

Electronic Filing Instructions
TYCO International Ltd. Securities Litigation Settlement

PLEASE READ:

ELECTRONIC FILING APPLIES TO BROKERS OR INSTITUTIONS THAT FILE CLAIMS ON BEHALF OF SEVERAL ACCOUNTS, OR CLASS MEMBERS WHO ARE FILING A CLAIM WITH A LARGE NUMBER OF TRANSACTIONS (100+).

Electronic Filing Requirements

1. Proof of Claim and Release form (Master)

This claim form serves as a master Proof of Claim and Release form for one or all of the accounts included on your file.

- You may obtain a Proof of Claim and Release form by printing one from this website. Complete the "Claimant Information" section on Page 2 of the Proof of Claim and Release form including the Daytime/Evening Telephone Number and E-mail address. Be sure to include company name, account name/number, and company address. If submitting an electronic file on behalf of several accounts, enter "Various Accounts" for the account name/number.
- Read Release language and sign Release on Page 12 of Proof of Claim form.
 - The signature on the claim form must reference the capacity of the signatory.
- **If filing on behalf of your clients, you must include a signed letter on letterhead or other document providing your authorization to sign on behalf of your clients (affidavit, power of attorney, trust agreements, etc.)**

2. Signature Verification Document

This is a document verifying that the individual who signed the claim form and any supplemental letters is authorized to sign on behalf of his/her company.

- Some examples may include a copy of your company's By-laws (including signature pages), a copy of your company's corporate resolution (including signature pages), secretary's certificate, certificate of incumbency, or a notarized affidavit signed by an officer of your institution clearly granting a specific individual(s) authorization to act / sign on behalf of your company.

3. Excel spreadsheet or other electronic file containing account information and transactional data that MUST be created in accordance with our required filing format.

- The required filing format for this case is provided below.
- A completed cover sheet MUST be submitted with your electronic file.
 - The cover sheet must include the total number of accounts, total number of transactions, and contact name(s) with phone number(s) and e-mail address(es). A blank cover sheet is attached at the end of these instructions.
- **YOUR ELECTRONIC FILE IS SUBJECT TO REJECTION, IF NOT IN ACCORDANCE WITH OUR REQUIRED FILING FORMAT.**

4. Hard copy supporting documentation.

- You must submit paper documents with your Proof of Claim form that will support the transactions provided on your file. These documents may include: a) broker confirmations, b) monthly statements, or c) an affidavit or signed letter on firm letterhead attesting to the truth and accuracy of the information on your file (signature must reference the capacity and contact information for the signatory).
- We reserve the right to request additional documentation at any time after your file has been received and loaded.

Please read the following prior to generating your file:

- Files may be submitted as a Fixed-length text file (preferred) or an Excel spreadsheet
- **All** fields in the below format **must** be included on your file
- Any fields that do not apply to your file or the case **must** be left blank (do **not** delete any fields)
- Your file **must** be sorted in the following order:
 - account number
 - security identifier
 - transaction type
- If your file contains over 64,000 rows, you **must** submit the file as a fixed-length text file
- **Do not** exceed maximum character lengths for any field
- Your file cannot include transactions outside of the relative trade period for the specific case (see Schedule of Transaction pages of Proof of Claim form for trade periods)
- **Do not** provide any blank rows on your file
- A separate claim will be created for **each** distinct account number on your file
- Any files **not** in accordance with the below format are subject to rejection

- For Fixed Length Text File (must use .txt extension):
 - Your file **must** contain only data rows (do **not** include header/trailer records)

- For Excel spreadsheets (must use .xls extension):
 - Your file **must** include one tab with **all** account and transactional data
 - Your file **must** include one header row with column headings
 - The “Length” column in the below format specifies the maximum number of characters for each Excel field

Required Filing Format

Col	Field	Start Position	Length	Notes
A	Company Name	1	40	Name of Company for Mailing of Checks (see Address Notes below) <ul style="list-style-type: none"> • <u>Include</u> a “c/o” before your company name if you require checks made out to the beneficial owner c/o your company
B	Address 1	41	40	Address1 Information for Mailing of Checks (see Address Notes below)
C	Address 2	81	40	Address2 Information for Mailing of Checks (see Address Notes below)
D	City	121	30	City for Mailing of Checks (see Address Notes below)
E	State	151	2	2 Character State Abbreviation for Mailing of Checks (see Address Notes below)
F	Zip5	153	5	5 Digit Zip for Mailing of Checks (see Address Notes below)
G	Zip4	158	4	4 Digit Zip for Mailing of Checks (see Address Notes below)
H	Country Code	162	2	2 character Country abbreviation (only for foreign addresses) Link to all country codes: ISO 3166 Country Codes
I	Customer Acct Name	164	40	Name of Account / Beneficial Owner
J	Customer Acct Number	204	30	Account Number
K	SSN or Tax ID Number	234	9	Format 999999999 Social Security Number or Tax ID Number (leave column blank for foreign entities); <u>NO</u> Dashes; <u>NO</u> Spaces

L	Security Identifier Number	243	14	CUSIP, ISIN, or SEDOL Number of the Security (except for options). Options transactions must reference the Expiration Month and Year & Strike Price of Options (i.e. May 2002/\$40 – option contract expiring in May 2002 with strike price of \$40) <ul style="list-style-type: none"> <u>DO NOT</u> include any spaces in your CUSIP, ISIN, or SEDOL Number
M	Transaction Type	257	2	B = Beginning Holdings (see case notes below) P = Purchase (see case notes below) S = Sale (see case notes below) U = Ending/Unsold Holdings (see case notes below) AQ = Shares Acquired from Merger (trade date must reflect merger date and price and net amount must be left blank – see case notes below and columns W-Y) SO = Shares acquired in June 6, 2001 Secondary Offering R = Free Receipt / Transfer In of Shares (see transfer notes below) D = Free Deliver / Transfer Out of Shares (see transfer notes below) <ul style="list-style-type: none"> When inputting beginning or unsold holdings, the trade date column <u>must</u> indicate the holding date (beginning/end of Class Period), and the price per share and net amount columns <u>must</u> be left blank.
N	Trade Date	259	10	Trade date in MM/DD/YYYY format (including foreign entities)
O	Quantity	269	20	Format 9999999999999999.0000 Number of shares/contracts or face amount of notes/bonds associated with this transaction (this value can <u>ONLY</u> be negative for short beginning/ending holdings positions or short stock splits and must be formatted with a negative symbol such as -9999999999999999.0000); <u>NO</u> commas (,); Enter Decimal Point and 4 positions after the decimal point;
P	Price Per Share	289	20	Format 9999999999999999.0000 Price of each Share/Contract or Bond/Note (priced as percentage of par value – par value is 100) <u>NO</u> commas (,); <u>NO</u> Currency Symbols (\$, €, £, etc); Enter Decimal Point and 4 positions after the decimal point; <ul style="list-style-type: none"> This column must be blank <u>ONLY</u> when providing beginning and/or ending holdings or shares received from a merger.
Q	Total Purchase / Sale Price	309	20	Format 9999999999999999.0000 Total value of the transaction (refer to schedule of transactions pages of the Proof of Claim form to determine if this value should include or exclude taxes, fees, and commissions); <u>NO</u> Commas (,); <u>NO</u> Currency Symbols (\$, €, £, etc); Enter Decimal Point and 4 positions after the decimal point; <ul style="list-style-type: none"> This column must be blank <u>ONLY</u> when providing beginning and/or ending holdings or shares received from a merger.
R	Currency Type	329	3	Type of currency associated to transaction (USD, EUR, GBP, etc.)
S	Exercise / Assign of Option	332	1	A = Assigned, E = Exercised, X = Expired <ul style="list-style-type: none"> This column <u>must</u> be used if: <ul style="list-style-type: none"> A common stock transaction is the result of the exercise or assignment of an option; An option transaction was later exercised, assigned, or expired
T	Exercise / Assign Date	333	10	Date of exercise/assignment of call/put options <ul style="list-style-type: none"> Date must be in MM/DD/YYYY format (including foreign entities)
U	Option/Common Stock Links	343	3	This column should be used to link your specific common stock transactions and options transactions that relate to exercise/assignments. Please use a “1” on both transactions for your first option/common stock match-up and continue in sequential order on all other match-ups (1,2,3,4, etc)
V	Debt Security Code	353	4	This column <u>must</u> reference the 3 or 4 letter codes for Debt Securities

	From Claim Form (see pages 8 & 9 or charts below)			that are provided on pages 8 & 9 of the claim form or in the charts below) <ul style="list-style-type: none"> • Page 8: NS1-NS14 • Page 9: NP1-NP21
W	Name of Merged Company (only for "AQ" transaction types)	357	40	This column must reference the merged company name for each merger transaction given with "AQ" transaction type in column M. <ul style="list-style-type: none"> • Examples include Mallinckrodt, CIGI Investment, InnerDyne, Scott Health & Safety, CIT Group, Sensormatic Electronics, Tycom, etc.
X	Merger Ratio (only for "AQ" transaction types)	397	40	This column must reference the merger ratio for each merger transaction given with "AQ" transaction type in column M.
Y	Number of Shares Exchanged in Merger (only for "AQ" transaction types)	437	20	This column must reference the number of shares exchanged for each merger transaction given with "AQ" transaction type in column M. <ul style="list-style-type: none"> • DO NOT provide transactions for companies that merged with TYCO. You are only eligible on TYCO shares received from the mergers but you must also reference the number of exchanged shares in this column.

Case and Security Notes

Each eligible security must reference an appropriate security identifier in column L of your file:

- CUSIP, ISIN, or SEDOL number for all securities except options
 - **DO NOT** include any spaces in your CUSIP, ISIN, or SEDOL Number
- Options transactions must reference the Expiration Month and Year & Strike Price of Option
 - Example - May 2002/\$40 (option contract expiring in May 2002 with strike price of \$40)

For Common Stock:

- Please provide all purchases and sales from 12/13/1999 through and including 6/7/2002
- Beginning Holdings are as of the close of business on 12/12/1999
- Ending Holdings are as of the close of business on 6/7/02
- Shares acquired in June 6, 2001 Secondary Offering must be referenced with a transaction type "SO" in column M of your file.
- See following section for merger details

For Mergers:

- **DO NOT** provide transactional data such as purchases and sales for companies that merged with TYCO during the Class Period. You are only eligible on TYCO common stock shares acquired from these mergers.
- TYCO common stock shares received from the merger must be referenced with a transaction type "AQ" in column M of the file with the following supplemental information:
 - Number of TYCO common stock shares received from merger must be in quantity column (O)
 - Trade Date column (N) must reference the date of the merger
 - Name of merged company must be referenced in column W
 - Merger Ratio must be referenced in column X
 - Number of shares exchanged in merger must be referenced in column Y

For Call/Put Options:

- Trade details must reference the exact information that would appear on a trade confirmation.
- The total purchase/sale price must equal (quantity*price*100)

- **DO NOT** adjust the number of contracts to reflect equivalent common stock shares
- **DO NOT** provide ending/unsold holding positions for call/put options. You **must** provide all sales or repurchases of options no matter when they occurred (even after 6/7/2002). If the closing option transaction was not a sale or a repurchase, then you **must** specify the fate of the option on the **same** line as the opening purchase/sale transaction.
 - The exercise, assignment, or expiration of the option must be specified in column S with the exercise/assignment/expiration date referenced in column T (MM/DD/YYYY format)
 - **DO NOT** insert a new transactional line to reflect the exercise, assignment, or expiration of an option.
 - Column U must be used to link your specific common stock transactions and options transactions that relate to exercise/assignments. Please use a "1" on both transactions for your first match-up and continue in sequential order on all other match-ups (1,2,3,4, etc)

For Debt Securities:

- Debt security codes **must** be referenced in column V of your file and could be found on pages 8 & 9 of the claim form or in the charts below.
- Trade details **must** reference the exact information that would appear on a trade confirmation.
- The quantity **must** reflect the face amount of the debt security.
- The price **must** be reflected as a percentage of par value (par value is 100).
- The total purchase/sale price **must** equal (quantity*price)/100 within a reasonable amount including commissions, taxes, and fees.

Pre-Class Period Notes

Code	Coupon Rates	Name of Debt Security	Maturity Date	Cusip
NP1	6.875%	Notes	2002	902118AQ1
NP2	6.875%	Notes	2029	902118AK4
NP3	6.25%	Notes	2013	902118AD0
NP4	3.125%	Notes	2001	902118AA6
NP5	6.375%	Notes	2005	902118AB4
NP6	Floating Rate	Notes	2000	902118AN8
NP7	Floating Rate	Notes	2001	USL93727AD46
NP8	7.0%	Notes	2028	902118AC2
NP9	7.2%	Notes	2008	754603AB4
NP10	5.875%	Notes	2004	902118AE8 902118AL2
NP11	6.125%	Notes	2008	902118AM0
NP12	5.125%	Notes	2009	902118AJ7
NP13	6.5%	Notes	2001	902120AH7
NP14	6.375%	Notes	2004	902120AF1
NP15	.57%	Yen Denominated Notes	2000	EC1750800 EC1750867
NP16	8.0%	Debentures	2023	902120AE4
NP17	Zero	Liquid Yield	2010	000945AC9

	Coupon	Option Notes		
NP18	9.5%	Debentures	2022	902120AD6
NP19	8.125%	Notes	1999	902120AG9
NP20	8.25%	Senior Notes	2000	000945AA3
NP21	7.25%	Senior Notes	2008	912707AA4

Notes Issued During Class Period

Code	Coupon Rate	Name of Debt Security	Maturity Date	Cusip
NS1	Zero Coupon	Notes	November 2020	902124ACO0
NS2	Zero Coupon	Notes	February 2021	902118AW8
NS3	6.375%	Notes	October 2011	902118BC1
NS4	6.375%	Notes	February 2006	902118AX6
NS5	6.75%	Notes	February 2011	902118AY4
NS6	6.875%	Notes	September 2002	902118AU2
NS7	5.8%	Notes	August 2006	902118AZ1
NS8	5.5%	Notes	November 2008	XS0139036387
NS9	4.95%	Notes	August 2003	902118BA5
NS10	6.125%	Notes	April 2007	902118AS7 902118AT5
NS11	Floating Rate	Notes	July 2003	902118BB3
NS12	4.375%	Notes	November 2004	XS0139035579
NS13	6.5%	Notes	November 2031	XS0139083629
NS14	6.5%	Notes	November 2011	XS0139085327

Address Notes

- For foreign addresses, the two character country code must be provided in column H, all address information (including full country names and provinces) must be included in the two address fields (columns B-C), and the city, state, zip fields (columns D-G) must be left blank.
 - Link to all country codes:
[ISO 3166 Country Codes](#)

Claim Balance Notes

- All securities (except options) for each account must balance. This means that the beginning holdings plus total purchases (including free receives, acquisitions, and stock splits) during the Class Period MUST EQUAL the total sales (including free delivers) during the Class Period plus the ending/unsold holdings.
 - Transaction types on your file must balance as follows:
 - **B+P+R+AQ = S+D+U**
- Any accounts that have out of balance securities will be deemed deficient and remain eligible to the extent they are in balance.
- If a case has stock splits during the Class Period, the shares received from the stock split must be referenced with an “SS” transaction type and all purchases/sales prior to the split date and your beginning holdings **must** reflect pre-split share amounts (do not adjust any transactions or beginning holdings to post-split share amounts).
- Negative values may **only** be given for short beginning holdings (transaction type “B”), short ending/unsold holdings (transaction type “U”), and short stock splits (transaction type “SS”) and **must** be formatted with a negative symbol such as **-9999999999999999.0000**. All other transactions must reflect positive values.

Transfer Notes

Free receive/free deliver (transfer in/out) transactions are not eligible for payment unless you have additional information regarding the original purchase from the prior account or the ultimate sale or ending holdings from the subsequent account. If you do not have this information, these types of transactions should be included on your file for **balancing purposes only**.

You **MUST** use the following instructions when filing for accounts that have free receive/free deliver (transfer in/out) transactions during the Class Period:

- **If shares were transferred to or from a different institution (corresponding account is not on your electronic file), you **MUST** follow these instructions:**

 - Shares Received into Account – You must account for any received shares by providing the beginning holdings or original purchase of these shares from the prior account.
 - Shares Delivered out of Account – You must account for any delivered shares by providing the sale(s) and/or ending holdings from the subsequent account.
 - No Information Available on Original Purchase/Subsequent Sale - You must provide the receive/deliver transactions in their respective claim(s) for **balancing purposes only**. A free receive or transfer in must be reflected as a transaction type “R” and a free deliver or transfer out must be reflected as a transaction type “D” (prices and net amounts must be zero). **THESE TRANSACTIONS WILL NOT BE CONSIDERED ELIGIBLE AND WILL BE EXCLUDED FROM THE CALCULATION OF YOUR CLAIM.**

- **If shares were transferred between accounts on your file, you **MUST** follow these instructions:**
 - DO NOT claim the same purchase or sale transactions on both accounts.
 - The account that owned the shares most recently should be the account claiming the eligible purchase. These shares should already be accounted for in the sales and/or ending holdings of the most recent account.
 - If shares were transferred between accounts for the same beneficial owner on your file, you must combine these accounts and file all eligible purchases and sales with the most recent account name and number. You must also include all beginning and ending holdings on the most recent account name and number.
 - If you are unable to combine these accounts accordingly, you must provide the receive/deliver transactions in their respective claim(s) for **balancing purposes only**. A free receive or transfer in must be reflected as a transaction type “R” and a free deliver or transfer out must be reflected as a transaction type “D” (prices and net amounts must be zero). **THESE TRANSACTIONS WILL NOT BE CONSIDERED ELIGIBLE AND WILL BE EXCLUDED FROM THE CALCULATION OF YOUR CLAIM.**

Submission Notes

- We prefer to receive your electronic claim submission on a diskette or CD ROM in the mail along with all other documentation requirements outlined in these instructions (use P.O. Box address on top of page 1 of the claim form and put to the attention of the Electronic Filing Department).
- If you need to email your file, it may be sent to eClaim@gardencitygroup.com but you must also attach your documentation requirements in the email as .pdf documents or equivalent.

Electronic Filing Cover Sheet

NAME OF LITIGATION: **TYCO International Ltd. Securities
Litigation Settlement**

FILE SUBMITTED BY:

Company Name _____

Company Address _____

Contact Name _____

Phone Number _____

E-Mail Address _____

FILE SUBMITTED AS: Disk / CD ROM (PREFERRED)

E-Mailed File

TOTAL # OF ACCOUNTS ON FILE: _____

TOTAL # OF TRANSACTIONS ON FILE: _____