

# Transferring, Gifting or Changing the Name on Publix Stock

## Instructions

1. Complete, print and sign the Stock Transfer Request Form.
  - o All signatures must be stamped with a medallion signature guarantee by a qualified financial institution.
    - If the value of the shares associated with the transfer, gift or name change is less than \$10,000, you can provide copies of government-issued IDs for all stockholders listed in the stock account registration instead of a medallion signature guarantee.
2. Mail the completed Stock Transfer Request Form, any paper stock certificates and any additional required documents to: Publix stockholder services, P.O. Box 32040, Lakeland, Florida 33802-2040.

If you're only transferring or gifting a portion of the shares on a paper stock certificate, an electronic certificate will be issued for the remaining shares. For name changes, an electronic certificate will be issued for the shares.

## Additional Required Documents

Depending on the transfer situation, you may need to provide additional required documents. If your situation is not outlined below, contact Publix stockholder services for assistance at (863) 688-7407, ext. 52323 or toll-free 1-800-741-4332 (outside of Lakeland).

Transfer Situation	Additional Required Documents
Add joint stockholder (must be your legal spouse)	<ul style="list-style-type: none"><li>• Completed IRS Form W-9 for the joint stockholder being added</li><li>• Copy of marriage certificate</li></ul>
Remove joint stockholder (due to divorce)	<ul style="list-style-type: none"><li>• Original certified divorce decree or court order (required if both owners do not sign a Transfer Request Form)</li></ul> <p>Note: Separately signed Transfer Request Forms are acceptable.</p>
Legal name change	<ul style="list-style-type: none"><li>• Legal name change document<ul style="list-style-type: none"><li>o Copy of marriage certificate or naturalization papers</li><li>o Certified copy of a divorce decree or court order</li></ul></li></ul>
TOD beneficiary for an individual account	<ul style="list-style-type: none"><li>• Copy of marriage certificate, if adding your legal spouse as your TOD beneficiary</li><li>• Copy of birth certificate or court order of legal guardianship, if adding your adult child (age 18 or older) as your TOD beneficiary</li></ul>
TOD beneficiary for a joint account	<ul style="list-style-type: none"><li>• Copy of birth certificate or court order of legal guardianship for your adult child (age 18 or older)</li></ul>
Transfer to a former minor from a custodial account	<ul style="list-style-type: none"><li>• Completed IRS Form W-9 for the former minor</li><li>• Proof that the former minor is now age of majority (i.e., copy of birth certificate or driver's license)</li></ul>
Transfer to a trust	<ul style="list-style-type: none"><li>• Copy of entire trust document</li><li>• <b>Trusts under a Tax ID Number (TIN):</b> copy of the IRS confirmation letter</li></ul> <p>Note: A Waiver and Restriction Agreement will be created for Publix, the grantor(s) and the trustee(s) of the trust to sign.</p>

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Transfer Situation	Additional Required Documents
Gift to an adult (age 18 or older)	<p>The following documents will be requested from the donee by stockholder services</p> <ul style="list-style-type: none"> <li>• Completed IRS Form W-9</li> <li>• Completed Donee Affidavit (if gifting to the adult for the first time)</li> </ul>
Gift to a minor (under age 18)	<p>The following documents will be requested from the donee by stockholder services</p> <ul style="list-style-type: none"> <li>• Completed IRS Form W-9 for the minor and the minor's custodian</li> <li>• Completed Donee Affidavit signed by the minor's custodian (if the minor is not the stockholder's own child or if gifting to the minor for the first time)</li> <li>• Copy of the birth certificate or legal paperwork showing relation to the Custodian</li> </ul>
Gift to a charitable organization	<p>The following documents will be requested from the donee by stockholder services</p> <ul style="list-style-type: none"> <li>• Completed IRS Form 8283 from the charitable organization</li> <li>• Sale Request Form from charitable organization</li> <li>• Copy of ID from authorized signer of the charitable organization</li> </ul>
Deceased stockholder – individual stock account <b>with a TOD beneficiary</b>	<ul style="list-style-type: none"> <li>• Certified death certificate with cause of death</li> </ul>
Deceased stockholder – individual stock account <b>without a TOD beneficiary</b>	<ul style="list-style-type: none"> <li>• Certified death certificate with cause of death</li> <li>• Original court sealed probate documentation <i>certified within the past 365 days</i></li> </ul>
Deceased stockholder – joint stock account	<ul style="list-style-type: none"> <li>• Certified death certificate with cause of death</li> </ul>
Deceased minor custodian – custodial stock account	<ul style="list-style-type: none"> <li>• Certified death certificate with cause of death</li> <li>• If the minor has a parent living, a copy of the minor's birth certificate is required for the parent to take over as minor custodian</li> <li>• If a guardian is appointed, an original court order is required to verify legal guardianship of the minor</li> </ul>
Deceased minor – custodial stock account	<ul style="list-style-type: none"> <li>• Certified death certificate with cause of death</li> <li>• Original court sealed probate documentation <i>certified within the past 365 days</i></li> </ul>

# Publix Stock Transfer Request Form

## Current Stock Account and Shares to Transfer (Includes Gifts and Name Changes)

Please specify the stock account you want to transfer shares from and the total number of shares of Publix stock you want to transfer from this stock account. In addition to completing this form, you must complete and sign the back of any paper stock certificates for the shares you want to transfer.

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

Account Registration Name: \_\_\_\_\_

Last 6 Digits of Social Security Number/Tax ID: XXX - \_\_\_\_ - \_\_\_\_\_ OR XX-XXX \_\_\_\_\_

Email Address: \_\_\_\_\_ Phone Number: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Total number of shares to transfer: \_\_\_\_\_

Note: If you're only transferring or gifting a portion of the shares on a paper stock certificate, an electronic certificate will be issued for the remaining shares. For name changes, an electronic certificate will be issued for the shares.

## Existing Account Information

Complete this section if you're transferring shares into an existing account.

Account Number			
Account Registration Name			
Last 6 Digits of Social Security Number/Tax ID      XXX-____-____      OR    XX-XXX _____			
Street Address	City	State	ZIP Code

## New Account Information

Complete this section if you're transferring shares into a new account. Only select one type of account to transfer shares into.

<input type="checkbox"/> <b>Individual</b>			
<b>Account Holder</b>			
First Name		Middle Initial	Last Name
Social Security Number	Phone Number		Email Address
Street Address	City	State	ZIP Code
<input type="checkbox"/> <b>Joint (legal spouse only)</b>			
<b>Account Holder</b>			
First Name		Middle Initial	Last Name
Social Security Number	Phone Number		Email Address
<b>Joint Account Holder (Spouse's Information)</b>			
First Name		Middle Initial	Last Name
Social Security Number	Phone Number		Email Address
Street Address	City	State	ZIP Code

## New Account Information, Continued

### ☐ Custodial (legal guardian for minor under age 18)

#### Custodian

First Name	Middle Initial	Last Name
Social Security Number	Phone Number	Email Address

#### Minor

First Name	Middle Initial	Last Name	
Social Security Number			
Street Address	City	State	ZIP Code

### ☐ Trust

Name of Trust	Tax ID Number (TIN)	Date of Trust
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#### Trustee #1

First Name	Middle Initial	Last Name	
Social Security Number	Phone Number	Email Address	
Street Address	City	State	ZIP Code

#### Trustee #2

First Name	Middle Initial	Last Name	
Social Security Number	Phone Number	Email Address	
Street Address	City	State	ZIP Code

## Transfer on Death (TOD) Beneficiary Designation

A transfer on death (TOD) registration is a type of account registration that allows account owners (individual or joint owners with rights of survivorship) to designate beneficiaries to receive certain assets at the time of their respective deaths, without going through probate.

*If you are adding, changing or removing the TOD beneficiary for a stock account, complete the information below. If you're gifting stock, only the person receiving the gift can designate the TOD beneficiary.*

- *The TOD beneficiary must be a member of your immediate family. Your immediate family is your legal spouse and adult children, including stepchildren and adopted children (age 18 or older).*
  - *Legal spouse means an individual to whom you are lawfully married in accordance with state law. A spouse under common law marriage is recognized if the requirements for common law marriage are met in the state in which you both reside at the time your TOD beneficiary is processed by Publix stockholder services.*
- *The TOD beneficiary cannot be your legal spouse if stock is held jointly.*
- *A TOD beneficiary cannot be added to a custodial account.*

### ☐ Add or change

First Name	Middle Initial	Last Name
Social Security Number	Phone Number	Email Address

### ☐ Remove (no additional information needed)

## Signatures and Acknowledgements

*The signatures of all stockholders are required to process a transfer, gift or name change. The signatures must be stamped with a medallion signature guarantee by a qualified financial institution.*

- If the value of the shares associated with the transfer, gift or name change is less than \$10,000, copies of government-issued IDs for all stockholders listed in the stock account registration can be provided in lieu of a medallion signature guarantee.*
- SOCIAL SECURITY NUMBER CERTIFICATION (SUBSTITUTE FORM W-9): Under penalties of perjuries, I certify that: 1) the number shown on this form is my correct Social Security Number, 2) I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest and dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and 3) I am a U.S. citizen or other U.S. person as defined in the instructions by the IRS.*

I (we) represent that I (we) are authorized to request a transfer, gift or name change from the above referenced stock account, and by signing below, I (we) certify that every statement made on this form is true to the best of my (our) knowledge. I (we) also represent that I (we) have received no valuable consideration for the transfer, gift or name change of the shares nor will receive any valuable consideration after the transfer, gift or name change is completed. Further, I (we) represent that I (we) have or had no contract, understanding or arrangement with any person to sell, transfer or pledge any of the shares, and I (we) have no present intention to enter into any such contract, understanding or arrangement.\*

I (we) hereby certify and acknowledge that I (we) understand that if the Employee Stock Purchase Plan Committee or its delegate ("Committee") determines I (we) have violated the terms of the Plan in transferring or gifting the shares, including, by way of example and not limitation, if the Committee determines, in its sole and absolute discretion, that I (we) transferred the shares to designate a Transfer on Death beneficiary who is not my legal spouse or my (our) non-minor child, Publix has the right to (i) cancel my (our) transfer or gift of the shares, (ii) re-register the shares in the manner prior to the invalid transfer or gift, and (iii) bar me (us) from future transfers or gifts of Publix stock under the Plan. If re-registering the shares is not feasible for any reason, Publix will recoup the stock by buying it back at the stock price as of the date of the recoupment. In the event of the cancellation of a transfer or gift, Publix will not request reimbursement of dividends already paid before the date of the recoupment of the shares. In the event of the cancellation of a transfer or gift and re-registration of the stock, Publix will not be liable for collecting any dividends paid to the person to whom the shares were invalidly transferred or gifted or for paying such dividends to the owner prior to the cancellation of the transfer or gift.

**Stockholder Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Stockholder Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
(for joint account)

**Medallion Signature Guarantee:**

*All stockholders listed in the registration of the account statement or the paper stock certificate must sign as their name appears, with the exception of any Transfer on Death (TOD) beneficiaries. When signing as attorney-in-fact, executor, administrator, trustee, guardian, custodian or other representative capacity, please give full title as such.*

*\* If this request relates to a trade (as opposed to a gift or name change), and the stockholder is a Key Publix Insider, then any applicable pre-clearance requirements must be satisfied.*