TRANSFER REQUEST

Institutional Advisor Services

axos ADVISOR SERVICES

General Instructions

Use these instructions to complete the Transfer Request form.

Print or type all entries. Print clearly in all CAPITAL LETTERS to complete this form. To type entries, a fillable PDF of this form can be found online at www.axosadvisorservices.com.

Purpose of this form: This form is required to transfer cash or securities from an account in your name at another custodian or trustee to an account in your name at Axos Advisor Services.

Important:

- A separate Transfer Request form is required for each account you are transferring.
- It may take several weeks to complete an account transfer. Delays can result from incomplete transfer paperwork, failure to provide a current custodian statement dated within the last 90 days, type of securities being transferred, and the requirements of the institutions facilitating the transfer.

Note: Access to assets may be unavailable during the transfer process, resulting in your inability to trade, liquidate, or meet cash needs.

Transfer fees. There may be fees associated with your transfer instructions, including but not limited to account transfer, termination and surrender fees, redemption and early withdrawal fees, mutual fund charges, wire and check fees.

Section 1: Receiving Firm: Axos Advisor Services Account

Enter the complete information for the receiving Axos Advisor Services account. For joint accounts, provide both the primary and joint account owner's names and social security numbers/tax identification numbers. **Note:** If this is being used to make an internal transfer contribution, please check the appropriate contribution year.
Note: If the receiving account is a new Axos Advisor Services account, include this form with your new account application.

Section 2: Delivering Firm: Account To Be Transferred From

Enter the information for the account being transferred from your current custodian or trustee.

Additional Documentation Requirements: Contact your current custodian, trustee, or employer to determine if additional documentation is required when transferring assets between different account types or for transfers resulting in a change of ownership. If transferring from a SIMPLE IRA to an IRA, additional documentation is required to show that the initial funding date of the SIMPLE IRA is 2 years or greater. Include a copy of the forms when you submit your transfer request to Axos Advisor Services.

Section 3: Transfer Type

This section outlines many details in regard to the transfer process and account owner responsibilities.

Important:
Attach a copy of your most recent account statement from your current custodian or trustee dated within 90 days listing all CUSIPs and/or symbols and share amounts. The more recent the statement, the less likely there are to be delays in processing.

- In addition to a statement dated within 90 days, a current screen print of asset holdings should be included.
- To expedite the processing of cash transfers, ensure all assets are liquidated prior to submitting the Transfer Request form to Axos Advisor Services. Not all types of assets are transferable to Axos Advisor Services. Contact your investment advisor for additional information.

Note: Unless otherwise indicated in Section 3, a transfer request will be processed as a full transfer in-kind of all assets.

ACATS Warning:

- Liquidate all applicable assets at the delivering firm prior to submitting the Transfer Request form to Axos Advisor Services.
- Any assets not liquidated will be transferred in-kind.
- A partial transfer will be processed in the event a full transfer is requested and one or more of the assets are deemed ineligible for custody at Axos Advisor Services. Contact your investment advisor for additional information.

Liquidation Warning:

- Contact your current custodian or financial institution for information regarding their liquidation requirements.
- You will need to cancel dividend reinvestment options.

Non-ACATS or Partial Transfers Only

Complete this section for a partial transfer or if the delivering custodian is not ACATS eligible. If a transfer type is not selected, the default will be a full transfer or all assets in-kind.

- Select one transfer type.
- Select all applicable asset instructions.
- If check or wire is not selected, the delivery method will default to wire (fees may apply).

Section 4: Signature(s)

Review the terms and conditions and have all clients and authorized parties of both the receiving and delivering accounts sign and date the form.

Section 5: Successor Custodian Acceptance

This section is for Axos Advisor Services use only.

Section 6: Special Notice for an Individual Retirement Account Transfer

Please read the Required Minimum Distribution Notice.

Section 7: Delivery Instructions

This section provides delivery instructions for the delivering firm.

Return your completed form as instructed by your investment advisor or your client representative. Questions regarding this form should be directed to your investment advisor.

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