



STOCKS & SECURITIES LTD

(In Court Supervised Winding-Up)
Caydion Campbell Appointed Trustee on 16 January 2023

PROOF OF CLAIM

IN THE MATTER of the Winding-Up of
STOCKS AND SECURITIES LIMITED (IN COURT SUPERVISED WINDING-UP) ("SSL") and the claim of

(Insert name of claimant above)

NOTICES TO THE CLAIMANT SHOULD BE SENT TO:

Three horizontal lines for address information.

(Insert address above)

Phone: () or () or ()

Fax: ()

Email: or

CLAIM

I, do hereby certify that:-

(Insert the name of the person completing the form above)

- 1. That I am [] the claimant or [] of the claimant.
2. That I have knowledge of all the circumstances connected with the claim referred to below.

[] A. CLAIM BY UNSECURED CREDITOR (On-Balance Sheet Liability)

- 1. That the debtor (SSL) was at the date of winding up, namely the 16th day of January 2023, and still I indebted to the claimant in the sum of J\$ (JMD) and/or US\$ (USD), as specified in the attached statement of account [] OR Affidavit [] attached and marked "Schedule A", after deducting any counterclaim to which the debtor is entitled.

(Check appropriate description)

- [] Regarding the amount of J\$ (JMD) and/or US\$ (USD, I do not claim a right to a priority under section 202 of the Insolvency Act.
[] Regarding the amount of J\$ (JMD) and/or US\$ (USD, I claim a right to a priority under section 202 of the Insolvency Act. (Set out on an attached sheet details to sort priority claim).

[The attached statement of account or affidavit must specify the vouchers, invoices or other evidence in support of the claim and where applicable the SSL assigned account number(s)].



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[] B. CLAIM BY UNAFFECTED TRUST CLAIMANT
(Off-Balance Sheet Liability for Managed Portfolio)

1. That the debtor/trustee (SSL) was at the date of the judgement is Claim SU2023 CD00036, namely the **31st day of May 2024**, and still is holdings funds and/or assets in trust for the claimant in the sum of J\$_____ (JMD) and/or US\$_____ (USD), as specified in the attached statement of account [] OR Affidavit [] attached and marked **“Schedule A”**, after deducting any counterclaim to which the debtor/trustee is entitled.

[The attached statement of account or affidavit must specify the vouchers, invoices or other evidence in support of the claim and where applicable the SSL assigned account number(s)].

[] C. CLAIM BY AFFECTED TRUST CLAIMANT/CONTINGENT CREDITOR
(accounts affected by the alleged fraud)*

1. That, I assert that the debtor (SSL) was at the date of the winding-up, namely the **16th day of January 2023**, contingently liable to the claimant in the sum of J\$_____ (JMD) and/or US\$_____ (USD), as specified in the attached Statement of Account [] **OR** Affidavit [] attached and marked **“Schedule A”**, after deducting any counterclaim to which the debtor is entitled.

*A contingent claim **may** have arisen in circumstances where a client/customer of SSL on whose behalf an off-balance portfolio of Cash and/or Fixed Income Securities and/or Equities was managed, claims that the balance standing to their account(s) is less than they are entitled to or expect and they may have been a victim of the alleged fraudulent activities undertaken by a former employee of SSL.

[The attached statement of account or affidavit must specify the vouchers, invoices or other evidence in support of the claim and where applicable the SSL assigned account number(s)].

[] D. CLAIM BY TEMPORARY MANAGEMENT CREDITOR**

1. That the debtor (SSL) was at the date of the judgement is Claim SU2023 CD00036, namely the **31st day of May 2024**, and still is indebted to the claimant in the sum of J\$_____ (JMD) and/or US\$_____ (USD), as specified in the attached statement of account [] **OR** Affidavit [] attached and marked **“Schedule A”**, after deducting any counterclaim to which the debtor/trustee is entitled.

**A Temporary Management Creditor in one who provided goods and or services to SSL between the period 17 January 2023 and 31 May 2024 that were authorized by the Temporary Manager, payment for which remained outstanding as at 31 May 2024.

[The attached statement of account or affidavit must specify the vouchers, invoices or other evidence in support of the claim and where applicable the SSL assigned account number(s)].



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[] E. CLAIM BY EQUITY CLAIMANT***

1. That the debtor (SSL) was at the date of winding up, namely the **16th day of January 2023**, and still is indebted to the equity claimant in the sum of J\$_____ (JMD) and/or US\$_____ (USD), as specified in the attached statement of account [] **OR** Affidavit [] attached and marked **“Schedule A”**, after deducting any counterclaim to which the debtor is entitled.

***equity claim means a claim that is in respect of an equity interest including a claim for, among others—

- a) A dividend or similar payments
- b) A return of capital
- c) A redemption or retraction obligation
- d) A monetary loss resulting from the ownership purchase or sale of an equity interest or from the rescission of a purchase or sale of an equity interest; or
- e) Contribution or indemnity in respect of a claim referred to in any of paragraphs (a) to (d);

[The attached statement of account or affidavit must specify the vouchers, invoices or other evidence in support of the claim and where applicable the SSL assigned account number(s)].

Dated at _____, this _____ day of _____, _____.

Witness *(Insert signature above)*

Claimant *(Insert signature above)*

(Insert the address of witness above and details below)

Phone: (____) _____ or (____) _____ or (____) _____

Fax: (____) _____

Email: _____ or _____

WARNING: The Companies Act and the Insolvency Act provide severe penalties for making any false claim, proof, declaration or statement of account.

FOR OFFICIAL USE ONLY			
Claim Received Date:	Reviewed by:	Signature:	Date:
Admitted for Meeting: YES [] NO []	Approved by:	Signature:	Date:
Admitted for Voting: YES [] NO []	Approved by: / /	J\$	US\$
Proved for Distribution: YES [] NO []	Approved by: / /	J\$	US\$