

YORK SECURITIES, INC. Notice of Incoming Security Transfer (DRS, DTC, OCC, or US Treasury)

Input Receiving Account Title at York Securities/Axos Clearing

Input Receiving Account # at York Securities/Axos Clearing

Dear York Securities / Axos Clearing,

I shall be initiating the transfer of the below security(s) from another financial institution, to York Securities/Axos Clearing:

Shares *Symbol or CUSIP* *Security Description*

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Shares *Symbol or CUSIP* *Security Description*

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Shares *Symbol or CUSIP* *Security Description*

Shares *Symbol or CUSIP* *Security Description*

This security is being delivered from:

Delivering Financial Institution Name *DTC# (if applicable)* *Account Title & number at Delivering Financial Institution*

Signature(s) and Date:

Signature of Primary Account Owner *Date* *Signature of Joint Account Owner (if applicable)* *Date*

Please also include a recent statement or trade confirmation from delivering firm, showing the account #, account title, and security being delivered.

This completed form and statement, may be faxed to 212-202-4655, scanned & e-mailed to info@yorksec.com, or mailed to:
York Securities
160 Broadway
East Bldg Floor 9
New York NY 10038