



Deposited Securities Request Form

Indicate Type: Physical Certificate Deposit DWAC Transfer from Issuer Other Transfer _____

Security Owners Name:	Account #:
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Security Description:

Issuer/Company Name:	Symbol:
Certificate #:	# of Shares:
Shares Outstanding:	Market Value:
Avg. Vol(3 mo):	

Security Owner Question

1 Security Deposit Reason (e.g. safekeeping/resale)	
2 Date Owner acquired the Security	
3 Describe the Consideration Paid for the Security:	
4 Name of person/entity from whom Security was acquired:	
5 Does Owner intend to sell additional shares of the same class of securities through other means?	<input type="checkbox"/> No <input type="checkbox"/> Yes; Explain:
6 Has Owner solicited or made any arrangement for the solicitation of buy orders in connection with the proposed resale of the Security?	<input type="checkbox"/> No <input type="checkbox"/> Yes; Explain:
7 Has Owner made any payment to any other person in connection with the proposed resale of the Security?	<input type="checkbox"/> No <input type="checkbox"/> Yes; Explain:
8 How many shares of the Issuer are owned or controlled, directly or indirectly, by Owner?	
9 Is Owner or has Owner ever been an officer, director, affiliate, control person or 5% owner of the issuer? If yes, provide position and dates of duties held.	<input type="checkbox"/> No <input type="checkbox"/> Yes; Explain:
10 Was the Security covered by a current registration statement when acquired? If yes, state registration filing date.	<input type="checkbox"/> No <input type="checkbox"/> Yes; Filing Date:
11 Security was purchased through a transaction exempt from registration? Describe exemption relied upon.	<input type="checkbox"/> No <input type="checkbox"/> Yes; Exemption:
12 Is the Security restricted from resale for any reason?	<input type="checkbox"/> No <input type="checkbox"/> Yes; Restriction:
13 Is the Security free-trading with no resale restrictions?	<input type="checkbox"/> No <input type="checkbox"/> Yes; Free-trading basis:
14 To Owner's best knowledge, was the Issuer ever a shell company?	<input type="checkbox"/> No <input type="checkbox"/> Yes
15 If relying on Rule 144 for resale, provide complete 6 month history of Security, including each prior seller's name, purchase date, consideration paid, and affiliate status:	

Issuer Information:

In consideration of Alpine Securities accepting this Questionnaire, the Security Owner understands and agrees to each of the following:

1. The Security Owner agrees to keep the foregoing Questionnaire information up to date and current with Alpine Securities as long as the Security shares are being sold.
2. The Security Owner agrees to indemnify and hold Alpine Securities harmless from and against any and all claims, damages, liabilities and expenses which Alpine Securities incurs as a result of or in connection with any inaccuracy or omission in the Security Owner’s responses to the Questionnaire, including paying any and all of Alpine Securities attorney fees related thereto. As part of this Indemnification, Security Owner agrees to pay all of Alpine’s attorney’s fees related to the Deposited Securities, the Questionnaire and the Security Owner on a monthly bases or as requested by Alpine’s attorneys.
3. To cooperate with any internal or external audit or regulatory inquiry relating to this Questionnaire and/or the Deposited Securities by providing any information or documentation reasonably requested by Alpine Securities to support the information provided in the Questionnaire and any Security sale complies with the Securities Laws (as defined below). This obligation to cooperate will remain in effect before and after the completion of the transfer of the assets.
4. The acceptance of any sale of the related securities are expressly subject to the Security Owner’s strict adherence to all applicable federal securities laws, including, without limitation, those described below (the “Securities Laws”):

Selling Unregistered Securities: Federal securities law make it unlawful for a person to make use of any means or instrument of interstate commerce or of the mails to sell a security which has not been registered, or to deliver through the mail a security which has not been registered. Accordingly, unless a person can apply an exemption to its sales of securities, all securities sold are required to be registered pursuant to Section 5 of the Securities Act of 1933 (the “1933 Act”).

Securities Fraud: Federal securities law make it unlawful for any person to offer or sell any securities by the use of any means of interstate communication or transportation, including the mails, in order to employ a scheme to defraud, to obtain money by omitting material information, or to engage in a course of business that would operate as a fraud on the purchaser.

Insider Trading: Federal securities law prohibits insider trading, which generally refers to buying or selling a security, in breach of a fiduciary duty or other relationship of trust and confidence, while in possession of material, nonpublic information about the security. Insider trading violations may also include “tipping” such information, security trading by the person “tipped,” and securities trading by those who misappropriate such information.

Market Manipulation: Market manipulation describes a deliberate attempt to interfere with the free and fair operation of the market and create artificial, false or misleading appearances with respect to the price of, or market for, a security, commodity or currency. Market manipulation is prohibited under federal securities laws.

Anti-Money Laundering: The Bank Secrecy Act (BSA), and its implementing regulations, is a tool the U.S. Government uses to fight drug trafficking, money laundering, and other crimes. Congress enacted the BSA to prevent banks and other financial service providers from being used as intermediaries for, or to hide the transfer or deposit of money derived from, criminal activity. Federal law makes money laundering a criminal act. Money laundering is the criminal practice of filtering ill-gotten gains or “dirty” money through a maze or series of transactions, so the funds are cleaned” to look like proceeds from legal activities.

The undersigned hereby represents that the information provided above is true and correct. The undersigned understands that Alpine Securities Corporation (“Alpine Securities”) will be relying on such information in determining whether to accept orders for the sale of the undersigned’s securities. If the undersigned is unsure or does not understand any items discussed herein the undersigned should seek independent counsel. As a condition to Alpine Securities’ acceptance of any sale, the undersigned hereby agrees to Terms and Conditions set forth herein.

(Name/ Title if Entity)

(Security Owner Signature)

(Date)

Registered Representative Approval:

The undersigned Registered Representative has carefully reviewed this Deposited Securities Request Form and the appropriate supporting documents, and represents to Alpine Securities Corporation that to his/her best knowledge the information is true and correct and is made in compliance with all applicable federal and state securities laws and regulations.

(Representative Name)

(Representative Signature)

(Date)