

WellsTrade Estate Processing Supplemental Checklist

| IRA - Internal Transfer | IRA - External Transfer ACAT | Retail - Individual No Transfer On Death (TOD) | Retail - Individual - Transfer On Death (TOD) | Retail - Joint With Rights of Survivorship (WROS) | Retail - Joint Tenants In Common (TIC) | Required Item(s) to Process Request - additional documents may be needed after further review |
|-------------------------|------------------------------|------------------------------------------------|-----------------------------------------------|---------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| X | X | X | X | X | X | Death Certificate - legible |
| X | X | X | X | X | X | Affidavit of Domicile. Form must be notarized and include jurat if notarized in California. |
| X | X | | | | | IRA Beneficiary Claim Form, per beneficiary |
| | | X | | X | X | Letter of Authorization signed. If more than one executor appointed, all must sign unless court document states executors can act independently. |
| | | | X | | | Request for Distribution of Eligible Assets from a Transfer on Death (TOD) Account form. Form must be notarized and include jurat if notarized in California. |
| X | X | X | X | X | X | Inheritance Tax waiver - if needed, obtained from the state website. |
| X | X | | | | | Surviving Child Certification Form signed by executor, trustee or legal rep. (if no surviving spouse or contingent beneficiary designated) |
| X | X | | | | | IRA Transfer Due to Divorce. Also need final divorce decree - must state the marriage is dissolved and signed by a judge. Marital settlement or QDRO if Wells Fargo account number and award amount not referenced in the final decree. |
| X | X | | | | | Corporate or Non-Corporate Resolution - Charity as claimant. |
| X | X | | | | | WellsTrade IRA Beneficiary Disclaimer Certification (beneficiary is disclaiming assets) |
| | X | | | | | Federal & State Tax Elections - IRA Beneficiary Claim Form - Section 7 for lump sum ACH/check distribution. |
| X | | | | | | Voided check - for beneficiary's account that requests an ACH |
| | X | | | | | Receiving firm's transfer paperwork with custodial acceptance letter |

| Miscellaneous |
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| Expatriate Certificate - Beneficiary is a US Citizen living outside the US and requesting an internal transfer/distribution to a retail/brokerage account & NO TAX WITHOLDING REQUESTED |
| W-8 - Non-Resident Alien requesting a distribution |
| If POA agent is signing the IRA beneficiary claim form, POA agent must be approved in the receiving account. Docs needed: POA document, Outside POA Affidavit & Incapacitated Letter from a physician, if applicable. |

DOCUMENTS CAN BE EMAILED OR FAXED FOR PROCESSING. PLEASE ALLOW 5-6 BUSINESS DAYS TO PROCESS YOUR CLAIM.

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