

Any Shareholder, 18 years of age or older, may gift their stock to their Alaskan Native descendant, which is defined as: Child, grandchild, great grandchild, niece, nephew, brother or sister. Brother and sister include half-brothers and half-sisters, but does not include step-brother or step-sisters. Adopted descendants can receive a gift of stock if their adoption occurred before they reached the age of 18 and it is recognized at law or in equity. The gift can only be made if the stock is not under custodianship, guardianship or court order for divorce or child support. Be advised that any gift of stock made may have tax consequences. Therefore, we suggest seeking the advice of a tax accountant or lawyer before making any transfers.

### Instructions for Shareholder Gifting Shares:

- Instructions for the Recipient or Recipient's Custodian:**

- Return the forms:**

**Old Harbor Native Corporation**  
**2702 Denali Street Suite 100**  
**Anchorage Alaska 99503**

Additional Documents Listed Below Must Accompany the Affidavit:

### Gift of Settlement Common Stock Package

**INFORMATION SHEET ON APPOINTMENT OF CUSTODIAN  
FOR MINOR SHAREHOLDERS**

Under Alaska Law, children under 18 years of age who receive stock in a Native Corporation must have their stock issued to a custodian. The person giving the stock may designate the custodian if they desire. Otherwise, the custodian will be determined according to the following priority established by Alaska Law:

1. The legal guardian of the child, if any;
2. A parent of the child, as selected by the parents;
3. An adult member of the child's family, which includes parents, grandparents, brothers, sisters, uncles, and aunts, whether of the whole or half blood or through adoption, and may also include members of the family with whom the child has customarily lived.

Old Harbor Native Corporation will issue the stock in the name of the custodian, as custodian for the child. The duties of the Custodian are set out in the statute. In general, they allow the custodian to spend as much of the dividends and distributions, if any, as the custodian considers necessary for the support, maintenance, education and benefit of the child. The remainder is to be held separately on behalf of the child. All money, if it is to be invested, must be placed in a separate account with a broker or an insured financial institution in the name of the custodian followed by the words "as custodian for "(child's name) under the Alaska Uniform Transfer to Minors Act." The custodian is a person other than a parent or legal representative of the child, the records must be made available at reasonable intervals to the parents or legal representative, or, if the minor is over 14 years of age, to the minor.

The custodian is entitled to reimbursement from the custodial property for expenses, but is not entitled to any compensation unless specifically ordered by the court.

The custodianship will terminate when the child reach age 18. At termination, the dividends, distributions and other property must be turned over to the child.

For each child from whom a custodian is to be appointed, the custodian must sign

Part IV: Acceptance Certificate, on behalf of the child.

## GIFT OF SETTLEMENT COMMON STOCK AND ACCEPTANCE

State of \_\_\_\_\_ )  
 ) ss.  
\_\_\_\_\_ County/Judicial District)

I, \_\_\_\_\_, am making this Affidavit for the purposes of making an Inter Vivos Gift of Stock pursuant to the provisions of Section 7 (h)(1)(C)(iii) and Section 8(c) of the Alaska Native Claims Settlement Act. I do hereby give, assign, transfer, convey and set over to the descendant(s) I have named herein, stock in Old Harbor Native Corporation, according to the instructions I have provided in this Affidavit.

### Part I INFORMATION REGARDING SHAREHOLDER (Person Giving Shares)

Full Name	_____	Shareholder ID	_____
Address	_____	SSN	_____
City	_____	State	_____
Zip Code	_____	Date of Birth	_____
Phone Number	_____	email	_____
Shares Owned Before This Gift:		Total Number of Shares I am Gifting:	Shares Owned After This Gift:
Shares	_____	Shares	_____
		Number of Recipients I am Gifting Shares to:	_____

### Part II INFORMATION REGARDING RECIPIENT(S) (Person receiving Gift Shares)

Full Name	_____	Shareholder ID	_____
Address	_____	SSN	_____
City	_____	State	_____
Zip Code	_____	Date of Birth	_____
Phone Number	_____	email	_____
Relationship to Shareholder:			
<input type="checkbox"/> Child	<input type="checkbox"/> Grandchild	<input type="checkbox"/> Great Grandchild	<input type="checkbox"/> Niece
<input type="checkbox"/> Nephew	<input type="checkbox"/> Brother	<input type="checkbox"/> Sister	
Is Recipient a minor (under 18 years of age)? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If YES, please designate a custodian here: _____			
Number of shares I am Gifting to Recipient: _____			

**Part II (Continued)**  
**INFORMATION REGARDING RECIPIENT(S)**

Full Name	_____	Shareholder ID	_____
Address	_____	SSN	_____
City	_____	State	_____
Zip Code	_____	Date of Birth	_____
Phone Number	_____	email	_____
Relationship to Shareholder:			
<input type="checkbox"/> Child	<input type="checkbox"/> Grandchild	<input type="checkbox"/> Great Grandchild	<input type="checkbox"/> Niece <input type="checkbox"/> Nephew <input type="checkbox"/> Brother <input type="checkbox"/> Sister
Is Recipient a minor (under 18 years of age)? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If YES, please designate a custodian here: _____			
Number of shares I am Gifting to Recipient: _____			

Full Name	_____	Shareholder ID	_____
Address	_____	SSN	_____
City	_____	State	_____
Zip Code	_____	Date of Birth	_____
Phone Number	_____	email	_____
Relationship to Shareholder:			
<input type="checkbox"/> Child	<input type="checkbox"/> Grandchild	<input type="checkbox"/> Great Grandchild	<input type="checkbox"/> Niece <input type="checkbox"/> Nephew <input type="checkbox"/> Brother <input type="checkbox"/> Sister
Is Recipient a minor (under 18 years of age)? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If YES, please designate a custodian here: _____			
Number of shares I am Gifting to Recipient: _____			

Full Name	_____	Shareholder ID	_____
Address	_____	SSN	_____
City	_____	State	_____
Zip Code	_____	Date of Birth	_____
Phone Number	_____	email	_____
Relationship to Shareholder:			
<input type="checkbox"/> Child	<input type="checkbox"/> Grandchild	<input type="checkbox"/> Great Grandchild	<input type="checkbox"/> Niece <input type="checkbox"/> Nephew <input type="checkbox"/> Brother <input type="checkbox"/> Sister
Is Recipient a minor (under 18 years of age)? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If YES, please designate a custodian here: _____			
Number and Class of shares I am Gifting to Recipient: _____			

### PART III

#### AFFIDAVIT: SHAREHOLDER GIFTING STOCK AND NOTARY

1. I understand that the Alaska Native Claims Settlement Act (43 U.S.C. 1606 and 1607) permits a shareholder to give a gift of shares to a descendant: child, grandchild, great grandchild, niece, nephew, brother or sister.
2. I attest that I am at least 18 years of age.
3. I wish to make a gift of shares to the recipient(s) shown herein.
4. I understand that if there are taxes owed as a result of this transfer, Old Harbor Native Corporation will not be responsible for payments, and that payment of any such taxes will be either my responsibility as donor or the recipient's responsibility.
5. I understand that my gift places in the hands of the recipient all authority to transfer these shares by will or gift; that I will no longer have voting rights for these shares; that I will no longer receive dividends, distributions or other benefits for the shares I am gifting.
6. I understand that by signing this affidavit, I am swearing under oath to the best of knowledge and belief that everything stated herein is true, and that I am acting of my own free will and not under any undue pressure, influence, or duress.
7. I affirm that I have not received anything of value nor was I promised anything of value as compensation or payment for the stock I wish to transfer.
8. None of the above shares, nor any of my rights relative to them, have in whole or in part been assigned, transferred, hypothecated, gifted or otherwise disposed of by court decree of separation, divorce or child support, or otherwise.
9. I have read and understand the information provided in this Affidavit.

\_\_\_\_\_  
Signature of Shareholder Gifting Stock

DATED this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

THIS IS TO CERTIFY that on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ before me, personally appeared \_\_\_\_\_, to me known and known to me to be the identical individual described in and who executed the within and foregoing instrument, and acknowledged to me that he/she had executed the same freely and voluntarily for the uses and purposes therein mentioned.

WITNESS my hand and notary seal on the date and years last above written.

\_\_\_\_\_  
Notary Signature  
Notary Public in and for the State of \_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

**PART IV**

**ACCEPTANCE: GIFT OF SETTLEMENT COMMON STOCKS**

State of \_\_\_\_\_)  
\_\_\_\_\_) ss.  
\_\_\_\_\_County/Judicial District)

I, \_\_\_\_\_, being first duly sworn, upon oath, do hereby depose and say:

- A. I am the **RECIPIENT** or **CUSTODIAN FOR RECIPIENT** (circle one). I accept the gift of Old Harbor Native Corporation shares, including all the rights and responsibilities of being a shareholder of Old Harbor Native Corporation.
- B. I certify that I am (or, if I am the Custodian, the Recipient is) a Native or descendant of a Native.
- C. I have not (and, if I am the Custodian, neither I nor the Recipient has) given or promised any consideration of anything of value in exchange for the making of this gift.
- D. If I am not (or, if I am the Custodian, the Recipient is not) presently a shareholder of Old Harbor Native Corporation, I will provide a Shareholder W-9 Form before the shares are issued to me.
- E. If I am the Custodian, I consent to my appointment as Custodian for the Recipient, without compensation, and agree that I will not use any money or other benefit received by me on behalf of the Recipient for my own benefit, except as reimbursement for reasonable expenses actually incurred for the support, maintenance, education and benefit of the Recipient. I understand that in dealing with custodian property, I must observe the standard of care that would be observed by a prudent person dealing with property of another, that custodial property must be kept separate and distinct from all other property in a manner sufficient to identify it clearly as custodial property of the minor, and that a custodian may not receive compensation except upon approval by the superior court for unusual and extraordinary services. I will comply with all provisions of the Alaska Uniform Transfers to Minors Act, AS 13.46.

I hereby acknowledge receipt of \_\_\_\_shares of Old Harbor Native Corporation stock on this\_\_\_\_day of \_\_\_\_\_, 20\_\_\_\_ as a gift from \_\_\_\_\_. I understand that once this stock is transferred to me (or if I am the Custodian, the Recipient) will become a shareholder in the Corporation, with all the rights and responsibilities which result from being a shareholder.

\_\_\_\_\_  
Signature of Recipient or Custodian

\_\_\_\_\_  
Date

**SUBSCRIBED** and **SWORN** to before me this\_\_\_\_day of\_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Notary Public in and for the State of\_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

**INFORMATION ON CUSTODIAN NAMED ABOVE (if Recipient is under 18 years of age.)**

Name \_\_\_\_\_ Shareholder ID \_\_\_\_\_

Address \_\_\_\_\_ SSN \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ Date of Birth \_\_\_\_\_

Phone Number \_\_\_\_\_ email \_\_\_\_\_

Custodian for \_\_\_\_\_

Relationship to Recipient: ☐ Legal Guardian ☐ Parent, as selected by the parents ☐ Adult Member of Recipient's Family

**PART IV: ACCEPTANCE: GIFT OF SETTLEMENT COMMON STOCK**

State of \_\_\_\_\_ )  
 ) ss.  
\_\_\_\_\_ County/Judicial District)

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- D. If I am not (or, if I am the Custodian, the Recipient is not) presently a shareholder of Old Harbor Native Corporation, I will provide a Shareholder W-9 Form before any shares are issued to me.
- E. If I am the Custodian, I consent to my appointment as Custodian to the Recipient, without compensation, and agree that I will not use any money or other benefit received by me on behalf of the Recipient for my own benefit, except as reimbursement for reasonable expenses actually incurred for the support, maintenance, education and benefit of the Recipient. I understand that in dealing with custodian property, I must observe the standard of care that would be observed by a prudent person dealing with property of another, that custodial property must be kept separate and distinct from all other property in a manner sufficient to identify it clearly as custodial property of the minor, and that a custodian may not receive compensation except upon approval by the superior court for unusual and extraordinary services. I will comply with all provisions of the Alaska Uniform Transfers to Minors Act, AS 13.46.

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\_\_\_\_\_  
Signature of Recipient or Custodian

\_\_\_\_\_  
Date

**SUBSCRIBED** and **SWORN** to before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public in and for the State of \_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

**INFORMATION ON CUSTODIAN NAMED ABOVE (if Recipient is under 18 years of age.)**

Name _____	Shareholder ID _____
Address _____	SSN _____
City _____ State _____ Zip Code _____	Date of Birth _____
Phone Number _____ email _____	
Custodian for _____	
Relationship to Recipient: <input type="checkbox"/> Legal Guardian <input type="checkbox"/> Parent, as selected by the parents <input type="checkbox"/> Adult Member of Recipient's Family	

**PART IV**

**ACCEPTANCE: GIFT OF SETTLEMENT COMMON STOCK**

State of \_\_\_\_\_ )  
 ) ss.  
\_\_\_\_\_ County/Judicial District)

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\_\_\_\_\_  
Signature of Recipient or Custodian

\_\_\_\_\_  
Date

**SUBCRIBED** and **SWORN** to before me on this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public in and for the State of \_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

**INFORMATION ON CUSTODIAN NAMED ABOVE (if Recipient is under 18 years of age.)**

Name _____	Shareholder ID _____
Address _____	SSN _____
City _____ State _____ Zip Code _____	Date of Birth _____
Phone Number _____ email _____	
Custodian for _____	
Relationship to Recipient: <input type="checkbox"/> Legal Guardian <input type="checkbox"/> Parent, as selected by the parents <input type="checkbox"/> Adult Member of Recipient's Family	



**PART IV**

**ACCEPTANCE: GIFT OF SETTLEMENT COMMON STOCK**

State of \_\_\_\_\_ )  
 ) ss.  
\_\_\_\_\_ County/Judicial District)

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- D. If I am not (or, if I am the Custodian, the Recipient is not) presently a shareholder of Old Harbor Native Corporation. I will provide a Shareholder W-9 Form before the shares are issued to me.
- E. If I am the Custodian, I consent to my appointment as Custodian to the Recipient, without compensation, and agree that I will not use any money or other benefit received by me on behalf of the Recipient for my own benefit, except as reimbursement for reasonable expenses actually incurred for the support, maintenance, education and benefit of the Recipient. I understand that in dealing with custodian property, I must observe the standard of care that would be observed by a prudent person dealing with property of another, that custodial property must be kept separate and distinct from all other property in a manner sufficient to identify it clearly as custodial property of the minor, and that a custodian may not receive compensation except upon approval by the superior court for unusual and extraordinary services. I will comply with all provisions of the Alaska Uniform Transfers to Minors Act, AS 13.46.

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\_\_\_\_\_  
Signature of Recipient or Custodian

\_\_\_\_\_  
Date

**SUBCRIBED** and **SWORN** to before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public in and for the State of \_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

**INFORMATION ON CUSTODIAN NAMED ABOVE (If Recipient is under 18 years of age.)**

Name _____	Shareholder ID _____
Address _____	SSN _____
City _____ State _____ Zip Code _____	Date of Birth _____
Phone Number _____ email _____	
Custodian for _____	
Relationship to Recipient: <input type="checkbox"/> Legal Guardian <input type="checkbox"/> Parent, as selected by the parents <input type="checkbox"/> Adult Member of Recipient's Family	

# Request for Taxpayer Identification Number and Certification

Give Form to the  
requester. Do not  
send to the IRS.

► Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

Print or type.  
See Specific Instructions on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
2 Business name/disregarded entity name, if different from above	
3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.  <input checked="" type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____ <b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) ► _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):  Exempt payee code (if any) _____  Exemption from FATCA reporting code (if any) _____  <i>(Applies to accounts maintained outside the U.S.)</i>
5 Address (number, street, and apt. or suite no.) See instructions.	Requester's name and address (optional)
6 City, state, and ZIP code	
7 List account number(s) here (optional)	

## Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number									
				-				-	
or									
Employer identification number									
				-					

## Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
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 or 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 (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ►	Date ►
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## General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

## Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*