Revised Account Application and Supplemental Forms

WE LISTENED. As a result of your feedback, we amended the Account Application and Agreement.

What's Changing?

- **Account Investment Profile** -We eliminated this section. We will not be collecting Annual Income, Net Worth, Liquid Net Worth, Risk Tolerance, Tax Bracket and Investment Objective.
- **Prior Applications**-We will accept prior E*TRADE applications until **November 1, 2021**.
- **Know Your Client Information**-For Accounts opened before **November 1, 2021**, we will not need to go back to obtain Know Your Client information.
- **Additional Required Paperwork**- See the Additional Required Paperwork section of the Application or the attached New Account Requirement document.
- **Money Fund Instructions**-We added an option for the client to decline the Axos Advisor Services Sweep Program. The client can choose to participate in our sweep program or decline. If they decline, the cash will not sweep nightly and will remain as cash in the account. Note: Clients will not earn interest on cash balances that do not participate in the Sweep Program.

Here's where you can find these forms:

- **AAS website:** During the week September 20, the revised Account Application, New Account Requirements matrix and supplemental account forms will be available online at https://www.axosadvisorservices.com or by visiting www.axosadvisorservices.com and selecting the Forms link.

- **RIA Connection:** The revised Account Application, Answers to Commonly Asked Questions and New Account Requirements will also be available under Quick Links at: http://riaconnection.trustamerica.com/

- **Laser App:** We anticipate that the Account Application and supplemental forms will be available by September 24.

- **Prepopulated Forms on Liberty:** The majority of these prepopulated forms will be available on September 24, on Liberty.

Please reach out to your Client Service Advocate with any questions.