Morgan Stanley

New Client Shareworks Client Information

This form is for broker partner to add the new client to existing infrastructure. **The Completed form must be received by Broker Partner at least two weeks prior to company live date.**

From: Shareworks Implementations

To: [soliumpartneredmodel@morganstanley.com](mailto:soliumpartneredmodel@morganstanley.com)

Cc: [operations@solium.com](mailto:operations@solium.com); [jason.nigro@morganstanley.com](mailto:jason.nigro@morganstanley.com); [Michael.Degenhardt@morganstanley.com](mailto:Michael.Degenhardt@morganstanley.com); [greg.snyder@morganstanley.com](mailto:greg.snyder@morganstanley.com); [Yury.Konev@morganstanley.com](mailto:Yury.Konev@morganstanley.com); [Marcelina.Badamo@morganstanley.com](mailto:Marcelina.Badamo@morganstanley.com); [Divakar.Magalingam@morganstanley.com](mailto:Divakar.Magalingam@morganstanley.com); [sopt-help@morganstanley.com](mailto:sopt-help@morganstanley.com)

**Issuer Details**

Issuer Name: Summit Wireless Technologies, Inc.

Shareworks Entity: Morgan Stanley Smith Barney LLC

Address: 6840 Via Del Oro, Ste. 280, San Jose, CA 95119

Jurisdiction of incorporation: US

Business Identification Number (BIN #): 30-1135279

**Type of Institution**

Canadian Incorporated Public Issuer 🞏 US Incorporated Public Issuer X

Other🞏 (please describe):

**Plan Details**

Symbol: \_\_WISA\_\_\_\_\_\_\_\_\_\_\_\_ ­­­­­­­­­­­ CUSIP (9 digits): 86626P107\_\_\_\_\_\_\_\_\_

\*If multiple listings please list all symbols.

Anticipated Live Date: \_\_\_\_\_\_\_\_\_\_

Please indicate the types of plans that will be operating through Solium AND the funds for each plan:

ESOP CDN$ 🞏 US$ X

ESPP\* CDN$ 🞏 US$ 🞏

**Fee Details**

**All plans**

\_\_\_$0.03\_\_\_\_\_/share with a \_\_$24.95\_\_\_\_\_\_\_\_\_\_minimum

144/Section 16 filing completed by: MS X Solium Executive Services 🞏 Other 🞏

**Pending Transfer of Assets**

Number of shares from Broker:

Number of shares from Transfer Agent:

**INCOME SOURCE**

Do you anticipate that this or these plans will upon inception, or at any time in the future receive US source income?

Yes 🞏 x No

**(Please note that should you answer “no” to the question above, and this or these plans do receive US income, you will be asked to complete additional account documentation to ensure compliance with IRS regulation.)**

**TREASURY DIRECTIONS**

Will the issuer send treasury directions directly to the transfer agent and the broker?

Yes 🞏 No X

How will shares be received?

DWAC X DTC 🞏

If DWAC, how are the initiated?

Shareworks X Client 🞏

**Transfer Agent Contact Information:**

Name of Transfer Agent: VStock Transfer, LLC

Transfer Agent Address: 18 Lafayette Place, Woodmere, New York 11598

Transfer Agent Relationship Manager: Victoria Bateman

Transfer Agent Phone: (212) 828-8436 x110

Transfer Agent Fax: (646) 536-3179

Transfer Agent Email: victoria@vstocktransfer.com

**Attn: WM Technology Team:**

**\*\*\*\*Please also provide the Key Account Number\*\*\*\***