

# Axos Advisor Services

## New Account Requirements

Effective September 2021



| Liberty Account Type                     | Entity Type   | Account Registration Format (Line breaks as they appear except when the information does not fit on one line)*if applicable | Application Required              | CIP Information Required (Name, Address, Social Security and Date of Birth Information) | Form of Identification and ID# Required (Drivers License, Passport, etc) | Additional Documents Required        | Signatures Required for Account Application Section |
|--|---|---|-----------------------------------|---|--|--------------------------------------|---|
| <b>Non-Retirement Custodial Accounts</b> |   |   |                                   |   |  |                                      |   |
| Individual                               | Individual  | John Doe *TOD   | Account Application and Agreement | Individual  | Individual   | Transfer on Death (TOD) Add. Request | Individual  |
| Joint                                    | Joint Tenants With Rights of Survivorship             | John Doe Mary Doe JTWR0S *TOD   |                                   | All Account Holders   | All Account Holders  | Transfer on Death (TOD) Add. Request | All Account Holders                                 |
| Joint                                    | Joint Tenants by the Entirety                         | John Doe Mary Doe TEN ENT *TOD  |                                   | All Account Holders   | All Account Holders  | Transfer on Death (TOD) Add. Request | All Account Holders                                 |
| Joint                                    | Community Property with Rights of Survivorship (WR0S) | John Doe Mary Doe CPWR0S *TOD   |                                   | All Account Holders   | All Account Holders  | Transfer on Death (TOD) Add. Request | All Account Holders                                 |
| Joint                                    | Community Property                                    | John Doe Mary Doe COM PROP  |                                   | All Account Holders   | All Account Holders  | None                                 | All Account Holders                                 |
| Joint                                    | Joint Tenants in Common                               | John Doe Mary Doe TEN COM   |                                   | All Account Holders   | All Account Holders  | None                                 | All Account Holders                                 |
| UTMA & UGMA                              | UTMA/UGMA   | John Doe Custodian Johnnie Doe UTMA/ TX   |                                   | Custodian and Minor   | Custodian  | None                                 | Custodian   |

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| <b>Non-Retirement Custodial Accounts</b> |                          |   |                                   |   |  |   |   |
| Legal (Conservator, Guardian, Court)     | Estate                   | Estate of John Doe Jane Doe Executor  | Account Application and Agreement | Executor  | Executor   | Copy of Death Certificate, Affidavit of Domicile, Letter of Testamentary or Court Appointment | Executor  |
| Legal (Conservator, Guardian, Court)     | Guardianship             | John Doe Guardian FBO Johnnie Doe   |                                   | Guardian and Beneficial Owner   | Guardian and Beneficial Owner  | Guardian; a court order naming Guardian and their authorizations.                             | Guardian  |
| Legal (Conservator, Guardian, Court)     | Conservatorship          | John Doe Conservator FBO Johnnie Doe  |                                   | Conservator and Beneficial Owner  | Conservator and Beneficial Owner   | A court order naming Conservator and their authorization.                                     | Conservator   |
| Trust                                    | Trusts                   | John Doe Living Trust Dtd 01/01/01 Mary Doe, Jane Doe TTEE  |                                   | Authorized Trustee(s)   | Authorized Trustee(s)  | Trust Certification   | Authorized Trustee(s)                               |
| Trust                                    | Charitable Trust         | John Doe Charitable Remainder Trust Dtd 01/01/01 Mary Doe, John Doe TTEE  |                                   | Authorized Trustee(s)   | Authorized Trustee(s)  | Trust Certification. If Tax Exempt, include W-9 with exempt box marked                        | Authorized Trustee(s)                               |
| Trust                                    | Donor Advised Trust      | John Doe Donor Advised Trust Dtd 01/01/01 Mary Doe, John Doe TTEE   |                                   | Authorized Trustee(s)   | Authorized Trustee(s)  | Trust Certification. If Tax Exempt, include W-9 with exempt box marked                        | Authorized Trustee(s)                               |
| Unincorporated Entity                    | Company (Unincorporated) | ABC Company John Doe, Mary Doe (Officer)  | Account Application and Agreement | Authorized Party(ies)   | Authorized Party(ies)  | Unincorporated Association Certification, Beneficial Owner Certificate                        | Secretary and Authorized Party(ies)                 |
| Corporation                              | Corporation              | ABC Corporation John Doe, Mary Doe (Officer)  |                                   | Authorized Party(ies)   | Authorized Party(ies)  | Corporate Account Certification, Beneficial Owner Certificate                                 | Secretary and Authorized Party(ies)                 |
| Unincorporated Entity or Corporation     | Sole Proprietorship      | Doe Air Conditioning John Doe   |                                   | Owner   | Owner  | Sole Proprietor Certification, Beneficial Owner Certificate                                   | Owner   |
| Tax Exempt                               | Non-Profit Association   | Doe Water Works Association John Doe, Mary Doe (Officers)   |                                   | Authorized Party(ies)   | Authorized Party(ies)  | Unincorporated Association Certification, Beneficial Owner Certificate                        | Secretary and Authorized Party(ies)                 |

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| <b>Non-Retirement Custodial Accounts</b> |  |   |                                   |   |  |  |  |
| Tax Exempt/ Corp/Trust (As Applicable)   | Endowments   | ABC Endowment Fund<br>John Doe, Mary Doe (Officer/Trustee)  | Account Application and Agreement | Authorized Party(ies)/ Authorized Trustee(s) - (As Applicable)                          | Authorized Party(ies)/Authorized Trustee(s) (As Applicable)              | Unincorporated Association Certification, Corporate Account Certification or Trust Certification (As Applicable) | Secretary and Authorized Party(ies)/ Authorized Trustee(s) - (As Applicable)                   |
| Tax Exempt/ Corp/Trust (As Applicable)   | Foundations  | ABC Foundation<br>John Doe, Mary Doe (Officer/Trustee)  |                                   | Authorized Party(ies)/ Authorized Trustee(s) - (As Applicable)                          | Authorized Party(ies)/Authorized Trustee(s) (As Applicable)              | Unincorporated Association Certification, Corporate Account Certification or Trust Certification (As Applicable) | Authorized Party(ies)/ Authorized Trustee(s) - (As Applicable)                                 |
| Ltd Liability Part/Co                    | Limited Liability Company                            | ABC LLC<br>John Doe, Mary Doe (Officer)   |                                   | Authorized Party(ies)   | Authorized Party(ies)  | LLC Certification, Beneficial Ownership Certification  | Authorized Party(ies). All of the Managers, if Manager Run. All of the Members, if Member Run. |
| Ltd Liability Part/Co                    | Limited Liability Partnership or Limited Partnership | ABC LLP John Doe, Mary Doe (Officer) or ABC LP John Doe, Mary Doe (Officer)   |                                   | Authorized Party(ies)   | Authorized Party(ies)  | Partnership Certification, Beneficial Ownership Certification  | Authorized Party(ies). All of the General Partners.  |
| General Partnership                      | Partnership  | ABC Partnership John Doe, Jane Doe (Officer) or John Doe, Mary Doe and Jane Smith Partnership John Doe, Mary Doe (Officer)  |                                   | Authorized Party(ies). All of the General Partners.                                     | Authorized Party(ies). All of the General Partners.                      | Partnership Certification, Beneficial Ownership Certification  | Authorized Party(ies). All of the General Partners.  |

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|---|--------------------------|---|-----------------------------------|---|--|---|---|
| <b>IRA-Individual Retirement Accounts</b> |                          |   |                                   |   |  |   |   |
| IRA - Individual Retirement Account       | Traditional IRA          | John Doe  | Account Application and Agreement | Account Owner   | Account Owner  | IRA Beneficiary Designation. When account owner unable to act for themselves, will need a court order naming conservator/guardian with their authorizations.                  | Account Owner                                       |
| Individual Rollover IRA                   | Rollover IRA             | John Doe  |                                   | Account Owner   | Account Owner  | IRA Beneficiary Designation.  | Account Owner                                       |
| IRA - Individual Retirement Account       | Custodial IRA            | John Doe Custodian FBO Johnnie Doe  |                                   | Custodian and Minor   | Custodian  | IRA Beneficiary Designation.  | Custodian   |
| IRA - Individual Retirement Account       | Conservator/Guardian IRA | John Doe Conservator/Guardian FBO Johnnie Doe   |                                   | Conservator/Guardian and Ward   | Conservator/Guardian   | IRA Beneficiary Designation. Court order naming conservator/guardian with their authorizations.   | Conservator/Guardian                                |
| Bene IRA or Bene Roth IRA                 | Bene IRA                 | Jane Doe  |                                   | Beneficiary Account Owner   | Beneficiary Account Owner  | IRA Beneficiary Designation. If Trust is Beneficial Account Owner, will need Trust Certification. If Estate Owner, will need Letters of Testamentary with visible court seal. | Account Owner                                       |
| SEP IRA                                   | SEP IRA                  | John Doe  |                                   | Account Owner   | Account Owner  | IRA Beneficiary Designation   | Account Owner                                       |
| Roth IRA                                  | Roth IRA                 | John Doe  |                                   | Account Owner   | Account Owner  | IRA Beneficiary Designation   | Account Owner                                       |
| Roth IRA                                  | Custodial Roth IRA       | John Doe Custodian FBO Johnnie Doe  |                                   | Custodian and Minor   | Custodian  | IRA Beneficiary Designation   | Custodian   |
| SIMPLE IRA                                | SIMPLE IRA               | John Doe  |                                   | Account Owner   | Account Owner  | IRA Beneficiary Designation   | Account Owner                                       |

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|---|---|---|-----------------------------------|---|--|--|---|
| <b>Retirement Plan Accounts (Employer Sponsored Plans)</b>  |   |   |                                   |   |  |  |   |
| Solo K (Solo K Roth)  | Solo 401(k)(Solo 401(k) Roth)                   | Doe Consulting, Inc. Solo 401(k) Plan FBO John Doe John Doe TTEE or (with multiple trustees) Doe Consulting, Inc. Solo 401(k) Plan FBO John Doe (or spouse) John Doe, Mary Doe TTEEs or (with no company name) John Doe Solo 401(k) Plan FBO John Doe John Doe TTEE | Account Application and Agreement | Plan Trustee  | Plan Trustee   | Solo 401(k) Defined Contribution Account package, Solo 401(k) Beneficiary Designation/Change Request | Plan Trustee, Plan Administrator if not Employee, or Plan Participant |
| Qualified Plan (401(k), 401(k) Roth, 457, Defined Benefit Plan, Profit Sharing Plan, Other)   | Non-Prototype Retirement Plan -Pooled           | <Retirement Plan Title> John Doe, Mary Doe TTEEs  |                                   | Plan Trustee  | Plan Trustee   | Beneficial Owner Certificate   | All Trustee(s) or Authorized Party(ies)                               |
| Qualified Plan (401(k), 401(k) Roth, 457, Defined Benefit Plan, Profit Sharing Plan, Other)   | Non-Prototype Retirement Plan -Plan Participant | <Retirement Plan Title> FBO John Doe John Doe, Mary Doe TTEEs   |                                   | Plan Trustee and Plan   | Plan Trustee   | Beneficial Owner Certificate   | Plan Participant and All Trustee(s) or Authorized Party(ies)          |
| Trust Account Registration: All Trustees must be listed. Corporate, Company, LLP, LLC, etc. Account Registrations: All Authorized Parties named in Section 3 of the Account Application must be listed in the Account Registration. |   |   |                                   |   |  |  |   |