

Keating Capital, Inc.
Website Forms Index

The following forms should be used for Keating Capital shares directly registered and held on the books of our transfer agent, DST Systems, Inc. For shares held in “street name” in a Stockholder’s brokerage account, the Stockholder should contact the brokerage firm.

All completed Forms should be sent directly to our transfer agent, DST Systems:

Via Fax: (816) 283-5595	Via Regular Mail: Keating Capital, Inc. c/o DST Systems, Inc. P.O. Box 219125 Kansas City, MO 64121-9125	Via Express/Overnight Delivery: Keating Capital, Inc. c/o DST Systems, Inc. 430 West 7 th Street Kansas City, MO 64105-1407
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Form No. 1 – Transfer Request Form – to transfer ownership of directly registered shares to a third party

Form No. 2 – Account Statement Request Form – to request a new account statement from DST Systems

Form No. 3 – Book-Entry Shares Request Form – to deposit a physical stock certificate and request that the shares be placed into book-entry form

Form No. 4 – Change of Address / Contact Information Form – to update the current address and/or contact information for a directly registered stockholder account

Form No. 5 – Change of Broker-Dealer / Investment Adviser Form – to update the current Broker-Dealer or Investment Adviser designation for a directly registered stockholder account

Form No. 6 – Electronic Document Delivery Consent Form – to update the current email address and/or document distribution preference for a directly registered stockholder account

Form No. 7 – Dividend Reinvestment or Cash Distribution Designation Form – to update the current dividend reinvestment or cash distribution designation for a directly registered stockholder account

Form No. 8 – Transfer on Death Beneficiary Registration Form – to designate a transfer on death beneficiary or change a current transfer on death beneficiary designation for a directly registered stockholder account

Form No. 9 – Transfer of Shares to a Brokerage Account or “Street Name” – to transfer directly registered shares to a brokerage account or “street name”

