

TRAINING COST CLAIM FORM

Williams v. Wells Fargo Advisors, LLC., Case No. 1:14-cv-01981

****THE INFORMATION SUBMITTED WILL NOT BE FILED WITH THE COURT****

- 1. Did Wells Fargo attempt to recover or collect training costs from you? If so, describe, and provide documentation of the actions taken by Wells Fargo (e.g., manager/lawyer sent a letter) and how much it claimed you owed.

- 2. Did Wells Fargo initiate any legal action (arbitration or lawsuit) to recover training costs? If so, describe, and provide documentation of what happened (e.g., the case ended in an award for or against you, it was settled, etc.).

- 3. Did you pay Wells Fargo any training costs? If so, describe, and provide documentation showing how much you paid Wells Fargo and when.

- 4. Were you reimbursed by a subsequent employer for any training costs you paid to Wells Fargo or did you receive any "upfront" money, a promissory note or a loan? If so, describe and provide documentation showing how much and when.

- 5. Did you incur any costs, such as attorneys' fees or FINRA fees, related to the "training costs" agreement? If so, describe and provide documentation showing how much and when.

- 6. Did you leave the securities industry because of fear you would be required to repay training costs to Wells Fargo? If so, describe what happened.

I worked as a Financial Advisor Trainee in Wells Fargo's Private Client Group New Advisor Training Program during the Covered Period of this Settlement. I wish to make an application to recover for Wells Fargo's actions with respect to training costs, for the reasons set forth in response to the questions on this form and the supporting documentation submitted (if any).

I declare under penalty of perjury that the foregoing is true and correct.

Signature:

[Signature box]

Executed on:

[MM] - [DD] - [YY] (date)

You may describe additional information in a separate signed, sworn statement (up to three pages). You may submit up to 25 pages, including a signed statement of up to three pages (which may be under oath), demonstrating costs paid or incurred as a result of Wells Fargo's attempts to recover training costs or enforce the training costs agreement.