

Stock Promotion Affidavit

Stock promotion campaigns have become a target for regulators as a potential source of suspicious trading activity, specifically, “pump and dump” schemes that lead to significant price and volume spikes of issues being promoted. It has become common practice for third party promoters to pay for email and newsletter campaigns while selling shares into the interest generated by the campaign. While “stock promotion”, in and of itself, is not illegal, it does raise concerns of false claims and other manipulative devices being used to mislead the public.

ACCOUNT NAME _____

ACCOUNT NUMBER _____

ISSUER _____

PROMOTERS _____

You are being asked to complete the following questionnaire because we have detected promotional activity that is concurrent with the deposit and/or sale of your stock. Attached is a sample of the information currently being circulated.

Were you aware of the promotional activity in the issue you wish to deposit or are offering for sale? Yes No

If yes, have you contributed, financially or otherwise, to the promotional effort?

Yes No

Do you know the people or entities engaged in sponsoring the campaign?

Yes No

Now that you have been made aware of this promotion, do you believe that the information being presented is truthful and balanced?

Yes No

If No, what information is being incorrectly presented? _____

Why do you believe that it is appropriate for us to proceed with this deposit/sale in light of the promotional activity that is currently taking place? _____

Signature

Date

Print Name