

Trade Correction Request Form

On trade date
 E-mail: trading@legentclearing.com
 Fax: (402) 384-6171

Post trade date
 E-mail: purchase.sales@legentclearing.com
 Fax: (402) 384-6171

NOTE: For market actionable corrections, contact the Trade Desk immediately at 800-776-5778

Original Trade Information (Required):

Account # : _____ Account Registration : _____
 Trade Date : _____ Type: _____
 Buy / Sell : _____ Settlement Date : _____
 Sym / CUSIP : _____ Quantity : _____
 Requested By: _____ Price : _____

Regulatory Information:

TRACE / MSRB (Y or N) : _____ Execution Time : _____
 Reported Price: _____

Reason for Correction:

Corrections:

	Was:	Should Be:	Special Notes/Requirements:
01 Account #	_____	_____	_____
02 Account Type	_____	_____	_____
03 Quantity	_____	_____	_____
04 Security	_____	_____	_____
05 Price	_____	_____	_____
06 Exchange	_____	_____	_____
07 Commission	_____	_____	_____
08 Gross	_____	_____	_____
09 Concession	_____	_____	_____
10 As / Of or Settlement	_____	_____	_____
11 Interest	_____	_____	_____
12 Factor	_____	_____	_____
13 Buy to a Sell	_____	_____	_____
Sell to a Buy	_____	_____	_____
14 Bust	_____	_____	_____
16 Postage	_____	_____	_____
18 Handling	_____	_____	_____
22 TTO / Rep	_____	_____	_____
23 Other	_____	_____	_____
24 Reported Price	_____	_____	_____
25 Confirm Note	_____	_____	_____
27 Currency	_____	_____	_____

Authorization:

Requested by: _____ Signature: _____ Date: _____
Broker

Authorized by: _____ Signature: _____
B/D Principal or Branch Manager