IMPORTANT TAX NOTICE:
PLEASE SUBMIT A COMPLETED FORM W-9

Instructions for completing and returning your Form W-9

There are several reasons an SSN or TIN may not match the IRS or SSA files. For example, if a name change through marriage, divorce, or adoption was not reported to the SSA, it would not be recorded in SSA files. Also, an account or transaction may not show the correct SSN for the owner of the account (e.g., an account in a child’s name that reflects a parent’s SSN).

Please download and complete a Form W-9 (Request for Taxpayer Identification Number and Certification), available at etrade.com/forms in the “Tax and legal” section. We must receive your completed Form W-9 before account certification, even if the name and SSN or TIN on your account match the name and number—SSN or Employer Identification Number (EIN)—on your Social Security card or the IRS EIN assignment letter.

IMPORTANT: Your Form W-9 cannot contain abbreviations, including those for cities, states, countries, or names (e.g., “Jr.” or “Sr.” following a last name).

Use the table below to determine what you need to do to correct your information:

<table>
<thead>
<tr>
<th>If you are…</th>
<th>And the…</th>
<th>You need to…</th>
</tr>
</thead>
<tbody>
<tr>
<td>An individual</td>
<td>SSA never assigned you an SSN (or you lost your Social Security card and do not know your number)</td>
<td>Contact your local SSA office to learn how to get a new or replacement Social Security card.</td>
</tr>
<tr>
<td>An individual</td>
<td>Last name and SSN on your account match the last name and SSN on your Social Security card</td>
<td>1. Contact your local SSA office to learn whether its records show a name and SSN that differs from what’s shown on your Social Security card. 2. Work with SSA staff to resolve the issue. 3. Complete and sign a Form W-9 and upload or mail it to the address below.</td>
</tr>
<tr>
<td>An individual</td>
<td>SSN on your account is different from the SSN on your Social Security card, but the last name is the same</td>
<td>1. Complete and sign a Form W-9. 2. Enter your name and SSN exactly as shown on your Social Security card. 3. Upload or mail your form to the address below. You do not need to contact the SSA.</td>
</tr>
</tbody>
</table>
| An individual | Last name on your account is different from the last name on your Social Security card, but the SSN is the same on both | If the last name on your account is correct, contact the SSA to change the name on your Social Security card. Then, complete and sign a Form W-9 using the SSN and name on your account and mail it to the address below.  
-OR- 
If the last name on your Social Security card is correct, complete and sign a Form W-9 (enter the SSN and name on your Social Security card). Then, send your completed form plus a notarized letter authorizing the name change on your account and a copy of any legal name change documents (marriage certificate, divorce decree, etc.) to the address shown below. You do not need to contact the SSA. |
An individual

Both the last name and SSN on your account are different from the last name and SSN on your Social Security card

If both the last name and SSN on your Social Security card are correct, complete and sign a Form W-9 using the name and number shown on your Social Security card. Then, mail your completed form, along with a notarized letter authorizing the name change on your account plus a copy of any legal name change documents (marriage certificate, divorce decree, etc.) to the address below. You do not need to contact the SSA.

-OR-

If the last name on your account and SSN on your Social Security card are correct, contact the SSA to change the name on your card. Then, complete and sign a Form W-9 using the name shown on your account and the number on your Social Security card, and mail it to the address below.

A non-individual such as a trust, estate, partnership, investment club, or similar entity

TIN on your account is that of a member rather than the organization’s own TIN or EIN

2. Be sure to enter the organization’s name and TIN or EIN on your form.
3. Upload or mail your completed form to the address below.

A sole proprietor

Your account records show only the name of your business, rather than your own name AND the name of the business

2. Enter your individual name (followed by the name of your business if you wish), plus either your individual SSN or the EIN for your business.
3. Upload or mail your completed form to the address below.

NOTE: Please take this notice, your Social Security card, and any other related documents with you if you’re required to visit an SSA office. Also, please be sure to call your local SSA office to determine if you’re required to bring any other documents with you.

Upload the required documentation securely at documentupload.etrade.com OR mail your completed and signed Form W-9, plus related documentation if needed, to:

E*TRADE Securities LLC, Member FINRA/SIPC
P.O. Box 484, Jersey City, NJ 07303-0484

IMPORTANT: Due to the COVID-19 Pandemic, there may be mail delays or suspensions that can impact the timely receipt of mailed documents. Therefore, you are encouraged to use our document upload tool to submit required documents.