

# RBC Capital Markets, LLC

## Employee Stock Option Exercise Form

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Company Contact Name

\_\_\_\_\_  
Company Contact Phone #

\_\_\_\_\_  
Company Contact email address

**PLEASE FILL OUT COMPLETELY (PRINT OR TYPE)**

CLIENT NAME (LAST, FIRST)		WORK PHONE # ( ) -
ADDRESS		HOME PHONE # ( ) -
CITY	STATE	ZIP

**I wish to exercise the following employee stock options:**

DATE OF GRANT	GRANT NUMBER	# SHARES VESTED	GRANT PRICE	OPTION COST (SHARES X GRANT PRICE)	ISO OR NOQ'S	TAXES DUE Yes/No

**CLIENT AUTHORIZATION AND ACKNOWLEDGEMENT**

I understand and acknowledge that my execution and delivery of this stock option exercise form to RBC Capital Markets, LLC ("RBC") shall not constitute an order to sell the underlying shares and that my brokerage firm will not sell any such shares until such time as (i) my company has delivered this fully executed form to RBC at the fax number set forth below and (ii) I have placed an order with my brokerage firm (by calling my Financial Consultant) to sell shares underlying these options in a manner that is consistent with the information described above. I further understand and acknowledge that my brokerage firm will not accept any order to sell shares by e-mail, fax or means other than telephonic communication.

I authorize RBC to make payment to **(Company Name)** \_\_\_\_\_ representing the cost of this exercise plus any applicable withholding tax liabilities incurred as a result of this transaction. I understand that I will be charged interest on any debit balance in my account that may result from the advance of funds to the Issuer. I understand that once my order is executed the authorization provided herein shall become irrevocable.

I authorize **(Company Name)** \_\_\_\_\_ to deliver to RBC the registered shares represented by these options and understand that I will not receive my net proceeds until such time as the underlying shares have been delivered to RBC in freely negotiable form, free of any restrictive legend.

**I understand that I should consult a tax or financial advisor prior to submitting this stock option exercise form.**

RBC Account # \_\_\_\_\_

Social Security # \_\_\_\_\_

Client Signature \_\_\_\_\_

Dated \_\_\_\_\_

Joint Client Signature \_\_\_\_\_  
(if applicable)

Dated \_\_\_\_\_

**COMPANY REPRESENTATIONS AND WARRANTIES**

**(Company Name)** \_\_\_\_\_ represents and warrants that:

- (1) the above individual is fully vested in the options described above,
- (2) upon confirmation by RBC to **(Company Name)** \_\_\_\_\_ of any sale of shares, **(Company Name)** \_\_\_\_\_ will promptly deliver the shares to RBC in freely negotiable form, free of any restrictive legend. DWAC Instructions: RBC Capital Markets, LLC, DTC #235, Contact: Employee Stock Options

**The client (employee) is:**

A SECTION 16 REPORTING PERSON OR AN AFFILIATE WITHIN THE MEANING OF RULE 144 **YES OR NO**

A TERMINATED EMPLOYEE **YES OR NO**

TERMINATION DATE \_\_\_\_\_

Signed \_\_\_\_\_

Dated \_\_\_\_\_

(Stock Administration)

**ESO Fax 866-757-0023**

**ESO Phone 877-299-5142**