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Beneficiary/Executor Identification Form

If you are the beneficiary of a deceased Wealthfront client's account, or the executor of a deceased Wealthfront client's estate, please complete this form in order to facilitate the processing of the account. If there are multiple beneficiaries with a claim to a Wealthfront account, each beneficiary must complete this form separately, provide all requested documents, and list the names of all other beneficiaries who will be completing the form for the account.

Please note that this form requires a notarization. **You must sign this form in the presence of a notary public.** Please return the completed, signed and notarized copy of this form to Wealthfront, along with the following documents:

In all cases:

- A copy of the account holder's official death certificate (copies must be clearly legible, with any seal visible); and
- A copy of your unexpired government-issued photo ID (front and back).

Plus either:

If you are a beneficiary but Wealthfront's records do not list any designated beneficiaries for the account, or if you have been authorized by the executor to access the account:

- A complete copy of the account holder's will listing you as a beneficiary; *or*
- A valid Small Estate Affidavit, if the account qualifies for the use of a Small Estate Affidavit under applicable law; *or*
- A Letter of Authorization from the Executor, **plus** a copy of the Executor's Letters of Appointment, **plus** the first page of the account holder's will, the signature page of the account holder's will, and the page of the will that identifies the Executor.

If you are an executor:

- Your Letters of Appointment of Executor; and
- A complete copy of the account holder's will (if available)

You can email documents (in scanned pdf format only) to support@wealthfront.com or send them to us via fax or mail using the following contact information:

Wealthfront Brokerage
261 Hamilton Ave
Palo Alto, CA 94301
Phone: 844-995-8437 Fax:
(800) 366-1679

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Section 1: Beneficiary or Executor Contact Information:

Full Legal Name of Beneficiary/Executor: ____

SSN/TIN: ____________________________ DOB: __________________________

Residential Address: ______________________________________

____

____

Mailing Address (if different): ______________________________________

____

____

Phone number: ______________________________________

Contact Email: ______________________________________

Relationship to decedent: ____

If you are a beneficiary, please list the names of all other beneficiaries with a claim to this account. If you are the sole beneficiary, please write “NONE” or “N/A”.

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<u>Section 2: Account Owner Information (Decedent):</u>

Legal Name of Account Owner: ____

Account Number (if known): ____

Decedent’s Date of Birth: _______________ Date of Death: _________________

SSN or Tax ID Number: _______________________

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Section 3: Acknowledgments, Certifications and Authorizations

Note: ***<u>Don't sign below until you're in the presence of a notary public.</u>***

By signing below, I acknowledge, agree, and represent that:

- All information provided in and with this form is accurate and complete to the best of my knowledge.
- I consent to Wealthfront's use of the information I have provided for the purposes of verifying my identity and my eligibility to provide instructions to Wealthfront with regard to the assets or account identified in Section 2 above, and agree to provide any additional documents or information Wealthfront may require to complete these purposes or follow any such instructions.
- I acknowledge and agree that Wealthfront will only act upon instructions provided by an Executor or sole beneficiary, or in accordance with the account holder's prior instructions to Wealthfront, or as expressly and unambiguously provided in the decedent's will. I also acknowledge that Wealthfront's ability to follow instructions may be restricted with regard to certain account types.
- If I have submitted a Small Estate Affidavit, I represent and confirm that no will has been admitted to probate and no proceeding to distribute the decedent's assets is pending in any jurisdiction.
- I agree to indemnify and hold harmless Wealthfront Brokerage Corporation, its affiliates, and each of their respective officers, directors, employees, and agents (collectively, "Wealthfront") from any claim, liability, cost, damage or expense of any kind that Wealthfront incurs for relying in good faith upon the information provided in or accompanying this form or that results from any instruction followed by Wealthfront in reliance on the information provided in or accompanying this form.

______________________________	______________________________	__________
Beneficiary / Executor of Estate Signature	**Print Name**	**Date**

(The Beneficiary or Executor's Signature must be acknowledged by a notary. See below. If the notary statute of your state requires other specific language, the notary may attach and stamp a separate acknowledgment page instead.)

STATE OF ___________________________)

COUNTY OF _________________________)

On ___________(date) before me, ____________________________________, Notary Public, personally

appeared ____, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of _________________________ that the foregoing paragraph is true and correct.

WITNESS my hand and official seal. **(SEAL)**

____

Signature of Notary Public

My commission Expires: _______________________