



### Trade Correction Reporting Form

Date: \_\_\_\_\_ Account Number: \_\_\_\_\_ Rep Code: \_\_\_\_\_

Coastal Equities  
Coastal Investment Advisors  
Third Party RIA Platform

**TRADE INFORMATION:**

Buy Qty \_\_\_\_\_ Sell Qty \_\_\_\_\_  
Security \_\_\_\_\_  
Price \_\_\_\_\_  
Portfolio Manager: \_\_\_\_\_  
Trade date/time \_\_\_\_\_ Settlement date \_\_\_\_\_

**CANCEL & REBILL/ERROR CODE: \_\_\_\_\_**

- |                           |                                    |                           |
|---------------------------|------------------------------------|---------------------------|
| <b>01</b> Account number* | <b>06</b> Exchange                 | <b>11</b> Interest        |
| <b>02</b> Account type    | <b>07</b> Commission               | <b>12</b> Extension       |
| <b>03</b> Quantity        | <b>08</b> Gross                    | <b>13</b> Buy/sell code   |
| <b>04</b> Security        | <b>09</b> Concession               | <b>14</b> Billed in error |
| <b>05</b> Price           | <b>10</b> Trade or settlement date | <b>15</b> Other (explain) |

Description of Error: \_\_\_\_\_

Error Reported by: \_\_\_\_\_ (signature) Date/Time: \_\_\_\_\_

Supervisor: \_\_\_\_\_ (signature) Date/Time: \_\_\_\_\_

*BACK OFFICE USE ONLY*

Action Taken: \_\_\_\_\_

Estimated gain/loss: \_\_\_\_\_

Completed By: \_\_\_\_\_ (signature) Date/Time: \_\_\_\_\_