



Southwest Securities, Inc. and/or Broker/Dealers for which it clears  
Southwest Securities, Inc. Member NYSE/FINRA/SIPC

## Employee Stock Option Exercise Form

### 1. Employee Information.

Company: \_\_\_\_\_ Company Phone Number: \_\_\_\_\_

Employee Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

Employee Address: \_\_\_\_\_

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

### 2. Exercise and Authorization. (To be completed by client.)

To Whom It May Concern:  
I hereby irrevocably exercise my corporate stock options to purchase \_\_\_\_\_ number of shares from the above issuing company and irrevocably authorize you, the Issuer, to issue the shares in the name of Southwest Securities, Inc. who will deliver the shares into my account.

I wish to exercise the following grants:

Date or Number of Grant	Number of Shares to Purchase	Exercise Price per Share	Total
_____	_____	* _____	= _____
_____	_____	* _____	= _____
_____	_____	* _____	= _____

Please deliver physical shares to:

Southwest Securities, Inc. **OR** DWAC to  
 Attn: Reorganization Dept. DTC Participant #279  
 1201 Elm St., Ste. 3700  
 Dallas, TX 75270

### 3. Margin Account Agreement.

By signing below, I acknowledge that I have received a copy of the SWST Margin and Short Account Agreement Section of the Customer Information Brochure and that I have read, understand and agree to be bound by the terms. Furthermore, I have been made aware of the risks associated with trading securities on margin. I REPRESENT THAT I AM CAPABLE OF EVALUATING, CARRYING AND BEARING THE FINANCIAL RISKS AND HAZARDS OF MARGIN TRADING AS I HAVE REQUESTED. I further acknowledge that I have read and understand the pre-dispute arbitration clause located on page 7, paragraph 35 of the Cash Account Agreement Section of the Customer Information Brochure and agree to resolve any disputes arising out of my account by arbitration.

**X** \_\_\_\_\_  
Applicant's Signature Date

### 4. Account Agreement and Special Instructions. (Please read and sign.)

**Certification of Taxpayer ID Number (Substitute W-9):** Under penalty of perjury, you certify that (1) the number shown on this form is your correct taxpayer identification number, (or you are waiting for a number to be issued) and (2) you are not subject to backup withholding because (a) you are exempt from backup withholding, or (b) you have not been notified by the Internal Revenue Service (IRS) that you are subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified you that you are no longer subject to backup withholding (does not apply to real estate transactions, mortgage interest paid, the acquisition or abandonment of secured property, contributions to an individual retirement arrangement (IRA), and payments other than interest and dividends), and (3) you are a U.S. person (including a U.S. resident alien). You understand that you must cross out item (2) above if you have been notified by the IRS that you are currently subject to backup withholding because of underreporting interest or dividends on your tax return.

**Non-resident alien who becomes a resident alien:** Generally, only a non-resident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the recipient has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a non-resident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

If you are a non-resident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

I hereby authorize Southwest Securities, Inc. to finance the sum of the above and any additional withholding taxes as determined by the Issuer to the issuer as payments for the exercise of my corporate stock options. I understand that I will be charged margin debit interest on any debit balance in my account that may result from the advance of these funds to the issuer.

X \_\_\_\_\_  
Applicant's Signature Date

**5. Approval. (To be completed by Issuing Company. Please check correct responses.)**

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| <input type="checkbox"/> These shares are freely transferable and will be delivered in 13 business days (Check ONE):<br><input type="checkbox"/> Delivered physically.<br><input type="checkbox"/> Delivered DWAC.<br><br><input type="checkbox"/> These options are (Check ONE):<br><input type="checkbox"/> Incentive.<br><input type="checkbox"/> Non-qualified.<br><ul style="list-style-type: none"> <li>• If non-qualified, the company <input type="checkbox"/> will <input type="checkbox"/> will not collect taxes FBO the client.</li> </ul> | <input type="checkbox"/> The employee is (Check ONE):<br><input type="checkbox"/> subject to 144 paperwork.<br><input type="checkbox"/> not subject to 144 paperwork.<br><br><input type="checkbox"/> Dividend (Check ONE):<br><input type="checkbox"/> There is a pending dividend on this issue.<br><input type="checkbox"/> There is not a pending dividend on this issue.<br><br><input type="checkbox"/> The company wishes to be paid (Check ONE):<br><input type="checkbox"/> Via check.<br><input type="checkbox"/> Via wire. |
|--|---|

X \_\_\_\_\_  
Approved By Title Date