

REQUEST FOR DISPOSITION OF A
NON-TRANSFERABLE WORTHLESS SECURITY

FORM A – PROCESS AS A JOURNAL

I. ACCOUNT INFORMATION

Account Number: _____

Account Title: _____

II. SECURITY INFORMATION

Description: _____

CUSIP Number: _____

Quantity: _____

I am currently the owner of the above security. I am requesting the above position be removed from my account. I understand that this position may have no value or that the value is less than the cost of transacting a trade.

I confirm that the removal of position from my account is final and irrevocable, and I am forgoing the possibility of gain in the event this security ever has any future value. I hereby waive any future claim I have concerning these securities.

Legent Clearing LLC makes no representation about the value, if any, of this security.

Account Holder(s) Signature: _____ Date: _____

_____ Date: _____

Correspondent Signature: _____ Date: _____

You may use this letter for your income taxes if it is appropriate for you to do so. Please contact your tax advisor with any questions if using this letter for income tax purposes.

REQUEST FOR DISPOSITION OF A
NON-TRANSFERABLE WORTHLESS SECURITY

FORM B – PROCESS AS A TRADE

I. ACCOUNT INFORMATION

Account Number: _____

Account Title: _____

II. SECURITY INFORMATION

Description: _____

CUSIP Number: _____

Quantity: _____

I am currently the owner of the above security. I wish to sell the above position for total proceeds of one dollar for the entire position. Please effect my sale, which will generate a confirmation to me. I understand that Legent Clearing LLC will be the buyer in this transaction and that Legent Clearing LLC makes no representation about the value, if any, of this security.

I understand that this position may have no value or that the value is less than the cost of transacting a trade. I confirm that the removal of position from my account is final and irrevocable, and I am forgoing the possibility of gain in the event this security ever has any future value. I hereby waive any future claim I have concerning these securities.

Account Holder(s) Signature: _____ Date: _____

_____ Date: _____

Correspondent Signature: _____ Date: _____