

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF TEXAS  
HOUSTON DIVISION

In re ENRON CORPORATION SECURITIES  
LITIGATION

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§ Civil Action No. H-01-3624  
§ **(Consolidated)**

§  
§ CLASS ACTION

This Document Relates To:

MARK NEWBY, et al., Individually and On Behalf of All  
Others Similarly Situated,

Plaintiffs,

vs.

ENRON CORP., et al.,

Defendants.

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THE REGENTS OF THE UNIVERSITY OF  
CALIFORNIA, et al., Individually and On Behalf of All  
Others Similarly Situated,

Plaintiffs,

vs.

KENNETH L. LAY, et al.,

Defendants.

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**PROOF OF CLAIM**

**I. GENERAL INSTRUCTIONS**

1. To recover as an Authorized Claimant based on your claims in the action entitled *Newby, et al. v. Enron Corp., et al.*, Civil Action No. H-01-3624 (Consolidated) (the "Action"), you must complete and, on page 10 hereof, sign this Proof of Claim form. If you fail to submit a properly completed and addressed (as set forth in paragraph 3 below) Proof of Claim form, your claim may be rejected and you may be precluded from any recovery from the Settlement Fund created in connection with the prior settlements of the Action.

2. Submission of this Proof of Claim form, however, does not assure that you will share in the Settlement Fund.

3. **YOU MUST MAIL YOUR COMPLETED AND SIGNED PROOF OF CLAIM FORM, POSTMARKED ON OR BEFORE APRIL 30, 2008, ADDRESSED AS FOLLOWS:**

*Enron Securities Litigation Proof of Claim*  
Claims Administrator  
c/o Gilardi & Co. LLC  
P.O. Box 808003  
Petaluma, CA 94975-8003

If you are NOT an Eligible Claimant (as defined in the Notice of Hearing for Final Approval of: (A) Plan of Allocation of Settlement Proceeds; and (B) Plaintiffs' Counsel's Application for an Award of an Attorney Fee and Lead Plaintiff's and Certain Other Persons' Application for Reimbursement of Expenses ("Notice") that accompanies this Proof of Claim) DO NOT submit a Proof of Claim form.

4. If you are an Eligible Claimant, and have not previously requested exclusion, you are bound by the terms of the judgments previously entered in the Action with respect to the Prior Settlements, **WHETHER OR NOT YOU SUBMIT A PROOF OF CLAIM FORM.**

## II. DEFINITIONS

Capitalized terms not defined in this Proof of Claim form have the same meaning as defined in the Notice that accompanies this form.

## III. CLAIMANT IDENTIFICATION

1. If you purchased or otherwise acquired Enron or Enron-Related Securities and held the certificate(s) in your name, you are the beneficial purchaser as well as the record purchaser. If, however, you purchased the securities but 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.

2. Use Part I of this form entitled "Claimant Identification" to identify each purchaser of record ("nominee"), if different from the beneficial purchaser of Enron or Enron-Related Securities which forms the basis of this claim. **THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER OR PURCHASERS, OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER OR PURCHASERS, OF THE SECURITIES UPON WHICH THIS CLAIM IS BASED.**

3. All joint purchasers must sign this claim. Executors, administrators, guardians, conservators and trustees must complete and sign this claim on behalf of Persons represented by them and their authority must accompany this claim and their titles or capacities must be stated. 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.

## IV. CLAIM FORM

1. Use Part II of this form entitled "Schedule of Transactions in Enron or Enron-Related Securities" to supply all required details of your transaction(s) in such securities. 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.

2. On the schedules, provide all of the requested information with respect to **all** of your purchases or other acquisitions and **all** of your sales or other dispositions of Enron or Enron-Related Securities which took place at any time beginning September 9, 1997 through December 2, 2001, inclusive (the "Eligible Period"), whether such transactions resulted in a profit or a loss. Failure to report all such transactions may result in the rejection of your claim.

3. List each transaction in the Eligible Period separately and in chronological order, by trade date, beginning with the earliest. You must accurately provide the month, day and year of each transaction you list.

4. The date of covering a "short sale" is deemed to be the date of purchase of Enron or Enron-Related Securities. The date of a "short sale" is deemed to be the date of sale of such securities.

5. Broker confirmations or other documentation of your transactions in Enron or Enron-Related Securities should be attached to your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim.

6. USE PART II SECTION A **ONLY** FOR ENRON COMMON STOCK. USE PART II SECTION B **ONLY** FOR ENRON PREFERRED STOCK. USE PART II SECTIONS C & D **ONLY** FOR ENRON OPTIONS. USE PART II SECTION E **FOR ALL OTHER TYPES OF ENRON OR ENRON-RELATED SECURITIES** AND IDENTIFY THE SECURITY BY NAME AND IDENTIFYING NUMBER (CUSIP, BLOOMBERG, SEDOL OR ISIN) SHOWN ON EXHIBITS 1-3 WHICH ACCOMPANY THE NOTICE AND THIS PROOF OF CLAIM.

7. 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 whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at 1-(800) 447-7657 or visit their website at [www.gilardi.com](http://www.gilardi.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 acknowledgment of receipt and acceptance of electronically submitted data.

Official  
Office  
Use  
Only

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF TEXAS  
HOUSTON DIVISION

Must Be Postmarked  
on or Before  
April 30, 2008

*Newby, et al. v. Enron Corp., et al.*  
Civil Action No. H-01-3624 (Consolidated)  
**PROOF OF CLAIM AND RELEASE**

# ENRON

***Please Type or Print in the Boxes Below***  
**Do NOT use Red Ink, Pencil, or Staples**

### PART I: CLAIMANT IDENTIFICATION

Last Name (Beneficial Owner/Custodian)	First Name (Beneficial Owner/Custodian)
<input type="text"/>	<input type="text"/>

Last Name (Co-Beneficial Owner)	First Name (Co-Beneficial Owner)
<input type="text"/>	<input type="text"/>

IRA     Trust     Joint Tenancy     UTMA/UGMA

Company Name (Beneficial Owner - If Claimant is not an Individual) or Custodian Name if an IRA

Trustee/Asset Manager/Nominee/Record Owner's Name (if Different from Beneficial Owner Listed Above)

Account#/Fund# (Not Necessary for Individual Filers)	Date of Trust
<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

Social Security Number	Taxpayer Identification Number
<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="text"/> - <input type="text"/>

Telephone Number (Work)	Telephone Number (Home)
<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="text"/> - <input type="text"/> - <input type="text"/>

Email Address

### MAILING INFORMATION

Address

Address

City	State	Zip Code
<input type="text"/>	<input type="text"/>	<input type="text"/> - <input type="text"/>

Foreign Province	Foreign Zip Code	Foreign Country Name/Abbreviation
<input type="text"/>	<input type="text"/>	<input type="text"/>

FOR CLAIMS PROCESSING ONLY	PB <input type="text"/>	PC <input type="text"/>	<input type="radio"/> ND	<input type="radio"/> NS	<input type="radio"/> ICI	<input type="radio"/> OPT	<input type="radio"/> EMP	DC <input type="text"/>	<input type="radio"/> L1
			<input type="radio"/> IHI	<input type="radio"/> NTIN	<input type="radio"/> OTHER	<input type="radio"/> MRG			<input type="radio"/> L2
						<input type="radio"/> BOTH			



**PART II. SCHEDULE OF TRANSACTIONS IN ENRON OR ENRON-RELATED SECURITIES**

**A. ENRON COMMON STOCK ONLY**

Proof of Holding Enclosed?

1. Number of shares of Enron common stock held at the beginning of trading on September 9, 1997:

Y  
 N

2. Purchases of Enron common stock (September 9, 1997 – December 2, 2001, inclusive):

**PURCHASES**

	Trade Date(s) of Shares (List Chronologically)	Number of Shares Purchased	Total Purchase Price	Proof of Purchase Enclosed?
	M M / D D / Y Y Y Y		\$	
1.	<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="radio"/> Y <input type="radio"/> N
2.	<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="radio"/> Y <input type="radio"/> N
3.	<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="radio"/> Y <input type="radio"/> N
4.	<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="radio"/> Y <input type="radio"/> N
5.	<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="radio"/> Y <input type="radio"/> N
6.	<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="radio"/> Y <input type="radio"/> N

IMPORTANT: Identify by number listed above all purchases in which you covered a "short sale": \_\_\_\_\_

3. Sales of Enron common stock (September 9, 1997 – December 2, 2001, inclusive):

**SALES**

	Trade Date(s) of Shares (List Chronologically)	Number of Shares Sold	Total Sales Price	Proof of Sales Enclosed?
	M M / D D / Y Y Y Y		\$	
1.	<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="radio"/> Y <input type="radio"/> N
2.	<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="radio"/> Y <input type="radio"/> N
3.	<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="radio"/> Y <input type="radio"/> N
4.	<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="radio"/> Y <input type="radio"/> N
5.	<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="radio"/> Y <input type="radio"/> N
6.	<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="radio"/> Y <input type="radio"/> N

Proof of Holding Enclosed?

4. Number of shares of Enron common stock held at the close of trading on December 2, 2001:

Y  
 N

*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 THE RELEASE ON PAGE 10. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.**





PART II. SCHEDULE OF TRANSACTIONS IN ENRON OR ENRON-RELATED SECURITIES

C. ENRON CALL OPTIONS ONLY

1. I made the following purchases of call options on Enron during the period from September 9, 1997 through December 2, 2001, inclusive:

All transactions must be displayed as pre-split share and strike price.

Date(s) of Purchase (List Chronologically)					Number of Contracts	Expiration Date (Month/Year)	Strike Price	Principal Amount	Proof of Purchase Enclosed?
M	M	D	D	Y Y					
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N

2. I made the following sales or written call options on Enron during the period from September 9, 1997 through December 2, 2001, inclusive:

All transactions must be displayed as pre-split share and strike price.

Date(s) of Written (List Chronologically)					Number of Contracts	Expiration Date (Month/Year)	Strike Price	Principal Amount	Proof of Sale Enclosed?
M	M	D	D	Y Y					
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N
									<input type="radio"/> Y <input type="radio"/> N

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 THE RELEASE ON PAGE 10. FAILURE TO SIGN THE RELEASE  
MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.**



**PART II. SCHEDULE OF TRANSACTIONS IN ENRON OR ENRON-RELATED SECURITIES**

**D. ENRON PUT OPTIONS ONLY**

1. I made the following written put options on Enron during the period from September 9, 1997 through December 2, 2001, inclusive:

All transactions must be displayed as pre-split share and strike price.

Date(s) of Written (List Chronologically)					Number of Contracts	Expiration Date (Month/Year)	Strike Price	Principal Amount	Proof of Sale Enclosed?
M	M	D	D	Y					
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N

2. I made the following purchases of put options on Enron during the period from September 9, 1997 through December 2, 2001, inclusive:

All transactions must be displayed as pre-split share and strike price.

Date(s) of Purchase (List Chronologically)					Number of Contracts	Expiration Date (Month/Year)	Strike Price	Principal Amount	Proof of Purchase Enclosed?
M	M	D	D	Y					
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N
									<input type="radio"/> Y
									<input type="radio"/> N

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 THE RELEASE ON PAGE 10. FAILURE TO SIGN THE RELEASE  
MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.**





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

I (We) submit this Proof of Claim form under the terms of the Plan of Allocation described in the Notice. I (We) also submit to the jurisdiction of the United States District Court for the Southern District of Texas, Houston Division (the "Court"), with respect to my (our) claim as a Settlement Class Member. I (We) further acknowledge that I am (we are) bound by and subject to the terms of the judgment(s) which have been entered in connection with the Prior Settlements in the Action, including the releases set forth therein. I (We) agree to furnish additional information such as transactions in other Enron or Enron-Related Securities to the Claims Administrator to support this claim if required to do so.

**VI. RELEASE AND WARRANTIES**

1. I (We) acknowledge that we are bound by the releases which have been set forth in prior judgment(s) entered in connection with the Prior Settlements in the Action and submit to the jurisdiction of the Court for the purposes of enforcing those releases.

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 or any part or portion thereof released pursuant to the prior judgment(s) entered in the Action.

3. I (We) hereby warrant and represent that I (we) have included information about all of my (our) transactions in Enron or Enron-Related Securities which occurred during the Eligible Period as well as the number and type of Enron or Enron-Related Securities held by me (us) at the opening of trading on September 9, 1997 and at the close of trading on December 2, 2001.

4. I UNDERSTAND AND INTEND THAT THE SIGNATURE BELOW REGARDING CERTAIN INFORMATION FOR THE INTERNAL REVENUE SERVICE CONCERNING BACKUP WITHHOLDING ALSO SERVES AS THE SIGNATURE VERIFYING THE INFORMATION AND REPRESENTATIONS IN THIS PROOF OF CLAIM.



**SUBSTITUTE FORM W-9**

**PART I. Request for Taxpayer Identification Number ("TIN") and Certification**

First Name

12 empty boxes for first name

I. Last Name

12 empty boxes for last name

Check appropriate box:

- Individual/Sole Proprietor
- IRA
- Trust
- Corporation
- Partnership
- Pension Plan
- Other \_\_\_\_\_ (specify)

Enter TIN on the appropriate line.

- For individuals, this is your Social Security Number ("SSN").
- However, for a resident alien, sole proprietor, or disregarded entity, see Part 1 of the enclosed W-9 instructions.
- For sole proprietors, you must show your individual name, but you may also enter your business or "doing business as" name. You may enter either your SSN or your Employer Identification Number ("EIN").
- For other entities, it is your EIN.

Social Security Number

3 boxes - 2 boxes - 4 boxes

or

Employer Identification Number

2 boxes - 7 boxes

**PART II. For Payees Exempt from Backup Withholding**

If you are exempt from backup withholding, enter your correct TIN in Part I and write "exempt" on the following line: \_\_\_\_\_

**PART III. Certification**

UNDER THE PENALTY OF PERJURY, I (WE) CERTIFY THAT:

- (1) The number shown on this form is my correct TIN; and
- (2) 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 because: (a) I am (we are) exempt from backup withholding; or (b) I (we) have not been notified by the Internal Revenue Service that I am (we are) subject to backup withholding as a result of a failure to report all interest or dividends; or (c) the Internal Revenue Service has notified me (us) that I am (we are) no longer subject to backup withholding.

NOTE: If you have been notified by the Internal Revenue Service that you are subject to backup withholding, you must cross out item 2 above.

SEE ENCLOSED FORM W-9 INSTRUCTIONS

The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.

I (We) 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 form by the undersigned is true and correct.

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

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

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

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

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

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

\_\_\_\_\_  
(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 the above release and declaration.
- 2. Remember to attach supporting documentation, if available.
- 3. Do not send original stock certificates.
- 4. Keep a copy of your claim form for your records.
- 5. If you desire an acknowledgment of receipt of your claim form please send it Certified Mail, Return Receipt Requested.
- 6. If you move, please send the Claims Administrator your new address.

