

Anthem 401(k) Plan Settlement Administrator  
c/o Rust Consulting, Inc - 6535  
PO Box 207  
Minneapolis, MN 55440-0207

**IMPORTANT LEGAL MATERIALS**



**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF INDIANA  
INDIANAPOLIS DIVISION**

MARY BELL, et al.,  
*Plaintiffs,*

v.

ATH HOLDING COMPANY, LLC, et al.,  
*Defendants.*

Case No. 1:15-cv-02062-TWP-MPB

**NOTICE OF CLASS ACTION SETTLEMENT AND FAIRNESS HEARING**

**Your legal rights might be affected if you are a member of the following class:**

All persons who participated in the Anthem 401(k) Plan (formerly the WellPoint 401(k) Retirement Savings Plan) (“Plan”) including any beneficiary of a deceased person who participated in the Plan as of the end of any calendar quarter during the Class Period, and/or Alternate Payee, in the case of a person subject to a Qualified Domestic Relations Order who participated in the Plan, and who: (1) had an account balance greater than \$1,000; or (2) invested in the Vanguard Money Market Fund. Excluded from the Settlement Class are Defendants who were participants in the Plan at any time during the Class Period.

The Class Period is defined as December 29, 2009 through March 31, 2019. For purposes of this Notice, if not defined herein, capitalized terms have the Definitions in the Settlement Agreement, which is incorporated herein by reference.

**PLEASE READ THIS SETTLEMENT NOTICE CAREFULLY.**

- The Court has given its preliminary approval to a proposed settlement (the “Settlement”) of a class action lawsuit brought by certain participants in the Plan against ATH Holding Company, LLC, the Board of Directors of ATH Holding Company, LLC, and the Pension Committee of ATH Holding Company (collectively, “Defendants”), alleging violations of the Employee Retirement Income Security Act (“ERISA”). The Settlement will provide for the allocation of monies directly into the individual accounts of the Class Members who had an Active Account during the Class Period with a balance greater than \$0 as of March 31, 2019 (“Current Participants”). Class Members who had an Active Account during the Class Period but did not have a balance greater than \$0 as of March 31, 2019 (“Former Participants”) will receive their allocation in the form of a check mailed to their last known address or a rollover, if elected.
- The terms and conditions of the Settlement are set forth in the Settlement Agreement dated April 5, 2019. A copy of the Settlement Agreement is available at [www.anthem401ksettlement.com](http://www.anthem401ksettlement.com). Any amendments to the Settlement Agreement and other settlement documents will be posted on that website. You should visit that website if you would like more information about the Settlement and any possible amendments to the Settlement Agreement or other changes, including changes to the Plan of Allocation, the date, time, or location of the Fairness Hearing, or other Court orders concerning the Settlement.
- Your rights and options — and the deadlines to exercise them — are explained in this Settlement Notice.

- The Court still has to decide whether to give final approval to the Settlement Agreement. Payments under the Settlement will be made only if the Court finally approves the Settlement and that final approval is upheld in the event of any appeal.
- A hearing on the final approval of the Settlement and for approval of the Class Representatives' petition for Attorneys' Fees and Costs and for Class Representatives' Compensation will take place on September 4, 2019, at 9:00 a.m., before U.S. District Court Judge Tanya Walton Pratt in Courtroom 344, Birch Bayh Federal Building & U.S. Courthouse, 46 East Ohio Street, Indianapolis, IN 46204.
- Any objections to the Settlement, to the petition for Attorneys' Fees and Costs and for Class Representatives' Compensation, must be served in writing on Class Counsel and Defendant's Counsel, as identified on page 5 of this Settlement Notice.

**Our records indicate that you are a Former Participant. If you believe that you meet the definition of a Current Participant, please contact the Settlement Administrator. Former Participants are individuals who had Active Accounts during the Class Period but did not have a balance greater than \$0 as of March 31, 2019**

**YOUR LEGAL RIGHTS AND OPTIONS UNDER THE SETTLEMENT:**

<p><b>OUR RECORDS INDICATE THAT YOU ARE A FORMER PARTICIPANT. YOU MUST RETURN THE ENCLOSED FORMER PARTICIPANT CLAIM FORM BY AUGUST 26, 2019 TO PARTICIPATE IN THE SETTLEMENT</b></p>	<p>Our records indicate that you are a Former Participant. You must return a Former Participant Claim Form, postmarked by <b>August 26, 2019</b> to receive your share of the Net Settlement Amount. If you do not return the Former Participant Claim Form that is postmarked by <b>August 26, 2019</b>, you will forfeit your share of the Settlement Amount. A claim form is enclosed with this notice but may also be obtained at <a href="http://www.anthem401ksettlement.com">www.anthem401ksettlement.com</a>.</p>
<p><b>YOU CAN OBJECT (NO LATER THAN AUGUST 5, 2019)</b></p>	<p>If you wish to object to any part of the Settlement, you may (as explained below) contact the Court and counsel about why you object to the Settlement. The Court has authorized the parties to seek discovery, including the production of documents and appearance at a deposition, from any person who files an objection.</p>
<p><b>YOU CAN ATTEND A HEARING ON SEPTEMBER 4, 2019</b></p>	<p>If you submit a written objection to the Settlement to the Court and counsel before the deadline, you may attend the hearing about the Settlement and present your objections to the Court. You may attend the hearing even if you do not file a written objection, but you will not be permitted to address the Court at the hearing if you do not notify the Court and counsel of your intention to appear at the hearing by August 26, 2019.</p>

**The Class Action**

The case is called *Bell, et al. v. ATH Holding Company, LLC, et. al.*, Case No. 1:15-cv-02062-TWP-MPB (the "Class Action"). The Court supervising the case is the United States District Court for the Southern District of Indiana. The individuals who brought this suit are called Class Representatives, and the individuals and entities they sued are the Defendants. The Class Representatives are current and former participants in the Plan. The Class Representatives' claims are described below, and additional information about them is available at [www.anthem401ksettlement.com](http://www.anthem401ksettlement.com).

**The Settlement**

The Settlement was reached on April 5, 2019. Class Counsel filed this action on December 29, 2015. Since the filing of this action and for a period of three years, the parties engaged in substantial litigation. The Parties participated in mediation before a nationally recognized mediator who has extensive experience in resolving similar claims involving other 401(k) plans. Only after extensive arm's length negotiation following the mediation were the parties able to agree to the terms of the Settlement.

As part of the Settlement, a Qualified Settlement Fund with a Gross Settlement Amount of \$23,650,000 will be established. The Net Settlement Amount is \$23,650,000 minus Attorneys' Fees and Costs paid to Class Counsel; all Class Representatives' Compensation and Individual Plaintiff Compensation as authorized by the Court; all Administrative Expenses; and a contingency reserve not to exceed an amount to be mutually agreed upon by the Settling Parties that is set aside by the Settlement Administrator for: Administrative Expenses incurred before the Settlement Effective Date but not yet paid, Administrative Expenses estimated to be incurred after the Settlement Effective Date but before the end of the Settlement Period, and an amount estimated for adjustments of data or calculation errors. The Net Settlement Amount will be allocated to Class Members according to a Plan of Allocation to be approved by the Court.

## **Statement of Attorneys' Fees and Costs Sought in the Class Action**

Since 2015, Class Counsel have devoted many hours bringing this case. Class Counsel reviewed thousands of pages of documents produced in this case and thousands of publicly filed documents with the Department of Labor to support their claims. Class Counsel took the risk of litigation and has not been paid for any of their time or for any of their costs incurred in bringing this action. Class Counsel has agreed to bring an enforcement action in court, if necessary, to insure compliance with the Settlement Agreement and do so without pay.

Class Counsel will apply to the Court for payment of Attorneys' Fees and Costs for their work in the case. The amount of fees (not including costs) that Class Counsel will request will not exceed one-third of the Settlement Amount, \$7,882,545, in addition to no more than \$650,000 in litigation costs. Class Counsel will not seek to receive any interest earned by the Qualified Settlement Fund, which will be added to the amount received by the Class or paid to the Plan. Any Attorneys' Fees and Costs awarded by the Court to Class Counsel will be paid from the Qualified Settlement Fund.

As is customary in class action cases, Class Representatives and Individual Plaintiffs have spent substantial time and effort on the litigation. Class Counsel also will ask the Court to approve payments, not to exceed \$20,000 each for the Class Representatives and \$5,000 each for the Individual Plaintiffs who took on the risk of litigation and devoted considerable time to it. Their activities also included assisting in the factual investigation of the case by Class Counsel and giving overall support to the case. Any Class Representatives' Compensation or Individual Plaintiff Compensation awarded by the Court will be paid from the Qualified Settlement Fund.

A full application for Attorneys' Fees and Costs and for Class Representatives' Compensation will be filed with the Court and made available on the Settlement Website, [www.anthem401ksettlement.com](http://www.anthem401ksettlement.com).

### **1. Why Did I Receive This Settlement Notice?**

The Court caused this Settlement Notice to be sent to you because the Plan's records indicate that you may be a Class Member. If you fall within the class definition listed on page 1, you have a right to know about the Settlement and about all of the options available to you before the Court decides whether to give its final approval to the Settlement. If the Court approves the Settlement, and after any objections and appeals are resolved, the Net Settlement Amount will be allocated among Class Members according to a Court-approved Plan of Allocation.

### **2. What Is The Class Action About?**

In the litigation, Class Representatives claim that, during the Class Period, Defendants violated the Employee Retirement Income Security Act of 1974 ("ERISA"), as amended, 29 U.S.C. 1001 *et seq.* with respect to the management, operation and administration of the Anthem Plan.

Defendants have denied and continue to deny the allegations, claims and contentions of the Class Representatives, deny that they are liable at all to the Class, and deny that the Class or the Plan have suffered any harm or damage for which Defendants could or should be held responsible, as Defendants deny all allegations of wrongdoing and deny that the Plan suffered harm or damage from those claims.

### **3. Why Is There A Settlement?**

The Court has not reached a final decision as to all of claims in the Class Action. Instead, the Class Representatives and Defendants have agreed to the Settlement. The Settlement is the product of extensive negotiations between Class Counsel and Defense Counsel during an all-day session with a private mediator, and additional arm's length negotiations. The parties to the Settlement have taken into account the uncertainty and risks of litigation and have concluded that it is desirable to settle on the terms and conditions set forth in the Settlement Agreement. The Class Counsel, who are highly experienced in this kind of matter, and the Class Representatives believe that the Settlement is best for all Class Members.

### **4. What Does The Settlement Provide?**

The Net Settlement Amount will be allocated to Class Members according to a Plan of Allocation to be approved by the Court. Class Members fall into two categories: Current Participants and Former Participants. Allocations to Current Participants who are entitled to a distribution under the Plan of Allocation will be made into their existing Plan accounts. Former Participants who are entitled to a distribution will receive their distribution as a check mailed to their last known address or, if they elect, as a rollover to a qualified retirement account.

All Class Members (and their respective heirs, beneficiaries, executors, administrators, estates, past and present partners, officers, directors, agents, attorneys, predecessors, successors, and assigns) will fully release all Released Claims against the Plan as well as (a) ATH Holding Company, LLC, Board of Directors of ATH Holding Company, LLC, the Pension Committee of ATH Holding Company, Carter Beck, Wayne DeVeydt, Cathy Kelaghan, John Gallina, Randal Brown, Sandra Miller,

Diane Seaman, Jose Tomas, Keith Passwater, Scott Anglin, Ronald Penczek, and Michael Harrison; (b) their insurers, co-insurers, and reinsurers, (c) their past, present, and future parent corporation(s), (d) their past, present, and future affiliates, subsidiaries, divisions, joint ventures, predecessors, successors, successors-in-interest, and assigns; and (e) with respect to (a) through (d) above their past, present and future members of their respective boards of directors, managers, partners, agents, members, shareholders (in their capacity as such), officers, employees, independent contractors, representatives, attorneys, administrators, fiduciaries, accountants, auditors, advisors, consultants, personal representatives, spouses, heirs, executors, administrators, associates, employee benefit plan fiduciaries (with the exception of the Independent Fiduciary), employee benefit plan administrators, The Vanguard Group, Inc. and all other service providers to the Plan (including their owners and employees), members of their immediate families, consultants, subcontractors, and all persons acting under, by, through, or in concert with any of them. Nothing in this Settlement releases claims of any Released Party or the Plan against any other Released Party for claims for, or arising out of, insurance coverage against their insurers.

The Released Claims mean any and all actual or potential claims, actions, demands, rights, obligations, liabilities, damages, attorneys' fees, expenses, costs, and causes of action, whether arising under federal, state or local law, whether by statute, contract or equity, whether brought in an individual or representative capacity, whether known or unknown, suspected or unsuspected, foreseen or unforeseen for actions during the Class Period, and include, but are not limited to, claims that were asserted in the Class Action Second Amended Complaint, or that relate to any of the allegations, facts or occurrences asserted in the lawsuit or would be barred by the principles of res judicata or collateral estoppel had the claims asserted been fully litigated and resulted in final judgment; and all claims relating to the implementation of the Settlement.

This is only a summary of the Released Claims and not a binding description of the Released Claims. The actual governing release is found within the Settlement Agreement at [www.anthem401ksettlement.com](http://www.anthem401ksettlement.com). Generally, the release means that Class Members will not have the right to sue Defendants, the Plan, or the Released Parties for conduct during the Class Period arising out of or relating to the allegations in the Class Action.

This is only a summary of the Settlement. A copy of the entire Settlement Agreement is available at [www.anthem401ksettlement.com](http://www.anthem401ksettlement.com).

## 5. How Much Will My Distribution Be?

The amount, if any, that will be allocated to you will be based upon the Plan records, or, if on March 31, 2019, you either no longer had a Plan account or had a Plan account with no money in it, based upon your Former Participant Claim Form. **The Settlement Agreement further details a Plan of Allocation.** Calculations regarding the individual distributions will be performed by the Settlement Administrator, whose determinations will be final and binding, pursuant to the Court-approved Plan of Allocation.

To be eligible for a distribution from the Net Settlement Amount, you must either be a (1) "Current Participant" as defined on page 1 or (2) an "Authorized Former Participant" (a "Former Participant" as defined on page 1 who submitted a completed, satisfactory Former Participant Claim Form that is postmarked by the deadline), or (3) a beneficiary, alternate payee, or attorney-in-fact of persons identified in (1) or (2).

The Plan of Allocation will allocate the Net Settlement Fund among Current and Authorized Former Participants as follows:

1. The Settlement Administrator shall obtain from the Plan's recordkeeper the quarter-ending account balances and the quarter-ending balances invested in the Vanguard Prime Money Market Fund ("MMF") for each Class Member during the Class Period.
2. The Net Settlement Amount shall be divided into two portions based on the alleged damages: (1) 50% to the Money Market Fund Portion ("MMF Portion"); and, (2) 50% to the Recordkeeping Fee Portion ("Fee Portion").
3. The MMF Portion will be allocated among Class Members during the Class Period as follows: a percentage of the MMF Portion that is the product of the sum of the participant's quarter-ending account balances invested in the MMF for each quarter during the Class Period divided by the sum of quarter-ending net asset value of the MMF for each quarter during the Class Period.
4. The Fee Allocation will be allocated among Class Members during the Class Period as follows: a percentage of Fee Portion that is the product of the sum of the participant's quarter-ending total account balances for each quarter during the Class Period divided by the sum of the quarter-ending net asset value of the Plan for each quarter during the Class Period.
5. Notwithstanding the Plan of Allocation, no amount shall be distributed to that is five dollars (\$5.00) or less, because such an amount is de minimis and would cost more in processing than its value. The method of making these calculations is described in the Plan of Allocation, found in Article 6 of the Settlement Agreement and available at [www.anthem401ksettlement.com](http://www.anthem401ksettlement.com).

There are approximately 120,000 Class Members.

Note that if you are an alternate payee pursuant to a Qualified Domestic Relations Order, you will receive a check if and to the extent you are entitled to receive a portion of a Current Participant's or Authorized Former Participant's allocation under the Settlement Agreement in accordance with the plan of allocation as if you were a Current Participant or Authorized Former Participant.

**6. How Can I Receive My Distribution?**

Whether you need to submit a claim form to receive your distribution depends on whether you are considered a "Current Participant" or a "Former Participant." **According to our records, you are a Former Participant. Therefore, you need to return your claim form to receive your share of the Settlement.**

**7. When Will I Receive My Distribution?**

The timing of the distribution of the Net Settlement Amount is conditioned on several matters, including the Court's final approval of the Settlement and that approval becoming final and no longer subject to any appeals in any court. An appeal of the final approval may take several years. If the Settlement is approved by the Court, and there are no appeals, the Settlement distribution will occur approximately in early 2020.

**There will be no payments under the Settlement if the Settlement Agreement is Terminated.**

**8. Can I Get Out Of The Settlement?**

No. The Class was certified under Federal Rule of Civil Procedure 23(b)(1). Therefore, as a Class Member, you are bound by any judgments or orders that are entered in the Class Action for all claims that were asserted in the Class Action or are otherwise included as Released Claims under the Settlement.

**9. Do I Have A Lawyer In The Case?**

The Court has appointed the law firm Schlichter, Bogard & Denton, in St. Louis, Missouri, as Class Counsel. If you want to be represented by your own lawyer, you may hire one at your own expense.

**10. How Will The Lawyers Be Paid?**

Class Counsel will file a petition for the award of Attorneys' Fees and Costs. This petition will be considered at the Fairness Hearing. Class Counsel has agreed to limit their application for an award of Attorneys' Fees and Costs to not more than \$7,882,545 in fees and \$650,000 in costs. The Court will determine what fees and costs will be approved.

**11. How Do I Tell The Court If I Don't Like The Settlement?**

If you are a Class Member, you can tell the Court that you do not agree with the Settlement or some part of it. To object, you must send the Court a written statement that you object to the Settlement in *Bell, et al. v. ATH Holding Company, Inc., et al.*, Case No. 1:15-cv-2062. Be sure to include your name, address, telephone number, signature, and a full explanation of why you object to the Settlement. Your written objection must be received by the Court no later than August 5, 2019. The Court's address is Clerk of Court, United States District Courthouse, Clerk's Office, Room 105, 46 East Ohio Street, Indianapolis, IN 46204. Your written objection also must be mailed to the lawyers listed below, **no later than August 5, 2019**. Please note that the Court's Order Granting Preliminary Approval of this Settlement provides that any party to the litigation may, but is not required to, serve discovery requests, including requests for documents and notice of deposition not to exceed two hours in length, on any objector. Any responses to discovery, or any depositions, must be completed within ten days of the request being served on the objector.

CLASS COUNSEL	ANTHEM DEFENDANTS' COUNSEL
SCHLICHTER, BOGARD & DENTON Attn: Anthem 401(k) Settlement 100 S. Fourth St., Suite 1200 St. Louis, MO 63102 Anthem401ksettlement@uselaws.com Tel: (314) 621-6115 Fax: (314) 621-5934	SEYFARTH SHAW, LLP Attn: Ada Dolph and Ian Morrison 233 S. Wacker Drive, Ste. 8000 Chicago, IL 60606-6448 Tel: (312) 460-5000

**12. When And Where Will The Court Decide Whether To Approve The Settlement?**

The Court will hold a Fairness Hearing at 9:00 a.m. on September 4, 2019, at the United States District Courthouse for the Southern District of Indiana, 46 East Ohio Street, Indianapolis, IN 46204.

At the Fairness Hearing, the Court will consider whether the Settlement is fair, reasonable, and adequate. If there are objections, the Court will consider them. After the Fairness Hearing, the Court will decide whether to give its final approval to the Settlement. The Court also will consider the petition for Class Counsel's Attorneys' Fees and Costs and any Class Representatives' Compensation.

**13. Do I Have To Attend The Fairness Hearing?**

No, but you are welcome to come at your own expense. If you send an objection, you do not have to come to the Court to talk about it. As long as you mailed a written objection on time, the Court will consider it when the Court considers whether to approve the Settlement as fair, reasonable and adequate. You also may pay your own lawyer to attend the Fairness Hearing, but such attendance is not necessary.

**14. May I Speak At The Fairness Hearing?**

If you are a Class Member, you may ask the Court for permission to speak at the Fairness Hearing. To do so, you must send a letter or other paper called a "Notice of Intention to Appear at Fairness Hearing in *Bell, et al. v. ATH Holding Company, Inc., et al.*, Case No. 1:15-cv-2062." Be sure to include your name, address, telephone number, and your signature. Your Notice of Intention to Appear must be mailed to the attorneys and filed with the Clerk of the Court, at the addresses listed in the Answer to Question No. 11, **no later than August 26, 2019**.

**15. What Happens If I Do Nothing At All?**

**If you are a "Former Participant" as defined above, and you do nothing, you will be bound by the Settlement of the Class Action as described above in this Settlement Notice if the Settlement is finally approved, BUT YOU WILL NOT RECEIVE ANY MONEY UNLESS YOU SUBMIT A FORMER PARTICIPANT CLAIM FORM.**

If you are a "Current Participant" as defined above, and do nothing, you will participate in the Settlement of the Class Action as described above in this Settlement Notice if the Settlement is approved.

**16. How Do I Get More Information?**

If you have general questions regarding the Settlement, you can visit this website: [www.anthem401ksettlement.com](http://www.anthem401ksettlement.com), call 1-855-263-3447, or write to the Settlement Administrator at Anthem 401(k) Plan Settlement Administrator, c/o Rust Consulting, Inc – 6535, PO Box 207, Minneapolis, MN 55440-0207.

Anthem 401(k) Plan Settlement Administrator  
c/o Rust Consulting, Inc – 6535  
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**IMPORTANT LEGAL MATERIALS**



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**FORMER PARTICIPANT CLAIM FORM**

This Former Participant Claim Form is **ONLY** for Class Members who are **Former Participants**, or the authorized beneficiary or alternate payee of a Former Participant (all of whom will be treated as Former Participants). A Former Participant is a person who had an Active Account during the Class Period, but does not have a balance greater than \$0 as of March 31, 2019.

This form must be completed, signed and mailed to the Settlement Administrator with a postmark date no later than August 26, 2019 in order for you to receive your share of the Settlement proceeds. **Former Participants who do not complete and timely return this form will not receive any Settlement payment.** Please review the instructions below carefully. If you have questions regarding this Claim Form, you may contact the Settlement Administrator via the contact information listed below.

**PART 1: INSTRUCTIONS FOR COMPLETING FORMER PARTICIPANT CLAIM FORM**

1. Complete this claim form and keep a copy of all pages of your Former Participant Claim Form, including page 1 with the address label, for your records.
2. Mail your completed Former Participant Claim Form, **postmarked no later than August 26, 2019**, to the Settlement Administrator at the following address:

**Anthem 401(k) Plan Settlement Administrator  
c/o Rust Consulting, Inc. – 6535  
PO Box 207  
Minneapolis, MN 55440-0207  
[www.anthem401ksettlement.com](http://www.anthem401ksettlement.com)**

It is your responsibility to ensure the Settlement Administrator has timely received your Former Participant Claim Form.

3. Other Reminders:
  - You must provide your date of birth, signature and a completed Substitute IRS Form W-9, which is Part 5 to this form.
  - If you desire to rollover your settlement payment, you must complete, in full, the rollover information in Part 4 Payment Election of the Settlement Distribution Form. If you make a claim but do not complete this form, payment, net of taxes, will be made to you in the form of a check.
  - If your address changes after you have sent in your Former Participant Claim Form, you must send your new address to the Settlement Administrator.
  - **Timing Of Payments To Eligible Settlement Class Members.** No settlement payments will be made unless and until the Settlement Agreement receives final Court approval. If the Settlement Agreement is approved and if you are entitled to a Settlement payment under the terms of the Settlement Agreement, your payment will be distributed to you after the Settlement Administrator has verified and processed the information for all Class Members who are entitled to a payment. Payments may be further delayed if any appeals are filed.
4. **Questions?** If you have any questions about this Former Participant Claim Form, please call the Settlement Administrator at (855) 263-3447. The Settlement Administrator will provide advice only regarding completing this form and will not provide





financial, tax or other advice concerning the Settlement. You therefore may want to consult with your financial or tax advisor. Information about the status of the approval of the Settlement, the Settlement administration, and claim processing is available on the Settlement website, www.anthem401ksettlement.com.

You may be eligible to receive a payment from a class action settlement. The Court has approved preliminarily a class settlement in Bell, et al. v. ATH Holding Company, Inc., et al. No. 1:15-cv-2062. That settlement provides allocation of monies to class members with Active Accounts, which means an individual investment account in the Plans during the Class Period. The Plan at issue is the Anthem 401(k) Plan (formerly known as the WellPoint 401(k) Retirement Savings Plan) ("Plan"). The Settlement Agreement applies to "Current Participants," defined as a person who had an Active Account in either of the Plans during the Class Period and had a balance greater than \$0 as of March 31, 2019. It also applies to "Former Participants," which means a person who had an Active Account during the Class Period, but does not have a balance greater than \$0 as of March 31, 2019. Former Participants will receive their allocation in the form of a check or rollover if and only if they mail a valid Former Participant Claim Form that is **postmarked no later than August 26, 2019** to the Settlement Administrator. For more information about the settlement, please see www.anthem401ksettlement.com or call (855) 263-3447.

Because our records indicate that you are a Former Participant (or beneficiary of a Former Participant) in the Plan, you must decide whether you want your payment (1) sent payable to you directly or (2) to be rolled over into another eligible retirement plan or into an individual retirement account ("IRA"). To make that choice, please complete and mail this Former Participant Claim Form, **postmarked no later than August 26, 2019** to the Settlement Administrator. If you do not indicate a payment election, any payment will be sent via a check payable to you directly.

**PART 2: PARTICIPANT INFORMATION**

Your First Name \_\_\_\_\_ Middle \_\_\_\_\_ Last Name \_\_\_\_\_

Your Mailing Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Home Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Work Phone or Cell Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Participant's Social Security Number: XXX - XX - \_\_\_\_\_ Participant's Date of Birth: \_\_\_\_/\_\_\_\_/\_\_\_\_  
(mm/dd/yyyy)

Email Address: \_\_\_\_\_

Check here if you were a Former Participant, but did not receive this Claim Form in the mail. This may be because you were a participant in the Plan only for a brief period.

**PART 3: BENEFICIARY OR ALTERNATE PAYEE INFORMATION (IF APPLICABLE)**

Check here if you are the surviving spouse or other beneficiary for the Former Participant and the Former Participant is deceased. Documentation must be provided showing current authority of the representative to file on behalf of the deceased. Please complete the information below and then continue on to Parts 4 and 5 on the next page.

Check here if you are an alternate payee under a qualified domestic relations order (QDRO), or attorney-in-fact for the Former Participant. The Settlement Administrator may contact you with further instructions. Please complete the information below and then continue on to Parts 4 and 5 on the next page.

Your First Name \_\_\_\_\_ Middle \_\_\_\_\_ Last Name \_\_\_\_\_

Your Mailing Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Your Social Security Number: XXX - XX - \_\_\_\_\_ Your Date of Birth: \_\_\_\_/\_\_\_\_/\_\_\_\_  
(mm/dd/yyyy)



**PART 4: PAYMENT ELECTION**

Payment to Self – A check, subject to mandatory federal and applicable state withholding tax, will be mailed to your address on the previous page.

Direct Rollover to an Eligible Plan – Check only one box below and complete Rollover Information Section Below:

Government 457(b)

401(a)/401(k)

403(b)

Direct Rollover to a Traditional IRA

Direct Rollover to a Roth IRA (subject to ordinary income tax)

**Rollover Information:**

\_\_\_\_\_  
Company or Trustee’s Name (to whom the check should be made payable)

\_\_\_\_\_  
Company or Trustee’s Mailing Address 1

\_\_\_\_\_  
Company or Trustee’s Mailing Address 2

\_\_\_\_\_  
Company or Trustee’s City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

\_\_\_\_\_  
Account Number

(\_\_\_\_)\_\_\_\_-\_\_\_\_\_  
Company or Trustee’s Phone Number

In the event the identified Company or Trustee requires additional information to complete this rollover, please notify the Settlement Administrator at (855) 263-3447.

**PART 5: SIGNATURE, CONSENT, AND SUBSTITUTE IRS FORM W-9**

UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES OF AMERICA, I CERTIFY THAT ALL OF THE INFORMATION PROVIDED ON THIS FORMER PARTICIPANT CLAIM FORM IS TRUE, CORRECT, AND COMPLETE AND THAT I SIGNED THIS FORMER PARTICIPANT CLAIM FORM.

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. Person (including a U.S. resident alien).

Signature: \_\_\_\_\_

Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Note: if you have been notified by the IRS that you are subject to backup withholding, you must cross out item 2 above. The IRS does not require your consent to any provision of this document other than this Form W-9 certification to avoid backup withholding.

**QUESTIONS? VISIT: WWW.ANTHEM401KSETTLEMENT.COM OR CALL (855) 263-3447.**

