



**Southwest Securities, Inc. and/or Broker/Dealers for which it clears**  
Southwest Securities, Inc. Member NYSE/FINRA/SIPC

## Stock Deposit Questionnaire

**Southwest does not accept securities priced under \$.01 or securities in non filing companies. Companies filing directly with the pinksheets are not accepted.**

### 1. Account Registration.

Account Number: \_\_\_\_\_ Account Name: \_\_\_\_\_

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

Cusip: \_\_\_\_\_ Symbol: \_\_\_\_\_

Deposit Quantity: \_\_\_\_\_ Certificate Number(s): \_\_\_\_\_

What is the purpose of deposit? \_\_\_\_\_

Sale \_\_\_\_\_ Loan Collateral \_\_\_\_\_ Legend Removal \_\_\_\_\_ Safekeeping \_\_\_\_\_

### 2. Customer Information.

Yes No

\_\_\_\_\_ Is the account holder, or any immediate family member, an officer, director, or control person of the Issuer?  
(For entity accounts, the term "account holder" extends to officers, directors, control persons, and beneficial owners of the entity.)

\_\_\_\_\_ Does the account holder or any immediate family member have any relationship with the Issuer or its control persons?  
If yes, what is the relationship? \_\_\_\_\_

\_\_\_\_\_ Does the account holder, or any member of their immediate family, represent the issuer, or function as an underwriter or affiliate?  
If yes, in what capacity? \_\_\_\_\_

\_\_\_\_\_ Is the account holder a corporation, LLC, trust, estate or partnership?  
If yes, please list all beneficial owners, partners, officers and director and their addresses on page three

### 3. Issuer Information.

Yes No

\_\_\_\_\_ Has the issuer of the security filed for a name change or re-organization within the last two years?

\_\_\_\_\_ Is the issuer of the security a shell company?

\_\_\_\_\_ Has the security experienced any reverse splits in the prior 12 months?  
If so, on what date and what was the split ratio? \_\_\_\_\_

\_\_\_\_\_ What was the firm's revenue for the prior 12 months?

### 4. Acquisition Information.

\_\_\_\_\_ On what date(s) were shares acquired?

\_\_\_\_\_ Number of shares owned/controlled by account holder

Yes No

\_\_\_\_\_ Do you own or control 5% or more of the outstanding shares of this issuer?

#### How were shares acquired?

\_\_\_\_\_ \*\*Merger or buyout

\_\_\_\_\_ If yes, were you affiliated with the acquired company?

In what capacity? \_\_\_\_\_

\_\_\_\_\_ \*\*Private Placement

If yes, from whom? \_\_\_\_\_

Relationship \_\_\_\_\_

Yes No

- \_\_\_ \_\_\_ \*\*As payment for services rendered or as a bonus  
What services were provided? Provide documentary evidence
- \_\_\_ \_\_\_ \*\*Partnership Distribution  
Name of partnership \_\_\_\_\_
- \_\_\_ \_\_\_ \*\*Stock Dividend, Stock Split, Reverse Split or Recapitalization  
Describe transaction \_\_\_\_\_
- \_\_\_ \_\_\_ \*\*Gift, Pledge or from trust estate  
When and how did prior owner obtain shares?
- \_\_\_ \_\_\_ \*\*Other – Please describe \_\_\_\_\_
- \_\_\_ \_\_\_ Do you intend to sell additional shares through any other means outside of this account?
- \_\_\_ \_\_\_ When you acquired the shares, did the issuer have an effective registration statement?  
If yes, provide a copy of the registration. (S-1, Form 20)

**5. Restricted Securities.**

Yes No

- \_\_\_ \_\_\_ Is the security restricted from resale for any reason?  
If yes, what is the basis for the restriction and on what date will the restriction expire?  
\_\_\_\_\_
- \_\_\_ \_\_\_ Is the security exempt from SEC registration?  
Was it exempt when you acquired it?  
If yes, list the exemption. \_\_\_\_\_
- \_\_\_ \_\_\_ If restricted, is the security eligible for sale by prospectus prior to the end of the restriction period?  
What is the effective eligibility date for sale by prospectus? \_\_\_\_\_

**6. Disposition Information.**

Yes No

- \_\_\_ \_\_\_ Has the account holder established any arrangements whereby any other person would receive a payment, or payments not disclosed on the trade confirm, in connection with the sale of this security?
- \_\_\_ \_\_\_ Does the client have knowledge of any arrangements whereby any other person would receive a payment, or payments not disclosed on the trade confirm in connection with the sale of this security?
- \_\_\_ \_\_\_ Have you, or any person known to you, made arrangement for buy orders in connection with the sale of securities in this account?
- \_\_\_ \_\_\_ Have you sold shares in the issue, or caused any number of shares to change ownership by gift, endowment, pledge, book entry journal, or any other means in the last 12 months?  
If yes, please list the complete details surrounding the changes in ownership.

**7. Corporate Account Information.**

**If the account is a corporate account, LLC, trust, estate, or partnership, please complete this section for all owners, directors, officers, and beneficial owners. The address should be the home address of the individual and not a post office box.**

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
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 \_\_\_\_\_  
 Title \_\_\_\_\_

Name \_\_\_\_\_  
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Title \_\_\_\_\_

**The undersigned represents that to the best of his/her knowledge, that the information provided is true and correct, and made in accordance with applicable law and industry regulation.**

_____ Name/Title of Entity	_____ Authorized Signature	_____ Date
_____ Name/Title of Entity	_____ Authorized Signature	_____ Date
_____ Name/Title of Entity	_____ Authorized Signature	_____ Date