

«First Name»«Last Name»  
«ADRS1LINE»,  
«CITY», «STATE» «ZIP»

Dear Valued Client,

Due to recently enacted federal regulations, action is required on your account. The Department of the Treasury issued new requirements regarding customer due diligence for financial institutions, effective May 11, 2018. This federal regulation requires that E\*TRADE Advisor Services obtain, verify, and record the beneficial owner and control person of legal entity customers. To comply with this rule, we are requesting that you complete and return the enclosed Beneficial Ownership Information form and send us a copy of your EIN Verification Letter.

The Beneficial Ownership Information form requires that you provide the name, address, date of birth, and social security number (or passport number or other similar information, in the case of non-US persons) for both of the following:

- Control person: An individual with significant responsibility for managing the entity (e.g. a chief executive officer, chief financial officer, chief operating officer, managing member, general partner, president, vice president, or treasurer).
- Beneficial owner: Each individual, if any, who owns, directly or indirectly, 10% or more of the equity interests (e.g. shares) of the entity. An individual is an indirect beneficial owner if his/her ownership interest is held through another entity. If the individual who has significant responsibility for managing the entity also owns 10% or more of the entity, please enter the information in both the control person and beneficial owner sections below.

An EIN Verification Letter, also called an EIN/IRS Letter, is a letter from the Department of the Treasury confirming the tax number identifying your business entity.

- You may obtain a new copy of your EIN Verification Letter by calling the IRS Business & Specialty Tax Line at 800-829-4933.
- We may be able to accept other forms of documentation for verification if you are unable to obtain a copy of your EIN Verification Letter.

We are required to verify and record the information provided to us. We may utilize a third-party information provider for verification purposes and/or ask for a copy of a driver's license or other identifying documentation.

Please complete the enclosed Beneficial Ownership Information form, attach your EIN Verification Letter, and return to E\*TRADE Advisor Services within 30 days of the date of this letter by mail at PO Box 5158, Englewood, CO 80155 or by fax to 303-705-6490. If we do not receive a response within the timeline requested, please be advised that we may restrict accounts from further financial transactions until the required information is received. Please contact 303-705-6400 or your Registered Investment Advisor if you have any questions.

Sincerely,

Sharon Brett  
Director, Client Services  
cc: Investment Advisor