



SECURITIES NAME, SYMBOL and EXCHANGE:	NUMBER OF SHARES	EXCHANGE
Example: (General Electric) GE	1,000	NYSE
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Full Name of how the securities are Held?** (Individual, Trust, etc...)

\_\_\_\_\_

**Is Applicant a Current Shareholder?** Yes \_\_\_\_ No \_\_\_\_ If YES, Percentage of Ownership: \_\_\_\_\_%

**Is the security(s) pledged for any private placement, institutional sale, cross collateralized, or subject to any other liens, mortgages[s], re-hypothecation, or otherwise encumbered in any fashion?** Yes \_\_\_\_ No \_\_\_\_

If YES, please describe:

\_\_\_\_\_

**When was the security(s) acquired?** \_\_\_\_\_

**Is the stock Free-Trading?** Yes \_\_\_\_ No \_\_\_\_

**Is the stock Restricted?** Yes \_\_\_\_ No \_\_\_\_

If YES, Explain Why: \_\_\_\_\_

\_\_\_\_\_

**When does the Restriction Expire?:** \_\_\_\_\_

**Location of the Security(s) (Name of the Bank, Brokerage, etc.):**

\_\_\_\_\_

**Contact Name:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**Contact Person's Email:** \_\_\_\_\_

**Name of Transfer Agent:** \_\_\_\_\_

**Contact Name:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**Contact Person's Email:** \_\_\_\_\_

**I HEREBY CERTIFY THAT THIS APPLICATION IS CORRECT TO THE BEST OF MY KNOWLEDGE:**

**Print Name:** \_\_\_\_\_

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