

Table 1: Participant File: Please review the notes section carefully for additional information.

Table	Column Name	Column Description	Datatype	Data Example/Format	Required Field?	Additional Notes
Participants						
	SSN_TaxID	Social Security Number or Tax ID Number. If there is no Tax ID number, enter all 9s	char(11)	111-22-3333 (social) 11-2222222 (TIN) 999-99-9999 (none)	Yes	This field can hold either the Social Security Number or the TaxID Number. The format required is listed in the data example column.
	AcctNo	Account Number	char(30)	444432ABD	Yes	Internal account number for each claimant.
	Name1	Name	char(50)	Smith Trust	Yes	
	Name2	Name	char(50)	Victoria Smith	No	
	Name3	Name	char(50)	Adjoa Smith TTEES	No	
	Name4	Name	char(50)	Acct. 201-2A	No	
	Address1	Street Number and Name	char(100)	1234 France Ave. S.	Yes	Suite number, apartment number, etc. is acceptable appended to this field, but it must be complete (not partial in address 1 and partial in address 2).
	Address2	Apartment, suite, etc.	char(100)	Suite 200	No	
	City	City	char(50)	Minneapolis	Yes	
	State	State Name or Abbreviation (see notes)	char(50)	MN	Yes	All States must be same format. If using 2 letter abbreviations, all must be 2 letter abbreviations. If spelling full name of state, all must be fully spelled.
	ZIP	Zip or postal code	char(10)	55435 (US) EA7 0G3(international)	Yes	This field can hold either 5 or 9 digit US zip code or a foreign postal code.
	Country	Full name of country	char(50)	United Kingdom	Yes	Provide consistency in naming countries. Leave Blank if United States.

Table 2: Transactions - Stock: The following data will be used to to calculate claim values for each claimant. Please review the notes section carefully for additional information. If you need to add additional fields, please add them at the end of each record.

Please note: each group of transactions for a claimant requires a description of claimant holdings on May 4, 2005, March 13, 2007, and June 10, 2007.

Table	Column Name	Column Description	Datatype	Data Example/Format	Requird Field?	Additional Notes
Transactions						
	AcctNo	Account Number	char(30)	444432ABD	Yes	Identifies claimant for each transaction.
	Date	Date of trade	char(10)	mm/dd/yyyy	Yes	For beginning and ending balance requirements, this date is the date of the snap-shot of the account holdings. All dates must be in the mm/dd/yyyy format.
	TransactionType	Type of transaction	char(7)	Buy	Yes	Describes the transaction type. Possible values for TransactionType include: "Buy", "Sell", "Holding", "Exchange", "Received", and "Delivered".
	Ticker	Type of shares being traded	char(3)	NEWCQ	Yes	New Century stock type being traded. All sales and purchases must also be grouped by Ticker.
	CUSIP	Stock Identifying Number	char(9)	6435EV108	Yes	Each transaction must show either Ticker or CUSIP.
	Shares	Number of shares	numeric	175.01	Yes	Number of shares either held, bought, or sold.
	SharePrice	Price / Share in US dollars	numeric	\$56.63	Yes/No	Datatype is money or equalivant. Datatype must display decimal point, with precision to the thousands place. Field is required for TransactionType of "Buy" or "Sell" and is not required for "Holding".
	TotalCost	Aggregate Cost (excluding commissions, fees, and taxes) or amount received.	numeric	\$9,909.94	Yes/No	Datatype is money or equalivant. Datatype must display decimal point, with precision to the hundredths place (to the penny). Field is required for TransactionType of "Buy" or "Sell" and is not required for "Holding".
	Currency	What currency is being reported	char(15)	US Dollars Euro	Yes	What currency are the SharePrice and the TotalCost being reported in.

- * Please provide the information in Excel or ASCII, non-delimited, fixed field length, fixed record length file.
- * The data should be burned to a CD and accompany the claim form.
- * This data will be used to acknowledge recipet of these claims.

Table 3: Transactions - Options: The following data will be used to calculate claim values for each claimant. Please review the notes section carefully for additional information. If you need to add additional fields, please add them at the end of each record.

Please note: each group of transactions for a claimant requires a description of claimant holdings on May 4, 2005 and March 13, 2007.

Table	Column Name	Column Description	Datatype	Data Example/Format	Required Field?	Additional Notes
Transactions						
	AcctNo	Account Number	char(30)	444432ABD	Yes	Identifies claimant for each transaction.
	Date	Date of trade	char(10)	mm/dd/yyyy	Yes	For beginning and ending balance requirements, this date is the date of the snap-shot of the account holdings. All dates must be in the mm/dd/yyyy format.
	TransactionType	Type of transaction	char(7)	Buy	Yes	Describes the transaction type. Possible values for TransactionType include: "Buy", "Sell", "Holding", "Expired", "Unsold/Unexpired", and "Exercised".
	Ticker	Type of shares being traded	char(3)	NEWCQ	Yes	New Century option type being traded. All sales and purchases must also be grouped by Ticker.
	CUSIP	Stock Identifying Number	char(9)	6435EV108	Yes	Each transaction must show either Ticker or CUSIP.
	Number of Options	Number of option contracts traded	numeric	175.01	Yes	Number of contracts either held, bought, sold, expired or exercised.
	Expiration Month/Year	Contract expiration date	char(10)	mm/yyyy	Yes	Expiration date of the contract.
	Strike Price	Strike price per share for the contracted shares	numeric	\$40.00	Yes	Price per share to exercise the option contract.
	Premium Price per Share	Contract price per share to purchase the option contract	numeric	\$3.21	Yes	Datatype is money or equivalent. Datatype must display decimal point, with precision to the hundredths place (to the penny). Field is required for TransactionType of "Buy" or "Sell" and is not required for "Holding".
	Position: Long/Short	Whether option position is long or short.	char(15)	Long	Yes/No	Required for Beginning Holdings position.

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