



(DSRQ)
VELOCITY CLEARING LLC AND/OR BROKER-DEALERS
FOR WHICH IT CLEARS

**DEPOSIT SECURITIES REQUEST FOR NASDAQ, NYSE/AMEX,
 OTC BULLETIN BOARD AND OTHER MARKETS SECURITIES**

Issuer/Company Name and Ticker Symbol: _____

Number of shares being deposited: _____

Deposit Method: ☐ ACAT
☐ DWAC
☐ DRS
☐ DTC/Free

Receive Other Transfer _____

Shareholder Information

Introducing Broker Dealer Name (If Direct Customer Please So State): _____

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 Velocity 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 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:	

Prior Owner Information

23	Date security was acquired by prior owner:	
24	Name of the Prior Owner:	

25	Please describe how these shares were acquired. (e.g., payment for services/compensation, Stock Offering, Note/Debt Conversion, Employment Agreement)	
26	If Prior Owner and Issuer are not the same, indicate Prior Owner's acquisition date, transferor's name, and amount/manner of payment (if any):	
27	Was the Prior Owner an officer, director, affiliate, control or 10% holder of the Securities at the time, or within 90 days of Prior Owner's receipt of the security? If so, describe the nature of the affiliation.	<input type="checkbox"/> Yes <input type="checkbox"/> No Affiliation:

Correspondent Questionnaire (to be Completed by Broker)

Restriction		
28	Is the issuer a shell company or has it ever been a shell company?	<input type="checkbox"/> Yes <input type="checkbox"/> No
29	Has the issuer undergone a change in name, business operations or management change in the past two years?	<input type="checkbox"/> Yes <input type="checkbox"/> No
30	Has the issuer conducted a reverse or forward split in the past 12 months?	<input type="checkbox"/> Yes <input type="checkbox"/> No
31	Describe filing type, date filed and period covered of last quarterly and annual financial filings made by the issuer with the SEC (the "Financials"):	
32	To your best knowledge, has the Shareholder, any of the issuer control persons, legal opinion counsel or any Third Party Seller been the subject of any regulatory disciplinary action, criminal charge or civil matter involving allegations of fraudulent conduct? (If yes, identify person and describe regulatory history.)	<input type="checkbox"/> Yes <input type="checkbox"/> No
33	Is the attorney who wrote the legal opinion for the deposit barred from practicing law in any jurisdiction of the United States or identified as a Prohibited Attorney by OTC Markets?	<input type="checkbox"/> Yes <input type="checkbox"/> No
34	Is the security restricted from resale for any reason? If so, what is the basis for the restriction? When does the restriction end?	<input type="checkbox"/> Yes <input type="checkbox"/> No Date:
35	If restricted, are the shares eligible to be sold with prospectus before the end of the restrictive period?	<input type="checkbox"/> Yes <input type="checkbox"/> No
36	Have these shares ever been covered by a registration statement filed with the SEC? (If yes, please identify the registration statement.)	<input type="checkbox"/> Yes <input type="checkbox"/> No
37	Was the security exempt from SEC registration when the Shareholder acquired it?	<input type="checkbox"/> Yes <input type="checkbox"/> No
38	Is the issuer fully reporting in accordance with the Securities Act of 1933, or the Securities and Exchange Act of 1934 (which one)?	<input type="checkbox"/> Yes <input type="checkbox"/> No Securities Act of:
39	If applicable, is the issuer current in its reporting obligations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
40	Have these shares been reported as lost or stolen to the transfer agent?	<input type="checkbox"/> Yes <input type="checkbox"/> No
41	For shares not issued in accordance with an effective registration statement, or for those issued in accordance with an exemption or exception from registration, please provide all documents and information (including an opinion of counsel) that supports removal of the restrictive legend. Please also provide your understanding as to why the certificates do not contain any restrictive legend and/or were issued in accordance with an exemption or exception from the registration requirements.	

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

Security Attorney or Firm for Issuer		
Name:	City:	State:

Auditing Firm for Issuer		
Name:	City:	State:

TERMS AND CONDITIONS

In consideration of Velocity Clearing LLC (Velocity) 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 Velocity for so long as the shares are within the shareholder's Velocity account.
2. To indemnify and hold Velocity harmless from and against any and all claims, damages, liabilities and expenses which Velocity 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 Velocity 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 Velocity until such time that Velocity 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 Velocity allows the sale.
6. I acknowledge that Velocity, 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 Velocity 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 Velocity's acceptance of these securities, the shareholder and introducing broker, if applicable, hereby indemnify and hold Velocity harmless against any and all claims, loss, liability, and expense (including legal fees and expenses reasonably incurred by Velocity), 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 Velocity, 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 Velocity 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 Velocity Clearing LLC 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 Velocity Clearing LLC's 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 Velocity.

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 Velocity Clearing LLC 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

Transfer Agent Verification: (For Broker Use Only)

Transfer Agent:	Address/Email:
Contact Person:	Telephone:
Date Verified:	By:
Is the Issuer DTC eligible? If not, are you submitting a request to make eligible?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Notes: