

**SEC v. Benjamin Daniel Dehaan and Lighthouse Financial Partners, LLC  
Investor Claim Form**

**INSTRUCTIONS:**

Please complete all sections of this form and provide copies of all materials such as checks, wire transfer transmittals, contracts, prospectus or solicitation materials, and correspondence that support your answers. ***For any checks, make copies of the front and back.*** The information provided should be complete and accurate and include all transactions for both open and closed accounts.

Once completed, please return this form, Exhibit "A" and related materials to the Receiver's office addressed as follows:

Lighthouse Claims  
Hays Financial Consulting, LLC  
3343 Peachtree Road, NE, Suite 200  
Atlanta, Georgia 30326-1420

**SHOULD YOU FAIL TO RETURN THIS FORM TO THE RECEIVER ON OR BEFORE MARCH 29, 2013, THE RECEIVER RESERVES THE RIGHT TO SEEK TO DISALLOW ALL OR PART OF ANY CLAIM THAT YOU MIGHT HAVE IN THIS CASE.**

If your address changes after you submit this form, promptly advise the Receiver's office of your new address.

**I. Investor Information**

a. Investor/Claimant's Name: \_\_\_\_\_

b. Contact Person and Relationship to Investor/Claimant (If different from investor): \_\_\_\_\_  
\_\_\_\_\_

c. Does the Investor/Claimant Name above differ from the entity making the payment to or receiving the payment from Lighthouse: \_\_\_\_\_

If so, please explain \_\_\_\_\_  
\_\_\_\_\_

d. Investor's Social Security or Federal Tax ID Number: \_\_\_\_\_

e. Full Postal Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

f. Email: \_\_\_\_\_

g. Phone Number (Primary): \_\_\_\_\_

h. Phone Number (Other): \_\_\_\_\_

**IIa. Information Regarding Your Investment in Lighthouse**

- a. Account number(s) if assigned: \_\_\_\_\_
- b. To whom did you make your payment: \_\_\_\_\_
- c. Please identify the person or persons who caused you to make your investment(s). This person/entity may have been referred to as a solicitor.  
\_\_\_\_\_  
\_\_\_\_\_
- d. How did you learn about Lighthouse: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**IIb. Information Regarding Your Investment Managed by Lighthouse in a Third Party Brokerage account**

*There were certain investors whose funds were actually (versus purportedly) held in third party broker accounts such as Interactive Brokers or TD Ameritrade but managed by Lighthouse. Most, if not all, of these accounts have been closed or the account has been disassociated with Lighthouse through direct actions taken by the investor. Please describe these investments, if any, directly below. **DO NOT INCLUDE THESE TRANSACTIONS IN SECTION IV BELOW OR ON THE ENCLOSED EXHIBIT "A".***

- a. If your investment was held in an account through a third party broker such as Interactive Brokers or TD Ameritrade, please list the broker: \_\_\_\_\_
- b. Have you closed or taken control of the funds held in the third party broker account: \_\_\_\_\_  
If so, when did you take control of the funds: \_\_\_\_\_
- c. If applicable, list the nature and amount of any claims against Lighthouse for losses associated with the funds held in third party brokerage accounts managed by Lighthouse:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**III. Transactions – Exhibit “A”**

Attached as Exhibit “A” is a form to be completed by you listing all transactions with the exception of transactions described in Section IIb above. For each transaction, please list the date (in chronological order), a description and fill in the appropriate column (A through C) with the dollar amount of the transaction. At the end of the form, please total all columns. Once completed, please initial in the bottom right hand corner, number the exhibit pages and submit with this claim form. If available, please include copies of any 1099s or K-1s you received.

(Note: For easier tabulation, a Microsoft Excel version of Exhibit “A” can be downloaded directly from the Receiver’s website at <http://haysconsulting.net/lighthouse-financial-partners/>)

**IV. Claim Calculation:**

- a. Total Payments from You (Column A of Exhibit “A”)      \$ \_\_\_\_\_
- b. Less: Total Investment Return (Column B of Exhibit “A”) (\$ \_\_\_\_\_)
- c. Less: Total Return of Principal (Column C of Exhibit “A”) (\$ \_\_\_\_\_)

**Net Claim Amount**

\$

**VI. Please provide any additional information that may assist the Receiver in his duties:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I, the undersigned, declare under penalty of perjury\* that the information provided in this Investor Declaration form, Exhibit “A” and attached documents are true and correct.

Date: \_\_\_\_\_ Investor/Claimant: \_\_\_\_\_

(Print Name)

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

\* Penalty for presenting fraudulent claim or providing false information: Fine of up to \$50,000 or imprisonment for up to 5 years, or both 18 U.S.C. § 152.

