

THE BANK WM

AFFILIATION DISCLOSURE FORM

Regulation 12 CFR 9 (Regulation 9), 12 USC 92(a), and Bank Code of Ethics identify certain activities and transactions involving a fiduciary and a related person or organization that are generally not permissible. Bank Trust Department wants to avoid actual or perceived conflicts of interest and self-dealing transactions. Therefore, it is necessary to ascertain if the conduct or activities may conflict with the bank's responsibility as a fiduciary. The information on this form is used to determine if there are any conflicts or potential conflicts that will have to be monitored and managed by the Bank. In order to help detect possible conflicts, all fiduciary employees must complete this questionnaire annually.

The information on this form will be kept confidential and maintained by Fiduciary Compliance. This form must be completed and returned to Fiduciary Compliance.

Employee _____ Position _____

1. Are you or a member of your immediate household an officer, director, or committee member of any organization, corporation, partnership, closely-held organization, foundation or non-profit organization either in a paid or volunteer status?

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NO (go to next question)

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YES (box appears that must be completed)

<u>Organization</u>	<u>WHO</u>	<u>CAPACITY SERVED</u>	<u>FEE/INCOME EARNED</u>
Ex: YMCA	Self	Board Member	No

If you are serving specifically at the request of the Bank, you should have completed an "At the Request Of" Form, available on XYZ's intraweb. . Where to find the "At the Request Of" Form: Go to the XYZ Intraweb, under Resources on the left hand side, click on Ethics & Values then click on "XYZ Ethics" . Under Key Links on the right hand side, click on At the Request Of. Complete the form according to the instructions then click on **Submit**. Otherwise, if you hold an outside director or officer position and you believe that there may be a conflict of interest with XYZ, you should have completed a "Notification/Approval" Form, available on XYZ's intraweb. Where to find the Notification/Approval Form: Go to the XYZ Intraweb, under Resources on the left hand side, click on Ethics & Values then click on "XYZ Ethics" . Under Key Links on the right hand side, click on Notification/Approval Form. Complete the form according to the instructions then click on **Submit**.

2. Do you have any outside employment?

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NO (go to next question)

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YES (box appears that must be completed)

<u>Type of Employment</u>	<u>Employer</u>	<u>Position</u>	<u>FEE/INCOME EARNED</u>
Ex: Tax Return Preparer	Self	Tax Return Preparer	Yes

If your outside employment may present a conflict of interest with The Bank, you should have completed a "Notification/Approval" Form, available on The Bank's intraweb. Where to find the Notification/Approval Form: Go to the XYZ Intraweb, under Resources on the left hand side, click on Ethics & Values then click on "XYZ Ethics". Under Key Links on the right hand side, click on Notification/Approval Form. Complete the form according to the instructions then click on **Submit**.

3. Does the outside employment involve customers or clients of The Bank or any of its affiliates?

☐ NO (go to next question)

☐ YES (box appears that must be completed)

<u>Customer/Client Name</u>	<u>Relationship to The Bank</u>
Ex: Mr. Robert Bank	Wealth Management Client

You should have completed a "Notification/Approval" Form, available on XYZ's intraweb. Where to find the Notification/Approval Form: Go to the XYZ Intraweb, under Resources on the left hand side, click on Ethics & Values then click on "XYZ Ethics". Under Key Links on the right hand side, click on Notification/Approval Form. Complete the form according to the instructions then click on **Submit**.

4. Is any member of your family employed by a financial institution, broker-dealer, law firm, insurance company, mutual fund company, investment advisor or an accounting firm?

☐ NO (go to next question)

☐ YES (box appears that must be completed)

<u>Firm Name</u>	<u>WHO</u>	<u>Position</u>
Ex: KPMG	Spouse	M&A Consultant

5. Do you or a member of your immediate household hold a political or public office position? (School Board, Planning Board, Municipal Office, Judicial, State, County or Federal Office)

☐ NO (go to next question)

☐ YES (box appears that must be completed)

<u>Office</u>	<u>WHO</u>	<u>CAPACITY SERVED</u>	<u>FEE/INCOME EARNED</u>
Ex: Municipal	Self	Council Member	No

You should have completed a "Notification/Approval" Form, available on The Bank's intraweb, prior to running for re-election or prior to appointment (for non-elected officials). Where to find the Notification/Approval Form: Go to the XYZ Intraweb, under Resources on the left hand side, click on Ethics & Values then click on "XYZ Ethics". Under Key Links on the right hand side, click on Notification/Approval Form. Complete the form according to the instructions then click on **Submit**.

6. Are you or a member of your immediate household serving in a fiduciary capacity (executor, guardian, trustee, co-trustee or guardian for a customer or client, including family members, of The Bank)?

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NO (go to next question)

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YES (box appears that must be completed)

<u>Customer/Client</u>	<u>WHO</u>	<u>CAPACITY SERVED</u>	<u>FEE/INCOME EARNED</u>
Ex: XYZWM Account #	Self	Co-Trustee	No

If you have been asked to serve as an executor, guardian, trustee or co-trustee for a XYZ customer (non-family member), then you should have complete a "Notification/Approval" Form, available on XYZ's intraweb, prior to accepting this appointment. Where to find the Notification/Approval Form: Go to the XYZ Intraweb, under Resources on the left hand side, click on Ethics & Values then click on "XYZ Ethics". Under Key Links on the right hand side, click on Notification/Approval Form. Complete the form according to the instructions then click on **Submit**.

7. During the past 18 months, have you received any insurance, brokerage or real estate commissions from an external source?

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NO (go to next question)

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YES (box appears that must be completed)

<u>Firm Name</u>
Ex: Ocean Realty

8. Do you or a member of your household own an interest in a company, not traded on an exchange, which could potentially provide services to a trust?

☐ NO (go to next question)

☐ YES (box appears that must be completed)

<u>Firm Name</u>	<u>WHO</u>	<u>Service Type</u>
Ex: BNS Services	Spouse	Appraisal Services

9. Have you or a member of your immediate household purchased or sold assets, received/made a loan, accepted outright or in trust, bequests, scholarships or other benefit directly or indirectly from/to any account in which XYZ acts as a fiduciary?

☐ NO (END)

☐ YES (box appears that must be completed)

Describe the transaction. Provide date, asset description, client account information, parties involved and monetary figures.

If you have received an inheritance from a XYZ customer's (non-family member) for which you have handled in any way, you should have completed a "Notification/Approval" Form prior to accepting the inheritance. Where to find the Notification/Approval Form: Go to the XYZ IntraWeb, under Resources on the left hand side, click on Ethics & Values then click on "XYZ Ethics". Under Key Links on the right hand side, click on Notification/Approval Form. Complete the form according to the instructions then click on **Submit**.

10. Do you currently maintain a securities license with a XYZ Broker Dealer?

☐ NO (END)

☐ YES (box appears that must be completed)

Name of broker-dealer:

Type of license:

Has your home or work address changed in the past year?

☐ NO (END)

☐ YES (box appears that must be completed)

Prior address:

New address:

Have you ever filed for bankruptcy?

☐ NO (END)

☐ YES (END)

Have you been convicted of a misdemeanor?

☐ NO (END)

☐ YES (END)

THANK YOU !