



# Transfer of Ownership with W-9 Form

## Page 1 of 2: Current Registration

Instructions are located within each section of the form. Please print clearly.

**1 Name of Stock to Be Transferred:**

Enter the full name of the stock to be transferred.

**2 AST Account Number:**

Enter the AST 10-digit numerical account number printed on all account mailings and or original stock certificate(s).

**3 Current Registration:**   
Enter the current registration as it appears on the account(s) to be transferred.

<b># of Certificated Shares</b>	+	<b># of Book Shares</b>	+	<b># of DRIP Shares</b>	=	<b>Total # of Shares</b>
<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>

**\*You MUST submit your original certificate(s) or an Affidavit of Loss with your properly completed documents.**

**Reinvest Dividends (if applicable)**

Yes  No

When a transfer involves Dividend Reinvestment Plan (DRIP) shares, if the new owner intends to have the shares remain enrolled in the company's reinvestment program, they must check the box next to "Yes" in order to reinvest their dividends. For more information about DRIP shares, see question 8 in the FAQs section of the *At-A-Glance*.

**5 Transfer Reason:** Check only one box below. All transfers will be assumed to be gifts if no reason is provided. If we receive documentation (e.g., death certificate) indicating that the registered shareowner is deceased, the transfer reason will default to death. For more information about your Transfer Reason, see question 6 in the FAQs section of the *At-A-Glance*.

**Gift:** Date of Gift: \_\_/\_\_/\_\_  **Death:** Date of Death: \_\_/\_\_/\_\_ Cost Basis Per Share: \_\_\_\_\_ . \_\_\_\_ USD

**Private Sale:** Date of Sale: \_\_/\_\_/\_\_ Cost Basis Per Share: \_\_\_\_\_ . \_\_\_\_ USD

**No Change of Ownership (please specify):** \_\_\_\_\_

**6 Date:**  **Daytime Phone #:**  **Email Address:**

**7 Signature of Assigner(s) and Capacity (if applicable):**

<b>X</b>	<input type="text"/>	<input type="text"/>
	SIGNATURE	CAPACITY
<b>X</b>	<input type="text"/>	<input type="text"/>
	SIGNATURE	CAPACITY

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.

If the current owner is **not** signing this 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. Such capacity as executor or administrator for a deceased owner; power of attorney; heir, and the like, is to be defined and proven to the Guarantor in order to obtain a Medallion Signature Guarantee.

### 8 Medallion Signature Guarantee

All signatures must be Medallion Signature Guaranteed by an eligible Guarantor Institution. No other form of signature verification, including a notary seal, can be accepted.

**Not familiar with a Medallion Signature Guarantee?**

For more information, please see questions 1-2 in the FAQs section of the *At-A-Glance*.

PLACE MEDALLION SIGNATURE GUARANTEE HERE

Once you have completed this form, please send it to AST along with any other appropriate documentation to the address below.

> AST | Attention: Transfer Department | 6201 15th Avenue | Brooklyn, NY 11219



# Transfer of Ownership with W-9 Form

Page 2 of 2: New Registration

Instructions are located within each section of the form. Please print clearly.

**9 New Registration:**  
Enter full name of the new registration.

**10 Type of Registration:**  
Select the registration type.

Individual       Transfer on Death (TOD) *Name of Beneficiary:* \_\_\_\_\_  
 Joint Account       Trust *Trustee:* \_\_\_\_\_ *Trust Date:* \_\_/\_\_/\_\_\_\_  
 Custodian Account       Other: \_\_\_\_\_

Check the box above that corresponds with the type of registration.

- **Joint Account:** "joint tenants" unless otherwise indicated.
- **Trust:** include name of trustees, trust title and date.
- **Transfer on Death ("TOD"):** only one beneficiary may be named on a TOD account.
- **Custodian Account:** Uniform Transfers to Minors Act (UTMA) or Uniform Gifts to Minors Act (UGMA) is based on the state (ST) in which the custodianship was created. For more information on UTMA/UGMA, see question 18 in the FAQs section of the *At-A-Glance*.

### Designating the Type of Registration Examples:

<b>Joint Tenants</b>	John Smith and Mary Smith JT Ten
<b>Tenants in Common</b>	John Smith and Mary Smith Ten Com
<b>Custodian Account</b>	John Smith Cust Mary Smith UTMA/ST
<b>Trust</b>	John Smith TTEE John Smith Trust U/A DTD 01/23/2014

**11 Full Address:**  
Enter the complete address of the new owner.

## 12 Substitute Form W-9

### Check the appropriate box:

Individual/Sole Proprietor or single-member LLC       C Corporation  
 S Corporation       Partnership  
 Limited Liability Company: \_\_\_\_\_  Trust/Estate  
Enter the tax classification (C = C Corporation, S = S Corporation, P = Partnership)       Exempt Payee  
 Other: \_\_\_\_\_ Exempt payee code or Exemption from FATCA reporting code (if any) \_\_\_\_\_ codes apply only to certain entities not individuals

### Part I: Taxpayer Identification Number (TIN)

Enter your TIN in the box. The TIN provided must match your name to avoid backup withholding. For individuals, this is your Social Security Number (SSN).

### Part II: Certification

Under penalties of perjury, I certify that: 1) the number shown above is my correct U.S. Taxpayer Identification Number, 2) I am a U.S. citizen, and 3) I am not subject to withholding because: (a) I am exempt from backup withholding, (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 notified me that I am no longer subject to withholding. 4) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

X \_\_\_\_\_ SIGNATURE Date: \_\_\_\_\_

The new owner **must** sign the Substitute Form W-9. 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 Form W-8.

Once you have completed this form, please send it to AST along with any other appropriate documentation to the address below. >

**AST | Attention: Transfer Department | 6201 15th Avenue | Brooklyn, NY 11219**