



National
Philanthropic
Trust

Your partner in giving

Restricted and Control Stock Questionnaire

Please complete this questionnaire to assist us determining the proper liquidation of restricted securities by National Philanthropic Trust (NPT).

If you need assistance, call (888) 878-7900 or send an email to npt@nptrust.org.

A. Donor Information

Mr. Mrs. Ms. Dr.

First Name, MI, Last Name

Account #

Security Name (Company)

Symbol Price

Email

Telephone #

1. How many shares do you wish to contribute to National Philanthropic Trust? _____

2. Are you or have you been in the last 90 days an officer, director, control person or affiliate, or holder of more than 10% of the outstanding shares of the company?

Yes No

If yes, check all that apply:

I am (have been in the last 90 days) a Corporate Officer, Director or other Executive of the Stock Issuer

I am (have been in the last 90 days) a member of the controlling group of the Stock Issuer

I am (have been in the last 90 days) a relative or spouse of a control person who lives in the same home as a control person

I am (have been in the last 90 days) a relative of a control person's spouse who lives in the same house as a control person

3. Have you purchased any of the company stock in the last six months?

Yes No If yes, how many shares did you purchase and what were the dates?

4. How many shares of this company do you own?

(Include shares owned by family members, trusts, estates, corporations and organizations in which you or your family has a beneficial interest and any trust or estates of which you or any family member serves as Trustee, Executor or in any similar capacity. Include shares held away from this firm.)

5. Where are the securities located?

6. Do you own 5% or more of any class of the company's securities?

Yes No

B. Securities

7. Is there a legend on the certificate(s)?

Yes No If yes, what does the legend(s) say, and in whose name have the securities been issued? (Provide a copy of the certificate.)

Certificate Date:

Certificate #

8. Is there a current registration statement requiring delivery of a prospectus in connection with the proposed sale of the securities?

Yes No If yes, please provide the date of prospectus: _____

9. Are there any agreements (e.g., a shareholder's agreement or registration rights agreement), contractual restrictions or stop transfer orders relating to these securities?

Yes No If yes, please explain here. Also, obtain a copy and send it along with this questionnaire.

10. Are you in possession of material non-public information with respect to the issuer of the shares being contributed?

Yes No

C. Holding Period for Securities Involved in this Transaction

11. Date(s) securities acquired: _____

12. Number of shares acquired: _____

13. From whom were the securities acquired? _____

14. Was the purchase price paid in full on acquisition date? _____

Yes No If yes, you may skip to Question 19.

15. If all or part of the purchase price was paid by a promissory note or other obligation to pay the purchase price, or by entering into an installment purchase contract, was the note or obligation payable to, or the installment purchase contract entered into with, the issuer of the securities or an affiliate (including an officer or director) of the issuer?

Yes No If no, skip to Question #19. If yes, provide date the obligation was paid in full:

16. Did the obligation provide for recourse against you?

Yes No

17. Was the obligation secured by collateral other than these securities?

Yes No If no, you may skip to Question #19.

18. What is the value of the collateral? _____

D. Acquisition of Securities

19. How did you acquire the securities? (check only one)

Merger or company buyout

Name of company acquired: _____

Were you an affiliate of the acquired company? Yes No

If yes, when did you cease to be an affiliate? _____

Private placement

From whom? _____

Relationship to issuer: _____

In lieu of payment for services

Describe services: _____

Date services completed: _____

Partnership distribution

Name of partnership: _____

Stock dividend, stock split, reverse split or re-capitalization

Provide date and description of acquisition of original securities:

By means of a conversion of other securities of the company

Provide dates of conversion and original acquisition:

Gift, pledge, or from a trust or estate

When and how did the prior owner acquire the securities?

Other

Please describe: _____

E. Securities Sold During the Past Three Months

20. Have you or any person directly or indirectly related to you sold any of the company's securities in the past three months?

(This includes any donee, donor, trust, estate, corporation, partnership or other organization in which you or your family has a beneficial interest or of which your or your family is an Executor, Administrator, Trustee, Guardian or Conservator or any person with whom you have acted in concert for the purpose of selling securities of the company. Securities convertible are included in the class of securities intended to be sold.)

Yes No If yes, please provide the following details:

Securities sold by:	# of shares sold	Date of sale
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Name of Issuer's Counsel	Phone
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F. Contact Name and Phone Number for the Stock Issuer’s Legal or Compliance Department

Name Phone

Email

G. Acknowledgment of Terms

I declare I have answered the questions on this Restricted and Control Stock Questionnaire honestly and to the best of my knowledge. I understand National Philanthropic Trust will use this information to assist me or the financial service firm/company in selling these securities. I will not hold National Philanthropic Trust liable for any misinformation I provide or for any losses related to transactions initiated in reliance upon this Restricted and Control Stock Questionnaire. I authorize National Philanthropic Trust or its agent or representative to contact the Stock Issuer’s Legal and/or Compliance Department in reference to my contribution of securities to National Philanthropic Trust.

Signature Date

H. Return this completed form by mail or email to:

National Philanthropic Trust | 165 Township Line Road, Suite 1200 | Jenkintown, PA 19046 | npt@nptrust.org