

**Must be Postmarked  
No Later Than  
September 29, 2016**



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Identification Number:

Control Number:

***In re Barrick Gold Securities Litigation***  
**Claims Administrator**  
**c/o Garden City Group**  
**P.O. Box 10197**  
**Dublin, OH 43017-3197**  
**Toll-Free: 1 (855) 907-3222**  
**[www.BarrickGoldSecuritiesLitigation.com](http://www.BarrickGoldSecuritiesLitigation.com)**

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In re BARRICK GOLD SECURITIES  
LITIGATION

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X

X

## **PROOF OF CLAIM AND RELEASE**

**QUESTIONS? CALL TOLL-FREE 1 (855) 907-3222 OR VISIT [www.BarrickGoldSecuritiesLitigation.com](http://www.BarrickGoldSecuritiesLitigation.com)**

**To view GCG's Privacy Notice, please visit [www.GardenCityGroup.com/privacy](http://www.GardenCityGroup.com/privacy)**



## I. GENERAL INSTRUCTIONS

To recover as a Class Member<sup>1</sup> based on your claims in the action entitled *In re Barrick Gold Securities Litigation*, Case No. 13 Civ. 3851 (RMB) (S.D.N.Y.) (the "Litigation"), you must complete and, on page 6 hereof, sign this Proof of Claim and Release form ("Proof of Claim"). If you fail to submit a timely and properly addressed (as set forth in paragraph 3 below) Proof of Claim, your claim may be rejected and you may not receive any recovery from the "Net Settlement Fund" (i.e., the settlement fund of \$140,000,000 plus interest and minus any (i) Court-awarded attorneys' fees, costs, expenses, and interest thereon; (ii) notice and administration fees and expenses; (iii) taxes and tax expenses; and (iv) other Court-approved deductions) created in connection with the proposed settlement of the Litigation.

Submission of this Proof of Claim, however, does not assure that you will share in the proceeds of the settlement of the Litigation.

**YOU MUST MAIL OR SUBMIT ONLINE YOUR COMPLETED AND SIGNED PROOF OF CLAIM, ACCOMPANIED BY COPIES OF THE DOCUMENTS REQUESTED HEREIN, POSTMARKED OR SUBMITTED ONLINE NO LATER THAN SEPTEMBER 29, 2016, ADDRESSED AS FOLLOWS:**

*Barrick Gold Securities Litigation*  
Claims Administrator  
c/o Garden City Group  
P.O. Box 10197  
Dublin, OH 43017-3197

Online Submissions: [www.BarrickGoldSecuritiesLitigation.com](http://www.BarrickGoldSecuritiesLitigation.com)

If you are NOT a Class Member, as defined in footnote 1, DO NOT submit a Proof of Claim.

If you are a Class Member and you did not timely request exclusion, you will be bound by the terms of any judgment entered in the Litigation, including the releases provided therein, WHETHER OR NOT YOU SUBMIT A PROOF OF CLAIM.

## II. CLAIMANT IDENTIFICATION

If you purchased Barrick publicly traded common stock on the New York Stock Exchange and held the certificate(s) in your name, you are the beneficial purchaser as well as the record purchaser. If, however, you purchased Barrick publicly traded common stock on the New York Stock Exchange and the certificate(s) were registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial purchaser and the third party is the record purchaser.

Use Part I of this form entitled "Claimant Identification" to identify each purchaser of record ("nominee"), if different from the beneficial purchaser of the Barrick publicly traded common stock that forms the basis of this claim. **THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S) OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S) OF THE BARRICK PUBLICLY TRADED COMMON STOCK UPON WHICH THIS CLAIM IS BASED.**

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<sup>1</sup> "Class Members" or the "Class" means all persons and entities who purchased Barrick Gold Corporation ("Barrick") publicly traded common stock on the New York Stock Exchange from May 7, 2009, through and including November 1, 2013 (the "Class Period"). Excluded from the Class are: (i) Barrick, Aaron W. Regent, Jamie C. Sokalsky, Ammar Al-Joundi, Peter Kinver, Igor Gonzales, George Potter, and Sybil E. Veenman (the "Individual Defendants," and with Barrick, the "Defendants"); (ii) members of the immediate families of the Individual Defendants; (iii) all subsidiaries and affiliates of Defendants, including Barrick's employee retirement and benefit plans; (iv) any person who was a Barrick director or officer during the Class Period, as well as their liability insurance carriers, assigns, or subsidiaries thereof; (v) any entity in which any defendant has a controlling interest; and (vi) the legal representatives, heirs, successors, or assigns of any excluded party. Also excluded from the Class is any Class Member that validly and timely requests exclusion in accordance with the requirements set by the Court.



All joint purchasers must sign this claim. Executors, administrators, guardians, conservators, and trustees or others acting in a representative capacity on behalf of a Class Member must complete and sign this claim on behalf of persons represented by them, and submit evidence of their current authority to act on behalf of that Class Member, including that your titles or capacities must be stated. Separate Proofs of Claim should be submitted for each separate legal entity (e.g., a claim from joint owners should not include separate transactions of just one of the joint owners, and 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 on one Proof of Claim, no matter how many separate accounts that entity has (e.g., a corporation with multiple brokerage accounts should include all transactions made in all accounts on one Proof of Claim). The social security (or taxpayer identification) number and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of the claim.

### III. PROOF OF CLAIM

Use Part II of this form entitled "Schedule of Transactions in Barrick Publicly Traded Common Stock" to supply all required details of your transaction(s) in Barrick publicly traded common stock. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same form. Sign and print or type your name on each additional sheet.

On the schedules, provide all of the requested information with respect to **all** of your purchases and **all** of your sales of Barrick publicly traded common stock that took place during the period May 7, 2009 through and including January 30, 2014, whether such transactions resulted in a profit or a loss. You must also provide all of the requested information with respect to **all** of the shares of Barrick publicly traded common stock you held at the close of trading on May 6, 2009, November 1, 2013, and January 30, 2014. Failure to report all such transactions may result in the rejection of your claim.

List each transaction separately and in chronological order, by trade date (not settlement date), beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

The date of covering a "short sale" is deemed to be the date of purchase of Barrick publicly traded common stock. The date of a "short sale" is deemed to be the date of sale of Barrick publicly traded common stock.

For each transaction, copies of broker confirmations or other documentation of your transactions in Barrick publicly traded common stock should be attached to your claim. The parties and the claims administrator do not independently have information about your investments. IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OR EQUIVALENT DOCUMENTS FROM YOUR BROKER. FAILURE TO SUBMIT THIS DOCUMENTATION MAY RESULT IN THE REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL DOCUMENTS.

NOTICE REGARDING ELECTRONIC FILES: Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. This is different from the online submission process that is available at [www.BarrickGoldSecuritiesLitigation.com](http://www.BarrickGoldSecuritiesLitigation.com). If you have a large number of transactions and wish to file your claim electronically, you must contact the claims administrator at (855) 907-3222 to obtain the required file layout.



*In re Barrick Gold Securities Litigation*

Case No. 13 Civ. 3851 (RMB)

PROOF OF CLAIM AND RELEASE

**Must Be Postmarked or Submitted Online No Later Than September 29, 2016**

Please Type or Print

**PART I - CLAIMANT IDENTIFICATION**

(The claims administrator will use this information for all communications regarding your Proof of Claim. If this information changes, you MUST notify the claims administrator in writing at the address above.)

**Beneficial Owner's Name (First, Middle, Last, as the name(s) should appear on check, if eligible for payment)**

[Grid for Beneficial Owner's Name]

**Street Address:**

[Grid for Street Address]

[Grid for Street Address]

**City:**

[Grid for City]

**State or Province:**

[Grid for State or Province]

**Zip Code or Postal Code:**

[Grid for Zip Code or Postal Code]

**Country (Other than U.S.):**

[Grid for Country]

**Telephone Number (work)**

( [Grid] ) [Grid] - [Grid]

**Telephone Number (home)**

( [Grid] ) [Grid] - [Grid]

**Social Security Number or Taxpayer Identification Number**

[Grid for Social Security Number]

Individual

Corporation/Other

**Record Owner's Name**

(if different from the Beneficial Owner listed above):

[Grid for Record Owner's Name]



**PART II - SCHEDULE OF TRANSACTIONS IN BARRICK PUBLICLY TRADED COMMON STOCK**

A. Number of shares of Barrick publicly traded common stock held at the close of trading on May 6, 2009:

B. Purchases of Barrick publicly traded common stock on the New York Stock Exchange (May 7, 2009 – January 30, 2014, inclusive):

| Trade Date<br>Month/Day/Year                                       | Number of Shares<br>Purchased | Total Purchase Price<br>(excluding all fees, taxes<br>and commissions) |
|--|-------------------------------|--|
| <input type="text"/> / <input type="text"/> / <input type="text"/> | <input type="text"/>          | <input type="text"/> . <input type="text"/>                            |
| <input type="text"/> / <input type="text"/> / <input type="text"/> | <input type="text"/>          | <input type="text"/> . <input type="text"/>                            |
| <input type="text"/> / <input type="text"/> / <input type="text"/> | <input type="text"/>          | <input type="text"/> . <input type="text"/>                            |

**IMPORTANT:** (i) If any purchase listed covered a "short sale," please mark Yes.  Yes

(ii) If you received shares through an acquisition or merger, please identify the date, the share amount, and the company acquired:

|                      |   |                      |   |                      |                      |                      |                      |                      |                      |                      |                      |
|----------------------|---|----------------------|---|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
| <input type="text"/> | / | <input type="text"/> | / | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| MM                   |   | DD                   |   | YYYY                 | Merger Shares        | Company              |                      |                      |                      |                      |                      |

C. Sales of Barrick publicly traded common stock (May 7, 2009 – January 30, 2014, inclusive):

| Trade Date<br>Month/Day/Year                                       | Number of Shares<br>Sold | Total Sales Price<br>(excluding all fees, taxes and<br>commissions) |
|--|--------------------------|---|
| <input type="text"/> / <input type="text"/> / <input type="text"/> | <input type="text"/>     | <input type="text"/> . <input type="text"/>                         |
| <input type="text"/> / <input type="text"/> / <input type="text"/> | <input type="text"/>     | <input type="text"/> . <input type="text"/>                         |
| <input type="text"/> / <input type="text"/> / <input type="text"/> | <input type="text"/>     | <input type="text"/> . <input type="text"/>                         |

D. Number of shares of Barrick publicly traded common stock held at the close of trading on November 1, 2013:

E. Number of shares of Barrick publicly traded common stock held at the close of trading on January 30, 2014:

If you require additional space, attach extra schedules in the same format as above. Sign and print your name on each additional page.



**YOU MUST READ AND SIGN ON PAGE 6 BELOW. FAILURE TO SIGN THIS FORM MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.**

**IV. SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS**

On behalf of myself (ourselves) and each of my (our) heirs, agents, executors, trustees, administrators, predecessors, successors, and assigns, I (we) submit this Proof of Claim under the terms of the Stipulation of Settlement described in the Notice of Proposed Settlement of Class Action (“Notice”). I (We) also submit to the jurisdiction of the United States District Court for the Southern District of New York with respect to my (our) claim and for purposes of enforcing the release set forth herein. I (We) further acknowledge that I am (we are) a Class Member(s) bound by and subject to the terms of any judgment that may be entered in the Litigation. I (We) agree to furnish additional information to the claims administrator to support this claim (including transactions in other Barrick securities) if requested to do so. I (We) have not submitted any other claim covering the same purchases or sales of Barrick publicly traded common stock on the New York Stock Exchange during the Class Period and know of no other person having done so on my (our) behalf.

**V. RELEASE**

1. Upon the Effective Date of the Settlement, I (we), as a Class Member, acknowledge full and complete satisfaction of, and fully, finally, and forever settle, release, and discharge from the Released Claims each and all of the Released Persons, defined in the accompanying Notice.

2. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any matter released pursuant to this release or any other part or portion thereof.

3. I (We) hereby warrant and represent that I (we) have included the information requested about all of my (our) transactions in Barrick publicly traded common stock which are the subject of this claim, which occurred during the Class Period, as well as the opening and closing positions in such securities held by me (us) on the dates requested in this claim form.

I 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 by the undersigned is true and correct.

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

\_\_\_\_\_  
(State/Country)

\_\_\_\_\_  
(Sign your name here)

\_\_\_\_\_  
(Type or print your name here)

\_\_\_\_\_  
(Capacity of person(s) signing,  
e.g., Beneficial Purchaser or Acquirer, Executor  
or Administrator)



**ACCURATE CLAIMS PROCESSING TAKES A SIGNIFICANT AMOUNT OF TIME.  
THANK YOU FOR YOUR PATIENCE.**

Reminder Checklist:

1. Please sign above.
2. If this claim is being made on behalf of Joint Claimants, then both must sign.
3. Remember to attach copies of supporting documentation, if available.
4. **Do not send** originals of certificates.
5. Keep a copy of your claim form and all supporting documentation for your records.
6. The claims administrator will acknowledge receipt of your Proof of Claim by mail, within 60 days. Your claim is not deemed submitted until you receive an acknowledgment postcard. If you do not receive an acknowledgment postcard within 60 days, please call the claims administrator toll free at (855) 907-3222.  
  
If you desire an immediate acknowledgement of receipt of your claim form, please send it Certified Mail, Return Receipt Requested.
7. If you move, please send your new address to the address below.
8. **Do not use red pen or highlighter** on the Proof of Claim or supporting documentation.

**THIS PROOF OF CLAIM MUST BE SUBMITTED ONLINE OR POSTMARKED NO LATER THAN  
SEPTEMBER 29, 2016, ADDRESSED AS FOLLOWS:**

*Barrick Gold Securities Litigation*  
Claims Administrator  
c/o Garden City Group  
P.O. Box 10197  
Dublin, OH 43017-3197  
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(855) 907-3222



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