



Attestation for Free Receive/DTC Transfer

I, (client name) _____, hereby attest that I am the intended recipient of securities to be transferred **free of payment** via the Depository Trust Company (DTC), and I confirm that I am authorized and able to receive the below securities into my account as detailed:

Receiving Account Information

Account Owner:

Alpaca Account Number:

Clearing Firm: Alpaca Securities

DTC #: 3021

Delivering Account Information

Account Owner:

SSN/Tax ID:

Delivering Brokerage:

Delivering Account Number:

DTC Participant #:

Assets to be Transferred

<i>Quantity (Whole Shares Only)</i>	<i>Symbol</i>	<i>Cusip</i>	<i>Assets Description</i>



1. Control Person Declaration

I further confirm that I am not a control person, affiliate, director, officer, or 10% (or greater) shareholder of the issuer of the securities being transferred. I am not in possession of any material non-public information, nor are the securities subject to any restrictions under Rule 144 or other SEC regulations regarding resale or holding periods.

2. Nature of Transfer

I confirm that this transfer is from a beneficial owner to the same beneficial owner. There is no change in underlying ownership or beneficial interest associated with this transfer.

3. Source of Funds/Shares

I confirm that the securities being transferred originate from lawful sources. The source of funds/securities is as follows (check or describe):

- ☐ Employee Stock Purchase Plan (ESPP)
- ☐ Prior Purchase History
- ☐ Gift from family member or third party
- ☐ Other (Please specify): _____

Regards,

Client Name _____

Client signature _____

Date _____