



## ***Legal Transfer Form***

Broadridge Corporate Issuer Solutions  
P.O. Box 1342  
Brentwood, NY 11717-0718  
Phone: (877) 830-4936

Dear Shareholder,

Thank you for contacting Broadridge Shareholder Services regarding a transfer. Enclosed is the document you requested. Please read the content carefully and follow all of the instructions provided.

1. Make sure your form has all of the required signatures. If you are signing for the shareholder, please include your title (i.e., Power of Attorney, Custodian, Executor) after your signature and the proper documentation supporting your title if applicable (i.e. appointment documents). Your Legal Transfer will require a Medallion Signature Guarantee (MSG). Sign the form in the presence of the individual who will provide the Guarantee (usually your banker or broker).
2. You must include all stock certificates with the completed transfer paperwork. If you do not have all of your certificates, please contact us and we will send you the paperwork required to replace the certificates and complete the transfer of your stock.
3. Unless otherwise instructed, transferred shares will be issued in DRS-book entry form. If the account is currently set up for any special handling (i.e., dividend reinvestment, direct deposit, etc.), these account features will not automatically transfer over to the new account. If you would like us to carry any special handling forward, please include a letter of instruction, with appropriate signatures, requesting this and we will set up the new account accordingly.
4. Should you wish to transfer your shares to your brokerage account, please have your broker initiate the transfer request. Our DRS number is 7824.
5. If the company in which you have invested offers physical certificates and you would like to receive stock certificate(s) representative of your holdings, there may be a fee involved. Please contact Broadridge to confirm the availability of a stock certificate.

If you have any questions regarding your shareholder account, please contact us at:

Telephone Number: (877) 830-4936

E-mail: [shareholder@broadridge.com](mailto:shareholder@broadridge.com)

Please retain a copy of all documents for your records. Please return the above items to:

**Regular Mail**

**Broadridge Shareholder Services  
c/o Broadridge Corporate Issuer Solutions  
P.O. Box 1342  
Brentwood, NY 11717-0718**

**OR**

**Overnight Mail**

**Broadridge Shareholder Services  
c/o Broadridge Corporate Issuer Solutions  
1155 Long Island Avenue  
Edgewood, NY 11717-8309  
ATTN: IWS**

Sincerely,

Correspondence Department  
Broadridge Corporate Issuer Solutions  
Shareholder Services

# Legal Transfer Form

Broadridge Corporate Issuer Solutions  
P.O. Box 1342  
Brentwood, NY 11717-0718  
Phone: (877) 830-4936



TRANSFER SITUATION	ADDITIONAL DOCUMENTS REQUIRED WITH A MEDALLION SIGNATURE GUARANTEE	
Add or Remove a Shareholder.	- None.	
Name Correction.	- None.	
Transfer to a Former Minor in a Custodian Account.	- Proof that the former minor is now age of majority (i.e., copy of Birth Certificate).	
Deceased Shareholder. Estate is not going to be Probated.	<ul style="list-style-type: none"> <li>- Copy of the Death Certificate.</li> <li>- Completed Waiver of Probate.</li> </ul>	<ul style="list-style-type: none"> <li>- Notarized Affidavit of Domicile.</li> <li>- Inheritance Tax Waiver (if applicable).</li> </ul>
Deceased Shareholder Residence is in California or Illinois, and Estate will not be Probated, and Total Estate Value is \$100,000 or Less (IL) or \$150,000 or Less (CA).	<ul style="list-style-type: none"> <li>- Copy of the Death Certificate.</li> <li>- Notarized Affidavit of Domicile.</li> <li>- Inheritance Tax Waiver (if applicable).</li> <li>- Notarized Small Estate Affidavit.*</li> </ul>	<ul style="list-style-type: none"> <li>*CA: Required if decedent was legal resident of CA who died before June 9, 1992.</li> <li>*IL: Required if decedent was a legal resident of IL who died before January 1, 1983.</li> </ul>
Deceased Shareholder. Account has been Probated but is still Open.	<ul style="list-style-type: none"> <li>- Copy of the Death Certificate.</li> <li>- Notarized Affidavit of Domicile.</li> <li>- Inheritance Tax Waiver (if applicable).</li> </ul>	- A certified copy with the original signature and seal affixed, of the Certificate of Appointment document, dated w/in one year (six months for NY).
Deceased Shareholder. Account has been Probated and Closed.	<ul style="list-style-type: none"> <li>- A copy of the Final Account Distribution Statement.</li> <li>- Copy of the Death Certificate.</li> </ul>	<ul style="list-style-type: none"> <li>- Notarized Affidavit of Domicile.</li> <li>- Inheritance Tax Waiver (if applicable).</li> </ul>
Joint Tenants - One Deceased.	- Copy of the Death Certificate.	- Notarized Affidavit of Domicile.
Joint Tenants - Both Deceased.	- Copy of the Death Certificate and Notarized Affidavit of Domicile for the shareholder who passed away first.	- For the second decedent, the documentation will be the same as for an individual deceased shareholder (see requirements above based on situation).
Deceased Trustee or Change of Trustee.	<ul style="list-style-type: none"> <li>- Copy of the deceased Trustee's Death Certificate.</li> <li>- Notarized Affidavit of Domicile.</li> <li>- Copy of the 1st and last pages of the Trust Agreement as well as any page where successor Trustee(s) is/are designated.</li> </ul>	
Transfer on Death Registration (TOD) and Shareholder is Deceased.	<ul style="list-style-type: none"> <li>- Copy of the Death Certificate.</li> <li>- Notarized Affidavit of Domicile.</li> </ul>	
Corporate Registration Change.	<ul style="list-style-type: none"> <li>- The certificate of name change issued by the Secretary of the State of Incorporation OR a current copy of the corporate resolution signed by the authorizing officer(s) stating that the company's name has been changed. The seal of the corporation must be placed on the resolution or by-laws and dated within one year of the request.</li> <li>- All certificates (if applicable).</li> </ul>	

**CURRENT ACCOUNT INFORMATION**
**1. Account Number:** (2-10 digits after the dash)

 - 
**2. Tax ID/SSN:**

**3. Account Registration:** (Example: John Smith OR John Smith and Mary Smith JT)

**4. Street Address:**


City:

State:

Zip Code:

 - 

Country:

**5. Company:**

**TRANSFER SPECIFICS**
**6. Total Shares to be transferred:**
 Transfer **ALL** Shares (All book entry and any certificated shares submitted).

Book Entry Shares: (Whole shares)

,  . 


Certificated Shares: Example: 120.000

,  . 

Plan Shares:

,  . 

Cost Basis of Shares:

 \$ ,  . 


**IMPORTANT:** If your shares are held in certificate form, the original certificate(s) must be submitted for your transfer to be completed.

**7. Your signature is REQUIRED:**

Each registered owner must sign their name EXACTLY as it appears on the account. The authorized person(s) must sign in his/her legal capacity. The undersigned hereby irrevocably constitute and appoint Broadridge as attorney to transfer the shares with full power of substitution in the premises.

Signature: \_\_\_\_\_

\*Title: \_\_\_\_\_

Signature: \_\_\_\_\_

\*Title: \_\_\_\_\_

Date: \_\_\_\_\_ Tel: (\_\_\_\_\_) \_\_\_\_\_

\*The authorized person(s) must sign in his/her legal capacity.  
 Executor (Estate) / Trustee (Trust)

**Medallion Signature Guarantee**

Signature(s) must have a Medallion Signature Guarantee from a Commercial Bank, Trust Company, or Broker, if applicable.

**IMPORTANT:** You must complete both pages of this form.



**NEW HOLDER/RECIPIENT INFORMATION**
**8. New Shareholder(s) Account Type - CHECK ONE:**

<input type="checkbox"/> Individual	<input type="checkbox"/> Joint	<input type="checkbox"/> Trust	<input type="checkbox"/> Custodial	<input type="checkbox"/> Tax-Exempt Charity
<input type="checkbox"/> Estate	<input type="checkbox"/> Corporation	<input type="checkbox"/> Other: _____ <small>(Please explain)</small>		
<input type="checkbox"/> Transfer on Death - Subject to STA TOD rules				

**9. New Shareholder(s) Information:** Please indicate if this is a new account or existing account:  New  Existing

Company:

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 Account Number - if existing: (2-10 digits after the dash) 



 - 





New Account Registration: (First, MI, Last) Individual / Trustee / Custodial / Executor / Other

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Name: (First, MI, Last) Joint Tenant / Co-Trustee / Minor / Beneficiary / Other (if applicable)

--

Trust / Estate Name (if applicable):

--

 Tax ID/SSN:  SSN  EIN 



 Date of Trust (if applicable): 



 / 



 / 



  
MM DD YYYY

Street Address:

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 City: 



 State: 



 Zip Code: 



 - 





Country:

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Book Entry Shares:	Enroll in Plan:	Plan Shares:	Full Reinvestment:	Partial Reinvestment:
<table border="1" style="display: inline-table; width: 30px; height: 20px;"></table> , <table border="1" style="display: inline-table; width: 30px; height: 20px;"></table> . <table border="1" style="display: inline-table; width: 40px; height: 20px;"></table>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<table border="1" style="display: inline-table; width: 30px; height: 20px;"></table> , <table border="1" style="display: inline-table; width: 30px; height: 20px;"></table> . <table border="1" style="display: inline-table; width: 40px; height: 20px;"></table>	<input type="checkbox"/>	_____ %

\*By electing to enroll in the plan, I admit to reading the company's applicable plan document and agree to its terms. If no signature is provided, then the shares will be placed into book entry.

Sign here \_\_\_\_\_

Date \_\_\_\_\_

**TAX PAYER ID CERTIFICATION (SUBSTITUTE W-9)**

Please read the instructions carefully before completing the substitute W-9 form. All shareholders are required to sign and return this W-9 certification. If requested information is not known at time of transfer, or new owner is not available to sign, a W-9 form will be mailed to the new shareholder(s) once the shares are transferred. A new shareholder may also go online at [www.shareholder.broadridge.com](http://www.shareholder.broadridge.com) to print a W-9 form. The Tax ID below should match the Tax ID provided in Section 9.

**Your account may be subject to backup withholding, at the applicable rate, if you do not complete this substitute W-9 form.**
**New Shareholder's Tax ID:**



 If you are exempt from backup withholding, check here 

 Exemption from FATCA reporting code (if any) is **NOT APPLICABLE**. Applies to accounts maintained outside the U.S.

CERTIFICATION: Under penalties of perjury, I certify that: (1) The number shown on this form is my correct taxpayer identification number, (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 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, (3) I am a U.S. person (including U.S. resident alien) and (4) the FATCA code entered on this form (if any) is correct and indicates that I am exempt from FATCA reporting.

Sign here \_\_\_\_\_

Date \_\_\_\_\_

Sign here \_\_\_\_\_

Date \_\_\_\_\_

(A second signature is required for a Joint Tenant Account)

# Affidavit of Domicile

Broadridge Corporate Issuer Solutions  
P.O. Box 1342  
Brentwood, NY 11717-0718  
Phone: (877) 830-4936



State of: \_\_\_\_\_ County of: \_\_\_\_\_

Name of Stock (Issuer): \_\_\_\_\_

Name(s) on the Account: \_\_\_\_\_

Deceased Holder's Tax Identification Number (TIN) or Social Security Number: \_\_\_\_\_

I/We, the undersigned \_\_\_\_\_ being duly sworn, depose and say that (I/We) reside at \_\_\_\_\_ in the state of \_\_\_\_\_ and am/are

\_\_\_\_\_ (describe your status such as Executive Administrator, Survivor in Joint Tenancy, if a corporate fiduciary, show title of affiant and name of corporation) of \_\_\_\_\_

who died on the \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_ that at the time of death the domicile (legal residency) of said decedent was at \_\_\_\_\_

County of \_\_\_\_\_, State of \_\_\_\_\_ that the decedent resided at such address for \_\_\_\_\_ years prior to death and was not a resident of any (other) State within the United States of America at the time of death.

That any and all debts, taxes, legacies, and claims against the estate have been paid or provided for; that this affidavit is made for the purpose of securing the transfer or delivery of property owned by the decedent at the time of his/her death to a purchaser or the person or persons legally entitled thereto under the laws of the decedent's domicile; and that any apparent inequality in distribution has been satisfied or provided for out of other assets in the estate.

**Signature(s): (Executor, Administrator, or Survivor)**

**Place Notary Seal Here**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Capacity Line**

\_\_\_\_\_  
**Notary Signature**

Sworn to before me, a notary public, this \_\_\_\_\_ Day of \_\_\_\_\_, 20 \_\_\_\_\_

**Notary Public Commission Expires:** \_\_\_\_\_

# Stop Release Letter

Broadridge Corporate Issuer Solutions  
P.O. Box 1342  
Brentwood, NY 11717-0718  
Phone: (877) 830-4936



**Broadridge**<sup>®</sup>

Issuer Name: \_\_\_\_\_

Certificate number(s): \_\_\_\_\_

Number of Shares: \_\_\_\_\_

Name(s) on the Account: \_\_\_\_\_

To Whom It May Concern,

The listed certificate(s) has/have been found. Please use this letter as authorization for Broadridge to release the restriction that has been placed on the certificate(s) which was/were previously reported as lost and/or stolen.

Sincerely,

**Sign here:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Sign here:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Capacity Line:** \_\_\_\_\_