

Electronic Filing Instructions
Edward E. Gatz, et al. v. William R. Ponsoldt, Sr., et al.

IMPORTANT NOTE - PLEASE READ

THIS CASE DOES NOT REQUIRE PURCHASE AND SALE TRANSACTIONS. IT ONLY REQUESTS A HOLDING QUANTITY FOR EACH QUALIFYING ACCOUNT. ELECTRONIC FILING IS THEREFORE LIMITED TO BROKERS OR INSTITUTIONS WHO HAVE MORE THAN 10 QUALIFYING ACCOUNTS.

Electronic Filing Requirements

1. Proof of Claim and Release form (Master)

This claim form serves as a master Proof of Claim and Release form for one or all of the accounts included on your file.

- You may obtain a Proof of Claim and Release form by printing one from this website. Complete the "Claimant Identification" section A on Page 2 of the Proof of Claim and Release form including the Daytime/Evening Telephone Number and E-mail address. Be sure to include company name, account name/number, and company address. If submitting an electronic file on behalf of several accounts, enter "Various Accounts" for the account name/number.
- Read Release language and sign Release on Page 3 of Proof of Claim form.
 - The signature on the claim form must reference the capacity of the signatory.
- **If filing on behalf of your clients, you must include a signed letter on letterhead or other document providing your authorization to sign on behalf of your clients (affidavit, power of attorney, trust agreements, etc.)**

2. Signature Verification Document

This is a document verifying that the individual who signed the claim form and any supplemental letters is authorized to sign on behalf of his/her company.

- Some examples may include a copy of your company's By-laws (including signature pages), a copy of your company's corporate resolution (including signature pages), secretary's certificate, certificate of incumbency, or a notarized affidavit signed by an officer of your institution clearly granting a specific individual(s) authorization to act / sign on behalf of your company.

3. Excel spreadsheet or other electronic file containing account information and holding data that MUST be created in accordance with our required filing format.

- The required filing format for this case is provided below.
- A completed cover sheet MUST be submitted with your electronic file.
 - The cover sheet must include the total number of accounts, total number of transactions, and contact name(s) with phone number(s) and e-mail address(es). A blank cover sheet is attached at the end of these instructions.
- **YOUR ELECTRONIC FILE IS SUBJECT TO REJECTION, IF NOT IN ACCORDANCE WITH OUR REQUIRED FILING FORMAT.**

4. Hard copy supporting documentation.

- You must submit paper documents with your Proof of Claim form that will support the data provided on your file. These documents may include: a) broker confirmations, b) monthly statements, or c) an affidavit or signed letter on firm letterhead attesting to the truth and accuracy of the information on your file (signature must reference the capacity and contact information for the signatory).
- We reserve the right to request additional documentation at any time after your file has been received and loaded.

5. Control Totals

- You must include an indication of the total number of distinct accounts/claims and total number of transactions (including holdings) on your file. You may include this information in the form of a signed letter or use the Electronic filing Cover Sheet at the end of this document.

Please read the following prior to generating your file:

- Files may be submitted as a Fixed-length text file (preferred) or an Excel spreadsheet
- **All** fields in the below format **must** be included on your file
- Any fields that do not apply to your file or the case **must** be left blank (do **not** delete any fields)
- Your file **must** be sorted in the following order:
 - account number
 - security identifier
 - transaction type
- If your file contains over 64,000 rows, you **must** submit the file as a fixed-length text file
- **Do not** exceed maximum character lengths for any field
- Your file cannot include transactions outside of the relative trade period for the specific case (see Schedule of Transaction pages of Proof of Claim form for trade periods)
- **Do not** provide any blank rows on your file
- A separate claim will be created for **each** distinct account number on your file
- Any files **not** in accordance with the below format are subject to rejection
- For Fixed Length Text File (must use .txt extension):
 - Your file **must** contain only data rows (do **not** include header/trailer records)
- For Excel spreadsheets (must use .xls extension):
 - Your file **must** include one tab with **all** account and transactional data
 - Your file **must** include one header row with column headings
 - The “Length” column in the below format specifies the maximum number of characters for each Excel field

Required Filing Format

Col	Field	Start Position	Length	Notes
A	Company Name	1	40	Name of Company for Mailing of Checks (see Address Notes below) <ul style="list-style-type: none"> • <u>Include</u> a “c/o” before your company name if you require checks made out to the beneficial owner c/o your company
B	Address 1	41	40	Address1 Information for Mailing of Checks (see Address Notes below)
C	Address 2	81	40	Address2 Information for Mailing of Checks (see Address Notes below)
D	City	121	30	City for Mailing of Checks (see Address Notes below)
E	State	151	2	2 Character State Abbreviation for Mailing of Checks (see Address Notes below)
F	Zip5	153	5	5 Digit Zip for Mailing of Checks (see Address Notes below)
G	Zip4	158	4	4 Digit Zip for Mailing of Checks (see Address Notes below)
H	Country Code	162	2	2 character Country abbreviation (only for foreign addresses)
I	Customer Acct Name	164	40	Name of Account / Beneficial Owner
J	Customer Acct	204	30	Account Number

	Number			
K	SSN or Tax ID Number	234	4	Format 9999 Last four digits of Social Security Number or Tax ID Number (leave column blank for foreign entities); <u>NO</u> Dashes; <u>NO</u> Spaces
L	Security Identifier Number	238	14	CUSIP, ISIN, or SEDOL Number of the Security <ul style="list-style-type: none"> <u>DO NOT</u> include any spaces in your CUSIP, ISIN, or SEDOL Number
M	Transaction Type	242	1	H – Holding
N	Quantity	243	20	Format 9999999999999999.0000 Number of shares held (this value can <u>ONLY</u> be negative for short positions and must be formatted with a negative symbol such as - 9999999999999999.0000); <u>NO</u> commas (,); Enter Decimal Point and 4 positions after the decimal point;

Case and Security Notes

- There should be **NO** purchase/sale trade activity included on your file.
- Files should **ONLY** include the number of shares of Regency Affiliates, Inc. common stock owned on October 17, 2002.

Address Notes

- For foreign addresses, the two character country code must be provided in column H, all address information (including full country names and provinces) must be included in the two address fields (columns B-C), and the city, state, zip fields (columns D-G) must be left blank.

Submission Notes

- We prefer to receive your electronic claim submission on a diskette or CD ROM in the mail along with all other documentation requirements outlined in these instructions. Please use the Seattle P.O. Box address on top of page 1 of the claim form. If you need a street address to send your file via fed-ex or UPS, please send it to our Electronic Filing Department in Ohio at the following address:

Edward E. Gatz, et al. v. William R. Ponsoldt, Sr., et al.
c/o The Garden City Group, Inc.
Attn: Electronic Filing Department
105 Maxess Rd.
Melville, NY 11747

- If you need to email your file, it may be sent to eClaim@gardencitygroup.com but you must also attach your documentation requirements in the email as .pdf documents or equivalent.

Electronic Filing Cover Sheet

NAME OF LITIGATION: Edward E. Gatz, et al. v. William R. Ponsoldt, Sr.

FILE SUBMITTED BY:

Company Name _____

Company Address _____

Contact Name _____

Phone Number _____

E-Mail Address _____

FILE SUBMITTED AS: Disk / CD ROM (PREFERRED)

E-Mailed File

TOTAL # OF ACCOUNTS ON FILE: _____

TOTAL # OF LINES ON FILE: _____

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c/o The Garden City Group, Inc.
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If you need to email your file, it may be sent to eClaim@gardencitygroup.com but you must also attach your documentation requirements in the email as .pdf documents or equivalent.