

In re New Century Securities Litigation Settlement  
 c/o Analytics, Inc., Claims Administrator  
 P.O. Box 2004  
 Chanhassen, MN 55317-2004  
 1-866-308-7615

**Deadline for  
 Claim Submission:  
 December 15, 2010.**

**PROOF OF CLAIM AND RELEASE**

To speed processing, please fill out the form in blue or black ink, using block letters, with one letter in each square, as shown:

A	B	C	D		1	2	3	4
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**PART I: CLAIMANT IDENTIFICATION**

Beneficial Owner's First Name												Beneficial Owner's Last Name																							
Joint Owner's First Name												Joint Owner's Last Name																							
Street Address																																			
Address 2																																			
City												State/Province						Zip Code																	
Postal Code												Country Name/Abbreviation																							
Record Owner's Name (if Different from Beneficial Owner Listed Above)																																			
Social Security Number												Taxpayer Identification Number																							
												or																							
Telephone Number (Daytime)												Telephone Number (Evening)																							

Check appropriate box (check only one box):

<input type="checkbox"/> Individual/Sole Proprietor	<input type="checkbox"/> Joint Owners	<input type="checkbox"/> Pension Plan	<input type="checkbox"/> Corporation
<input type="checkbox"/> Partnership	<input type="checkbox"/> Trust	<input type="checkbox"/> IRA	<input type="checkbox"/> Other (describe: _____)

**NOTE:** 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; 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 submitted on behalf of one legal entity should include all transactions made by that entity, no matter how many separate accounts that entity has (e.g., a corporation with multiple brokerage accounts should include all transactions made in New Century Securities during the Class Period on one Proof of Claim, no matter how many accounts the transactions were made in). If you require additional room to list your transactions, please be sure to include your full name and the last four digits of your social security number or Tax ID number on each additional sheet.

Check here if additional transactions are included on additional schedules.



## GENERAL INSTRUCTIONS

1. It is important that you completely read and understand the Notice of Pendency of Class Action and Proposed Settlements, Settlement Fairness Hearing, and Motion for Attorneys' Fees and Reimbursement of Litigation Expenses (the "Notice") that accompanies this Proof of Claim and Release ("Proof of Claim"), and the Plan of Allocation included in the Notice. The Notice and the Plan of Allocation describe the proposed settlements ("Settlements") that will resolve this Consolidated Action, how the Class Members are affected by the Settlements, and the manner in which the proceeds of the Settlements will be distributed, if the Court approves the Settlements and the Plan of Allocation. The Notice also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Proof of Claim unless otherwise stated in this Proof of Claim. By signing and submitting the Proof of Claim, you will be certifying that you have read and that you understand the Notice.
2. TO PARTICIPATE IN THE SETTLEMENTS, YOU MUST MAIL YOUR COMPLETED AND SIGNED PROOF OF CLAIM AND RELEASE, BY FIRST-CLASS MAIL POSTAGE PREPAID, POSTMARKED ON OR BEFORE DECEMBER 15, 2010, ADDRESSED TO:

In re New Century Securities Litigation Settlement  
c/o Analytics, Inc. Claims Administrator  
P.O. Box 2004  
Chanhassen, MN 55317-2004  
1-866-308-7615

3. This Proof of Claim is directed to all persons who purchased or otherwise acquired New Century common stock, New Century 9.125% Series A Cumulative Redeemable Preferred Stock ("Series A Preferred Stock"), New Century 9.75% Series B Cumulative Redeemable Preferred Stock ("Series B Preferred Stock"), and/or New Century call options and/or who sold New Century put options, during the time period from May 5, 2005, through March 13, 2007, inclusive (the "Class Period"), and who, upon disclosure of certain facts alleged in the Complaint, were injured thereby (the "Class"). (The New Century common stock, Series A Preferred Stock, Series B Preferred Stock, and/or New Century call options and New Century put options are referred to collectively as "New Century Securities.")
4. "Class Member" means any person who is included in the definition of the Class and who did not timely submit a proper request for exclusion in accordance with the requirements set forth in the Notice. Excluded from the Class are certain persons or entities excluded by definition pursuant to the Court's preliminary approval of the Settlements.<sup>1</sup> Also excluded from the Class are any persons or entities who exclude themselves by filing a request for exclusion in accordance with the requirements set forth in the Notice.
5. "Authorized Claimant" means a Class Member who submits a timely and valid Proof of Claim form to the Claims Administrator, in accordance with the requirements established by the Court, that is approved for payment from the Net Settlement Fund.
6. IF YOU ARE NOT A CLASS MEMBER, OR IF YOU, OR SOMEONE ACTING ON YOUR BEHALF, FILED A REQUEST FOR EXCLUSION FROM THE CLASS, DO NOT SUBMIT A PROOF OF CLAIM. YOU MAY NOT, DIRECTLY OR INDIRECTLY, PARTICIPATE IN THE SETTLEMENTS IF YOU ARE NOT A CLASS MEMBER. THUS, IF YOU FILE A VALID REQUEST FOR EXCLUSION IN A TIMELY MANNER, ANY PROOF OF CLAIM THAT YOU SUBMIT, OR THAT MAY BE SUBMITTED ON YOUR BEHALF, WILL NOT BE ACCEPTED.
7. To recover as a Class Member, you must complete and sign this Proof of Claim and mail it to the Claims Administrator postmarked on or before December 15, 2010. If you fail to file a timely, properly addressed, and completed Proof of Claim, your claim may be rejected, and you may be precluded from receiving any distribution from the Settlements.

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<sup>1</sup> The following persons are excluded from the Class: (a) the Underwriter Defendants, the Individual Defendants, and KPMG ("Defendants"); (b) members of the immediate families of the Individual Defendants; (c) the subsidiaries and affiliates of Defendants; (d) any person or entity who was a partner, executive officer, director or controlling person of New Century (including any of its subsidiaries or affiliates) or of any Defendant; (e) any entity in which any Defendant has a controlling interest; and (f) the legal representatives, heirs, successors and assigns of any such excluded party.



8. Submission of this Proof of Claim does not ensure that you will share in the proceeds of the Settlements. Distributions to Class Members from the Settlements are governed by the Plan of Allocation approved by the Court. The proposed Plan of Allocation, which is subject to the Court's approval, is included in the Notice.
9. If you have questions concerning the Proof of Claim, or need additional copies of the Proof of Claim or the Notice, you may contact the Claims Administrator, at In re New Century Securities Litigation Settlement, c/o Analytics, Inc., Claims Administrator, P.O. Box 2004, Chanhassen, MN 55317-2004, or by toll-free phone at (866) 308-7615, or you may download the documents from Lead Counsel's website, [www.blbglaw.com](http://www.blbglaw.com), or the website maintained by the Claims Administrator for this Settlement, [www.newcenturysettlement.com](http://www.newcenturysettlement.com).
10. If you are a Class Member and you do not, or someone acting on your behalf does not, submit a timely request for exclusion from the Class, and if the Court approves the Settlements, you will be bound by the terms of any orders and judgments that the Court enters. You will be bound by such orders and judgments whether or not you submit a Proof of Claim.
11. You are required to submit genuine and sufficient documentation for all your **purchases and sales** of New Century Securities from May 5, 2005, through and including March 13, 2007, as well as genuine and sufficient documentation for all **sales** of New Century Common Stock and Preferred Stock between March 14, 2007, through and including June 10, 2007. You are also required to submit genuine and sufficient documentation reflecting your positions in New Century Common Stock and Preferred Stock as of the close of the market on March 13, 2007, and as of the close of the market on June 10, 2007. Documentation may be photocopies of stockbrokers' confirmation slips or stockbrokers' monthly statements (reflecting your opening and closing balances for the months specified on the actual claim form, and in which transactions during the Class Period occurred). **IF SUCH DOCUMENTS ARE NOT IN YOUR POSSESSION, PLEASE OBTAIN COPIES OR EQUIVALENT CONTEMPORANEOUS DOCUMENTS FROM YOUR BROKER. FAILURE TO SUPPLY THIS DOCUMENTATION MAY RESULT IN REJECTION OF YOUR CLAIM. DO NOT SEND ORIGINAL STOCK CERTIFICATES.**
12. All joint purchasers must each sign this Proof of Claim.
13. Agents, executors, administrators, guardians, and trustees must complete and sign the Proof of Claim on behalf of persons represented by them, and they must:
  - (a) expressly state the capacity in which they are acting;
  - (b) identify the name, account number, Social Security Number (or taxpayer identification number), address and telephone number of the beneficial owner of (or other person or entity on whose behalf they are acting with respect to) the New Century Securities; and
  - (c) furnish herewith evidence of their authority to bind to the Proof of Claim the person or entity on whose behalf they are acting. (Authority to complete and sign a Proof of Claim cannot be established by stockbrokers demonstrating only that they have discretionary authority to trade stock in another person's accounts.)
14. By submitting a signed Proof of Claim, you will be swearing that you:
  - (a) own(ed) the New Century Securities you have listed in the Proof of Claim; or
  - (b) are expressly authorized to act on behalf of the owner thereof.
15. By submitting a signed Proof of Claim, you will be swearing to the truth of the statements contained therein and the genuineness of the documents attached thereto, subject to penalties of perjury under the laws of the United States of America. The making of false statements, or the submission of forged or fraudulent documentation, will result in the rejection of your claim and may subject you to civil liability or criminal prosecution.

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. All Claimants **MUST** submit a manually signed paper Proof of Claim form listing all their transactions, whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at 1-866-308-7615, or visit its settlement website [www.newcenturysettlement.com](http://www.newcenturysettlement.com) to obtain the required file layout. No electronic files will be considered to have been properly submitted unless the Claims Administrator issues to the Claimant a written paper acknowledgment of receipt and acceptance of electronically submitted data.



**PART II: NEW CENTURY COMMON STOCK**

**A. Beginning Holdings:**

State the number of shares of New Century Common Stock the Claimant owned as of the close of the market on May 4, 2005. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

Check Here  
if Documentation  
is Enclosed

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**B. Purchases:**

(i) List all purchases of New Century Common Stock made during the period from May 5, 2005, through and including March 13, 2007. (NOTE: If you acquired your New Century Common Stock during this period other than by an open-market purchase, please provide a complete description of the terms of the acquisition on a separate page.) Be sure to attach the required documentation.

Trade Date(s) (List Chronologically)			Number of Shares Purchased	Purchase Price Per Share	Total Purchase Price*	Check Here if Documentation is Enclosed
M M	D D	Y Y				
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	

\*excluding commissions, transfer taxes or other fees

(ii) State the total number of shares of New Century Common Stock the Claimant purchased during the period between March 14, 2007, through and including June 10, 2007. If none, write "zero" or "0." (NOTE: These purchases, which are not in the Class Period, are not included in the calculation of Recognized Loss. This information is needed by the Claims Administrator for purposes of the overall evaluation of the Claim.)

Check Here  
if Documentation  
is Enclosed

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IF YOU NEED ADDITIONAL SPACE TO LIST YOUR TRANSACTIONS IN THIS SECURITY PLEASE PHOTOCOPY THIS PAGE, WRITE YOUR NAME ON THE COPY AND CHECK THIS BOX

IF YOU DO NOT CHECK THIS BOX THESE ADDITIONAL PAGES MAY NOT BE REVIEWED



**C. Sales:**

List all sales of New Century Common Stock made during the period from May 5, 2005, through and including June 10, 2007. Be sure to attach the required documentation.

Trade Date(s) (List Chronologically)			Number of Shares Sold	Sales Price Per Share		Total Sales Price*		Check Here if Documentation is Enclosed	
M M	D D	Y Y		\$	=	\$	=		
<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="checkbox"/>
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\*excluding commissions, transfer taxes or other fees

**D. Unsold Holdings:**

State the total number of shares of New Century Common Stock the Claimant owned at the close of the market on March 13, 2007. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

Check Here  
if Documentation  
is Enclosed

**E. Ending Position For 90-Day Look Back:**

State the total number of shares of New Century Common Stock the Claimant owned at the close of the market on June 10, 2007. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

Check Here  
if Documentation  
is Enclosed

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**PART III: NEW CENTURY 9.125% SERIES A CUMULATIVE REDEEMABLE PREFERRED STOCK  
("SERIES A PREFERRED STOCK")**

**A. Beginning Holdings:**

State the number of shares of New Century Series A Preferred Stock the Claimant owned as of the close of the market on May 4, 2005. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

Check Here  
if Documentation  
is Enclosed

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**B. Purchases:**

(i) List all purchases of New Century Series A Preferred Stock made during the period from May 5, 2005, through and including March 13, 2007. (NOTE: If you acquired your New Century Series A Preferred Stock during this period in an Offering or otherwise or other than by an open-market purchase, please provide a complete description of the terms of the acquisition on a separate page.) Be sure to attach the required documentation.

Trade Date(s) (List Chronologically)			Number of Shares Purchased	Purchase Price Per Share	Total Purchase Price*	Check Here if Documentation is Enclosed
M M	D D	Y Y				
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	

\*excluding commissions, transfer taxes or other fees

(ii) State the total number of shares of New Century Series A Preferred Stock the Claimant purchased during the period between March 14, 2007, through and including June 10, 2007. If none, write "zero" or "0." (NOTE: These purchases, which are not in the Class Period, are not included in the calculation of Recognized Loss Amount. This information is needed by the Claims Administrator for purposes of the overall evaluation of the Claim.)

Check Here  
if Documentation  
is Enclosed

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**C. Sales:**

List all sales of New Century Series A Preferred Stock made during the period from May 5, 2005, through and including June 10, 2007. Be sure to attach the required documentation.

Trade Date(s) (List Chronologically)			Number of Shares Sold	Sales Price Per Share		Total Sales Price*		Check Here if Documentation is Enclosed	
M M	D D	Y Y		\$	.	\$	.		
<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="checkbox"/>
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\*excluding commissions, transfer taxes or other fees

**D. Unsold Holdings:**

State the total number of shares of New Century Series A Preferred Stock the Claimant owned at the close of the market on March 13, 2007. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

Check Here  
if Documentation  
is Enclosed

**E. Ending Position For 90-Day Look Back:**

State the total number of shares of New Century Series A Preferred Stock the Claimant owned at the close of the market on June 10, 2007. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

Check Here  
if Documentation  
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**PART IV: NEW CENTURY 9.75% SERIES B CUMULATIVE REDEEMABLE PREFERRED STOCK  
("SERIES B PREFERRED STOCK")**

**A. Beginning Holdings:**

State the number of shares of New Century Series B Preferred Stock the Claimant owned as of the close of the market on May 4, 2005. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

Check Here  
if Documentation  
is Enclosed

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**B. Purchases:**

(i) List all purchases of New Century Series B Preferred Stock made during the period from May 5, 2005, through and including March 13, 2007. (NOTE: If you acquired your New Century Series B Preferred Stock during this period in an Offering or otherwise or other than by an open-market purchase, please provide a complete description of the terms of the acquisition on a separate page.) Be sure to attach the required documentation.

Trade Date(s) (List Chronologically)			Number of Shares Purchased	Purchase Price Per Share	Total Purchase Price*	Check Here if Documentation is Enclosed
M M	D D	Y Y				
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	
				\$	\$	

\*excluding commissions, transfer taxes or other fees

(ii) State the total number of shares of New Century Series B Preferred Stock the Claimant purchased during the period between March 14, 2007, through and including June 10, 2007. If none, write "zero" or "0." (NOTE: These purchases, which are not in the Class Period, are not included in the calculation of Recognized Loss. This information is needed by the Claims Administrator for purposes of the overall evaluation of the Claim.)

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if Documentation  
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**C. Sales:**

List all sales of New Century Series B Preferred Stock made during the period from May 5, 2005, through and including June 10, 2007. Be sure to attach the required documentation.

Trade Date(s) (List Chronologically)			Number of Shares Sold	Sales Price Per Share		Total Sales Price*		Check Here if Documentation is Enclosed	
M M	D D	Y Y		\$	.	\$	.		
<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="checkbox"/>
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\*excluding commissions, transfer taxes or other fees

**D. Unsold Holdings:**

State the total number of shares of New Century Series B Preferred Stock the Claimant owned at the close of the market on March 13, 2007. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

Check Here  
if Documentation  
is Enclosed

**E. Ending Position For 90-Day Look Back:**

State the total number of shares of New Century Series B Preferred Stock the Claimant owned at the close of the market on June 10, 2007. If none, write "zero" or "0." If other than zero, be sure to attach the required documentation.

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**PART V: NEW CENTURY CALL OPTIONS**

**A. Beginning Holdings:**

List all Call Option contracts on New Century Common Stock open as of the close of the market on May 4, 2005.

Expiration Month and Year			Number of Call Option Contracts Open	Strike Price per Call Option Contract	Position:		Check Here if Documentation is Enclosed
M	M	Y Y			Short	Long	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

**B. Purchases:**

List all Call Option contracts on New Century Common Stock that you purchased or acquired during the period from May 5, 2005, through and including March 13, 2007. Be sure to attach the required documentation.

Purchase Date(s) (List Chronologically)			Number of Option Contracts Purchased	Premium Price Per Share	Expiration Month and Year		Strike Price per Call Option Contract	Check Here if Documentation is Enclosed
M	M	Y Y			M	M		
<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="checkbox"/>
<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="checkbox"/>
<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="checkbox"/>
<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="checkbox"/>

**C. Sales:**

List all Call Option contracts on New Century Common Stock that you sold during the period from May 5, 2005, through and including March 13, 2007. Be sure to attach the required documentation.

Sale Date(s) (List Chronologically)			Number of Option Contracts Sold	Premium Price Per Share	Expiration Month and Year		Strike Price per Call Option Contract	Check Here if Documentation is Enclosed
M	M	Y Y			M	M		
<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="checkbox"/>
<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="checkbox"/>
<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="checkbox"/>
<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="checkbox"/>

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**D. Exercised Calls:**

List all Call Option contracts on New Century Common Stock that you exercised during the period from May 5, 2005, through and including March 13, 2007. Be sure to attach the required documentation.

Date Exercised			Number of Option Contracts Exercised	Strike Price per Call Option Contract	Expiration Month and Year		Result:		Check Here if Documentation is Enclosed
M M	D D	Y Y			M M	Y Y	Rec'd Shares	Cash	
<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="checkbox"/>
<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="checkbox"/>
<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="checkbox"/>
<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="checkbox"/>

**E. Expired Calls:**

List all Call Option contracts on New Century Common Stock that expired worthless during the period from May 5, 2005, through and including March 13, 2007. Be sure to attach the required documentation.

Date(s) Contracts Expired (List Chronologically)			Number of Option Contracts Expired	Strike Price per Call Option Contract	Expiration Month and Year		Check Here if Documentation is Enclosed
M M	D D	Y Y			M M	Y Y	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

**F. Unsold/Unexpired Calls:**

List Call Option contracts on New Century Common Stock that were open as of the close of the market on March 13, 2007.

Expiration Month and Year			Number of Call Option Contracts Open	Strike Price per Call Option Contract	Position:		Check Here if Documentation is Enclosed
M M	Y Y	Short			Long		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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**PART VI: NEW CENTURY PUT OPTIONS**

**A. Beginning Holdings:**

List all Put Option contracts on New Century Common Stock open as of the close of the market on May 4, 2005.

Expiration Month and Year			Number of Put Option Contracts Open	Strike Price per Put Option Contract	Position:		Check Here if Documentation is Enclosed
M	M	Y Y			Short	Long	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

**B. Sales:**

List all Put Option contracts on New Century Common Stock that you sold (wrote) during the period from May 5, 2005, through and including March 13, 2007. Be sure to attach the required documentation.

Sale Date(s) (Writing) (List Chronologically)			Number of Put Option Contracts Sold	Premium Price Per Share	Expiration Month and Year			Strike Price per Put Option Contract	Check Here if Documentation is Enclosed
M	M	Y Y			M	M	Y Y		
<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="checkbox"/>	
<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="checkbox"/>	
<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="checkbox"/>	
<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="checkbox"/>	

**C. Purchases:**

List all Put Option contracts on New Century Common Stock that you purchased or acquired during the period from May 5, 2005, through and including March 13, 2007. Be sure to attach the required documentation.

Purchase Date(s) (List Chronologically)			Number of Put Option Contracts Purchased	Premium Price Per Share	Expiration Month and Year			Strike Price per Put Option Contract	Check Here if Documentation is Enclosed
M	M	Y Y			M	M	Y Y		
<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="checkbox"/>	
<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="checkbox"/>	
<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="checkbox"/>	
<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="checkbox"/>	

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**D. Exercised Puts:**

List all Put Option contracts on New Century Common Stock that you exercised during the period from May 5, 2005, through and including March 13, 2007. Be sure to attach the required documentation.

Date Exercised			Number of Put Option Contracts Exercised	Strike Price per Put Option Contract	Expiration Month and Year			Result: Delivered		Check Here if Documentation is Enclosed
M	M	Y			M	M	Y	Y	Shares	
<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"/>	<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"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**E. Expired Puts:**

List all Put Option contracts on New Century Common Stock that expired worthless during the period from May 5, 2005, through and including March 13, 2007. Be sure to attach the required documentation.

Date(s) Contracts Expired (List Chronologically)			Number of Put Contracts Expired	Strike Price per Put Option Contract	Expiration Month and Year			Check Here if Documentation is Enclosed
M	M	Y			M	M	Y	
<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"/>
<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"/>

**F. Unsold/Unexpired Puts:**

List Put Option contracts on New Century Common Stock open as of the close of the market on March 13, 2007.

Expiration Month and Year			Number of Unexpired Put Options Contracts	Strike Price per Put Option Contract	Position:		Check Here if Documentation is Enclosed
M	M	Y			Short	Long	
<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"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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**YOU MUST READ THE FOLLOWING RELEASE AND SIGN ON PAGE 16.**

**RELEASE OF CLAIMS**

**Definitions**

Defined terms not already defined herein have the meanings given them in the respective Stipulations of Settlement (described in the Notice) (the “Stipulations”).

**The Releases**

*Officer and Director Release*

I (we) understand and acknowledge that, without further action by anyone, on and after entry of the Global Officer And Director Judgment and occurrence of the Effective Date of the Global Officer And Director Settlement, each Class Member, on behalf of themselves, for good and sufficient consideration, the receipt and adequacy of which are hereby acknowledged, whether or not a Proof of Claim is executed and delivered by, or on behalf of, such Class Member, will be deemed by operation of law to have released, waived, discharged and dismissed each and every Settled Class Claim as against each and every Released Officer And Director and the Insurance Carriers (as defined in the Global Officer And Director Stipulation), and shall be deemed to forever be enjoined from prosecuting any or all of the Settled Class Claims against each and every Released Officer And Director and the Insurance Carriers. “Settled Class Claim” in this paragraph means any and all claims and causes of action of every nature and description, whether known or Unknown Claims, whether arising under federal, state, common or foreign law, that Plaintiffs or any other member of the Class (a) asserted in the Consolidated Action, or (b) could have asserted in any forum that arise out of or are based upon the allegations, transactions, facts, matters or occurrences, representations or omissions involved, set forth, or referred to in the Consolidated Action, and that arise out of or relate to the purchase of New Century Common Stock, New Century Series A Preferred Stock, New Century Series B Preferred Stock, and/or New Century Call Options and/or the sale of New Century Put Options during the Class Period. Settled Class Claims does not include claims relating to the enforcement of the Settlement. “Released Officers And Directors” in this paragraph means (i) the Individual Defendants, David Kenneally, Kevin Cloyd, Patrick Flanagan, Stergios Theologides, Joseph F. Eckroth, Jr., and Jeffrey D. Goldberg, and any of their respective heirs, executors, administrators, predecessors, successors, assigns, employees, agents and retained professionals; and (ii) all directors, officers, employees, and other natural persons affiliated with New Century (including any of its subsidiaries and affiliates) included in the definition of “Assured” or “Insured” as defined in the Policies (defined in the Global Officer And Director Stipulation) and any and all of their respective heirs, executors, administrators, predecessors, successors and assigns, employees, agents and retained professionals (other than KPMG or the Underwriter Defendants).

*KPMG Release*

I (we) understand and acknowledge that, without further action by anyone, on and after entry of the KPMG Judgment and occurrence of the Effective Date of the KPMG Settlement, each Class Member, on behalf of themselves, for good and sufficient consideration, the receipt and adequacy of which are hereby acknowledged, whether or not a Proof of Claim is executed and delivered by, or on behalf of, such Class Member, will be deemed by operation of law to have released, waived, discharged and dismissed each and every Settled Claim, and shall forever be enjoined from prosecuting any or all Settled Claims, against any Released Auditor Party. “Settled Claim” in this paragraph means any and all claims and causes of action of every nature and description, whether known or Unknown, whether arising under federal, state, common or foreign law, that Plaintiffs or any other member of the Class (a) asserted in the Complaint, or (b) could have asserted in any forum that arise out of or are based upon the allegations, transactions, facts, matters or occurrences, representations or omissions involved, set forth, or referred to in the Complaint, and that arise out of or relate to the purchase of New Century Common Stock, New Century Series A Preferred Stock, New Century Series B Preferred Stock, and/or New Century Call Options and/or the sale of New Century Put Options during the Class Period. “Settled Claims” does not include claims relating to the enforcement of the Settlements. “Released Auditor Party” means KPMG and any and all of its partners, principals, officers, directors, employees, agents, attorneys and affiliates. “Released Auditor Parties” does not include any Defendants other than KPMG.



Underwriter Release

I (we) understand and acknowledge that, without further action by anyone, on and after entry of the Underwriter Judgment and occurrence of the Effective Date of the Underwriter Settlement, each Class Member, on behalf of themselves, their parent companies, subsidiaries, affiliates, heirs, executors, administrators, predecessors, successors and assigns, and any and all of their current and former officers, directors, employees, agents and attorneys, for good and sufficient consideration, the receipt and adequacy of which are hereby acknowledged, whether or not a Proof of Claim is executed and delivered by, or on behalf of, such Class Member, will be deemed by operation of law to have released, waived, discharged and dismissed each and every Settled Claim, and shall forever be enjoined from prosecuting any or all Settled Claims, against any Released Underwriter Party. "Settled Claim" in this paragraph means any and all claims and causes of action of every nature and description, whether known or Unknown, whether arising under federal, state, common or foreign law, that Plaintiffs or any other member of the Class (a) asserted in the Complaint, or (b) could have asserted in any forum that arise out of or are based upon the allegations, transactions, facts, matters or occurrences, representations or omissions involved, set forth, or referred to in the Complaint, and that arise out of or relate to the purchase of New Century Common Stock, New Century Series A Preferred Stock, New Century Series B Preferred Stock, and/or New Century Call Options and/or the sale of New Century Put Options during the Class Period. "Settled Claims" does not include claims relating to the enforcement of the Settlements. "Released Underwriter Party" means the Underwriter Defendants and any and all of their respective parent companies, subsidiaries, affiliates, heirs, executors, administrators, predecessors, successors and assigns, and any and all of their current and former officers, directors, employees, agents and attorneys. "Released Underwriter Parties" does not include any Defendants other than the Underwriter Defendants.

**SIGNATURE AND CERTIFICATIONS**

By signing and submitting this Proof of Claim, the Claimant or the person who represents the Claimant certifies, as follows:

1. that the Claimant is a Class Member, as defined in the Notice;
2. that I (we) have read and understand the contents of the Notice and the Proof of Claim;
3. that I (we) are not acting for any of the Defendants, nor am I (are we) such a Defendant or otherwise excluded from the Class;
4. that I (we) have not filed a request for exclusion from the Class and that I (we) do not know of any request for exclusion from the Class filed on my (our) behalf with respect to my (our) transactions in New Century Securities;
5. that I (we) own(ed) the New Century Securities identified in the Proof of Claim, or that, in signing and submitting this Proof of Claim, I (we) have the authority to act on behalf of the owner(s) thereof;
6. that Claimant may be entitled to receive a distribution from the Net Settlement Fund;
7. that Claimant desires to participate in the Settlements described in the Notice and agrees to the terms and conditions thereof;
8. that I (we) submit to the jurisdiction of the United States District Court for the Central District of California for purposes of investigation and discovery under the Federal Rules of Civil Procedure with respect to this Proof of Claim;
9. that I (we) agree to furnish such additional information with respect to this Proof of Claim as the parties, the Claims Administrator or the Court may require;
10. that I (we) waive trial by jury, to the extent it exists, and agree to the Court's summary disposition of the determination of the validity or amount of the claim made by this Proof of Claim; and
11. that I (we) certify that I am (we are) not subject to backup withholding under the provisions of Section 3406(a)(1)(c) of the Internal Revenue Code.

**NOTE:** If you have been notified by the Internal Revenue Service that you are subject to backup withholding, please strike the language that you are not subject to backup withholding in the certification above. The Internal Revenue Service does not require your consent to any provision other than the certification required to avoid backup withholding.



I DECLARE, UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES OF AMERICA, THAT THE STATEMENTS MADE AND ANSWERS GIVEN IN THIS PROOF OF CLAIM ARE TRUE AND CORRECT AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TRUE AND GENUINE.

Signature of Claimant <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Date Signed M M / D D / Y Y Y Y <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> / <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> / <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div>
Print Name of Claimant First Name	Last Name

Signature of Joint Claimant, if any <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Date Signed M M / D D / Y Y Y Y <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> / <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> / <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div>
Print Name of Joint Claimant, if any First Name	Last Name

***If Claimant is other than an individual, or is not the person completing this form, the following also must be provided:***

Signature of Person Completing Form <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Date Signed M M / D D / Y Y Y Y <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> / <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> / <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div>
Print Name of Person Completing Form First Name	Last Name
Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, custodian, etc.	

### REMINDER CHECKLIST

1. Please sign the Proof of Claim on page 16.
2. If this Claim is being made on behalf of Joint Claimants, then both must sign.
3. Please remember to attach supporting documents.
4. If you move, please send your new address to:

**In re New Century Securities Litigation Settlement**  
**c/o Analytics, Inc., Claims Administrator**  
**P.O. Box 2004**  
**Chanhassen, MN 55317-2004**  
**1-866-308-7615**

5. DO NOT SEND ORIGINALS OF ANY SUPPORTING DOCUMENTS.
6. Keep a copy of your Proof of Claim and all documentation submitted for your records.

**The Claims Administrator will acknowledge receipt of your Proof of Claim by mail within 60 days. Your Proof of Claim is not deemed fully filed until you receive an acknowledgement postcard. If you do not receive an acknowledgment postcard within 60 days, please call the Claims Administrator toll free at (866) 308-7615.**

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

