

**RG/2 ELECTRONIC FILING REQUIREMENTS FOR FILERS WITH
MULTIPLE ACCOUNTS
FRANK, ET AL. V. MICHAEL MULLEN
(NATIONAL HOLDINGS CORPORATION STOCKHOLDER)**

1. **Signed Master Proof of Claim** and release must be submitted with electronic file covering all the accounts included on the file.
2. **Cover Letter** specifying case name, number of accounts and number of lines included on the file, contact name including phone number and e-mail address, wording indicating the company attests to the truth and accuracy of the information on the file, and an authorized signature.
3. **Proof of Authority** indicating that the company is authorized to sign on behalf of its clients and that the signor of the claim is authorized to sign on behalf of the company submitting the file.
4. **Electronic File** in excel format. An emailed file submitted to tchiango@rg2claims.com or info@rg2claims.com is preferred, however, this file may be sent by mail on a flash drive marked with the company's name and the name of the litigation. A signed Proof of Claim and cover letter should be included with your file. Format for the electronic file is as follows:

COLUMN	FIELD	DESCRIPTION
A	Claimant #	Client's, account's or beneficial owner's account #
B	Tax ID	Social security number or Tax ID number of client
C	Care of	Name of company submitting the file
D	Company	Name of client, account, or beneficial owner
E	Account Type	Individual, Joint, Partnership, Estate, Corporation, Trust, IRA Account, Other
F	Address Line 1	
G	Address Line 2	
H	City	
I	State	
J	Zip Code	
K	Foreign Province	
L	Foreign Country	
M	Work Phone	
N	Home Phone	
O	Email	
P	Fund Ticker	
Q	# of National Holdings Corp. common stock held on February 25, 2021	

****** Please provide the applicable Form W-8 with your file for each of the accounts filing that does not have a U.S. Taxpayer ID