

## **Exhibit A**

# KOBRE & KIM LLP

800 THIRD AVENUE  
NEW YORK, NEW YORK 10022  
WWW.KOBREKIM.COM

TEL +1 212 488 1200  
FAX +1 212 488 1220

NEW YORK  
LONDON  
HONG KONG  
WASHINGTON DC  
MIAMI  
CAYMAN ISLANDS  
BVI

September 24, 2013

## **BY FEDEX**

The Attorneys General listed on Attachment A

Re: *Anwar, et al. v. Fairfield Greenwich Limited, et al.*,  
09-cv-00118 (S.D.N.Y.) (VM) (FM)

Dear Sir/Madam:

Pursuant to the Class Action Fairness Act, 28 U.S.C. § 1715(b), GlobeOp Financial Services LLC (the “Settling Defendant”) hereby serves notice of a proposed settlement of the claims against the Settling Defendant in *Anwar, et al. v. Fairfield Greenwich Limited, et al.*, Master File No. 09-CV-00118 (S.D.N.Y.) (the “Action”) pending in the United States District Court for the Southern District of New York (the “Court”). The Court has issued preliminary approval of the proposed settlement and scheduled a hearing for final approval of the proposed settlement on November 22, 2013.

Pursuant to the requirements set forth in 28 U.S.C. § 1715(b), the Settling Defendant encloses a CD containing copies of the following documents related to the Action:

1. The first consolidated complaint filed in the Action on April 24, 2009, entitled “Consolidated Amended Complaint” (identified on the CD as Enclosure 1);
2. The amended consolidated complaint filed in the Action on September 29, 2009, entitled “Second Consolidated Amended Complaint” (identified on the CD as Enclosure 2);<sup>1</sup>
3. The notice of dismissal of defendant Lion Fairfield Capital Management Ltd. (identified on the CD as Enclosure 3); the Court's decision on the defendants’

---

<sup>1</sup> Additional complaints filed by certain putative class members that did not assert claims against the Settling Defendant have been consolidated under Master File No. 09-CV-00118 (S.D.N.Y.). Copies of these complaints are publicly available on the Court’s docket (<http://ecf.nysd.uscourts.gov>) under Master File No. 09-CV-01118, where they are listed as “Related Cases.”

- motion to dismiss ordering the dismissal of defendants Brian Francoeur, Ian Pilgrim and PricewaterhouseCoopers International Ltd. (identified on the CD as Enclosure 4); the so-ordered motion for dismissal and final judgment of the claims asserted in the Action by AAC Investment, Inc. and Fundacion Virgilio Barco (identified on the CD as Enclosures 5 and 6); the order of dismissal and final judgment of the claims asserted in the Action by ABN AMRO Life S.A. (identified on the CD as Enclosures 7 and 8); the stipulated order of dismissal of the claims asserted in the Action by Jeffrey S. Lieberman (identified on the CD as Enclosure 9); and the final judgment and order of dismissal of the Fairfield Greenwich Defendants (identified on the CD as Enclosure 10).
4. The settlement agreement, entitled “GlobeOp Stipulation of Settlement” (identified on the CD as Enclosure 11);
  5. A separate settlement agreement, entitled “Stipulation of Settlement” between the Settling Defendant and the Litigation Trustee (“Trustee”) for Greenwich Sentry, L.P. and Greenwich Sentry Partners, L.P. (the “Funds”) in connection with separate actions commenced by the Trustee against the Settling Defendant (and other parties) in *Walker, Truesdell, Roth & Associates, Inc. v. GlobeOp Financial Services LLC, et al.*, Index Nos. 600498/2009 and 600469/2009 (identified on the CD as Enclosure 12);
  6. The order preliminarily approving the settlement, entitled “GlobeOp Preliminary Approval Order” (identified on the CD as Enclosure 13);
  7. The Court-approved notice for settlement class members, entitled “Notice of Proposed GlobeOp Partial Settlement of Class Action and Settlement Fairness Hearing, and Motion for Attorneys’ Fees and Reimbursement of Expenses” (identified on the CD as Enclosure 14);
  8. The Court-approved summary notice of the GlobeOp partial settlement, entitled “Summary Notice” (identified on the CD as Enclosure 15);
  9. The Court-approved proof of claim form for settlement class members, entitled “GlobeOp Proof of Claim and Release” (identified on the CD as Enclosure 16);
  10. The proposed final judgment and order of dismissal, entitled “GlobeOp Final Judgment and Order of Dismissal with Prejudice” (identified on the CD as Enclosure 17); and
  11. An agreement between class counsel and counsel for the Settling Defendant made in connection with the settlement, entitled “Confidential Addendum to Memorandum of Understanding” (identified on the CD as Enclosure 18). The Supplemental Agreement defines the circumstances under which the Settling

Defendant will have the right to terminate the settlement based upon the size and nature of the claims held by class members who seek exclusion from the settlement class. The settling parties have agreed to keep the Supplemental Agreement confidential. As such, the Supplemental Agreement has not been filed in court to date and certain excerpts have been redacted from the copy provided here. Should you require the disclosure of the redacted information, the Settling Defendant would be prepared to disclose such information provided that an appropriate confidentiality agreement can be reached.

Pursuant to 28 U.S.C. § 1715(b)(7), the Settling Defendant states that it is not currently feasible to provide a definitive list of names of individual class members who reside in each State and the estimated proportionate share of the claims of such class members to the entire settlement. Subject to certain defined exclusions, the proposed settlement class includes all persons or entities who purchased or held interests in the Funds from October 31, 2003 through September 1, 2006, who were investors in the Funds as of December 10, 2008 and who suffered a net loss of principal invested in the Funds. The identity and the proportionate share of the claims of each and every possible settlement class member is currently unknown to the Settling Defendant because, among other reasons, certain beneficial owners in the Funds did not suffer a net loss of principal and certain of the Funds' holders of record are nominees and/or custodians who invested on behalf of any number of undisclosed beneficial owners, some of whom have may net gains that offset net losses.

Nevertheless, based on claims information provided by class counsel, the Settling Defendant provides in Table A below its best understanding of the settlement class members residing in each State and the estimated proportionate share of their claims under the settlement. The actual number and identity of settlement class members in each State and their proportionate share of claims under the settlement may vary for a number of reasons, most notably the presence of multiple beneficial owners associated with a single account of record, the presence of beneficial owners who do not reside in the same state as their record holders, application of the recognized loss formula in the plan of allocation for the settlement fund, address changes since the time the investments were made, redemptions or other recoveries made by beneficial owners, and the extent to which the aggregate net losses of beneficial owners vary from the losses experienced at the Fund level.

Table A

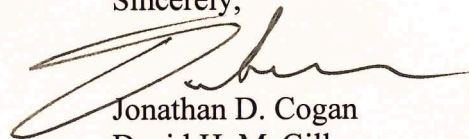
<b>Class Member</b>	<b>State</b>	<b>Estimated Proportionate Share of Claim</b>
[REDACTED]	AZ	2.3343%
[REDACTED]	CA	0.0424%
[REDACTED]	CA	0.1443%
[REDACTED]	CA	0.0000%

[REDACTED]	CA	0.1698%
[REDACTED]	CO	2.2086%
[REDACTED]	CT	0.2592%
[REDACTED]	CT	0.8488%
[REDACTED]	CT	0.0996%
[REDACTED]	CT	0.1613%
[REDACTED]	CT	0.0692%
[REDACTED]	FL	0.2759%
[REDACTED]	FL	0.8735%
[REDACTED]	FL	0.0000%
[REDACTED]	FL	0.1687%
[REDACTED]	FL	0.0849%
[REDACTED]	FL	0.6877%
[REDACTED]	FL	14.2604%
[REDACTED]	IL	0.8709%
[REDACTED]	IL	1.9504%
[REDACTED]	IL	0.0849%
[REDACTED]	IL	3.3953%
[REDACTED]	MA	0.1698%
[REDACTED]	NJ	0.8488%
[REDACTED]	NY	0.4428%
[REDACTED]	NY	0.6791%
[REDACTED]	NY	0.0497%
[REDACTED]	NY	0.0221%
[REDACTED]	NY	0.4244%
[REDACTED]	NY	0.4074%
[REDACTED]	NY	0.0255%
[REDACTED]	NY	22.5789%
[REDACTED]	OH	3.1609%
[REDACTED]	OH	3.3953%
[REDACTED]	OH	0.2292%
[REDACTED]	OH	0.6451%
[REDACTED]	SC	0.1528%
[REDACTED]	SC	0.7045%
[REDACTED]	TN	0.1358%
[REDACTED]	WA	0.1596%
[REDACTED]	WI	2.1221%

[REDACTED]	WI	3.3953%
[REDACTED]	WI	0.5093%
[REDACTED]	WI	0.2021%
[REDACTED]	WI	1.6722%
[REDACTED]	WI	0.7232%
[REDACTED]	WI	2.5465%
[REDACTED]	WI	5.2619%
[REDACTED]	WI	3.3953%
[REDACTED]	WI	16.2438%
[REDACTED]	Brazil	0.4062%
[REDACTED]	Brazil	0.3004%

We trust that you will find this Notice appropriate and complete. Should you have any questions, please do not hesitate to contact the undersigned as counsel for the Settling Defendant.

Sincerely,



Jonathan D. Cogan

David H. McGill

+1 212 488 1200

Encl.

**Attachment A**

Eric H. Holder, Jr.  
Attorney General of the United States  
U.S. Department of Justice  
950 Pennsylvania Avenue, NW  
Washington, DC 20530-0001

Thomas C. Home  
Arizona Attorney General  
1275 W. Washington St.  
Phoenix, AZ 85007-2926

Kamala D. Harris  
California Attorney General  
1300 I St., Ste. 1740  
P.O. Box 944255  
Sacramento, CA 95814

John W. Suthers  
Colorado Attorney General  
1300 Broadway, 10<sup>th</sup> Floor  
Denver, CO 80203

George C. Jepsen  
Connecticut Attorney General  
55 Elm Street  
Hartford, CT 06106

Joseph R. Biden, III  
Delaware Attorney General  
Carvel State Office Bldg.  
820 N. French Street  
Wilmington, DE 19801

Irvin B. Nathan  
District of Columbia Attorney General  
441 4th Street, NW, Suite 1106  
Washington, DC 20001

John Jay Hoffman  
New Jersey Acting Attorney General  
Richard J. Hughes Justice Complex  
25 Market Street, 8<sup>th</sup> Floor  
Trenton, NJ 08625-0080

Eric T. Schneiderman  
New York Attorney General  
Department of Law  
The Capitol, 2nd Floor  
Albany, NY 12224-0341

Roy A. Cooper, III  
North Carolina Attorney General  
9001 Mail Service Center  
Raleigh, NC 27699-9001

Mike DeWine  
Ohio Attorney General  
State Office Tower,  
30 E. Broad Street, 14th Floor  
Columbus, OH 43215

Kathleen Kane  
Pennsylvania Attorney General  
Strawberry Square  
16th Floor  
Harrisburg, PA 17120

Alan Wilson  
South Carolina Attorney General  
Rembert Dennis Building  
1000 Assembly Street, Room 519  
Columbia, SC 29201

Robert E. Cooper, Jr.  
Tennessee Attorney General  
425 5th Avenue, North #2  
Nashville, TN 37243

Pam Bondi  
Florida Attorney General  
The Capitol PL-01  
Tallahassee, FL 32399-1050

Lawrence G. Wasden  
Idaho Attorney General  
700 W Jefferson Street, Suite 210  
P.O. Box 83720  
Boise, ID 83720-0010

Lisa Madigan  
Illinois Attorney General  
100 West Randolph Street  
Chicago, IL 60601

Douglas F. Gansler  
Maryland Attorney General  
200 St. Paul Place  
Baltimore, MD 21202-2202

Catherine Cortez Masto  
Nevada Attorney General  
Old Supreme Court Building  
100 North Carson Street  
Carson City, NV 89701

Gregory W. Abbott  
Texas Attorney General  
300 W. 15th Street  
Austin, TX 78701

William H. Sorrell  
Vermont Attorney General  
109 State Street  
Montpelier, VT 05609-1001

Kenneth T. Cuccinelli, II  
Virginia Attorney General  
900 East Main Street  
Richmond, VA 23219

Bob Ferguson  
Washington Attorney General  
1125 Washington Street SE  
P.O. Box 40100  
Olympia, WA 98504-0100

J.B. Van Hollen  
Wisconsin Attorney General  
Wisconsin Department of Justice  
State Capitol, Room 114 East  
P.O. Box 7857  
Madison, WI 53707

Luther Strange  
Alabama Attorney General  
501 Washington Avenue  
Montgomery, AL 36130-0152

Michael C. Geraghty  
Alaska Attorney General  
1031 W. 4th Avenue, Suite 200  
Anchorage, AK 99501-1994

Dustin McDaniel  
Arkansas Attorney General  
323 Center Street, Suite 200  
Little Rock, AR 72201-2610

Sam Olens  
Georgia Attorney General  
40 Capitol Square, SW  
Atlanta, GA 30334

David M. Louie  
Hawaii Attorney General  
425 Queen Street  
Honolulu, HI 96813

Greg Zoeller  
Indiana Attorney General  
Indiana Government Center South  
302 W. Washington Street, 5th Floor  
Indianapolis, IN 46204

Thomas J. Miller  
Iowa Attorney General  
Hoover State Office Bldg.  
1305 E. Walnut Street  
Des Moines, IA 50319

Chris Koster  
Missouri Attorney General  
Supreme Court Building  
207 W. High Street  
Jefferson City, MO 65102



Tim Fox  
Montana Attorney General  
Department of Justice  
215 N. Sanders  
Helena, MT 59620-1401

Jon Bruning  
Nebraska Attorney General  
2115 State Capitol  
Lincoln, NE 68509

Joseph A. Foster  
New Hampshire Attorney General  
State House Annex  
33 Capitol Street  
Concord, NH 03301-6397

Gary K. King  
New Mexico Attorney General  
Villagra Building  
408 Galisteo Street  
Santa Fe, NM 87501

Wayne Stenehjem  
North Dakota Attorney General  
State Capitol  
600 E. Boulevard Avenue  
Dept. 125  
Bismarck, ND 58505-0040

E. Scott Pruitt  
Oklahoma Attorney General  
313 NE 21st Street  
Oklahoma City, OK 73105

Derek Schmidt  
Kansas Attorney General  
120 SW 10th Avenue, 2nd Floor  
Topeka, KS 66612-1597

John W. Conway  
Kentucky Attorney General  
700 Capitol Avenue, Suite 118  
Frankfort, KY 40601-3449

James D. Caldwell, Sr.  
Louisiana Attorney General  
1885 North 3rd St. 6th Floor  
Baton Rouge, LA 70802

Janet T. Mills  
Maine Attorney General  
6 State House Station  
Augusta, ME 04333

Ellen F. Rosenblum  
Oregon Attorney General  
Oregon Department of Justice  
1162 Court Street NE  
Salem, OR 97301-4096

Peter F. Kilmartin  
Rhode Island Attorney General  
150 South Main Street  
Providence, RI 02903

Marty J. Jackley  
South Dakota Attorney General  
1302 E. Hwy 14, Suite 1  
Pierre, SD 57501-8501

John Swallow  
Utah Attorney General  
Utah State Capitol Complex  
350 North State Street, Suite 230  
Salt Lake City, UT 84114

William D. Schuette  
Michigan Attorney General  
G. Mennen Williams Building, 7<sup>th</sup> Floor  
525 W. Ottawa Street  
Lansing, MI 48909

Patrick Morrissey  
West Virginia Attorney General  
West Virginia State Capitol, Bldg. 1  
Room 26-E  
Charleston, WV 25305

Lori Swanson  
Minnesota Attorney General  
1400 Bremer Tower  
445 Minnesota Street  
St. Paul, MN 55101-2131

Jim Hood  
Mississippi Attorney General  
Walter Sillers Building  
550 High Street, Suite 1200  
Jackson, MS 39201

Peter K. Michael  
Wyoming Attorney General  
123 Capitol Building  
200 W. 24th Street  
Cheyenne, WY 82002

Martha Coakley  
Massachusetts Attorney General  
1 Ashburton Place  
Boston, MA 02108