



TRANSFER OF OWNERSHIP PACKAGE

This package includes all of the information you need to transfer ownership.

To execute a stock transfer, you must:

- Complete this package as instructed in the “Transfer of Ownership Requirements” section dependent on your transfer type
- Send the completed package including all additional requirements to AST:

AST
ATTN: Transfer Department
6201 15th Ave.
Brooklyn, NY 11219

The package includes:

- Requirements to transfer ownership based on transfer type
- Medallion Signature Guarantee Waiver Requirements
- Transfer of Ownership Form with Substitute W-9
- Affidavit of Domicile Form
- FAQs





TABLE OF CONTENTS

Transfer of Ownership Requirements	4
Forms	8
FAQs	11

Transfer Requirements

TRANSFER TYPE	REQUIREMENTS
SINGLE-OWNER TRANSFERS	
A. TRANSFER FROM SINGLE OWNER	<ul style="list-style-type: none"><input type="checkbox"/> Completed Transfer of Ownership with Substitute W-9 Form (enclosed). <i>If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.</i><input type="checkbox"/> The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable. <i>If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.</i>
B. TRANSFER FROM SINGLE OWNER <i>(due to name change)</i>	<ul style="list-style-type: none"><input type="checkbox"/> Completed Transfer of Ownership with Substitute W-9 Form (enclosed). <i>If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.</i><input type="checkbox"/> The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable. <i>If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.</i>
C. TRANSFER FROM SINGLE OWNER <i>(due to deceased owner)</i>	<ul style="list-style-type: none"><input type="checkbox"/> Completed Transfer of Ownership with Substitute W-9 Form (enclosed). <i>If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.</i><input type="checkbox"/> Completed Affidavit of Domicile Form (enclosed).<input type="checkbox"/> The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable. <i>If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.</i>
JOINT TRANSFERS	
D. TRANSFER FROM JOINT ACCOUNT OR ADDITION OF TRANSFER ON DEATH	<ul style="list-style-type: none"><input type="checkbox"/> Completed Transfer of Ownership with Substitute W-9 Form (enclosed). <i>If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.</i><input type="checkbox"/> The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable. <i>If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.</i>

Transfer Requirements

TRANSFER TYPE	REQUIREMENTS
JOINT TRANSFERS	
E. TRANSFER FROM JOINT ACCOUNT <i>(due to name change)</i>	<ul style="list-style-type: none"><input type="checkbox"/> Completed Transfer of Ownership with Substitute W-9 Form (enclosed). <i>If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.</i><input type="checkbox"/> The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable. <i>If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.</i>
F. TRANSFER FROM JOINT ACCOUNT <i>(due to ONE deceased owner)</i>	<ul style="list-style-type: none"><input type="checkbox"/> Completed Transfer of Ownership with Substitute W-9 Form (enclosed). <i>If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.</i><input type="checkbox"/> Completed Affidavit of Domicile Form (enclosed).<input type="checkbox"/> The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable. <i>If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.</i>
G. TRANSFER FROM JOINT ACCOUNT <i>(due to ALL deceased owners)</i>	<ul style="list-style-type: none"><input type="checkbox"/> Completed Transfer of Ownership with Substitute W-9 Form (enclosed). <i>If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.</i><input type="checkbox"/> Completed Affidavit of Domicile Form (enclosed).<input type="checkbox"/> The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable. <i>If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.</i>
TRUSTEE TRANSFERS	
H. TRANSFER BY TRUSTEE(S)	<ul style="list-style-type: none"><input type="checkbox"/> Completed Transfer of Ownership with Substitute W-9 Form (enclosed). <i>If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.</i><input type="checkbox"/> The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable. <i>If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.</i>

Transfer Requirements

TRANSFER TYPE

REQUIREMENTS

TRUSTEE TRANSFERS

I. TRANSFER BY CO-TRUSTEE OR SUCCESSOR TRUSTEE(S)

- Completed Transfer of Ownership with Substitute W-9 Form (enclosed).
If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.
- The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable.
If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.

CUSTODIAN TRANSFERS

J. TRANSFER TO FORMER MINOR BY REGISTERED CUSTODIAN

- Completed Transfer of Ownership with Substitute W-9 Form (enclosed).
If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.
- The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable.
If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.

K. TRANSFER DUE TO DECEASED CUSTODIAN OR MINOR

- Completed Transfer of Ownership with Substitute W-9 Form (enclosed).
If transfer is less than \$10,000, please see page 7 for details regarding the Medallion Signature Guarantee Waiver. Additional documents are required.
- The original stock certificate(s). If holdings are held in book entry or dividend reinvestment then a certificate is not applicable.
If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.

Medallion Signature Guarantee Waiver Requirements

FOR TRANSFERS OF \$10,000 OR LESS, THE MEDALLION SIGNATURE GUARANTEE REQUIREMENT MAY BE WAIVED. THE FOLLOWING OUTLINES ALL OF THE DOCUMENTS REQUIRED TO WAIVE THE MEDALLION SIGNATURE

TRANSFER TYPE	REQUIREMENTS <i>(In addition to requirements on pages 4-6)</i>
<p>IF TRANSFER DUE TO NAME CHANGE (single owner or joint account)</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Signatures of all registered owners in the Transfer of Ownership Form. Please see section 10A, on page 2 of 2. <i>If registered owner(s) is/are deceased, a legal representative may sign ONLY IF they state legal capacity in which they signed.</i> <input type="checkbox"/> Check for \$50.00 payable to AST. <input type="checkbox"/> Copy of valid government-issued photo identification with a signature, such as a driver's license or a passport. <input type="checkbox"/> Proof of name change (ONLY IF name change request is due to marriage or divorce). <input type="checkbox"/> Certified copy of the marriage certificate, divorce decree, or certified copy of the court order (ONLY IF name change request due to complete name change).
<p>IF TRANSFER DUE TO DECEASED OWNER (single owner or joint account)</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Signatures of all registered owners in the Transfer of Ownership Form. Please see section 10A, on page 2 of 2. <i>If registered owner(s) is/are deceased, a legal representative may sign ONLY IF they state legal capacity in which they signed.</i> <input type="checkbox"/> Check for \$50.00 payable to AST. <input type="checkbox"/> Copy of valid government-issued photo identification with a signature, such as a driver's license or a passport. <input type="checkbox"/> Copy of official death certificate(s). <input type="checkbox"/> Inheritance Tax Waiver (ONLY IF required by state of transfer; see Question 12 in the FAQs section to determine if an Inheritance Tax Waiver is required). <input type="checkbox"/> Signature by executor, administrator, or personal representative of currently deceased owner. <input type="checkbox"/> Certificate of Appointment (or Small Estate Statutes of the state in which the shareholder was domiciled). <input type="checkbox"/> Completed and notarized Affidavit of Domicile.
<p>IF TRANSFER BY TRUSTEE(S), CO-TRUSTEE(S), OR SUCCESSOR TRUSTEE(S)</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Signatures of all registered owners in the Transfer of Ownership Form. Please see section 10A, on page 2 of 2. <i>If registered owner(s) is/are deceased, a legal representative may sign ONLY IF they state legal capacity in which they signed.</i> <input type="checkbox"/> Check for \$50.00 payable to AST. <input type="checkbox"/> Copy of valid government-issued photo identification with a signature, such as a driver's license or a passport. <input type="checkbox"/> Copy of official death certificate (ONLY IF transfer due to death of grantor/co-trustee). <input type="checkbox"/> Copy of Trustee Amendment (ONLY IF transfer due to resignation of trustee).

If your certificate(s) is lost, please see Question 6 in the FAQs section for instructions to replace the shares prior to submitting your transfer forms.

TRANSFER OF OWNERSHIP FORM

Substitute W-9 Form included.



Page 2 of 2

REQUIRED SIGNATURES

10. A. Signatures of ALL current stock holders or legal representatives

State the legal capacity of the signee unless the signee is the current stock holder.

If the current owner is not signing the Transfer of Ownership form, the legal representative signing on their behalf must state next to their signature the capacity in which they are authorized to sign. Please see Question 3 in the FAQ section for the acceptable forms of Legal Representation.

I do hereby irrevocably constitute and appoint American Stock Transfer & Trust Company, LLC (AST), attorney to transfer said stock on the books of the corporation with full power of substitution in the premises.

Capacity of Legal Representative

 / / / /

Signature(s)

MM/DD/YYYY

10. B. Medallion Signature Guarantee

All signatures must be Medallion Signature Guarantee provided by an eligible Guarantor or Institution OR a Medallion Signature Guarantee Waiver may be obtained for transfers of \$10,000 or less (see page 7 of this package for more details). No other form of signature verification, including notary seal, can be accepted. Medallions can be obtained through an eligible financial institution, such as a commercial bank, trust company, securities broker/dealer, credit union, or savings institution participating in the Medallion Signature Guarantee program.

PLACE STAMP HERE

SUBSTITUTE W-9 FORM

11. Federal Tax Classification

If stock holder is not a U.S. citizen, refer to <https://www.astfinancial.com/knowledge-center/forms> for a W-8 Form. Select the tax classification of the new stock holder.

INDIVIDUAL/SOLE PROPRIETOR

LIMITED LIABILITY COMPANY
(C = C Corporation, S = S Corporation, P = Partnership)

Enter the Tax Classification

S CORPORATION

EXEMPT PAYEE
Exempt payee code or Exemption from FATCA reporting code. Codes apply only to certain entities not individuals.

Enter Code

C CORPORATION

OTHER

Enter Classification

PARTNERSHIP

TRUST/ESTATE

12. Taxpayer Identification Number (TIN)

Enter the TIN of the new stock holder in the box. The TIN provided must match the new stock holder's name to avoid backup withholding. For individuals, this is your Social Security Number (SSN). For other entities, this is your Employer Identification Number (EIN).

Enter TIN

13. Certification

Under penalties of perjury, I certify that: (1) The number shown on this form is my correct Taxpayer Identification Number (or I am waiting for a number to be issued to me); and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and (3) I am a U.S. citizen or other U.S. person; and (4) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN.

 / / / /

Signature(s)

MM/DD/YYYY

The new owner must sign the Substitute W-9 Form. Failure to complete this form will result in backup withholdings per IRS regulations. If the new account is to be registered to Joint Tenants, use the Taxpayer Identification Number (TIN) of the first owner named on the account. If you are not a U.S. citizen or do not have a Social Security Number, please use the appropriate W-8 Form.

THIS IS THE END OF THE FORM

AFFIDAVIT OF DOMICILE FORM



Please submit a new form for each account and company of stock you are transferring.

DECEASED STOCK HOLDER INFORMATION

1. Company Name of Stock Held
List full name of the company for which stock is held.
Company Name

2. AST Account Number
List AST account number of the deceased stock holder as it reads on account mailing.
AST Account Number

3. Full Name
List full name of the deceased stock holder.
Name of Deceased Stock Holder

4. Date of Death
List date of death of deceased stock holder. / /
MM/DD/YYYY

5. Legal Address
List last address of the deceased stock holder.
Street Address/PO Box Apt/Unit Number

City State

Zip Code Country

LEGAL REPRESENTATIVE INFORMATION

6. Legal Identification
Select representative's legal identification. EXECUTOR ADMINISTRATOR PERSONAL REPRESENTATIVE SURVIVOR TRUSTEE

7. Full Name
List full name of legal representative.
Name of Legal Representative

8. Address
List legal address of legal representative.
Street Address/PO Box Apt/Unit Number

City State

Zip Code Country

9. Signature of the Legal Representative
 / /
Signature of Legal Representative MM/DD/YYYY

I, being duly sworn, depose and say that I am the executor, administrator, personal representative, or survivor (as checked above) of the Estate of the registered owner, whose name, date of death, and legal residence are listed above. This affidavit confirms that American Stock Transfer & Trust Company, LLC ("AST") is the transfer agent that has permission to transfer or deliver securities registered in the name of, or owned by, said decedent at the time of his/her death.

OFFICIAL NOTARY PUBLIC CERTIFICATION AND SEAL

10. Sworn before me on this date DAY OF , 20

Signature of Notary Public
Signature(s)

State Country

Expiration of Commission / /
MM/DD/YYYY

AFFIX NOTARY PUBLIC SEAL BELOW

THIS IS THE END OF THE FORM

FAQs

-
- 1. What is a Medallion Signature Guarantee, and where can I obtain one?**
- A Medallion Signature Guarantee is a special signature guarantee for the transfer of securities. It is a representation by the Guarantor that the signature is genuine and the signer is an appropriate person with the legal capacity to sign. You can obtain the guarantee through an eligible financial institution, such as a commercial bank, trust company, securities broker/dealer, credit union, or savings institution participating in the Medallion Signature Guarantee program.
-
- 2. Is my transfer request eligible for a Medallion Signature Guarantee Waiver, and how can I obtain one?**
- A Medallion Signature Guarantee Waiver is offered for transfers of shares with aggregate value of \$10,000 or less on the date on which the transfer request is signed. You can obtain a waiver for the Medallion Signature Guarantee requirement by submitting the necessary transfer documents, a check for \$50 (payable to American Stock Transfer & Trust Company, LLC), a copy of a valid government-issued identification with a signature (such as a driver's license or a passport), AND supporting documents reflecting your capacity to act on behalf of the shareholder, if applicable.
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- 3. What is a Legal Representative?**
- A "Legal Representative" is defined as a person empowered to act for another person who is recognized by law with respect to the individual's property or interests. A representative can be an executor, administrator, personal representative, trustee of a trust, power of attorney, receiver, guardian, custodian; or conservator agent, an officer, a partner, or an associate of an organization.
-
- 4. What is a W-9 Form, and why is it required?**
- A W-9 Form certifies the Taxpayer Identification Number (TIN, also known as a Social Security Number or Employer Identification Number) listed on an account. A W-9 Form is required each time a new registration or new account is established. The IRS requires that AST withhold a portion of the earnings on accounts that have not been certified by submitting a completed W-9 Form.
-
- 5. What if I am not a U.S. citizen or do not have a Social Security Number?**
- If you are not a U.S. citizen or do not have a Social Security Number, please use the appropriate W-8 Form (www.astfinancial.com/knowledge-center/forms). In this case, leave the Substitute W-9 Form section on the Transfer of Ownership form blank. If an account is not certified, the new owner, who is a non-U.S. taxpayer, will be subject to U.S. withholding from all earnings or sale proceeds as regulated by the IRS.

FAQs

6. What if I cannot locate my certificate?

To provide you with replacement certificates, we must be notified of the loss in writing. You may also report the loss online by accessing your account at www.astfinancial.com. A bond of indemnity to replace lost shares must be obtained at your expense.

7. Are dividend options available to the new owner?

Dividend policies depend on the particular stock held. Listed below are AST's guidelines for dividend payments, provided that the company pays dividends.

When a company has a Dividend Reinvestment Plan (DRIP) that allows for reinvestment of dividends, the following applies: The new owner may choose the reinvestment option as provided on the Transfer of Ownership with a W-9 Form.

The new owner may also enroll in the plan by accessing their account from our website at www.astfinancial.com.

When a company does not have a DRIP, the following applies: The new account will be set up to receive dividend checks. Can cash dividends be set up for direct deposit for the new account? If the company offers direct deposit of dividends, the new owner can arrange for direct deposit by downloading a direct deposit form from our website at www.astfinancial.com/knowledge-center/forms.

Please be advised some companies do not offer direct deposit of dividends.

8. What is a Certificate of Appointment?

A Certificate of Appointment is a court-issued document that proves the authority of the estate trustee to administer the provisions of the deceased's will. Contact the state in which the registered owner was domiciled to determine whether or not you need a Certificate of Appointment.

9. What is the Affidavit of Domicile Form, and when should I complete one?

An Affidavit of Domicile is a sworn statement that is to be signed before an official notary public. The purpose of this form is to enable AST to secure the transfer of shares owned by the deceased at the time of his or her death under the laws of the deceased's legal residence. You are required to complete and submit an Affidavit of Domicile to AST when transferring shares involving a deceased shareholder.

10. What if I don't wish to transfer my shares but need to change the name on the account?

To change or correct a name or to alter an account title in any form is considered a transfer, and a Medallion Signature Guarantee is required. If shares are in certificate form, the original certificate(s) must be submitted in order to execute the name change request.

FAQs

11. How can I access my account online?

Follow the steps below to access information about your account:

- Go to www.astfinancial.com and click on Login in the top-right corner.
- Next, below Shareholder Central, click on Register - First-Time Users, and follow the instructions to create your unique identification number and password.
- Once registered and your unique ID and password are entered, your Account Information page will appear.
- If you are already registered, click Login below Shareholder Central, and enter your unique ID and password.

12. What is an Inheritance Tax Waiver, and how can I determine if one is needed?

An Inheritance Tax Waiver is an authorization by the tax department of a deceased's estate to transfer the securities of the deceased without charging any taxes.

Most states do not require an Inheritance Tax Waiver. However, if the deceased resided in Puerto Rico or any states listed below, you must submit the Inheritance Tax Waiver to AST when transferring those shares.

- Alabama
- Hawaii
- Illinois
- Indiana
- Missouri
- Montana
- New Jersey
- New York
- North Dakota
- Ohio
- Oklahoma
- Pennsylvania
- Rhode Island
- Tennessee

To determine the specific Inheritance Tax Waiver requirements for the states listed above, please contact the appropriate tax authority, such as the Department of Revenue, Tax Commission, Department of Treasury, etc.

13. How can I transfer and sell my shares?

If the company has a Direct Stock Sale Plan, you can sell the shares through AST. Please include a signed letter of instruction with your transfer request and provide the name of the security, account number, and the number of shares you would like to sell.