claim and supporting documents by first-class mail, postage prepaid, postmarked no later than May 25, 2013 to:

Dell SEC Fair Fund  
c/o The Garden City Group, Inc.  
PO Box 9857  
Dublin OH 43017- 5757

**IF YOU FAIL TO SUBMIT A COMPLETE CLAIM POSTMARKED BY MAY 25, 2013 YOUR CLAIM IS SUBJECT TO REJECTION OR YOUR PAYMENT MAY BE DELAYED.** So that you will have a record of the date of your mailing and its receipt by the Distribution Agent, you are advised to use certified mail, return receipt requested. Please keep a copy of all documents that you send to the Distribution Agent.



**PART III - DELL COMMON STOCK**

YOU MUST SUBMIT DOCUMENTATION SUPPORTING THE INFORMATION BELOW

**A. BEGINNING HOLDINGS:** List the number of shares of Dell common stock owned at the close of business on **May 2, 2001**. If none, write "zero" or "0".

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|        |  |  |  |  |  |  |  |  |  |
| Shares |  |  |  |  |  |  |  |  |  |

**B. PURCHASES:** List (in chronological order) all purchases of Dell common stock made between **May 3, 2001** through **September 8, 2006**, inclusive. (Must be documented.)

| Date(s) of Purchase<br>List Chronologically<br>(Month/Day/Year) | Number of Shares of<br>Common Stock<br>Purchased | Purchase Price<br>Per Share of<br>Common Stock | Net Amount Paid<br>(Excluding taxes, fees,<br>other commissions) |
|---|--|--|--|
| /  /  |  | .  | .  |
| /  /  |  | .  | .  |
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| /  /  |  | .  | .  |

**C. SALES:** List (in chronological order) all sales of Dell common stock made between **May 3, 2001** through **September 8, 2006**, inclusive. (Must be documented.)

| Date(s) of Sale<br>List Chronologically<br>(Month/Day/Year) | Number of Shares of<br>Common Stock<br>Sold | Sale Price<br>Per Share of<br>Common Stock | Net Amount<br>(Excluding taxes, fees,<br>other commissions) |
|---|---|--|---|
| /  /  |   | .  | .   |
| /  /  |   | .  | .   |
| /  /  |   | .  | .   |
| /  /  |   | .  | .   |

**D. ENDING HOLDINGS:** List the number of shares of Dell common stock owned at the close of business on **September 8, 2006**. If none, write "zero" or "0". (Must be documented.)

|        |  |  |  |  |  |  |  |  |  |
|--------|--|--|--|--|--|--|--|--|--|
|        |  |  |  |  |  |  |  |  |  |
| Shares |  |  |  |  |  |  |  |  |  |

IF YOU NEED ADDITIONAL SPACE TO LIST YOUR TRANSACTIONS YOU MUST  
PHOTOCOPY THIS PAGE AND CHECK THIS BOX   
IF YOU DO NOT CHECK THIS BOX THESE ADDITIONAL PAGES WILL NOT BE REVIEWED



PART IV - CERTIFICATION AND SIGNATURE

The undersigned represents and certifies UNDER PENALTY OF PERJURY that:

- 1. I am (we are) not:
(a) A past or present director or officer of Dell Inc. ("Dell") or any of its past or present affiliates...
(b) An employee of Dell or of any of its past or present affiliates who has been terminated...
(c) A defendant in any class action lawsuit or any action brought by the Commission...
(d) A person who, as of the Claims Bar Date May 25, 2013, has been the subject of criminal charges...
(e) A person who assigned their right to obtain a recovery in the Commission's lawsuit against Dell;
(f) An assignee of another person's right to obtain a recovery in the Commission's lawsuit against Dell...
(g) The Distribution Agent, those persons assisting it in its role as Distribution Agent...
2. If signing this Proof of Claim form on behalf of a corporation, partnership or other business entity...
3. I agree to submit to the jurisdiction of the United States District Court for the District of Columbia...
4. I understand that the Distribution Agent may require additional information from me...
5. The number shown on page 2 of this form is the correct Social Security Number or Taxpayer Identification Number;
6. I agree that under no circumstances shall the Distribution Agent or its agents incur any liability...
7. I agree that upon receipt and acceptance by me of a distribution from the Fair Fund...
8. If I am a custodian, trustee, or professional investing on behalf of and representing more than one potentially eligible claimant...

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 form by the undersigned is true and correct and that the documents submitted herewith are true and genuine.

Executed this \_\_\_ day of \_\_\_ (Month) (Year) in \_\_\_ (City, State, Country)

Signature of Claimant

Date

Print your name here

Signature of joint claimant, if any

Date

Print your name here

If the Claimant is other than an individual, or is not the person completing this form, the following also must be provided:

Signature of person signing on behalf of claimant

Date

Print your name here

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, custodian, etc.



## PART V - SUBSTITUTE W-9 FORM

**Claimant's Full Name** (as shown in your income tax return):

|  |  |
|--|--|
|  |  |
|--|--|

**Type of entity** (check one): Individual  S-Corporation  Corporation  Other  Exempt Payee

Limited Liability Company  If you selected Limited Liability Company, please select one of the following three Tax Classifications: Corporation  S-Corporation  Partnership

|  |  |  |  |  |  |  |  |  |  |
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**Enter Social Security Number**  
(Individuals Only)

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**Enter Tax Identification Number (TIN)  
or Employer Identification Number (EIN)**  
(Other than Individuals)

Under penalties of perjury, I certify that: 1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and 2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and 3. I am a U.S. citizen or other U.S. person.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

|  |
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**Signature**

**Date**

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## REMINDER CHECKLIST

1. Please sign the Certification and Signature Section of the Claim Form.
2. Please complete the Substitute W-9 Form.
3. If this claim is made on behalf of joint claimants, then both must sign.
4. Please remember to attach supporting documents. (Supporting documents include trade confirmations, official monthly, quarterly or annual brokerage statements).
5. **DO NOT SEND ORIGINALS OF ANY SUPPORTING DOCUMENTS.**
6. If you aggregated accounts, be sure to include supporting documents for all accounts.
7. Keep a copy of your Proof of Claim Form and all documentation submitted for your records.
8. The Distribution Agent will acknowledge receipt of your Proof of Claim Form by regular or electronic mail, within 60 days. Your claim is not deemed filed until you receive an acknowledgment postcard or e-mail. If you do not receive an acknowledgment postcard or e-mail within 60 days, please call the Fund Administrator toll-free at **1 (888) 513-5033**.
9. If you move, you must send the Distribution Agent your new address. Otherwise, any funds allocated to your claim are subject to forfeiture.
10. Do not use highlighter on the Proof of Claim Form or supporting documentation.

**THIS PROOF OF CLAIM MUST BE POSTMARKED NO LATER THAN  
MAY 25, 2013 AND MUST BE MAILED TO:**

**Dell SEC Fair Fund  
c/o The Garden City Group, Inc.  
PO Box 9857  
Dublin OH 43017- 5757**