

# TRANSFER REQUEST

## Institutional Advisor Services



Axos Advisor Services Account Number: \_\_\_\_\_

### Section 1: Receiving Firm: Axos Advisor Services Account – Clearing Number 5981

Account Registration at Axos Advisor Services

TIN/EIN/SSN	JOINT SSN
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Account Type at Axos Advisor Services (Select One)

Single or Individual   
  Joint/Community Property   
  Trust   
  Corporate or Company   
  UTMA/UGMA  
 Traditional or SEP IRA   
  Roth Traditional or SEP IRA   
  Beneficiary IRA   
  Beneficiary Roth IRA   
  SIMPLE IRA   
  SIMPLE Roth  
 403(b)   
 403(b) Roth   
 Qualified Plan   
 Qualified Plan Roth   
 HSA   
 ESA   
 Other, list type: \_\_\_\_\_

To make a contribution to an Axos Advisor Services retirement account from an Axos Advisor Services non-retirement account (internal transfer), please indicate the effective year. If nothing is selected, we will default to a current year contribution.   
 Current Year   
 Prior Year

### Section 2: Delivering Firm: Account to be Transferred From

Delivering Firm Name	Delivering Firm Account Number
Delivering Firm Street/PO Box Address	Account Registration at Delivering Firm
Delivering Firm City, State and Zip Code	

Account Type at Delivering Firm (Select One)

Single or Individual   
  Joint/Community Property   
  Trust   
  Corporate or Company   
  UTMA/UGMA  
 Traditional or SEP IRA   
  Roth Traditional or SEP IRA   
  Beneficiary IRA   
  Beneficiary Roth IRA   
  SIMPLE IRA   
  SIMPLE Roth  
 403(b)   
 403(b) Roth   
 Qualified Plan   
 Qualified Plan Roth   
 HSA   
 ESA   
 Other, list type: \_\_\_\_\_

Registration Changes, if applicable check box:   
 All authorized parties on the existing and new account have authorized the transfer and registration change.

### Section 3: Select Transfer Type **If the delivering firm is ACATS eligible with Axos Advisor Services, the transfer will be sent ACATS (In-Kind)**

Full In-Kind\*\*   
 Full – Liquidate All (\*If firm is non-ACATS)   
 Full – Liquidate below assets, remaining assets In-Kind (\*If firm is non-ACATS)\*\*  
 Partial Cash \$ \_\_\_\_\_   
 Partial In-Kind (tickers/CUSIPS & share amounts below)   
 Partial liquidation (tickers/CUSIPS & share amounts below)

Indicate Assets, share amounts and/or maturity dates below:   
 A list of additional assets has been attached to this transfer form.

1. \_\_\_\_\_    2. \_\_\_\_\_    3. \_\_\_\_\_

**\*\* Attach a current statement or provide a list of tickers/CUSIPS and share amounts to transfer.**

**LIQUIDATION INSTRUCTIONS:** (please mark all that apply)

Send funds to Axos via:   
 Check   
 Wire – If nothing is selected then a wire will be requested, and fees may apply.

If CDs/Annuities are to be liquidated, please do so  Immediately or  Upon Maturity date of: \_\_\_\_\_  
 (If 'Upon Maturity' is selected, please provide maturity dates. I am aware of and acknowledge the penalty that I will incur from early withdrawal.)

### Section 4: Signature(s) – Clients and Authorized Parties are Required to Sign

By Signing below I hereby certify that I have read and taken any required actions as provided in Section 6, for my IRA, if applicable.

Print Name for Signature Below	Date:	Print Name for Signature Below	Date:
Client Signature/Authorized Party		Joint Client Signature/Authorized Party	
Medallion Signature Guarantee		Medallion Signature Guarantee	
Plan Administrator Signature (optional):			Date:

### Section 5: Successor Custodian Acceptance (for Axos Only)

**To the prior Trustee/Custodian:** Axos Advisor Services agrees to serve as the successor Custodian for the account of the above-named client, and as Custodian, we agree to accept the transfer of assets to this account. Be advised that the new account name will read: **Axos Clearing LLC FBO client named above. Custodian Tax ID # 77-0616239.**

Axos/Successor Custodian Authorized Signature:	Date:
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**Section 6: Required Minimum Distribution Notice**

I understand that if this transfer from an Individual Retirement Account is occurring during or after the calendar year during which I attain the age of 73, or if I am a beneficiary who is subject to a required minimum distribution ("RMD"), the required minimum amount determined under this Individual Retirement Account is still required to be distributed. I further understand that the current Trustee/Custodian is not responsible for making this distribution prior to the transfer. I accept full responsibility for satisfying the RMD applicable to this Individual Retirement Account by withdrawing sufficient amounts prior to the deadline for RMDs for the calendar year of the transfer.

If this transfer leaves the transferor account in one year but does not reach my Axos Advisor Services Individual Retirement Account until the following year, I understand that this will be an "outstanding transfer" as of December 31st. Axos Advisor Services, as Custodian, must "deem" that the transfer was received as of the prior December 31st for determining any RMD from the Axos Advisor Services Individual Retirement Account for the year that the transfer was received. I will inform Axos Advisor Services of any such outstanding transfer.

**IMPORTANT: This section is for the delivering firm use only. Axos is a member of the ACATS system. Delivering firm is authorized to wire proceeds to Axos if wire or check is not selected in Section 3.**

**Make Checks Payable to:**

AXOS ADVISOR SERVICES FBO (Client's Full Name)  
(Axos Advisor Services Account Number)  
P.O. Box 5158  
Englewood, CO 80155-5158

**Overnight Delivery Address:**

Axos ADVISOR SERVICES FBO (Client's Full Name)  
(Axos Advisor Services Account Number)  
7103 South Revere Parkway  
Centennial, CO 80112

**Book Entry Government Securities via Federal**

**Wire:** BMO HARRIS BANK NA

Account #: **1040/1013029446**

ABA #: 071000288

For Further Credit to: FBO (Client's Full Name)  
(Axos Advisor Services Account  
Number)

**Questions:** (303) 705-6000

**Wiring Instructions:**

Axos Bank  
4350 La Jolla Village Drive,  
Suite 140 San Diego, CA 92122  
Bank Account Name: Axos Clearing LLC  
ABA#: 122287251  
Account #: 890000058697

For Further Credit to: FBO (Client's Full Name)  
(Axos Advisor Services Account  
Number)

**DTC Eligible**

**Securities:** DTC

Participant #: **5981** For FBO (Client's Full Name)  
Further Credit to: (Axos Advisor Services Account  
Number)

**ACH Instructions:**

Axos Bank  
Bank Account Name: Axos Clearing LLC  
Account #: 890000058705  
ABA #: 122287251

\*Put the 6 Digit Axos Advisor Services account number in ACH PPD transaction field #7, a space, then the first ten characters of the account holder's last name.

Example: 123456 SMITH

**-End Form -**