



A subsidiary of Axos Financial™

# Removal of Non-Marketable Securities

## Customer Instruction and Acknowledgement Form

By executing this form, you hereby request that your introducing broker dealer (“IBD”) arrange to sell all the securities listed below collectively for one penny (\$.01) to Axos Clearing LLC (“Axos Clearing”).

By signing and returning this form, you acknowledge and represent the following concerning your decision to sell these securities to Axos Clearing:

- Your decision to sell is voluntary.
- Your decision to sell these securities has been made only after you have had the opportunity to discuss with your IBD the costs, benefits and suitability of electing to sell.
- You understand that your decision to sell may have certain tax loss or other consequences and that prior to electing to sell, you have had the opportunity to speak with an appropriate tax advisor or professional concerning any such consequences.
- You understand Axos Clearing does not provide investment, tax, legal, accounting, financial, or other advice, and you agree Axos Clearing has provided no such advice in connection with your decision to sell.
- You will have no further claim to the securities you have elected to sell and you agree Axos Clearing makes and has made no claims or predictions concerning the future value of the securities.

### STEP 1: Account Holder and Security Information

Account Title (Name of this Account)	Account Number
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Quantity	Security Description	Symbol/CUSIP

(Please attach a separate sheet if necessary)

### STEP 2: Customer Indemnification and Signatures

You hereby agree to sell to Axos Clearing, and request that Axos Clearing purchase, the securities described above in the quantity stated, for a total purchase price of one penny (\$.01). You represent that you are the owner, free and clear, of the securities described above in the quantity stated. You further agree to indemnify, defend and hold Axos Clearing harmless from and against any and all claims, demands, causes of action, obligations and liabilities of any kind which arise out of, or are in any manner connected with or related to, this sale. You also release Axos Clearing from any liability in connection with such sale.

### STEP 3: Signatures

#### ACCOUNT HOLDER/TRUSTEE/CORPORATE OFFICER SIGNATURE

ACCOUNT OWNER SIGNATURE ✕	PRINT NAME	DATE
ACCOUNT CO-OWNER SIGNATURE ✕	PRINT NAME	DATE

#### APPROVALS

BROKER SIGNATURE ✕	PRINT NAME	DATE
GENERAL PRINCIPAL SIGNATURE ✕	PRINT NAME	DATE