

Account Number:

SECTION 3: ACCOUNT HOLDER AUTHORIZATION

To Delivering Firm: Unless otherwise indicated above, please transfer all assets in my account to Axos Clearing LLC, ("Axos Clearing"), a subsidiary of Axos Financial, Inc. I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by New York Stock Exchange Rule 412 or similar rule of FINRA or other designated examining authority. Unless otherwise indicated above, I authorize you to liquidate any nontransferable proprietary money market fund assets that are part of my account, and transfer the resulting credit balance to Axos Clearing as the successor custodian. I understand that you will contact me with respect to the disposition of any other assets that are part of my account that are nontransferable or which cannot be held at Axos Clearing. I authorize you to deduct any outstanding fees due you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable Axos Clearing as the successor custodian to transfer them in its name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books. I affirm that I have destroyed or returned to you all credit/debit cards and/or unused checks issued to me in connection with my securities account. I understand that by transferring my mutual funds to Axos Clearing, all future correspondence concerning my mutual fund positions must be directed to Axos Clearing. Furthermore, I acknowledge that while my fund positions are being held in street name with Axos Clearing, I will not be able to have direct communication with the fund company concerning my account. Therefore, I authorize you to release any information relevant to this transfer to Axos Clearing.

For Retirement Accounts: If this transfer is for a qualified retirement account, I have amended the applicable plan so that it names Axos Clearing as successor custodian. Alternatively, if this transfer is for an Individual Retirement Account ("IRA"), I have adopted an IRA plan so that it names Axos Clearing as the successor custodian. If I am transferring an IRA and the IRA type indicated on my statement is different from the IRA I maintain at Axos Clearing (e.g., Traditional IRA vs. Rollover IRA), I hereby authorize Axos Clearing to commingle my IRA assets.

Fees: If the assets I am transferring are considered nonstandard assets by Axos Clearing, I understand that I will be charged set-up and maintenance fees. I understand that fractional shares of stock are nontransferable, and I agree that any fractional shares will be liquidated by the delivering firm upon the transfer of the whole shares. The delivering firm may or may not charge a fee for this liquidation. I understand that the delivering firm may or may not assess account fees for the transfer and/or termination of my account with them.

Mutual Fund Dividends and Capital Gains: I understand that my delivering firm may provide Axos Clearing with mutual fund dividends and capital gains distribution instructions for each mutual fund position so that Axos Clearing may implement these instructions. In the event that the instructions are not provided by the delivering broker or the dividend and/or capital gains distribution option requested is not available at Axos Clearing, the instructions will default to reinvest (unless reinvestment is not available, in which case dividends and capital gains will be paid in cash and subject to any applicable taxes).

SIGNATURES – ALL ACCOUNT HOLDERS MUST SIGN BELOW
Table with 3 columns: Signature, Print Name, Date. Includes rows for Account Holder Signature (2), and Broker Signature.

MEDALLION SIGNATURE GUARANTEE (FOR OFFICE USE ONLY)
Two large empty boxes for signature verification.

SECTION 4: SUCCESSOR CUSTODIAN LETTER OF ACCEPTANCE – FOR IRAS AND QUALIFIED PLANS (OFFICE USE ONLY)

To the prior trustee or custodian: Please be advised that AXOS CLEARING LLC will accept the account described herein as successor custodian.
Table with 3 columns: Authorized Firm Representative, Print Name, Date.

SECTION 5: LETTER OF AUTHORIZATION – ACCOUNT REGISTRATION DIFFERENCES – Complete only if applicable.

Required: If the account name and/or title you are transferring does not match your account title on the receiving account. I/we hereby authorize the transfer of my/our account being held at the firm listed on page 1 of this form and registered as:
Account title as it appears on your most recent statement
Delivering Account Owner Signatures: All parties on the delivering account must sign below.
Table with 2 columns: Account Holder Signature.

SECTION 6: ONE AND THE SAME LETTER- Complete only if applicable.

I, _____ (please print name), am One and the Same as _____ (please print name) as shown on the delivering firm account.
Please sign BOTH Ways
Table with 2 columns: Account Holder Signature.

GUIDANCE FOR COMPLETING THE ACCOUNT TRANSFER FORM

NOTE: If you are requesting a transfer from a Qualified Retirement plan, please contact your plan administrator, as this form may not be required. If you are transferring between two Axos Clearing accounts, please use the LOA for Internal Transfer. This form may not be used to transfer from a checking or savings account from a bank/credit union. For IRAs and Beneficiary IRAs where the original owner was 70 ½ years or older at death, please attach a copy of your end of year statement to enable us to calculate the required minimum distribution for the account.

SECTION 1: ACCOUNT INFORMATION

The account title and the Tax ID for both the account being transferred and your Axos Clearing account should match.

SECTION 2: TRANSFER INSTRUCTIONS - Only complete one (1) part of this section.

- A. Brokerage Account Transfer
- Only whole shares for equities will be transferred and any fractional shares may be liquidated and transferred as cash.
 - For Partial Transfers, list descriptions of assets and share quantities.
 - Proprietary Mutual Funds and all no-load Money Market funds cannot be transferred in-kind and must be liquidated.
- B. Mutual Fund Company Transfer -This section pertains only to shares of Mutual Funds held directly with the fund company. For brokerage accounts containing mutual funds and/or stocks complete the Brokerage Account section 2A above.
- List the name, account number, symbol, and quantity or dollar amount.
 - If no selection is made, Axos Clearing will transfer shares in-kind.
 - Proprietary Mutual Funds and all no-load Money Market funds cannot be transferred in-kind and must be liquidated.
 - A separate Account Transfer Form is required for each fund family being transferred.
- C. Bank or Credit Union Transfer- For Retirement Accounts ONLY
- Transfer cash only.
 - Original signatures are usually required. Please mail the original form to complete the transfer request.
 - For any investment that has a renewal deadline, maturity date, surrender charge period/window, or the like, paperwork must be received in good order three (3) weeks prior to the firm deadline to allow for proper processing times.
- D. Annuity Liquidation - If partial is selected, amount for partial must be included. Contact the insurance company to determine whether surrender forms are required before submitting the transfer form. Attach surrender form if applicable.
- E. Transfer Agent
- This section is specifically for transfers from a Transfer Agent via the Direct Registration System or DRS. DRS transfers must be between like-titled accounts. Please provide the most recent copy of your delivering account statement dated within 90 days.
 - All shares MUST be held in book-entry form at the Transfer Agent prior to initiating the transfer.

SECTION 3: ACCOUNT HOLDER AUTHORIZATION

All account holders (clients or trustees) as indicated by the account registration must sign this section.

Medallion Signature Guarantee is required as a protection against fraud on non-ACAT eligible transfers.

The best source of a Medallion Signature Guarantee is a brokerage firm, bank, credit union or savings and loan association with which you do business. Guarantor firms may, but frequently do not, charge a fee for their services.

SECTION 4: SUCCESSOR CUSTODIAN LETTER OF ACCEPTANCE – FOR IRAs AND QUALIFIED PLANS

Office use only.

SECTION 5: LETTER OF AUTHORIZATION – ACCOUNT REGISTRATION DIFFERENCES

This section only applies to situations where there is a common beneficial owner between both accounts. Axos Clearing does not accept requests to transfer between third parties. Completion of this section does not guarantee processing. It is not applicable to transfers requested in Section 2.E. (requests to transfer from a Transfer Agent).

SECTION 6: ONE AND THE SAME LETTER

Completing this section does not guarantee processing and you may be required to update your account registration at the delivering firm. If you are transferring an account, and the name(s) on the account held at Axos Clearing do not exactly match, but are still for one and the same person, please complete this section. This section should be used if your name has changed due to one or more of the following: marriage, divorce, name spelling error, or any type of name change including Jr. or Sr. If there is a difference in the last name, you must supply legal documentation sufficient to establish matching identity, for example, a state-issued driver's license, passport, or government ID.

FREQUENTLY ASKED QUESTIONS ON TRANSFERS

How long will the transfer take? Full brokerage account transfers are sent via ACATS (Automated Customer Account Transfer Service) and take approximately 7 – 10 business days. Any residual balances that remain with the delivering brokerage firm after your transfer is completed should follow in 7 – 10 additional business days. Transfers that are not eligible to be entered on the ACATS system take at least four (4) weeks to be completed upon receipt of all necessary paperwork.

Will there be any transfer fees? Upon receiving your transfer request, your previous institution may charge a fee that they will transfer to your Axos Clearing account as a debit and you are responsible for any fees transferred. Axos Clearing may charge you a fee for some foreign securities.

How do I transfer my Mutual Funds? Fill out Step 2, Section B of the form. There are some mutual fund companies with whom Axos Clearing has not established an agreement to hold a particular mutual fund. You will have to contact the prior firm to have these funds liquidated. Some financial firms issue their own (proprietary) mutual funds and these mutual funds cannot be transferred to Axos Clearing. You may, at your choosing, contact the prior firm and liquidate these funds. There may be charges, expenses, and tax implications associated with liquidation. You should review the fund's prospectus for more information or contact an accountant or tax professional.

How do I transfer Limited Partnerships and Alternative Investments? Axos Clearing can only transfer exchange traded LPs and Axos Clearing -approved non-exchange traded LPs. Please contact your Introducing Broker Dealer for a list of approved companies.

How do I transfer an Annuity? Fill out Step 2, Section D of the form. Axos Clearing can only request liquidation for qualified accounts. Contact your existing insurer to see if they will need any additional documentation such as the original annuity contract. Also, please be aware that there may be a surrender charge involved with liquidating the annuity.

What is a Transfer in Kind? Transfer of securities as is. Assets will be transferred to a new or existing Axos Clearing brokerage account for the benefit of the client.

**MAIL COMPLETED FORM, ALONG WITH A COPY OF A RECENT MONTHLY STATEMENT FROM THE DELIVERING FIRM, TO:
YORK SECURITIES, 160 BROADWAY, EAST BLDG SUITE 915, NEW YORK NY 10038.**