

# NON-RETIREMENT ACCOUNT DISTRIBUTION REQUEST

Institutional Advisor Services

## SECTION 1: Account Owner

Axos Advisor Services Account Number	Account Type
Account Title	
Last 4 Digits of Social Security or Tax Identification Number	

## SECTION 2: Distribution Amount

Select a full or partial distribution:

**Full distribution and close my account**, select one:  
 Liquidate  In-Kind

**Partial distribution**, select all that apply:  
 Partial cash, list amount:

Gross Cash Amount
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Partial securities in-kind, list securities:

Number of Shares	Security Description / Symbol

Additional securities information attached

## SECTION 3: Distribution Method

Select Method:

**By check or security delivery:**

Select if applicable:

Send check via overnight delivery (not available for a P.O. Box address). Fee may apply.

Select one (check fee may apply):

- To the account owner and mailed to the address on record
- To the account owner and mailed to the address below
- To the third party payee at the address below

Third Party Payee if applicable		
For the Benefit Of (FBO) if applicable		
Mailing Address		
City	State	Zip
DTC security delivery information if applicable		

Axos Advisor Services Account Number
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## SECTION 3: Distribution Method Continued

**By electronic transfer.** Note: Allow 1-2 business days for delivery from the processed date for ACH, and the same or next business day for wires.

Select one:  By ACH  By Wire      Select one:  Checking account  Savings account

Voided check provided in lieu of bank information

Bank on File

Bank Name
ABA (Routing) Number
Name on Bank Account
Account Number

**By internal transfer**, transfer to:

Axos Advisor Services Account Number	Account Type
Account Title	
Contribution Year	

## SECTION 4: Signature

I/we authorize Axos Advisor Services to disburse or transfer assets from my/our Axos Advisor Services account according to the above instructions. I/we acknowledge that the origination of ACH transactions to my/our account must comply with the provisions of U.S. Law, and that in the event an ACH entry is incorrect, Axos Advisor Services reserves the right to submit correcting entries. By signing, I/we hereby agree to indemnify and hold harmless Axos Advisor Services, its successors and assigns, from and against any losses, claims, liabilities, damages, actions, charges, and expenses including attorney fees, resulting from your compliance with this request, including but not limited to transfer to another party.

Account Owner or Authorized Party Signature	Date
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Note: For custodial and legal accounts, the custodian, guardian, or conservator must sign.

Print Name
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Joint Owner Signature, if applicable	Date
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Print Name
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- End of Form -



# NON-RETIREMENT ACCOUNT DISTRIBUTION REQUEST

Institutional Advisor Services

## General Instructions

Use these instructions to complete the Non-Retirement Account Distribution Request form.

**Purpose of this form:** This form is used to provide distribution instructions to withdraw funds or perform an internal transfer from a non-retirement account.

You must **complete all required fields and provide all additional forms and documentation** to expedite processing and to avoid requests for additional information.

**Print or type all entries.** Print clearly in all CAPITAL LETTERS to complete this application. To type entries, a fillable PDF of this form can be found online at <http://www.etrade.com/advisorservices/advisorforms>.

**Unknown information.** If information is requested and you do not know where to obtain the requested information, contact your Investment Advisor or client representative for direction.

## Section 1: Account Owner

Enter the account owner information for this account exactly as it appears on your Axos Advisor Services account.

## Section 2: Distribution Amount

Select either a full or partial distribution by selecting the appropriate box. For full distribution, select either liquidate or in-kind withdrawal. For partial distribution, select all distribution types that apply and supply the requested information for each selected.

**Liquidate assets for cash distribution.** To liquidate assets for a full or partial distribution in cash, contact your Investment Advisor to initiate any liquidations required. If your Investment Advisor needs to liquidate assets to cover the requested cash, the distribution will not be processed until the settlement date for the sells. *Note: If you request to liquidate an asset that cannot be liquidated, we will return the paperwork to your Investment Advisor for clarification and no action will be taken on the request.*

**In-Kind.** Distribute all cash and security balances in-kind.

**IMPORTANT:** If you are requesting a full withdrawal, all systematic distribution schedules for the account will be stopped upon receipt of your request.

## Section 3: Distribution Method

Select the appropriate distribution method.

**IMPORTANT:** Funds sent overnight via check or wire may be subject to a fee, which will be deducted from your account balance. Your Investment Advisor can provide you with fee information regarding this transaction.

**By check or security certificate delivery.** Select the box indicating to whom the check should be payable or the certificate registered and where the check or certificate should be sent. If applicable, enter the third party payee information and the address information for this request. *Note: Contact your Investment Advisor for information regarding any re-registration fees. Allow 10 business days for delivery of mailed checks and four to six weeks for security certificates.*

**Multiple third party payees.** If there is more than one third party payee, check the 'Multiple third party payee information attached' checkbox and attach a separate listing of the third party payees, their addresses, distribution amounts for each, and delivery instructions for each.

**By electronic transfer.** Select the type of electronic transfer and provide the bank information below. If you select either Checking Account or Savings Account, enter your banking information. Bank of Record as provided on the Advisor Authorization for Distribution/Contribution form or active systematic distribution/contribution record. If you select the Voided Check Provided box, provide a blank check with this form.

*Note: Allow 1-2 business days for delivery from the processed date for ACH, and the same or next business day for wires. If the bank account type is not selected, Axos Advisor Services will default to checking account.*

**By internal transfer.** Select this method to transfer assets (securities and/or cash) into another Axos Advisor Services account. Enter a contribution year if the receiving account is an IRA. If no year is entered, Axos Advisor Services will default to the year the contribution is received. *Note: You may submit a Axos Advisor Services account application with this form to establish a new account to receive the transfer.*

## Section 4: Signature

Sign and date the form. *Note: For custodial and legal accounts, the custodian, guardian, or conservator must sign. For a joint account, both owners' signatures are required.*

**Client signature always required.** Your signature will always be required for the following instruction requests:

- Check withdrawal to an address different than the account's address of record
- Check or wire withdrawal representing a change of ownership
- Large value distributions of \$100,000.00 or more

**No client signature required.** Without your signature, your Investment Advisor may request a single check to your address of record or a wire to your bank account. Please check with your Investment Advisor if they require a signature.

**Advisor authorization.** If you have preauthorized your Investment Advisor to request distributions on your behalf, your signature is not required. Please check with your Investment Advisor if they allow for pre-authorizations.

*Note: Complete the Advisor Authorization for Distributions form to authorize your Investment Advisor to sign on your behalf in selected situations.*

Return your completed form as instructed by your Investment Advisor or your client representative. Questions regarding this form should be directed to your Investment Advisor.