Cost Basis Update Form

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- This form can be used to update N/A Non-Covered tax lots (missing cost basis information) for transferred in/received in assets.
- This form can be used to step up cost basis due to a death or gift.
- This form cannot be used to update cost basis information that is already reported via CBRS (Cost Basis Reporting Service) through DTCC.
- Share amounts provided on this form must balance with current shares held in the account.
- If share amounts do not balance, additional information will be required.
- Each lot must be listed separately by purchase date.
- Ameriprise Financial will only process information as it is provided on this form.
- If this form contains incomplete information, it may not be possible to enter certain tax lots.
- If updating multiple accounts, a separate Cost Basis Update Form must be submitted for each account.
- Please complete the form and submit through eFile Delivery or Fax to 1.866.432.9267.

Part 1  Client Information

First Client or Trustee Name

Trust or Entity Name

Second Client or Trustee Name

Third Client or Trustee Name

Part 2  Instructions

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- For Equities, Options, Mutual Funds, ETFs, Preferred stock, MLPs, UITs, REITs and Non-Factored Fixed Income securities, please fill out Columns 1-5, 7-8.
- For Factored Fixed Income securities please fill out Columns 1-8.
- For Stepped Up Basis for Death settlements, please only fill out Columns 1-5 and 8.
- For date of death step ups, only shares acquired prior to or on the date of death qualify for step up.
- Clients may attach additional sheets for the same account if all information does not fit on this form. Client initials with date are required on subsequent forms for the same account. If the request is for a different account, a new form is required.
- Column definitions:
  1. Security Description = Name of security being updated.
  2. CUSIP or Symbol
  3. Purchase Date/Step Up Date/ Gift Date = Date shares purchased or date of death that shares should be stepped up to or date shares were gifted.
  4. Purchase Price/Step Up Price/Gift FMV = Purchase or step up price or Gift FMV for each individual share purchased.
  5. Quantity = Quantity of shares to be updated.
  6. Purchase Factor = Percentage of original face value of a factored bond.
  7. Original Cost Basis = Total investment amount, including sales load, fees and/or commissions.
  8. Adjust Cost Basis /Current Cost Basis = Current cost basis after adjustments to original cost basis.

Part 3  Cost Basis Information

- Cost Basis Update
- Death
  - Date of Death (MMDDYYYY)
- Gift

Sign on Page 3

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<table>
<thead>
<tr>
<th>1 SECURITY DESCRIPTION</th>
<th>2 CUSIP OR SYMBOL</th>
<th>3 PURCHASE DATE/STEP UP DATE/GIFT DATE (MMDDYYYY)</th>
<th>4 PURCHASE PRICE/STEP UP PRICE/GIFT FMV</th>
<th>5 QUANTITY</th>
<th>6 PURCHASE FACTOR (if factored security)</th>
<th>7 ORIGINAL COST BASIS</th>
<th>8 ADJUSTED COST BASIS/CURRENT COST BASIS</th>
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## Part 4 Acknowledgements and Signatures

Read this section carefully, then sign and date below. By signing this section, you acknowledge that you agree to all the terms and conditions stated herein, and understand that:

- You authorize the cost basis or gain/loss update for tax lots within your account.
- The update will be effective when Ameriprise Financial Services and/or American Enterprise Investment Services, Inc. receive and process the change.
- Cost basis information provided is current.
- Neither Ameriprise Financial Services, Inc. nor your financial advisor provides tax advice. Please consult your tax professional or attorney regarding tax issues specific to your circumstances.
- The change will be reflected on the first account statement delivered after the change has taken place.

### Account Owner/Grantor

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<thead>
<tr>
<th>Name</th>
<th>Signature</th>
<th>Date (MMDDYYYY)</th>
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### Joint Account Owner/Grantor (if applicable)

<table>
<thead>
<tr>
<th>Name</th>
<th>Signature</th>
<th>Date (MMDDYYYY)</th>
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One of the account owners must sign this form in the event that the account involved is a Joint account.

### For Internal Use Only

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<tr>
<th>Name of Registered Associate</th>
<th>RR#</th>
<th>Date (MMDDYYYY)</th>
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