

Investment Club Certification

This form must be completed in its entirety and must be signed by *all Members* of the Investment Club. All members who are authorized to act on behalf of the Investment Club (“Agents”) identified on this Investment Club Certification must also complete and sign the standard Account Application. Please note that Investment Club accounts may also be required to submit a copy of the Operating Agreement to the Introducing Broker Dealer (“IBD”) and/or Axos Advisor Services before acceptance of the account or prior to executing certain transactions or requests.

STEP 1: ACCOUNT INFORMATION

Account Title (Title of the Investment Club to which this certification applies)		Account Number
Number of Agent(s) on the Account		Date of Operating Agreement
Was this Investment Club organized outside of the United States? <input type="radio"/> Yes <input type="radio"/> No If yes, please attach a copy of the appropriate version of IRS Form W-8 Certificate of Foreign Status that applies to this Investment Club and the formation documents.		
Tax ID	Governing State Law	

STEP 2: AUTHORIZED AGENTS

All Agents to the Investment Club must be listed below.

Check one of the following if there is more than one Agent:

- The Operating Agreement explicitly authorizes each of the following Agents to *act individually without the approval of the other members*. The IBD and/or Axos Advisor Services has the authority to accept orders and other instructions in connection with the Investment Club account from any one of these Agents, acting alone, and such Agents may execute any documents on behalf of the Investment Club that the IBD and/or Axos Advisor Services may require. (Under certain circumstances and in its discretion, the IBD or Axos Advisor Services may require the written approval of all agents.)
- The Operating Agreement *does not* authorize the agents to act individually on behalf of the Investment Club account.

Agent 1 Name
Address
Agent 2 Name
Address
Agent 3 Name
Address
Agent 4 Name
Address
Agent 5 Name
Address

For additional agent(s), attach an additional Investment Club Certification.



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STEP 3: POWERS OF THE AGENTS

The undersigned Agents(s) certify that, under the Operating Agreement and/or applicable state or local law, they have the power to enter into transactions for the purchase and sale of securities and other investments, including without limitation, stocks (preferred or common), bonds, mutual funds and certificates of deposit.

In Addition to the Foregoing Powers, the Undersigned Agents are Specifically Authorized to:

<input type="radio"/> Yes <input type="radio"/> No	Borrow money or make any contract the effect of which is to borrow money, and secure such obligations by mortgages or other liens upon any Investment Club property; borrow, guarantee and/or pledge any Investment Club assets as collateral, as the case may be, with respect to a loan; guarantee a borrowing of money or to make any contract the effect of which is to guarantee a borrowing, and secure such obligations by mortgages or other liens upon any Investment Club property.
<input type="radio"/> Yes <input type="radio"/> No	Sell securities that the Investment Club does not own (short sales) and borrow securities to facilitate this practice.
<input type="radio"/> Yes <input type="radio"/> No	Delegate Agent powers, including check writing authority, to third parties, such as investment advisors or other agents, under a Power of Attorney ("POA"), other document, or the Operating Agreement. A copy of the POA, other document, or section of the Operating Agreement showing the delegation of such power in undersigned's capacity as Agent is also required.
<input type="radio"/> Yes <input type="radio"/> No	Establish and maintain an account with a debit card and/or check writing, from which account funds are directly spent, the responsibility for which is entirely that of the Agent(s).
<input type="radio"/> Yes <input type="radio"/> No	Receive on behalf of the Investment Club or deliver to the Investment Club or third parties any and all assets including, but not limited to, monies, stocks, bonds, and other securities. To sell, assign and endorse for transfer certificates representing stocks, bonds, and other securities now registered or hereafter registered in the name of the Investment Club.
<input type="radio"/> Yes <input type="radio"/> No	Transfer any and all assets of the Investment Club to any of the Member(s) individually.
<input type="radio"/> Yes <input type="radio"/> No	Execute and sign Form W-9 for a US Investment Club, or the relevant Form W-8 for a foreign investment club.

STEP 4: MEMBER(S) INDEMNIFICATION AND SIGNATURES

The undersigned Members jointly and severally indemnify and hold harmless the IBD and Axos Advisor Services, and each of their affiliates, officers, directors, employees, agents, successors or assigns from any liability (including attorney's fees) from and against any claims, judgments, expenses, liabilities or costs of defense or settlement arising out of or related to breach of any representation or warranty made herein, or from effecting any transfer or transactions pursuant to instructions given by any of the Agents listed above, or any actual improper or unsuitable action resulting from instructions given to the IBD or Axos Advisor Services by any of the Agents. This indemnification is made by us both in our capacities as Members and in our individual capacities. We certify that the Investment Club is currently in existence, has not been revoked, modified or amended in any manner that would cause the certifications herein to be incorrect and, we agree to inform the IBD and/or Axos Advisor Services immediately in writing of any amendment to the Operating Agreement, any change in the composition of the Authorized Agents or Members, or any other event which could alter the certifications made above. We acknowledge the IBD's and/or Axos Advisor Service's right to examine the Operating Agreement or any other governance document and hereby agree to provide the IBD or Axos Advisor Service with a copy of these documents if so requested. (Where applicable, plural references in this certification shall be deemed singular.)

SIGNATURES		
Member 1 Signature x	Print Name	Date
Member 2 Signature x	Print Name	Date
Member 3 Signature x	Print Name	Date
Member 4 Signature x	Print Name	Date
Member 5 Signature x	Print Name	Date
Axos Principal Signature x	Print Name	Date