

Accounts in pending termination status needing your attention



From time to time, RIAs place an Estab Term Sell/Hold on an account with the intent to follow up and provide the account termination paperwork to Axos Advisor Services (AAS). On other occasions, AAS is provided paperwork to distribute the funds to the account owner or transfer the account to a successor custodian.

Your Client Service Advocate is working to provide to you a list of accounts for which the account has a Termination Sell/Hold date for which we've not yet received documentation to follow through to close the account.

Please review the list and provide the distribution form or the contra transfer request so we can move forward. *We will assume the account is to remain open and active and the termination status removed if paperwork, in good order, is not received by date provided by your Client Service Advocate and the account will resume all previous standings.*

Going forward, for accounts placed in termination status, we will assume such accounts are to remain open and active, if in good order documentation is not received within 30 days.

Your Client Service Advocate will be reaching out to you the week of February 21 with applicable accounts needing your attention.

Investment Products: Not FDIC Insured - No Bank Guarantee - May Lose Value.

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