

Sell by Prospectus Guidelines



Return Options:

Regular Mail:
PO Box 2760, Omaha, NE 68103-2760

Overnight Mail:
200 South 108th Avenue
Omaha, NE 68154-2631

Important information:

Please retain for future reference.

- Restricted stock requires legal items and special handling, and will be subject to a \$250 restricted-security processing fee per submission to the transfer agent.
Please note: You may be subject to multiple restricted-security processing fees.
- TD Ameritrade must receive your stock certificate or Book-Entry Statement and the current, final prospectus before your sale is initiated. A link to the final prospectus can be provided.
- A restricted security in book-entry with a transfer agent will also require a completed TD Ameritrade DRS Transfer form for delivery of the cleared shares.
- When selling by prospectus, shares must be liquidated prior to the removal of the restriction.
- Sell trades of restricted securities must be placed by a restricted-stock broker. A licensed restricted-stock broker may be reached Monday through Friday, 8 a.m.–4:30 p.m. CT at 888-723-8504, Option 7.
- If all of the shares are not sold by settlement of the first trade executed, shares sold will be sent to the transfer agent for a breakdown. The breakdown allows the sold shares to be cleared and delivered. New sales of the restricted security may be prohibited during the process of clearing, breaking down, and delivering of shares. A certificate for the remaining shares will also be issued with the restrictive legend reinstated. A new Stock Power is required to initiate selling after the initial clear and deliver. Additional restricted security processing fees may be assessed at this time.
- Shares not sold may be sent back to you or held for continued processing. Additional restricted-security processing fees may be assessed at this time.
- The total processing time normally ranges from four to six weeks.
- Your transactions may also be subject to additional fees:
 - Extension fees of \$25 per executed order may apply. These charges will occur every 10 business days per executed order until shares have cleared.
 - Fees charged to TD Ameritrade (“Pass Through” fees) may also be assessed to your account. These fees may vary in amount. If funds are not available in the account, you will be contacted to deposit funds.

Proceeds from sale transactions are not available for withdrawal or trading purposes until processing has been completed, funds are cleared, and shares are delivered. Your account is subject to repurchase of shares if, for any reason, processing of the request cannot be completed.

This list is not all-inclusive and may vary with each issue. If you have any questions or concerns, please contact a Safekeeping Specialist at 888-723-8504, option 7.

Investment Products: Not FDIC Insured * No Bank Guarantee * May Lose Value

TD Ameritrade, Inc., member FINRA/SIPC, a subsidiary of The Charles Schwab Corporation.
TD Ameritrade is a trademark jointly owned by TD Ameritrade IP Company, Inc. and The Toronto-Dominion Bank.
© 2021 Charles Schwab & Co. Inc. All rights reserved.

