

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 Email Address

Date of Birth Social Security Number/TIN#

☐ Yes ☐ No

Country of Citizenship/Registration State of Registration Permanent Resident?

Employer *(if retired, please provide name of former employer)*

Occupation Number of Years

Marital Status: Number of Dependents
(excluding self)
☐ Single ☐ Married
☐ Divorced ☐ Widowed

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.

Owner information details

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

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

Joint Account Owner

First, Middle, Last Name

Home Phone Business Phone Other Phone

Fax Number Email Address

Date of Birth Social Security Number/TIN#

☐ Yes ☐ No

Country of Citizenship/Registration State of Registration Permanent Resident?

Employer *(if retired, please provide name of former employer)*

Occupation Number of Years

Marital Status: Number of Dependents
(excluding self)
☐ Single ☐ Married
☐ Divorced ☐ Widowed

Gov. ID type Gov. ID No.

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Owner information details

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

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

Financial information (select the corresponding letter from the chart below)

Estimated value of investments ____ Household annual income ____ Liquid assets ____ Total net worth (excluding residence) ____

- A. 0 – \$49,999 C. \$100,000 – \$199,999 E. \$500,000 – \$999,999 H. \$5,000,000 – \$9,999,999
B. \$50,000 – \$99,999 D. \$200,000 – \$499,999 G. \$1,000,000 – \$4,999,999 I. \$10,000,000 or more

Tax bracket Please select the corresponding letter from the chart and check the box that most closely matches your current tax bracket.

☐ 10% ☐ 15% ☐ 25% ☐ 28% ☐ 33% ☐ 35% ☐ 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.

☐ Significant - Primary need is liquidity ☐ Moderate - May need quick access to cash ☐ None - Have other sources of cash

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

Note that this is based on the account holder's TOTAL asset value. This value 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? ☐ Yes ☐ No

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

Investment experience of primary account owner (select the corresponding letter from the chart below)

Stocks ____ Bonds ____ Options ____ Annuities/Life Insurance ____ UITs ____ Mutual funds ____

A. None B. 0 – 5 C. 5 - 10 D. 10 or more

Cost basis election

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

Election for Rights/Warrants Apportionment (if applicable)

☐ FIFO ☐ LIFO ☐ HIFO ☐ LOFO ☐ HCST ☐ HCLT ☐ LCLT ☐ LCST ☐ Yes ☐ No

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

Mutual Funds ____ Dividend Reinvestment Plans ____

Election Date: ____ Election Date: ____

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	%
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Name	SSN#	Date of Birth	%
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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
()	()	()	
Home Phone	Business Phone	Fax Number	
Employer (if retired, please provide name of former employer)	Occupation	Number of Years	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Country of Citizenship/Registration	State of Registration	Permanent Resident ?	
Gov. ID Type	Gov. ID No.		

Date of issue	Date of expiration	Place of issue
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Rule 144: Are you or a member of your immediate family a director, policy-making officer or 10% stockholder in any publicly traded company? ☐ Yes ☐ No If yes, indicate ticker symbol, Cusip or company name _____

Retirement account beneficiary information (if applicable)

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

Name on retirement account: _____
Primary beneficiary

Name	SSN#	Date of Birth	%
------	------	---------------	---

Contingent beneficiaries (if applicable)

Name	SSN#	Date of Birth	%
------	------	---------------	---

Name on retirement account: _____
Primary beneficiary

Name	SSN#	Date of Birth	%
------	------	---------------	---

Contingent beneficiaries (if applicable)

Name	SSN#	Date of Birth	%
------	------	---------------	---

Trust account information (if applicable)

Date of trust: _____ Amendment date: (if applicable) _____

Grantor name: _____

Is the trust revocable? ☐ Yes ☐ No (if applicable, name of person with authority to revoke) _____

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

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

Is the trust governed by U.S. law? ☐ Yes ☐ No If yes, 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(s) (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)*

- | | |
|-------------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Conservative income | <input type="checkbox"/> Conservative growth |
| <input type="checkbox"/> Conservative growth & Income | <input type="checkbox"/> Moderate income |
| <input type="checkbox"/> Moderate growth & Income | <input type="checkbox"/> Moderate growth |
| <input type="checkbox"/> Long-term income | <input type="checkbox"/> Long-term growth |
| <input type="checkbox"/> Long-term growth & Income | <input type="checkbox"/> Trading & Speculation |

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

Account Purpose and Nature

- | | |
|--------------------------------------------------|----------------------------------------------|
| <input type="checkbox"/> Investments | <input type="checkbox"/> Children's Savings |
| <input type="checkbox"/> Business Management | <input type="checkbox"/> Trust Management |
| <input type="checkbox"/> Retirement | <input type="checkbox"/> Employee Retirement |
| <input type="checkbox"/> Personal Liquid Savings | <input type="checkbox"/> Estate Management |

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 _____

Features

- | | |
|-------------------------------------------------------------------------|----------------------------------------------------------|
| <input type="checkbox"/> Direct deposit <i>(government checks only)</i> | |
| <input type="checkbox"/> Periodic deposits/withdrawals to/from bank | <input type="checkbox"/> Fee Based |
| <input type="checkbox"/> On-line account access | <input type="checkbox"/> Reinvest stock dividends |
| <input type="checkbox"/> Checkwriting | <input type="checkbox"/> IRA distributions/contributions |
| <input type="checkbox"/> Debit card | <input type="checkbox"/> 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)*

- | | |
|-------------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Conservative income | <input type="checkbox"/> Conservative growth |
| <input type="checkbox"/> Conservative growth & Income | <input type="checkbox"/> Moderate income |
| <input type="checkbox"/> Moderate growth & Income | <input type="checkbox"/> Moderate growth |
| <input type="checkbox"/> Long-term income | <input type="checkbox"/> Long-term growth |
| <input type="checkbox"/> Long-term growth & Income | <input type="checkbox"/> Trading & Speculation |

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

Account Purpose and Nature

- | | |
|--------------------------------------------------|----------------------------------------------|
| <input type="checkbox"/> Investments | <input type="checkbox"/> Children's Savings |
| <input type="checkbox"/> Business Management | <input type="checkbox"/> Trust Management |
| <input type="checkbox"/> Retirement | <input type="checkbox"/> Employee Retirement |
| <input type="checkbox"/> Personal Liquid Savings | <input type="checkbox"/> Estate Management |

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 _____

Features

- | | |
|-------------------------------------------------------------------------|----------------------------------------------------------|
| <input type="checkbox"/> Direct deposit <i>(government checks only)</i> | |
| <input type="checkbox"/> Periodic deposits/withdrawals to/from bank | <input type="checkbox"/> Fee Based |
| <input type="checkbox"/> On-line account access | <input type="checkbox"/> Reinvest stock dividends |
| <input type="checkbox"/> Checkwriting | <input type="checkbox"/> IRA distributions/contributions |
| <input type="checkbox"/> Debit card | <input type="checkbox"/> 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)*

- | | |
|-------------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Conservative income | <input type="checkbox"/> Conservative growth |
| <input type="checkbox"/> Conservative growth & Income | <input type="checkbox"/> Moderate income |
| <input type="checkbox"/> Moderate growth & Income | <input type="checkbox"/> Moderate growth |
| <input type="checkbox"/> Long-term income | <input type="checkbox"/> Long-term growth |
| <input type="checkbox"/> Long-term growth & Income | <input type="checkbox"/> Trading & Speculation |

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

Account Purpose and Nature

- | | |
|--------------------------------------------------|----------------------------------------------|
| <input type="checkbox"/> Investments | <input type="checkbox"/> Children's Savings |
| <input type="checkbox"/> Business Management | <input type="checkbox"/> Trust Management |
| <input type="checkbox"/> Retirement | <input type="checkbox"/> Employee Retirement |
| <input type="checkbox"/> Personal Liquid Savings | <input type="checkbox"/> Estate Management |

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 _____

Features

- | | |
|-------------------------------------------------------------------------|----------------------------------------------------------|
| <input type="checkbox"/> Direct deposit <i>(government checks only)</i> | |
| <input type="checkbox"/> Periodic deposits/withdrawals to/from bank | <input type="checkbox"/> Fee Based |
| <input type="checkbox"/> On-line account access | <input type="checkbox"/> Reinvest stock dividends |
| <input type="checkbox"/> Checkwriting | <input type="checkbox"/> IRA distributions/contributions |
| <input type="checkbox"/> Debit card | <input type="checkbox"/> 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)*

- | | |
|-------------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Conservative income | <input type="checkbox"/> Conservative growth |
| <input type="checkbox"/> Conservative growth & Income | <input type="checkbox"/> Moderate income |
| <input type="checkbox"/> Moderate growth & Income | <input type="checkbox"/> Moderate growth |
| <input type="checkbox"/> Long-term income | <input type="checkbox"/> Long-term growth |
| <input type="checkbox"/> Long-term growth & Income | <input type="checkbox"/> Trading & Speculation |

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

Account Purpose and Nature

- | | |
|--------------------------------------------------|----------------------------------------------|
| <input type="checkbox"/> Investments | <input type="checkbox"/> Children's Savings |
| <input type="checkbox"/> Business Management | <input type="checkbox"/> Trust Management |
| <input type="checkbox"/> Retirement | <input type="checkbox"/> Employee Retirement |
| <input type="checkbox"/> Personal Liquid Savings | <input type="checkbox"/> Estate Management |

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 _____

Features

- | | |
|-------------------------------------------------------------------------|----------------------------------------------------------|
| <input type="checkbox"/> Direct deposit <i>(government checks only)</i> | |
| <input type="checkbox"/> Periodic deposits/withdrawals to/from bank | <input type="checkbox"/> Fee Based |
| <input type="checkbox"/> On-line account access | <input type="checkbox"/> Reinvest stock dividends |
| <input type="checkbox"/> Checkwriting | <input type="checkbox"/> IRA distributions/contributions |
| <input type="checkbox"/> Debit card | <input type="checkbox"/> Mail dividends/interest |

Non-Individual Accounts Owner

Exchange

Country of Exchange

Exchange Description

Sales Market

Sales Market State(s)

Sales Market Country(ies)

Business Type:

- | | |
|--------------------------------------------------|---------------------------------------------------------------|
| <input type="checkbox"/> Corporation | <input type="checkbox"/> Limited Partnership |
| <input type="checkbox"/> Division, Store, Office | <input type="checkbox"/> Informal Social/Recreational Group |
| <input type="checkbox"/> Financial Institution | <input type="checkbox"/> Sole Proprietor |
| <input type="checkbox"/> Govt. Unit or Agency | <input type="checkbox"/> Trust Co. |
| <input type="checkbox"/> Indian Tribal Govt. | <input type="checkbox"/> Unicorp Assn./Social/Rec/Civic Group |
| <input type="checkbox"/> Limited Liability Co. | |

Business Subtype:

- | | |
|----------------------------------------------|---------------------------------------------------------------------|
| <input type="checkbox"/> Business Trust | <input type="checkbox"/> Joint Venture Partnership |
| <input type="checkbox"/> Multinational Corp. | <input type="checkbox"/> Limited Liability Partnership |
| <input type="checkbox"/> Corporation | <input type="checkbox"/> Local |
| <input type="checkbox"/> Domestic | <input type="checkbox"/> Professional Corp |
| <input type="checkbox"/> Federal | <input type="checkbox"/> Professional Limited Liability Partnership |
| <input type="checkbox"/> Foreign | <input type="checkbox"/> State |
| <input type="checkbox"/> General Partnership | |

NAIC Industry (Select up to 3).

- | | |
|-----------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Agriculture, Forestry, Fishing and Hunting | <input type="checkbox"/> Information |
| <input type="checkbox"/> Mining | <input type="checkbox"/> Finance and Insurance |
| <input type="checkbox"/> Utilities | <input type="checkbox"/> Real Estate Rental and Leasing |
| <input type="checkbox"/> Construction | <input type="checkbox"/> Professional, Scientific, and Technical Services |
| <input type="checkbox"/> Food/Textile Manufacturing | <input type="checkbox"/> Management of Companies and Enterprises |
| <input type="checkbox"/> Wood/Plastic/Glass/Chemical Manufacturing | <input type="checkbox"/> Administrative and Support and Waste Management and Remediation Services |
| <input type="checkbox"/> Metal/Machinery Manufacturing | <input type="checkbox"/> Educational Services |
| <input type="checkbox"/> Wholesale Trade | <input type="checkbox"/> Health Care and Social Assistance |
| <input type="checkbox"/> Durable Goods/Housewares/Clothing/Food | <input type="checkbox"/> Arts, Entertainment, and Recreation |
| <input type="checkbox"/> Department Stores/General Merchandise Stores | <input type="checkbox"/> Accommodation and Food Services |
| <input type="checkbox"/> Transportation | <input type="checkbox"/> Other Services (except Public Administration) |
| <input type="checkbox"/> Warehousing and Storage | <input type="checkbox"/> Public Administration |

NAIC Sub-Industry (1)*

NAIC Sub-Industry (2)*

NAIC Sub-Industry (3)*

**For information regarding NAICS Industry Codes, please visit the following website <http://www.census.gov/eos/www/naics/> and use the 2012 NAICS Search feature to locate potential industry code descriptions.*

NAIC (North American Industry Classification System) - Required for non-individual clients. NAICS codes are a standard used by federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy.

When your Financial Advisor changes firms - what you need to know:

It's not uncommon for Financial Advisors to change firms. There are many reasons — both personal and professional — why Financial Advisors make the decision to move. When this happens, it's important to understand not only why your Financial Advisor changed firms, but also what this change means to you as a client and investor.

As a general guideline, you should consider asking your Financial Advisor several questions about his/her move including:

1. Why did you decide to change firms?
2. How will this change affect my account(s)?
3. What products and services will be available to me at the new firm?
4. How does the new firm support you in order to better service my investment needs?
5. Can my existing investments be transferred to the new firm?
6. How are fees different at the new firm?
7. Will I be required to pay any fees to the old or new firm to make the change?
8. If I am asked to sell any of my existing products, are there any tax consequences I need to consider?
9. Are there elements of your transition package that relate to the commissions, fees or costs associated with my account(s)?

Customarily, Financial Advisors can receive compensation when they move from one firm to another. It is meant to help the Financial Advisor bridge the gap from their previous firm to the new one as they work with their clients in moving their assets with him/her to their new firm.

For additional information, please visit "The Informed Investor Series" on the New York Stock Exchange website at nyse.com

SUITABILITY DATA — investment objectives/risk tolerance:

Conservative income: Conservative Income investors seek the maximum amount of income consistent with a modest degree of risk. They are willing to accept a lower level of income in exchange for lower risk. Equities and high yield bonds will typically not be a large percentage.

Conservative growth & income: Conservative growth & Income investors seek the maximum growth and income consistent with a relatively modest degree of risk. They are willing to accept lower potential returns in exchange for lower risk. Equities will typically be some percentage of the account, and will typically pay dividends.

Moderate growth: Moderate Growth investors seek to balance potential risk with their goal of higher potential growth. Equities are typically the primary asset in the account.

Moderate growth & income: Moderate Growth & Income investors seek to balance potential risk with higher potential growth and income. Equities are typically a significant portion of the account, and will typically pay dividends.

Long-term growth: Long-term growth investors seek a significant level of growth, and due to their long term horizon or other factors, they employ higher risk, more aggressive strategies that may offer higher potential returns. Equities may be as much as 100% of the account.

Moderate income: Moderate income investors seek to balance potential risk with increased income potential. Equities and high yield bonds will typically be some percentage of the account.

Conservative growth: Conservative growth investors seek maximum growth consistent with a relatively modest degree of risk. They are willing to accept lower potential returns in exchange for lower risk. Equities will typically be a significant portion of the account.

Long-term income: Long-term income investors seek a significant level of income, and, due to their long term horizon or other factors, they employ higher risk, more aggressive strategies that may offer higher potential income. Equities and high yield bonds may be a significant percentage of the account.

Long-term growth & income: Long-term growth & Income investors seek a significant level of growth and income, and their long term time horizon and/or other factors allow them to pursue higher risk, more aggressive strategies that may offer higher potential returns. Equities are typically the primary asset in the account, and will typically pay dividends.

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

AVERAGE COST ELECTION CODES

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

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 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.

LOFO - Lowest Cost First Out - If the account is set up for Lowest Cost First Out, the tax lot with the lowest unit 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 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 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.

NON-INDIVIDUAL ACCOUNT OWNER

This section should be completed for each non-individual account owner – e.g. corporations, LLCs, partnerships, etc.

- **Exchange**

For entities that are publicly traded, must indicate the exchange where the entity trades.

- **Sales Markets State/Country**

All non-individual clients, both foreign and domestic, are required to record the specific market(s) in which they conduct business. For entities conducting business across the U.S., users are required to provide one U.S. state and may provide up to three U.S. states. For entities conducting international business, users are required to provide one country and may provide up to three countries. Certain entities may conduct business in both U.S. and international markets. In this instance, entities will be able to provide up to three U.S. states and three international countries.

- **Business Type/Subtype**

Business and Business Subtype are required for non-individual clients to classify the entity appropriately. The business formation will determine the business and business subtype category.

Business Type Codes

C	Corporation
D	Division, Store, Office
F	Financial Institution
G	Govt. Unit or Agency
I	Indian Tribal Govt.
L	Limited Liability Co.
N	Limited Partnership
R	Informal Social/Recreational Group
S	Sole Proprietor
T	Trust Co.
U	Unicorp Assn./Social/Rec/Civic Group

Business Subtype Codes

BT	Business Trust
CM	Multinational Corp.
CO	Corporation
DM	Domestic
FD	Federal
FN	Foreign
GP	General Partnership
JV	Joint Venture Partnership
LL	Limited Liability partnership
LO	Local
PC	Professional Corp.
PL	Professional Limited Liability Partnership
ST	State

NAIC (North American Industry Classification System)

This is required for non-individual clients. NAICS codes are a standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing and publishing statistical data related to the U.S. business economy.

**For information regarding NAICS Industry Codes, please visit the following website <http://www.census.gov/eos/www/naics/> and use the 2012 NAICS Search feature to locate potential industry code descriptions.*

Wells Fargo is an Affirmative Action and Equal Employment Opportunity Employer, Minority/Female/Veteran/Gender Identity/Sexual Orientation.

Investment and Insurance Products: ► NOT FDIC Insured ► NO Bank Guarantee ► MAY Lose Value

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