

# Investment Advisor New/ Modify System User Form

## Institutional Advisor Services



**IMPORTANT NOTE:** This form will provide Investment Advisor level access to the users below (each a “User”) identified by the Investment Advisor, which will enable Users to view all client accounts under Investment Advisor and custodied at Axos Clearing LLC under its trade name Axos Advisor Services (“AAS”). If this is not what is intended, please contact your Client Service Advocate for assistance.

### SECTION 1: Requestor

Investment Advisor firm name \_\_\_\_\_ Requestor name \_\_\_\_\_

Telephone \_\_\_\_\_ Email \_\_\_\_\_

### SECTION 2: Access Information

#### A. SYSTEM USER #1

Select one:  Employee  Representative

Select one:  New user  Disable user  Modify permissions

First name \_\_\_\_\_ Middle name \_\_\_\_\_ Last name \_\_\_\_\_

Username (if disable/modify) \_\_\_\_\_ Telephone \_\_\_\_\_ Email \_\_\_\_\_

#### User Type

- View only user
- Advanced user

#### Permissions (select all that apply)

- View accounts
- Reporting
- Account setup/edit
- Money Manager XChange access
- Trading

#### B. SYSTEM USER #2

Select one:  Employee  Representative

Select one:  New user  Disable user  Modify permissions

First name \_\_\_\_\_ Middle name \_\_\_\_\_ Last name \_\_\_\_\_

Username (if disable/modify) \_\_\_\_\_ Telephone \_\_\_\_\_ Email \_\_\_\_\_

#### User Type

- View only user
- Advanced user

#### Permissions (select all that apply)

- View accounts
- Reporting
- Account setup/edit
- Money Manager XChange access
- Trading

#### C. SYSTEM USER #3

Select one:  Employee  Representative

Select one:  New user  Disable user  Modify permissions

First name \_\_\_\_\_ Middle name \_\_\_\_\_ Last name \_\_\_\_\_

Username (if disable/modify) \_\_\_\_\_ Telephone \_\_\_\_\_ Email \_\_\_\_\_

#### User Type

- View only user
- Advanced user

#### Permissions (select all that apply)

- View accounts
- Reporting
- Account setup/edit
- Money Manager XChange access
- Trading

# Investment Advisor New/ Modify System User Form

Institutional Advisor Services



## SECTION 3: Signature

As a duly authorized officer of Investment Advisor, I hereby certify, represent, warrant, and covenant that:

- I have submitted the above Investment Advisor New/Modify System User form to grant or modify the User access to Investment Advisor client accounts custodied at AAS.
- The account access requested for User in the Form is consistent with the terms of the investment advisory agreement between Investment Advisor and the account owners.
- Investment Advisor has conducted an appropriate background check with respect to each User identified in this form, and has in place appropriate controls and procedures for the monitoring and supervision of each such User's access with respect to the client accounts custodied at AAS.

As a duly authorized officer of Investment Advisor, I hereby further acknowledge and agree that:

- Investment Advisor is solely responsible for each User's activities with respect to the client accounts custodied at AAS.
- Investment Advisor shall indemnify, defend, and hold harmless Axos Clearing LLC and its affiliates and their respective personnel for any damages, expenses, fees, costs, or other liabilities arising out of or from or related to in any way a User's access to the client accounts as requested by Investment Advisor in this form.
- Investment Advisor will notify Axos Advisor Services promptly if the User is no longer an employee or representative of the Investment Advisor. Axos Clearing LLC will not be liable for any direct, indirect, special, consequential, or any other damages or liabilities suffered by Investment Advisor or any of its clients in connection with the delay of disabling a User.

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Investment Advisor signature

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Date

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Investment Advisor name

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Investment Advisor title

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Investment Advisor firm name

## GENERAL INSTRUCTIONS

Use these instructions to complete the New System User Form.

**Purpose of this form.** This form is for Investment Advisor level access and is required to authorize someone on your staff as a new User, modify existing User permissions or to disable existing Users.

**All fields are required unless noted.** All fields are required unless designated as 'if applicable'.

**You must complete all required fields and provide all required additional forms and documentation to expedite processing and to avoid requests for additional information.**

## SECTION 1: Requestor

Enter the requestor's contact information.

## SECTION 2: Access Information

For each User, select the action you want to take with this request – create a new User, change the access for an existing User, or disable a User. Then enter the User's information as needed.

**New user.** For new Users, add their information and select the User type and permissions.

**Disable user.** To disable a User, enter the username only.

NOTE: Please notify AAS immediately if you want to disable a User.

**Modify Permissions.** To modify permissions, enter the User name only and select user type and permissions appropriate to the User.

## SECTION 3: Signature

An authorized officer of the Investment Advisor must sign the form.

Then fax the signed form to (303) 705-6490 or scan and email the form to your Client Service Advocate using appropriate security measures.