



Security Deposit Checklist

Shareholder Name _____

Issuer Name _____

DWAC DRS ACAT Other: _____

Issuer Symbol _____

CUSIP Number _____

Share Deposit _____

Account Type: Individual Corporate LLC Other: _____

❖ Checklist

Please check off all items included with paperwork submission. Incomplete packages will be returned. All items that apply to the deposit are required.

Deposit Securities Questionnaire completed and executed:

- by Shareholder
- by Correspondent / Broker
- Copy of the Photo ID of shareholder (or principal if shareholder is an entity)
- Evidence of the issuer's good standing from the Secretary of State of its state of incorporation obtained from respective state's website (not more than 60 days old)
- Documents showing how the shareholder acquired the shares (e.g., stock purchase agreement, consulting agreement, debt conversion agreement, employment agreement, etc.)
Name of document(s) enclosed: _____
- Proof of payment for the shares (shareholder's check or bank statement)
- If shares acquired by converting debt to stock, provide Resolutions of issuer's board of directors approving the issuance of those shares
- Documentation (letter/email) from Transfer Agent tracing current stock certificate back to issuance
- For corporate or entity accounts, include the following documents:
 - Vision Resolution Form
 - Evidence of good standing from the Secretary of State of shareholder's state of incorporation (not more than 60 days old)
- If shares are being sold under an exemption (Rule 144) or were originally issued under section 4(2) and no longer have a restriction on them, include the following documents:
 - Legal Opinion* (if current opinion is more than 3 months old, please provide a new opinion) - Must use Vision form
 - Documents relied on in legal opinion except SEC filings, please list: _____

When opinion is revised, provide blackline and clean versions

- If shares are being sold in a public offering under a registration statement (prospectus sale), include the following documents:
 - Copy of front page of prospectus
 - Original S-1 or S-8 that goes with the prospectus and TA confirmation that shares are registered
- If the stock certificate being deposited has a different certificate number from the one issued to stockholder, provide evidence of why there was a change (e.g. transfer agent paperwork)
- Shareholder representation letter
- Broker representation letter

**We will not accept an opinion where there is reliance on verbal conversations by the attorney.*

Please Sign Below:

X

Signature of Broker

Print Name of Broker

Name of Correspondent

Date