

# REQUEST TO TRANSFER STOCK / STOCK POWER FORM

ClearTrust, LLC is a Paperless Legals Agent (PLA) and is DRS-Eligible



Mail completed form to:  
ClearTrust, LLC  
16540 Pointe Village Dr, Ste 210  
Lutz, FL 33558 (813) 235-4490

Please mail this entire original form with your certificate (s), if applicable. It is advisable to send any certificate (s) via registered mail, insured for 2.5% (4.5% foreign) of its market value. If you need additional assistance, please call ClearTrust at (813) 235-4490 or visit [www.cleartrustonline.com](http://www.cleartrustonline.com).

**A. Transfer Type** - ☐ Gift, Private Sale or Inheritance ☐ Brokerage Deposit via DWAC ☐ \* Restricted Legend Removal

**B. Current Owner Information** - Please print exactly as it appears on the certificate or account. ☐ Address Change

Name

Address

City, State, Zip

Tax Identification Number / Social Security Number

Account Number (If Known)

Phone and/or Email Address

**C. Shares to be Transferred** - Please identify Company and indicate the number of shares you wish to transfer.

Stock Symbol / Issuer Name

Select all that apply:

☐ Transfer ALL shares

☐ Transfer \_\_\_\_\_ Book-Entry shares

☐ Transfer Certificate #(s) \_\_\_\_\_

Please submit the original certificates with this transfer request.

☐ I lost my Certificate (s) for \_\_\_\_\_ shares and require assistance in replacing them.

If you have lost or misplaced your certificates, an **Affidavit of Lost Certificate** must be completed, which may be obtained from ClearTrust at [www.cleartrustonline.com](http://www.cleartrustonline.com).

☐ **RUSH** process this request. Enclosed is the additional \$100 fee per certificate or book position. (Your request will be move to the top of the queue. Standard legend removal processes still apply)

Note: If less than all the shares are being transferred, a stock certificate or book entry credit for the balance will be issued in the owner's name and a certificate or transaction confirm as applicable will be returned to the presenter of the transfer request. **Important: Oldest shares will be transferred first unless you provide instructions to the contrary for each transaction.**

**D. Signature (s)** – This section must be signed and stamped for your transfer to be executed.

\* Medallion Stamp NOT required for Restricted Legend Removal

If the current owner is deceased, the signature of the appropriate legal party and a certified copy of the death certificate are required. An Affidavit of Domicile form may also be required. The undersigned does (do) hereby irrevocably constitute and appoint ClearTrust, LLC as attorney to transfer the said stock, as the case may be, on the books of said Company, with full power of substitution in the premises. The signature (s) on this Transfer Request form must correspond exactly with the name (s) as shown upon the face of the stock certificate or a ClearTrust-issued statement for book-entry shares, without alteration or enlargement or any change whatever. This section must be signed by all current registered holders, or a legally authorized representative with indication of his or her capacity next to the signature. Must be signed by all current registered owners or executor, administrator, power of attorney, heirs, etc.

**IMPORTANT** - Medallion Signature Guarantee: The signatures above must correspond with name (s) as written in section "A" above in every particular without alteration or changes. The signatures must be guaranteed by an Eligible Financial Institution or member of a registered National Securities Exchange approved by the Securities Transfer Association, Inc. pursuant to Securities and Exchange Commission Rule 17Ad-15. No other form of signature guarantee will be accepted.

Signature, Name, and Title of Legal Representative (if applicable)

Signature, Name, and Title of Legal Representative (if applicable)

Date

Reserved for Medallion Signature Guarantee

☐ USPS Priority Mail - Add'l \$10 enclosed

☐ FedEx/UPS - Shipping label enclosed

☐ FedEx/DHL Overnight - Add'l \$35 for Domestic FedEx or \$50 DHL International enclosed

☐ Special Mailing Instructions: Name \_\_\_\_\_  
Address \_\_\_\_\_  
Address \_\_\_\_\_

☐ FedEx – Use My Account # \_\_\_\_\_

☐ Email book statement to \_\_\_\_\_

G. Substitute W-9 Form - As a security holder of the above corporation, you must sign and return this certification to exempt you from backup withholding on any payments we may make to you. Please note this will not affect the transfer. Only distributions made on the new account will be impacted by the absence of a certified Tax Identification Number or Social Security Number.

**NOTE: The absence of a TIN/SSN number or signature in this Section will NOT impact Transfer Request.**

Tax Identification Number/Social Security Number: \_\_\_\_\_ Check one box ☐ SSN ☐ EIN

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 Form W-8.

☐ Individual/Sole Proprietor ☐ C Corporation ☐ Partnership ☐ S Corporation ☐ Trust/Estate

☐ Limited Liability Company: \_\_\_\_\_ Enter the tax classification (C =C Corporation, S =S Corporation, P =Partnership)

☐ Other: \_\_\_\_\_ ☐ Exempt Payee-Exempt payee code or Exemption from FATCA reporting code (if any) \_\_\_\_\_

**Certification** - Under penalties of perjury, I certify that (1) the number shown below is my correct Tax Identification Number: and (2) I am not subject to backup withholding either because of (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. person (including Resident Alien); and (4) I am exempt from FATCA reporting.

Signature **X** \_\_\_\_\_ Date \_\_\_\_\_

## How To Complete This Form

### Section A: Transfer Type

Gift, Private Sale, or Inheritance: Complete Form and Submit Original Certificate (s). Affidavit of Domicile may be required.

Brokerage Deposit via DWAC: Complete Form and Submit Original Certificate (s). *Note: Available for DWAC eligible issues only.*

Restricted Legend Removal: Submit Original Certificate (s), 144 Seller's Representation Letter and Legal Opinion (if required).

### Section B: Current Owner Information

This is the account the shares are being transferred from:

List the names and address on the current account. If requesting a change of address, please mark box.

List the social security number or account number, if known, for the current account.

### Section C: Shares to Be Transferred

Check the box only if you are transferring all shares. If checked, skip items 1 - 3.

**If an Issuer is not DTC eligible then the shares cannot be transferred between ClearTrust and brokerage accounts electronically. The shares will be issued in a certificate.**

1. Enter the stock symbol or issuer name of the Stock you wish to transfer.
2. Select "transfer all shares" if you are transferring all of your book-entry, DRS, and/or certificated shares.
3. Select "transfer \_\_\_ book entry shares" and enter the number of shares to transfer your book-entry or DRS shares.
4. Select "transfer certificate #(s)" and enter the certificate numbers you wish to transfer.
5. Select "I have lost my certificate for \_\_\_\_ shares" and enter the number of shares lost. If this doesn't apply, leave blank.
6. Select "rush process this request" if you wish to pay an additional fee to have your item processed sooner.

### Section D: Medallion Signature Guarantee

All owners must sign their name and have their signature guaranteed in the medallion format. If an owner is unable to sign, a legal representative such as a Power of Attorney, Custodian, or Successor Trustee may sign on behalf of the shareowner. List the title of the legal representative below their signature. **\*Medallion Stamp NOT required for Restricted Legend Removal**

### Section E: Cost Basis Information

See the enclosed "Frequently Asked Questions about Cost Basis" for further information. Enter the Date of Death and the Fair Market

Value (FMV) on the valuation date. The FMV will be a dollar amount. The date of the FMV is not needed.

For shares held jointly: Enter the number of shares in which the decedent had interest in

### Section F: New Owner/Registration Information

New account type: Select the box that fits the type of registration.

Enter the number of shares to be transferred to the new account. Complete a separate page 2 for each additional new account. If shares are **not** transferring to a new account, select the appropriate box and skip this section.

### Section G: Substitute Form W-9

The notification of backup withholding should be left blank if not applicable. The new owner, whose SSN or EIN is listed in section D, should sign and date this section. NOTE: The absence of a TIN/SSN number or signature will NOT impact Transfer Request.

# Frequently asked questions about transferring stock

Listed below are answers to frequently asked questions regarding:

- Account balance information
- Types of account registrations
- Stock certificates
- Registration questions
- Stock power form

## **How do I find the current balance?**

If you own certificates, the number of shares owned is printed on the front of each certificate. If the shares are held electronically, please refer to the most recent statement for the current balance. If you do not have a statement or know how the shares are held, please contact us for further instructions.

## **What if I can't find the certificates?**

The stock certificates will need to be replaced before a transfer is completed. There may be a fee or additional documents required to replace lost certificates. More information: <http://www.cleartrustonline.com/lost-found-certificates/>

## **Should I sign the back of the certificates?**

For security purposes, we recommend you do not sign the back of the stock certificates. If transferring shares, your endorsement should be made in Section D.

## **What is a Medallion Signature Guarantee?**

A Medallion Signature Guarantee is a stamp from an eligible Guarantor Institution, such as a bank or a brokerage. To get the stamp, you will need to bring the Stock Power Form to the eligible Guarantor and complete Section C in their presence. We suggest contacting your Guarantor Institution for their stamp requirements. Please note the stamp must be legible and may not be dated or annotated (noted). A Notary Seal is not a substitute for a Medallion Signature Guarantee.

## **How do I transfer stock to multiple new owners?**

Complete page one of the Stock Power Form, and then complete a separate page two for each new account. Each completed form will need to have the exact number of shares (not a percentage), the full registration (names on the account), address, and social security or Tax Payer ID number for each new account. Please note that the Stock Power Form must be completed for each account number and for each class of stock you are transferring.

## **How do I transfer shares if I live outside the United States?**

If you live outside the United States and are unable to obtain a Medallion Signature Guarantee, please contact us for further instructions.

## **What is a Substitute Form W-9?**

A Substitute Form W-9 is an IRS tax form that certifies the social security number or Employer ID Number for a United States citizen (including a resident alien). A W-9 is required for each new account to prevent backup withholding.

## **What happens if the W-9 is not completed?**

Accounts without a current W-9 on file will be subject to federal tax withholdings which will be deducted from sale proceeds and dividends. To prevent withholding, it is important to complete Section G on the Stock Power Form.

## **What are the different ways I can register my stock?**

Shareowners have a number of ways to register their stock. Some of the more common types of ownership are listed below.

**Individual:** Only one individual name is listed on the account. Upon the death of the individual the shares are subject to probate proceedings.

**Joint Tenant:** Two or more individuals are listed on the account. Upon the death of one joint owner, the survivors are entitled to the shares.

**Tenants by the Entirety:** A form of ownership recognized by certain states as an appropriate form of registration for a married couple. Upon the death of one spouse, the survivor is entitled to the shares.

**Tenants in Common:** A form of ownership where two or more individuals are listed on the account. Each tenant owns an undivided interest. Upon the death of one tenant, the decedent's ownership passes to the heirs of the decedent's estate and not the surviving owners on the account.

**TOD Beneficiary (Transfer on Death):** A form of individual or joint tenant ownership where a beneficiary has been designated. Only one beneficiary can be designated per account registration. Upon the death of the security owners, the ownership passes to the TOD beneficiary. TOD is not offered outside of the United States.

**Custodial:** A form of ownership that can be established for a minor who has not reached the age of majority as defined by the laws of their state of residence. We do not recommend registrations in a minor's name alone. A custodial registration may be created under the Uniform Transfer to Minors Act (UTMA) for their state. UTMA has replaced the Uniform Gift to Minors Act (UGMA) in most states for new accounts.

**Trust:** A form of ownership governed by a trust agreement created during the lifetime of a grantor or created under a decedent's will. The account registration must include the names of the Trustees, the name of the Trust, and the date of the Trust. The date must be the original Trust date and not an amendment date. A date will not be applicable for a Trust which falls under a will.

**Estate:** A registration used by the court-appointed executor or personal representative for the decedent's estate. The registration must include the name of the executor or personal representative and the name of the estate. The representative listed on an estate registration has the authority to make changes and perform transactions on the account. Example: John Smith Executor for the estate of Jane Smith.

### **Can I add a beneficiary to my account?**

You can choose a TOD Beneficiary (Transfer on Death) registration which will allow a beneficiary to be named.

### **How do I remove the Custodian if I am now over the age of majority?**

If you have reached the age of majority, complete a Stock Power Form to create a new account. While getting a Medallion Signature Guarantee in Section C, please sign the Stock Power Form as your name is listed on the current account. The registered custodian does not need to sign the form.

### **If I have changed my name, how do I change my registration?**

To change the name on the account, complete the Stock Power Form to create a new account. While getting a Medallion Signature Guarantee in Section C, please sign your name as listed on the current account, and sign again using your new name, adding "now known as." Example: Jane Doe, now known as Jane Smith.

### **How do I correct an error in my registration?**

You can correct the name on the account by completing the Stock Power Form. While getting a Medallion Signature Guarantee in Section C, please sign your correct name, and again as listed on the current account, adding "incorrectly registered as." Example: Jane Doe incorrectly registered as Janey Doe.

### **How do I transfer shares when one or more of the Shareowners are deceased?**

While getting a Medallion Signature Guarantee stamp in Section C, the legal representative for the estate will sign and list their title. The new account name and registration may be entered in Section D on the Stock Power Form. When required by the state where the decedent lived, we will also need an Inheritance Tax Waiver.

### **What is an Inheritance Tax Waiver, and where do I get one?**

An Inheritance Tax Waiver is a document issued by the state certifying the estate tax or inheritance tax has been paid or waived by the state. If the decedent was a legal resident of Puerto Rico or one of the states listed below, a Tax Waiver form may be required. To confirm if you will need a Tax Waiver or to get the form, please contact the tax agency of the decedent's state of residence.

### **How do I transfer shares due to a divorce?**

A separate Stock Power Form is required for each new account. Each completed form will need to have the exact number of shares (not a percentage), the full registration (names on the account), address, and social security number for the new account.

### **Will account features I have previously selected automatically carry over from the old account to the new account?**

When a new account is created, the features on the previous account will not be transferred. If you have dividends paid to a bank account, this will need to be added to your new account. You may request information or enrollment forms for the new account by sending a written request with your transfer paperwork.

### **Can I fax or email the Stock Power Form?**

The original documents must be mailed into our office. We are unable to accept faxed copies or emails of the completed Stock Power Form. The signatures and the Medallion Signature Guarantee stamp must be original.

### **Will you return the paperwork?**

The paperwork submitted for a transfer is not returned.

### **How will I know when the transfer is completed?**

When the transfer has been completed, the new certificate (s) or a book entry statement is sent to the new owners showing the credit of shares.

### **How can I contact you for other questions?**

You can reach us by phone, or send us an email.

**Phone:** 813-235-4490

**Email:** [inbox@cleartrusttransfer.com](mailto:inbox@cleartrusttransfer.com)