



DWAC REQUEST FORM

(Deposit/Withdraw At Custodian Request)

Please note that all fields below must be completed in order for DWAC request to be placed

There is a \$30.00 Penson DWAC Fee plus a Transfer Agent fee ranging from \$0-150 per request.

Please fax completed form or forms to 214-217-5025 or email dwac@penson.com

Please state if this DWAC will be:

Deposit OR Withdraw (Will require customer cashiering approval)

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.

DATE: _____ ACCOUNT NUMBER: _____

CUSIP/SYMBOL: _____

NAME OF ISSUER: _____

SHARE AMOUNT: _____

Submitted By

Broker Name: _____

Email: _____

Phone Number: _____

NOTES:

If the request is not approved after the 3rd day you will be notified via email. In order for us to re-enter we will need confirmation that if re-entered it will be approved immediately along with a contact name at agent who can confirm this.

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

