

Wealthcare Direct Index Strategy Form



Kindly complete the following form to enable proper management of your account. If there are any questions, please call 484.213.0257 or email us at investmentconsulting@wealthcarecapital.com

Account Information:

Date:

Advisor Name :

Client Name:

Account Number:

Account Type:

Custodian:

Wealthcare Strategy:

Pursue Active Tax Loss Harvesting:

Yes

No

Tax Information:

Short Term Capital Gains Rate (include federal + state tax rate):

Long Term Capital Gains Rate (include federal + state tax rate):

Maximum \$ Annual Capital Gains Cost 2022:

Maximum \$ Annual Capital Gains Cost 2023:

Maximum \$ Annual Capital Gains Cost 2024:

Maximum \$ Annual Capital Gains Cost 2025:

Environmental Social Government Restrictions: Wealthcare can exclude stocks with exposure to the various ESG attributes as defined by MSCI, a leading data and analytics provider. For greater details on the ESG attributes, please contact us for supporting documents. If you would like the specified ESG restriction to be applied, please check the category and those securities will not be purchased in your portfolio.

Category	Allow in Portfolio	Exclude from Portfolio
Abortion & Contraceptives		
Adult Entertainment		
Alcohol		
Animal Welfare		
Board Diversity		
Breast Milk Substitutes		
Child Labor		
Cinemas		
Civilian Firearms		
Controversial Lending Practices		
Defense & Weapons		
For Profit Healthcare		
For Profit Prisons		
Fur		
Gambling		
Genetic Engineering		
Labor Relations		
Nuclear Power		
Pork		
Stem Cell Research		
Tobacco		

Industry and Sector Restrictions: Wealthcare can manage portfolios where certain sectors and industries can be excluded. For example, one can choose to eliminate exposure to Thermal Coal by placing a zero under the Max (%).

Sector / Industry	Min (%)	Max (%)
Basic Materials		
Agricultural Inputs		
Aluminum		
Building Materials		
Chemicals		
Coking Coal		
Copper		
Gold		
Lumber & Wood Production		
Other Industrial Metals & Mining		
Other Precious Metals & Mining		
Paper & Paper Products		
Silver		
Specialty Chemicals		
Steel		

Consumer Cyclical		
Apparel Manufacturing		
Apparel Retail		
Auto & Truck Dealerships		
Auto Manufacturers		
Auto Parts		
Department Stores		
Financial Services		
Footwear & Accessories		
Furnishings Fixtures & Appliances		
Gambling		
Home Improvement Retail		
Internet Retail		
Leisure		
Lodging		
Luxury Goods		
Packaging & Containers		
Personal Services		
Recreational Vehicles		
Residential Construction		
Resorts & Casinos		
Restaurants		
Specialty Retail		
Textile Manufacturing		
Travel Services		

Sector / Industry	Min (%)	Max (%)
Healthcare		
Biotechnology		
Diagnostics & Research		
Drug Manufacturers—General		
Drug Manufacturers—Specialty & Generic		
Health Information Services		
Healthcare Plans		
Medical Care Facilities		
Medical Devices		
Medical Distribution		
Medical Instruments & Supplies		
Pharmaceutical Retailers		

Utilities		
Utilities—Diversified		
Utilities—Independent Power Producers		
Utilities—Regulated Electric		
Utilities—Regulated Gas		
Utilities—Regulated Water		
Utilities—Renewable		

Communication Services		
Advertising Agencies		
Broadcasting		
Electronic Gaming & Multimedia		
Entertainment		
Internet Content & Information		
Publishing		
Telecom Services		

Energy		
Oil & Gas Drilling		
Oil & Gas E&P		
Oil & Gas Equipment & Services		
Oil & Gas Integrated		
Oil & Gas Midstream		
Oil & Gas Refining & Marketing		
Thermal Coal		
Uranium		

Industry and Sector Restrictions (continued):

Sector / Industry	Min (%)	Max (%)
Asset Management		
Banks—Diversified		
Banks—Regional		
Capital Markets		
Credit Services		
Financial Conglomerates		
Financial Data & Stock Exchanges		
Insurance Brokers		
Insurance—Diversified		
Insurance—Life		
Insurance—Property & Casualty		
Insurance—Reinsurance		
Insurance—Specialty		
Mortgage Finance		
Shell Companies		

Sector / Industry	Min (%)	Max (%)
Real Estate		
Real Estate Services		
Real Estate—Development		
Real Estate—Diversified		
REIT—Diversified		
REIT—Healthcare Facilities		
REIT—Hotel & Motel		
REIT—Industrial		
REIT—Mortgage		
REIT—Office		
REIT—Residential		
REIT—Retail		
REIT—Specialty		

Sector / Industry	Min (%)	Max (%)
Consumer Defensive		
Beverages—Brewers		
Beverages—Non-Alcoholic		
Beverages—Wineries & Distilleries		
Confectioners		
Discount Stores		
Education & Training Services		
Farm Products		
Food Distribution		
Grocery Stores		
Household & Personal Products		
Packaged Foods		
Tobacco		

Sector / Industry	Min (%)	Max (%)
Industrials		
Aerospace & Defense		
Airlines		
Airports & Air Services		
Building Products & Equipment		
Business Equipment & Supplies		
Conglomerates		
Consulting Services		
Electrical Equipment & Parts		
Engineering & Construction		
Farm & Heavy Construction Machinery		
Industrial Distribution		
Infrastructure Operations		
Integrated Freight & Logistics		
Marine Shipping		
Metal Fabrication		
Pollution & Treatment Controls		
Railroads		
Rental & Leasing Services		
Security & Protection Services		
Specialty Business Services		
Specialty Industrial Machinery		
Staffing & Employment Services		
Tools & Accessories		
Trucking		
Waste Management		

Sector / Industry	Min (%)	Max (%)
Technology		
Communication Equipment		
Computer Hardware		
Consumer Electronics		
Electronic Components		
Electronics & Computer Distribution		
Information Technology Services		
Scientific & Technical Instruments		
Semiconductor Equipment		
Semiconductors		
Software—Application		
Software—Infrastructure		
Solar		

Security Specific Restrictions: Wealthcare can manage portfolios where specified securities are excluded and certain securities may be specified as do not sells.

Description	Ticker	Restriction Type	Min % Weight	Max % Weight