



## SECURITIES DEPOSIT REQUEST

Issuer/Company Name and Ticker Symbol: \_\_\_\_\_

Number of shares being deposited: \_\_\_\_\_

Deposit Method:  ACAT  
 DWAC  
 DRS  
 DTC/Free

Receive Other Transfer \_\_\_\_\_

### Shareholder Information

|   |  |
|---|--|
| Shareholder Name:   | Account #:   |
| Are you proposing a short exempt sale?  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Were these shares purchased in the open market?   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Were these shares acquired through an Employee Stock Option Plan (ESOP) or Other Employee Stock Ownership Plan? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

### Security Description

|                       |               |
|-----------------------|---------------|
| Issuer Address:       | Issuer Phone: |
| DWAC/DRS Information: | CUSIP:        |

### Shareholder Questionnaire

|   |   |  |
|---|---|--|
| 1 | What is the purpose for the deposit (e.g., safekeeping, resale)?  |  |
| 2 | How many additional shares are intended for deposit?  |  |
| 3 | How many shares have been issued to, or transferred to, the Shareholder within the last year?   |  |
| 4 | Number of shares owned and/or controlled, whether at Curvature or elsewhere:  |  |
| 5 | Number of shares owned and/or controlled by anyone living in the same household:  |  |
| 6 | How many shares, if any, have been sold by the Shareholder over the last 12 months?   |  |
| 7 | Has the Shareholder, or anyone affiliated or related to the Shareholder, sold any shares of the same or other class of securities the same issuer in the last three months? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

|    |   |  |
|----|---|--|
| 8  | Does the Shareholder intend to sell additional securities of the same class through any other means, including other broker dealers?  | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 9  | Has the Shareholder or any affiliated accounts deposited shares of this issuer with any other broker or trust or trust company within the last 90 days?   | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 10 | Is the Shareholder a present or past officer, director, affiliate, control person or 5% owner of the issuer? If yes, please describe each position including the duties and dates the position was held.  | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 11 | Is any family member of the Shareholder a present or past officer, director, employee, control person, insider or large shareholder (10% or greater)?   | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 12 | Has or will the Shareholder made or make any payment to any other person in connection with the sale of the security?   | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 13 | Has the Shareholder made any arrangements for buy orders in connection with the sale of the security?   | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 14 | Does the Shareholder have any relationship with the issuer, its subsidiaries, affiliates, 5% or more owners, principal, officers or directors?  | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 15 | Describe how the Shareholder acquired the shares and was introduced to the issuer:  |  |
| 16 | Describe the Shareholder's knowledge and understanding of the issuer's current business and operations, and state basis for this understanding.   |  |
| 17 | Were the Securities issued to the Shareholder or Third-Party Seller under an effective registration statement? (If yes, provide information regarding the type of registration statement, date filed, effective date and evidence of issuance in accordance with the registration statement.)                         | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 18 | Is the Shareholder currently promoting or aware of any current promotion of the issuer?   | <input type="checkbox"/> Yes <input type="checkbox"/> No             |
| 19 | Do you plan to promote, or engage a third-party to promote (whether through social media, fax, print publications, emails, tweets, or any other means of media) the issuer's securities? (If yes, describe nature of promotion activities and provide copies of any promotional materials, including any disclaimer.) | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Explain: |
| 20 | List all options, warrants, other derivative securities, promissory notes and other items readily convertible into equity and debt of the issuer beneficially owned or controlled by the Shareholder (including family members, corporations, partnerships, etc.)   |  |
| 21 | Provide aggregate number of shares that would be beneficially owned or controlled by shareholder (including family members, corporations, partnerships, etc.) if options, warrants, derivative securities, promissory notes, etc., are converted into the equity securities of the issuer.                            |  |
| 22 | Other information regarding security deposit that the Shareholder would like to provide:  |  |

|  |  |
|--|--|
| Date of Last 10Q:                        |  |
| Date of Last 10K:                        |  |
| Is the Issuer Current in its SEC filing? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

## TERMS AND CONDITIONS

In consideration of Curvature Securities LLC accepting the securities identified in this Deposit Securities Request, the Shareholder and introducing broker-dealer, if any, understands and agrees to each of the following:

1. To keep the foregoing Questionnaire information up to date and current with Curvature for so long as the shares are within the shareholder's Curvature account.
2. To indemnify and hold Curvature harmless from and against any and all claims, damages, liabilities and expenses which Curvature incurs as a result of or in connection with any inaccuracy or omission in the Shareholder's responses to the Questionnaire.
3. To cooperate with any internal or external audit or regulatory inquiry relating to this Deposit Securities Request by providing any information or documentation reasonably requested by Curvature to support the Shareholder's statements provided in the Questionnaire and any securities sale(s) related to this Deposited Securities Request. This obligation to cooperate will remain in effect before and after the completion of the transfer and/or sale of the securities.
4. I understand that the sale of these securities may not be permitted by Curvature until such time that Curvature is satisfied that they are eligible for sale and/or transfer, without fear of impairment or violation of law or industry rule.
5. I understand that I may not be able to sell these securities at the time of my choosing and the market price for these securities may change substantially between that time that I want to sell these securities and the time that Curvature allows the sale.
6. I acknowledge that Curvature, directly and/or at the instruction of my introducing broker, may impose additional reasonable charges to my account for its services in connection with, among other things, the receipt, verification and cost of financing sales of the deposited securities. I and my introducing broker acknowledge and agree that if such additional charges exist, and Curvature is not instructed to charge the introducing broker, such costs and fees will be assessed to my (the shareholder's) account.
7. In consideration of Curvature's acceptance of these securities, the shareholder and introducing broker, if applicable, hereby indemnify and hold Curvature harmless against any and all claims, loss, liability, and expense (including legal fees and expenses reasonably incurred by Curvature), arising out of the transfer and/or sale of these securities.
8. The shareholder and introducing broker, if any, understand that the characteristics of some deposited securities do not allow the securities to be sold if the issuer does not timely file its financial reports. The shareholder and introducing broker, if any, understand and agree that it is their responsibility to determine whether or not the issuer is compliant with its financial reporting obligations. The shareholder and introducing broker understand that any shares sold when the issuer is not compliant with its financial reporting obligations will be bought back into the account by Curvature, and the resultant loss (if any) will be borne by the shareholder and/or introducing broker. Finally, the shareholder will not be permitted to keep a gain resultant from any such violative sale.
9. The acceptance of any sale of the related securities are expressly subject to the Shareholder's and/or introducing broker-dealer's strict adherence to all applicable federal securities laws and other relevant laws, including but not limited to those identified immediately below.

**Selling Unregistered Securities:** Federal securities law makes 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 and is not exempt from registration, 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 makes it unlawful for any person to offer or sell 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, securities 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 law. Market manipulation can occur in multiple ways, including:

- **Pools** – Agreements, often written, among a group of traders to delegate authority to a single manager to trade in a specific stock for a specific period of time and then to share in the resulting profits or losses.
- **Churning** – Placing both buy and sell orders at about the same price. The increase in activity is intended to attract additional investors, and increase the price.
- **Runs** – Creating activity or rumors in order to drive the price of a security up. This activity is usually referred to as “Painting the Tape.”
- **Ramping** (the market) – Actions designed to artificially raise the market price of listed securities and to give the impression of voluminous trading, in order to make a quick profit.
- **Wash sale** – Selling and repurchasing the same or substantially the same security for the purpose of generating activity and increasing the price.
- **Bear raid** – Attempting to push the price of a stock down by heavy selling or short selling.

**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

**Acting in Concert:** Shareholder confirms that he is not engaged in any joint, collaborative, parallel, orchestrated, or coordinated action with any other person toward a common goal regarding the Securities, whether by agreement or informal arrangement or understanding, including: Shareholder’s proposed sale of Securities is not being coordinated with possible sales by any other person. Shareholder is not paying or sharing, directly or indirectly, any of the proceeds from the sale of the Securities with the issuer or the person from whom the Security Depositor acquired the Securities. Shareholder has not coordinated and will not coordinate with others the sale of the Securities or options, warrants, convertible notes, or similar securities convertible into stock of the same class. Shareholder has not communicated and will not communicate with Curvature about the timing, price, or number of shares of the issuer to be sold or purchased by others. Shareholder will not receive or rely on order execution suggestions, instructions, or similar advice from any other person in connection with the sale of the Securities. Shareholder nor any other person is keeping centralized records of the sale of the Securities or the proceeds therefrom by the Customer and any other person.

**Shareholder Agreement:**

The Shareholder and introducing broker-dealer, where applicable, hereby represent and warrant that the information provided above is true and correct. The Shareholder and introducing broker-dealer, where applicable, understand that Curvature Securities will be relying on such information in determining whether to accept orders for the sale of the Shareholder’s securities. As a condition precedent to Curvature Securities’ acceptance of any sale order, the Shareholder and introducing broker-dealer, where applicable, hereby agree to the Terms and Conditions above and in the Customer Agreement.

Shareholder will incur a review fee, as previously disclosed to the Shareholder, whether or not the securities that are subject to this Deposit Securities Request are approved for deposit and sale. The review fee is a fee charged for a process. There are no guarantees that any deposit or sale will be accepted by Curvature.

\_\_\_\_\_  
Shareholder Name

\_\_\_\_\_  
Shareholder Signature

\_\_\_\_\_  
Date

**Broker Approval:**

The undersigned Registered Representative and Registered Principal (or CCO) have carefully reviewed this Deposit Securities Request and the appropriate supporting documents. Each of us represents and warrants to Curvature Securities 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 as well as SRO rules regulations.

\_\_\_\_\_  
Representative Name

\_\_\_\_\_  
Representative Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Registered Principal or CCO Name

\_\_\_\_\_  
Registered Principal or CCO Signature

\_\_\_\_\_  
Date