

# Instructions -- Replacement of a Lost Certificate

## Reporting:

If your certificate is lost, misplaced, destroyed or stolen, it is critical that you contact us immediately. A written request from the shareholder or the shareholder's legal representative is required to seek the replacement of a certificate. It is important that you have the certificate number and the number of shares. If you don't, please call us (see below) for the information.

Mailing Address: 1 State Street, 30<sup>th</sup> Floor  
New York, NY 10004  
Attn: Lost Securities Department

Telephone: (917) 262-2384 or (212) 509-4000 (Option 3 and then option 5)

Facsimile: (212) 616-7613

Email: [lost@continentalstock.com](mailto:lost@continentalstock.com)

## Replacement:

Upon receipt of your written request, a **temporary stop notation** will be immediately placed against the certificate to prevent any unauthorized attempt to transfer your shares. The lost certificate will also be reported to the Securities Information Center (SIC) in accordance with Securities Exchange Commission (SEC) rules.

### **Securities with a value of \$20.00 or less**

If the value of the securities being replaced is \$20.00 or less, **you will not be required to pay a premium**. The only requirement will be to complete the Short Form Affidavit of Loss and Agreement of Indemnity ("Short Form Affidavit"). This Affidavit does not need to be notarized.

### **Securities with a value of \$20.01 or more**

To assist the shareholders of our clients, we have adopted a Blanket Lost Securities Bond with Travelers Casualty and Surety Company of America for securities with a value of more than \$20.00. We will send you instructions and a Long Form Affidavit of Loss and Agreement of Indemnity (“Long Form Travelers Affidavit”) which will need to be **completed in duplicate and notarized**. The forms must be completed by the shareholder or the shareholder’s legal representative (identified in the Affidavit as the Deponent).

To cover the cost of the Lost Securities Bond, you will be required to pay a premium based on the Table below (**Calculating the Premium**). When making the calculation, it must be based on the post-split equivalent of the shares resulting from any corporate action (reverse stock splits, mergers etc.), if any. This may significantly increase or decrease the market value of the shares and the premium that needs to be paid. We urge you to make a diligent search for your certificate because of the cost involved. Your check or money order must be made payable to Continental Stock Transfer & Trust Company (“Continental”) and mailed to us with the executed Affidavit and any required supporting documentation.

Both the Short Form and Long Form Affidavits may be requested by sending a written request via mail, fax or email (see above for contact information).

### **Securities with a value over \$100,000.00 (Assumption Limit)**

If the value of the securities being replaced is over the \$100,000 Assumption Limit, you will be required to complete the Long Form Travelers Affidavit **and** a Financial Statement (attached to the Affidavit) and produce the additional bank or broker statements requested. **Please note that this is mandatory.**

In addition, please note that Estate replacements for securities with a value over the Assumption Limit require the personal representative(s) and all heirs and beneficiaries of the Estate to sign the Long Form Travelers Affidavit.

### **Calculating the Premium:**

After determining if your shares are subject to any corporate action, please check Google Finance, Yahoo Finance, any other financial website or your broker for the closing market price on the Trading Day before the date the Affidavits are signed. The premium required will be calculated as follows:

Market Value of Securities	Premium Required for US applicants	Premium Required for Non-US applicants	Minimum Requirements
\$20.00 and less	None required	None required	<ul style="list-style-type: none"> <li>• Short Form Affidavit <b>ONLY</b></li> </ul>
\$20.01 to \$100.00	\$10.00	\$10.00	<ul style="list-style-type: none"> <li>• Long Form Affidavit</li> <li>• Premium</li> </ul>
\$100.01 to \$200.00	\$15.00	\$15.00	<ul style="list-style-type: none"> <li>• Long Form Affidavit</li> <li>• Premium</li> </ul>
\$200.01 to \$99,999.99	3% of market value	5% of market value	<ul style="list-style-type: none"> <li>• Long Form Affidavit</li> <li>• Premium (<b>\$100 minimum</b>)</li> </ul>
\$100,000.00 and over	3% of market value	5% of market value	<ul style="list-style-type: none"> <li>• Long Form Affidavit</li> <li>• Premium</li> <li>• Financial Statement and other required documents</li> </ul>

### Important Notes

- ❖ Additional supporting documentation will be required if the replaced shares will be issued in a new registration due to death, marriage, divorce, minors reaching the age of majority, transfer of ownership etc. (see below).
- ❖ The \$100.00 minimum premium applies to certificates with a market value of over \$200.00.
- ❖ A Financial Statement attached to the Affidavit must be completed and submitted with additional financial documentation as requested for securities with a value of \$100,000 and more.
- ❖ The premium is 5% of the market value for all non-US applicants.

Please note that it is not mandatory to use the Blanket Lost Securities Bond arrangement as described above. You have the option of providing an **Open Penalty Bond of Indemnity** issued in favor of Continental from an acceptable surety company of your own choosing. This Bond of Indemnity will protect Continental and the issuer from losses and liabilities that may ensue if the original certificate is presented in the future by a bona fide third party. However, the surety company must be licensed to do business in the State of New York and must be acceptable to Continental. Please note that there will be a **minimum fee of \$500** if you choose to provide your own Bond.

## Additional Supporting Documentation

Additional legal documentation may need to accompany the executed Affidavit. The following are some of the scenarios and the required documentation:

- **Individual Shareholder (deceased)**

The Affidavit (Short or Long Form) should be executed by the personal representative of the Estate of the decedent. For securities with a value in excess of the \$100,000.00 Assumption Limit, all the heirs or beneficiaries of the Estate will also be required to complete and sign the Affidavit. The documents required are:

- A certified copy of the Certificate of Appointment of the personal representative (executor, administrator etc.) of the Estate of the decedent from the Probate Court dated within 60 days (6 months for New York State residents) of the date the Affidavit is signed;
- A completed and notarized [Affidavit of Domicile](#) by the personal representative;
- An Inheritance Tax Waiver which may be required depending on the State in which the decedent died.
- In addition, if the shares are to be transferred into any registration other than the Estate of the decedent, a [stock power](#) with the medallion guaranteed endorsement of the personal representative of the Estate will be required.

- **Joint Tenant Account (one tenant deceased)**

The Affidavit (Short or Long Form) should be executed by the surviving tenant. The documents required are:

- A certified copy of the Death Certificate of the decedent;
- A completed and notarized [Affidavit of Domicile](#) by the personal representative;
- An Inheritance Tax Waiver which may be required depending on the State in which the decedent died.
- In addition, if the shares are to be transferred into any registration other than the surviving tenant, a [stock power](#) with the medallion guaranteed endorsement of the surviving tenant will be required.

- **Custodian Account (minor has reached the age of majority)**  
The Affidavit (Short or Long Form) should be completed by the former minor. To transfer the replaced shares into the name of the former minor, we will require a certified copy of the Birth Certificate of the former minor and a [stock power](#) with the medallion guaranteed endorsement of the custodian or the former minor.
- **Trust Account**  
The Affidavit (Short or Long Form) must be completed by the trustees of the Trust. A copy of the Trust Agreement must be furnished.
- **Corporate Account/Partnerships/Limited Liability Companies**  
The Affidavit (Short or Long Form) must be completed by an authorized officer of a Corporation, the General Partner of a Partnership or the Managing Member of a Limited Liability Company. A corporate resolution, Partnership Agreement or LLC Operating Agreement verifying the authority of the assigning signatory must be furnished.
- **Power of Attorney**  
The Affidavit (Short or Long Form) must be completed by the attorney-in-fact. A certified (medallion guaranteed) copy of the durable Power of Attorney providing the appropriate authority must be furnished.

If you have any questions regarding the above scenarios or scenarios not covered here, please communicate with one of our representatives for assistance.