Confidential client information profile

WELLS FARGO ADVISORS

Important

1. The information below is required in order to establish your account(s). Please complete this profile in its entirety.
2. Return this profile with the Customer Account Transfer Form(s) (ACAT forms), and W-9(s)* along with a copy of your most recent statement(s).
3. Upon receipt, your account(s) will be established and documentation will be mailed to you for your signature.

** To avoid back-up withholding, a W-9 will need to be returned for each taxable account.*

Mailing address

Street Address

City / State / Zip

Legal address *(if different from mailing address)*

Street Address

City / State / Zip

Primary account owner

First, Middle, Last Name

Home Phone Business Phone Other Phone

Fax Number EmailAddress

Date of Birth SocialSecurityNumber/TIN#

Employer Name
(If retired, provide name of former employer)

Employer Address
(required for SEP/SAR IRAs)

Occupation Number of Years

Marital Status:
o Single o Married
o Divorced o Widowed

Gender ______
Number of Dependents *(excluding self)* ______

Gov.ID type Gov. ID No.

Date of issue Date of expiration Place of issue

Joint account owner

First, Middle, Last Name

Home Phone Business Phone Other Phone

Fax Number EmailAddress

Date of Birth SocialSecurityNumber/TIN#

Employer Name
If retired, provide name of former employer)

Employer Address
(required for SEP/SAR IRAs)

Occupation Number of Years

Marital Status:
o Single o Married
o Divorced o Widowed

Gender ______
Number of Dependents *(excluding self)* ______

Gov.ID type Gov. ID No.

Date of issue Date of expiration Place of issue

Forms of acceptable government ID are: Adoption Record, Birth Certificate, Court Document, Driver's License, Employer ID Card, Foreign ID Card, Health Insurance Card, Life Insurance Policy, Marriage or Divorce Record, Military Record, Passport, Resident Alien ID Card-Green, School ID Card.

Rule 144: Are you or a member of your immediate family a director, policy-making officer or 10% stockholder in any publicly traded company? o Yes o No

If yes, indicate ticker symbol, Cusip or Company Name

Are you or a member of your immediate family associated with another FINRA member firm? o Yes o No
If yes, provide SSN & relationship to FINRA-associated person

Are you a politically exposed person or a relative of a politically exposed person? o Yes o No

Rule 144: Are you or a member of your immediate family a director, policy-making officer or 10% stockholder in any publicly traded company? o Yes o No

If yes, indicate ticker symbol, Cusip or Company Name

Are you or a member of your immediate family associated with another FINRA member firm? o Yes o No
If yes, provide SSN & relationship to FINRA-associated person

Are you a politically exposed person or a relative of a politically exposed person? o Yes o No

Trusted Contact Information *IF you would like to provide trusted contact information please complete the fields below:*

Name Relationship

Legal Address City State ZIP

Email Address Phone

Primary Owner declines to provide trusted contact information o

Name Relationship

Legal Address City State ZIP

Email Address Phone

Joint Owner declines to provide trusted contact information o

Financial Information and Suitability

Check the applicable box to indicate the range that represents the client's financial information.

	\$0 - \$49,000	\$50,000 - \$99,000	\$100,000 - \$199,999	\$200,000 - \$499,999	\$500,000 - \$999,999	\$1,000,000 - \$4,999,999	\$5,000,000 - \$9,999,999	\$10,000,000 or more
Other Investments	☐	☐	☐	☐	☐	☐	☐	☐
Household Annual Income	☐	☐	☐	☐	☐	☐	☐	☐
Liquid Net Worth	☐	☐	☐	☐	☐	☐	☐	☐
Total Net Worth (excluding residence)	☐	☐	☐	☐	☐	☐	☐	☐

Tax bracket *Please select the rate that most closely matches your current tax bracket.*

o 10% o 15% o 25% o 28% o 33% o 35% o other ________

Liquidity needs *The extent to which a customer desires the ability or has the financial obligations that dictate the need to quickly and easily convert to cash all or a portion of an investment or investments without experiencing significant loss in value from, for example, the lack of a ready market, or incurring significant costs or penalties.*

o Significant *(Primary need is liquidity)* o Moderate *(May need quick access to cash)* o None *(Have other sources of cash)*

Does the account holder have total assets of at least \$50 million? o Yes o No

Note that this is based on account holder's TOTAL asset value. This may differ from the account holder's Liquid Assets and Net Worth.

Is primary owner a registered investment advisor/company either with the SEC or state securities commission? o Yes o No

Time horizon o Long Term (10+ years) o Moderate Term (5 - 10 years) o Intermediate Term (3 - 5 years) o Short Term (1 - 3 years) o Immediate Term (1 year or less)

Investment experience of primary account holder: Select from these values **A.** None **B.** Less than 5 yrs **C.** 5-10 yrs **D.** Over 10 yrs

Stocks ________ **Bonds** ________ **Options** ________ **Annuities/Life Insurance** ________ **Mutual Funds** ________

Cost basis election Does the client want cost basis on statements? o Yes o No If yes, select one o Full Tax Lots o Net Tax Lots

Tax Lot Relief Method *Default method is FIFO (First In First Out).*

o FIFO o LIFO o HIFO o LOFO o HCST o HCLT o LCLT o LCST

Average cost elections *If you choose "N", do not enter the date*

Mutual Funds ________ Dividend Reinvestment ________ Election for Rights/Warrants Apportionment (if applicable)

Election Date: ________ Plans Election Date: ________ o Yes o No

N. Not Average Cost **O.** Post-Effective **M.** Mixed/Specific Security

Children

Complete this information if you have custodian accounts, 529 Plans or Education IRAs. If you have additional children, please include a separate sheet.

Name SSN# Date of Birth %

Name SSN# Date of Birth %

Wells Fargo Advisors is a trade name used by Wells Fargo Clearing Services, LLC and Wells Fargo Advisors Financial Network, LLC, Members SIPC, separate registered broker-dealers and non-bank affiliates of Wells Fargo & Company.

Associated person information/entity *(if applicable)*

This information will need to be provided for each person associated with your accounts (i.e., POAs, Trustees, Corporate Officers, CPAs, Third- party authorizations, etc.)

Name or Entity | Title | SSN or Tax ID | Date of Birth

Street Address (cannot be a P.O. Box) | City | State | Zip

Business Phone | Fax Number

Employer *(if retired, please provide name of former employer)* | Occupation | Number of Years

Gov ID Type | Gov. ID No.

Date of Issue | Date of Expiration | Place of Issue

Rule 144: Are you or a member of your immediate family a director, policy-making officer or 10% stockholder in any publicly traded company? O Yes O No

If yes, indicate ticker symbol, Cusip or Company Name ______________________________

Trusted Contact Information *IF you would like to provide trusted contact information please complete the fields below:*

Name | Relationship | Email Address | Phone

Legal Address | **City** | **State** | **ZIP**

Associated person declines to provide trusted contact information O

Retirement account beneficiary information *(if applicable)*

Complete these fields only if you have retirement accounts (traditiomal, IRA, ROTH IRA, SEP, SIMPLE).
If you have additioanl additional primary or contingent beneficiaries, please include a separate sheet.

Name on retirement account 1: ______________________________

Primary beneficiary Name | SSN# | Date of Birth | % | Is beneficiary the spouse? O Yes O No

Contingent beneficiary Name (if applicable) | SSN# | Date of Birth | % | Is beneficiary the spouse? O Yes O No

Name on retirement account 2: ______________________________

Primary beneficiary Name | SSN# | Date of Birth | % | Is beneficiary the spouse? O Yes O No

Contingent beneficiary Name (if applicable) | SSN# | Date of Birth | % | Is beneficiary the spouse? O Yes O No

Trust account information *(if applicable)*

Date of Trust | Grantor Name | Amendment date *(if applicable)*

Is the trust revocable? O Yes O No (If applicable, name of person with authority to revoke the trust: ______________________________

Has the trust been modified or revoked so as to render the certification inaccurate? O Yes O No

Title of the trust assets *(state how assets should be titled)*______________________________

Is the trust governed by US law? O Yes O No If so, what state?______________________________

Please note: Trusts created in the following states will require notary signature on Trustee Certification of Investment Powers: CA, DE, ID, IA, KS, MI, NE, NV, OK, TN or TX

Successor trustee if applicable: ______________________________

Account characteristics

Account #1

Account type

Primary owner

Co-Owner

Associated person(s)

Investment objective/risk tolerance *(See page 6 for descriptions of each option)*

o Conservative growth o Conservative growth & income
o Moderate growth o Moderate growth & income
o Aggressive growth o Moderate income
o Conserviative growth o Aggressive income
o Aggresive growth & income o Trading & speculation

If Tax Bracket and/or Income for this account is different than household information, please describe:

Source of Funds *(select the corresponding letter from the chart below)*

A. Savings **B**. Inheritance **C.** Business revenue
D. Donations (Trusts only) **E**. Sale of Business
F. Sale of Real Estate **G**. Sale of asset
H. Legal /Ins settlement **I.** Asset Appreciation
J. Associated Persons **K.** Other ____________

Account Purpose and Nature
(select the appropriate letter from the chart below)
A. Investments **B**. Personal Liquid Savings
C. Retirement **D**. Employee Retirement
E. Business Management **F.** Children's Savings
G. Estate Management **H.** Trust Management

Dividend Reinvestment Plans o Yes o No

Features

o Direct deposit (government checks only)
o Periodic deposits/withdrawals to/from bank
o Fee Based
o On line account access
o Reinvest stock dividends
o Checkwriting o Debit card
o IRA distributions/contributions
o Mail dividends /interest

Account #2

Account type

Primary owner

Co-Owner

Associated person(s)

Investment objective/risk tolerance *(See page 6 for descriptions of each option)*

o Conservative growth o Conservative growth & income
o Moderate growth o Moderate growth & income
o Aggressive growth o Moderate income
o Conserviative growth o Aggressive income
o Aggresive growth & income o Trading & speculation

If Tax Bracket and/or Income for this account is different than household information, please describe:

Source of Funds *(select the corresponding letter from the chart below)*

A. Savings **B**. Inheritance **C.** Business revenue
D. Donations (Trusts only) **E**. Sale of Business
F. Sale of Real Estate **G**. Sale of asset
H. Legal /Ins settlement **I.** Asset Appreciation
J. Associated Persons **K.** Other ____________

Account Purpose and Nature
(select the appropriate letter from the chart below)
A. Investments **B**. Personal Liquid Savings
C. Retirement **D**. Employee Retirement
E. Business Management **F.** Children's Savings
G. Estate Management **H.** Trust Management

Dividend Reinvestment Plans o Yes o No

Features

o Direct deposit (government checks only)
o Periodic deposits/withdrawals to/from bank
o Fee Based
o On line account access
o Reinvest stock dividends
o Checkwriting o Debit card
o IRA distributions/contributions
o Mail dividends /interest

Account characteristics

Account #3

Account type

Primary owner

Co-Owner

Associated person(s)

Investment objective/risk tolerance *(See page 6 for descriptions of each option)*

o Conservative growth o Conservative growth & income
o Moderate growth o Moderate growth & income
o Aggressive growth o Moderate income
o Conserviative growth o Aggressive income
o Aggresive growth & income o Trading & speculation

If Tax Bracket and/or Income for this account is different than household information, please describe:

Source of Funds *(select the corresponding letter from the chart below)*

A. Savings **B**. Inheritance **C.** Business revenue
D. Donations (Trusts only) **E**. Sale of Business
F. Sale of Real Estate **G**. Sale of asset
H. Legal /Ins settlement **I.** Asset Appreciation
J. Associated Persons **K.** Other ____________________

Account Purpose and Nature
(select the appropriate letter from the chart below)
A. Investments **B**. Personal Liquid Savings **C**. Retirement **D**. Employee Retirement
E. Business Management **F.** Children's Savings
G. Estate Management **H.** Trust Management

Dividend Reinvestment Plans o Yes o No

Features

o Direct deposit (government checks only)
o Periodic deposits/withdrawals to/from bank
o Fee Based
o On line account access
o Reinvest stock dividends
o Checkwriting o Debit card
o IRA distributions/contributions
o Mail dividends /interest

Account #4

Account type

Primary owner

Co-Owner

Associated person(s)

Investment objective/risk tolerance *(See page 6 for descriptions of each option)*

o Conservative growth o Conservative growth & income
o Moderate growth o Moderate growth & income
o Aggressive growth o Moderate income
o Conserviative growth o Aggressive income
o Aggresive growth & income o Trading & speculation

If Tax Bracket and/or Income for this account is different than household information, please describe:

Source of Funds *(select the corresponding letter from the chart below)*

A. Savings **B**. Inheritance **C.** Business revenue
D. Donations (Trusts only) **E**. Sale of Business
F. Sale of Real Estate **G**. Sale of asset
H. Legal /Ins settlement **I.** Asset Appreciation
J. Associated Persons **K.** Other ____________________

Account Purpose and Nature
(select the appropriate letter from the chart below)
A. Investments **B**. Personal Liquid Savings
C. Retirement **D**. Employee Retirement
E. Business Management **F.** Children's Savings
G. Estate Management **H.** Trust Management

Dividend Reinvestment Plans o Yes o No

Features

o Direct deposit (government checks only)
o Periodic deposits/withdrawals to/from bank
o Fee Based
o On line account access
o Reinvest stock dividends
o Checkwriting o Debit card
o IRA distributions/contributions
o Mail dividends /interest

Suitability Data—Investment Objectives/Risk Tolerance

Please choose only one of the following selections:

INCOME: Portfolios emphasize current income with minimal consideration for capital appreciation and usually have less exposure to more volatile growth assets.

- **Conservative Income** – Conservative Income investors generally assume lower risk, but may still experience losses or have lower expected income returns.
- **Moderate Income** – Moderate Income investors are willing to accept a modest level of risk that may result in increased losses in exchange for the potential to receive modest income returns.
- **Aggressive Income** – Aggressive Income investors seek a higher level of returns and are willing to accept a higher level of risk that may result in greater losses.

GROWTH & INCOME: Portfolios emphasize a blend of current income and capital appreciation and usually have some exposure to more volatile growth assets.

- **Conservative Growth & Income** – Conservative Growth and Income investors generally assume a lower amount of risk, but may still experience losses or have lower expected returns.
- **Moderate Growth & Income** – Moderate Growth and Income investors are willing to accept a modest level of risk that may result in increased losses in exchange for the potential to receive modest returns.
- **Aggressive Growth & Income** – Aggressive Growth and Income investors seek a higher level of returns and are willing to accept a higher level of risk that may result in greater losses.

GROWTH: Portfolios emphasize capital appreciation with minimal consideration for current income and usually have significant exposure to more volatile growth assets.

- **Conservative Growth** – Conservative Growth investors generally assume a lower amount of risk, but may still experience increased losses or have lower expected growth returns.
- **Moderate Growth** – Moderate Growth investors are willing to accept a modest level of risk that may result in significant losses in exchange for the potential to receive higher returns.
- **Aggressive Growth** – Aggressive Growth investors seek a higher level of returns and are willing to accept a high level of risk that may result in more significant losses.

Trading & Speculation: Trading and Speculation investors seek out maximum return through a broad range of investment strategies, which generally involve a high level of risk, including the potential for unlimited loss of investment capital.

Average Cost Election Codes:

Please choose only one of the following selections:

N: Not Average Cost on mutual funds. Accounting is lot by lot.
O: All Post-Effective date. All mutual fund tax lots acquired after January 1, 2012 will be averaged.
M: Mixed/Specific Security. Client will specify which mutual fund securities they hold will get average cost basis methodology applied.

Cost Basis Election Codes:

Please choose only one of the following selections:

FIFO - First In First out - If the account is set up for First In First Out, the first security purchased is assumed to be the first security sold. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached.

LIFO - Last IN First Out - If the account is set up for Last In First Out, the most recent tax lot purchased will be the first closed. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached.

HIFO - Highest In First Out - If the account is set up for Highest In First Out, the tax lot with the highest cost basis will be closed first, regardless of the holding period. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached.

LOFO - Lowest Cost First Out - If the account is set up for Lowest Cost First Out, the tax lot with the lowest cost will be closed first, regardless of the holding period. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached.

HCST - Highest Cost Short Term - If the account is set up for Highest Cost Short Term, the process will pick only the short-term tax lots and the tax lot with the highest unit cost will be closed first. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached. If no short-term tax lots are found, or if the number of short-term units is insufficient to cover the sale, the process will look at long-term lots and continue to close HCLT.

HCLT - Highest Cost Long Term - If the account is set up for Highest Cost Long Term, the process will pick only the long-term tax lots and the tax lot with the highest unit cost will be closed first. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached. If no long term lots are found, or if the number of long-term units is insufficient to cover the sale, the process will look at the short term lots and continue to close HCST.

LCLT - Lowest Cost Long Term - If the account is set up for Lowest Cost Long Term, the process will pick only the long-term tax lots and the tax lot with the lowest unit cost will be closed first. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached. If no long-term lots are found, or if the number of long-term units is insufficient to cover the sale, the process will look at the short-term lots and continue to close LCST.

LCST - Lowest Cost Short Term - If the account is set up for Lowest Cost Short Term, the process will pick only the short-term tax lots and the tax lot with the lowest unit cost will be closed first. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached. If no short-term lots are found, or if the number of short-term units is insufficient to cover the sale, the process will look at the long-term lots and continue to close LCLT.