



Cost Basis Enrollment and Preferences Form

Investment Advisor ("IA") Information (This portion to be completed by IA.)

CAPITA FINANCIAL NETWORK

IA Firm Name (Please print.)

IA Master Account Number	IG-17	Service Team
IA Contact Name (if follow-up is required)	801-566-5058	SERVICE@CAPITAMAIL.COM

Please note that new accounting methods take effect on a going-forward basis only.

Existing Charles Schwab accounts linked to your firm after the date of this form will retain their previously selected accounting methods. To change the accounting methods on these accounts, please submit a new Cost Basis Enrollment and Preferences Form.

To view the current default accounting method settings at the master and sub-account level, select Subscription Status in the upper right-hand corner of the Cost Basis tab on Schwab Advisor Center.

For journals, transfers and gifts, lot instructions must be provided at the time of submission. If instructions are not provided, shares will be disposed of using the account's default accounting method.

For information about Schwab's Accounting Methods, refer to the **Cost Basis Guide** that can be found in the Service Guide on Schwab Advisor Center.

1. Enrollment and Preferences

Select accounts for cost basis enrollment preferences. (Choose one.)

- Firm-level enrollment (all master, existing, and new client accounts opened for your firm)
- Master-level enrollment (all existing and new client accounts opened for your firm)
- Individual account enrollment (only accounts listed on this form are enrolled)

List individual accounts below. Please attach a list or Excel® spreadsheet if necessary. If you wish to change preferences at the firm-level and/or master-level only and exclude existing client accounts, contact a Cost Basis Consultant at 877-762-6446 for information.

2. Select Accounting Method Preference for Accounts

Account-level preferences: Select the designated cost basis method for all securities. See Section 4 for Average Cost accounting method options for mutual funds.

Check one lot-selection method for the firm or for each listed master/individual account you wish to enroll or update for non-mutual-fund securities.

List Applicable Account Number(s) • Firm's main master account • Master account(s)* • Individual account(s)	Tax Lot Optimizer™ (TLO)* Lots are selected and sold with the objective of taking losses first (short-term then long-term) and gains last (long-term then short-term).	First In, First Out (FIFO) The oldest lot is sold first.	Last In, First Out (LIFO) The newest lot is sold first.	High Cost Lot (HCLLOT) Shares with the highest cost are sold first.	Low Cost Lot (LCLLOT) Shares with the lowest cost are sold first.
Ex: 0888-0000	<input checked="" type="checkbox"/>				
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

* Please do not list sublinked (SL)/secondary master accounts. SL master accounts cannot have a different accounting method than what the account is currently set to.

† The Tax Lot Optimizer option only applies for sells; any other disposition of shares, including transfers or journals, will use the High Cost method.

3. Select Amortization/Accretion Method Preference for Non-Taxable* Accounts

Select either "Yes" or "No" in the column(s) below to select your amortization/accretion preference for non-taxable* accounts. Taxable accounts are already subject to amortization/accretion adjustments for fixed income positions as mandated by cost basis legislation.

List Applicable Account Number(s) • Firm's main master account • Master account(s)† • Individual account(s)	Adjusted Cost for Fixed Income Amortizes and accretes cost for most fixed income securities.	
	Yes†	No
Ex: 0888-0000	<input checked="" type="checkbox"/>	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

* Non-taxable accounts are those not subject to cost basis reporting to the IRS by Schwab.

† Please do not list sublinked (SL)/secondary master accounts. SL master accounts cannot have a different accounting method than what the account is currently set to.

‡ If amortization/accretion is enabled for an account, it cannot be turned off.

4. Select Average Cost Accounting Method Preference

Select "Average" in the column below if you would like to average the cost basis for open-end mutual funds. If you would prefer not to average the cost basis, please select "Not Average".

List Applicable Account Number(s) • Firm's main master account • FA master account(s)* • Individual account(s)	Average† Open-end mutual funds	
	Not Average	Average
Ex: 0888-0000	<input checked="" type="checkbox"/>	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

* Please do not list sublinked (SL)/secondary master accounts. SL master accounts cannot have a different accounting method than what the account is currently set to.

† If you select the Average Cost accounting method, shares sold, journaled, or transferred out are required to be disposed of using FIFO. Specific lots **cannot** be specified upon disposition of the asset if the average method is enabled. Schwab utilizes the single-category method when averaging securities.

Averaging closed-end mutual funds and exchange traded funds/notes is available at the sub-account level. Contact a Cost Basis Consultant to enable or disable this option.

5. Select Online Gain/Loss Access on www.schwaballiance.com

Select "Activate" in the column below if you would like to turn on the Online Gain/Loss view on www.schwaballiance.com. To turn off the Online Gain/Loss, select "Remove". Leave this section blank if no action needs to be taken.

List Applicable Account Number(s) <ul style="list-style-type: none"> ▪ Firm's main master account ▪ FA master account(s)* ▪ Individual account(s) 	Online Gain/Loss ¹ Information displayed on www.schwaballiance.com	
	Activate	Remove
Ex: 0888-0000	<input checked="" type="checkbox"/>	
N/A	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

Clients may view, but not edit, cost basis data online through www.schwaballiance.com (requires a valid login).

*Please do not list sublinked (SL)/secondary master accounts. SL master accounts cannot have a different Online Gain/Loss preference than what the account is currently set to.

6. Please Read and Sign

Signature of an authorized agent of the firm is required below. By signing below, you authorize Schwab to enroll and/or update the preferences of the above-referenced accounts and securities in Schwab's Cost Basis Reporting Service and to track and report cost basis information to the advisor and/or advisor clients in accordance with the instructions given in this document.

This information is not intended to be a substitute for specific individualized tax, legal, or investment planning advice. Where specific advice is necessary or appropriate, Schwab recommends consultation with a qualified tax advisor, CPA, financial planner, or investment manager.

Submit the completed form using Service Request within SchwabAdvisorCenter.com. Select topic: "Cost Basis and Statement Support" and subtopic: "Enrollments and Preference Form". If you have any questions, contact your Cost Basis Consultant at 1-877-762-6446.

Requests for a Firm level change must be signed by the Chief Compliance Officer (CCO), Principal or an authorized agent of each master under the firm.

Requests for master and sub-account level changes must be signed by an authorized agent.

X _____
Signature: Authorized Agent of Firm **Today's Date** (mm/dd/yyyy)

_____ _____
Print Name **Title**