



**PENSON FINANCIAL SERVICES, INC.**  
**STOCK TRANSFER REQUEST FORM**

Date: \_\_\_\_\_

Account Number: \_\_\_\_\_

To Account Number: \_\_\_\_\_

Account Name/Title: \_\_\_\_\_

The account name/title should be the same name, in the event the name/title on the accounts are different this request would be considered a "Third Party Transfer". Third Party transfer request require a customer original signature and a notary signature\*\*.

Symbol/ CUSIP	Shares	Symbol/ CUSIP	Shares
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Customer Signature: \_\_\_\_\_

Customer Signature (Joint Account Holder): \_\_\_\_\_

I/We agree to hold all parties acting on this request, including the introducing broker and Penson Financial Services, Inc., and their respective agents and employees (hereinafter, collectively, "the parties") harmless from any and all claims, demands, proceedings, suits and actions and all liabilities, losses, and expenses including without limitation those asserted by me, associated with actions taken by the parties due to instructions received from me in this request.

\*\*NOTARY SIGNATURE: \_\_\_\_\_

NOTARY SEAL:

**Internal Use Only**

Registered Principal Approval

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

