Advisor Authorization for Contributions

As you are aware, the purpose of the Advisor Authorization for Contributions form is for the account owner to authorize Axos Advisor Services to accept certain Contribution instructions from you, the Investment Advisor, on behalf of the account owner without requiring their signature for a specified Axos Advisor Services account. While you can request contributions on behalf of the account owner, there are certain types of contributions you are unable to request and thus, always require client signature.

The following details the information as outlined in the Advisor Authorization for Contributions form.

- Contribution representing a change of ownership of funds
- Beneficiary IRA Contributions
- IRA account transfers, rollovers, or in-kind Contributions
- Roth conversions
- IRA recharacterizations
- Any Employer sponsored plans

If the account owner has submitted requests authorizing you to request contributions on their behalf, for Beneficiary IRA or any Employer sponsor plan account types, your Client Service Advocate will provide to you, if applicable, the impacted account information for awareness for those we are removing such authorizations.

We'll not remove the bank on file information provided by the client on such requests and if the account owner wants to add a Bank Account on File, we will accept such by way of completing Sections 1, 2, 3, 6 and 7 of the Advisor Authorization for Contributions form.

If you have questions, please reach out to your Client Service Advocate.