

## RG/2 ELECTRONIC FILING REQUIREMENTS

### Tennison v. Marion Bass Securities Corp.

1. **Signed Master Proof of Claim** and release must be submitted with electronic file covering all the accounts included on the file.
2. **Cover Letter** specifying case name, number of accounts and number of lines included on the file, contact name including phone number and e-mail address, wording indicating the company attests to the truth and accuracy of the information on the file, and an authorized signature.
3. **Proof of Authority** indicating that the company is authorized to sign on behalf of its clients and that the signor of the claim is authorized to sign on behalf of the company submitting the file.
4. **Electronic File** in excel format. This file may be sent on either floppy disk or CD-rom marked with the company's name and the name of the litigation. If the electronic file is sent via e-mail, an original Proof of Claim must be submitted through the mail. Format for the electronic file is as follows:

| COLUMN | FIELD            | DESCRIPTION  |
|--------|------------------|--|
| A      | Claimant #       | Client's, account's or beneficial owner's account #                                    |
| B      | Tax ID           | Social security number or Tax ID number of client                                      |
| C      | Care of          | Name of company submitting the file  |
| D      | Company          | Name of client, account, or beneficial owner   |
| E      | Account Type     | Individual, Joint, Partnership, Estate, Corporation, Trust, IRA<br>Account, Other      |
| F      | Address Line 1   |  |
| G      | Address Line 2   |  |
| H      | City             |  |
| I      | State            |  |
| J      | Zip Code         |  |
| K      | Foreign Province |  |
| L      | Foreign Country  |  |
| M      | Work Phone       |  |
| N      | Home Phone       |  |
| O      | Cusip            | The Cusip Number of Bond Acquired (only those cusip listed in claim form are eligible) |
| P      | Bonds Acquired   | The total Bonds Acquired for Cusip in Column O   |
| Q      | Total Bonds Sold | The total Bonds Sold at any time for cusip in Column O                                 |
| R      | Sale Date        | Sale Date for any Bonds sold for cusip in Column O                                     |
| S      | Current Holdings | Face Value of Bonds Currently Held   |

Please make sure each different type of Bond acquired has its own line on the spreadsheet. Separate acquisitions within the same cusip so do not need to be separated.