

DRS REQUEST FORM

(Direct Registration System Request Form)

Please note that the following will be required to initiate a DRS request**

1. All fields below must be completed.
2. An updated statement showing the shares the client is requesting dated **within 3 months and includes the investor ID number.**

Please note there is a \$30.00 Penson DRS Fee plus a Transfer Agent fee ranging from \$0-150 per request.

*** Please fax completed form and statement to 214-217-5025 or email to dwac@penson.com* Please send ONE request per email.**

DATE: _____ PENSON ACCOUNT NUMBER: _____
CUSIP/SYMBOL: _____ NAME OF ISSUER: _____
SHARE AMOUNT: _____
ACCOUNT NUMBER AT AGENT: _____
SOCIAL SEC/TAX ID AT AGENT: _____

Submitted By:

Broker Name: _____

Email: _____

Broker Office: _____

Phone Number: _____

NOTES:

If any of the above does not match agent information, please be aware that agent may charge a \$75 reject fee or more which is passed to the client. Please allow 48-72 hours after initial request is entered before sending a status request. These take longer to process.

In an effort to be pro-active in the detection of the resale of unregistered and restricted securities and the potential money laundering through the sale of micro-cap stocks, Penson Financial Services, Inc. will be requiring, **effective immediately**, customers to complete the **"DSRQ" (Deposited Securities Request Questionnaire)**, before accepting these types of securities for deposit. After the customer completes this form, the depositing introducing broker should fill in the Broker Approval section and send the completed form attached to the security being deposited. The questions on the form conform to the information that FINRA expects brokers to know before accepting these shares for deposit and resale. Form is available under stock transfer online.

If any questions please contact 214-765-1525 or email dwac@penson.com