

IRA BENEFICIARY DESIGNATION OR CHANGE REQUEST

Institutional Advisor Services



SECTION 1: Request Type

Select all that apply:

- New Beneficiary Designations
- Replace Beneficiary Designations
- Remove All Beneficiary Designations

Note: If there is no valid beneficiary information designated, your estate is the beneficiary.

SECTION 2: Account Information

First Name	MI	Last Name
Last 4 digits of Social Security Number		Date of Birth
Account Number	Account Type	

SECTION 3: Beneficiary(ies), if applicable

Important: The information provided on this form will replace all existing primary and contingent beneficiary designations.

I hereby designate the following person(s) as my beneficiary(ies). If my account is subject to state community property statutes and I do not designate my spouse as the sole primary beneficiary, I represent and warrant that my spouse has consented to such designation.

Note: The beneficiary(ies) must be named on this form. For example, the terms 'spouse', 'children', or 'per stirpes' are not acceptable designations for "Beneficiary Name". Refer to Section 3 in "General Instructions" for additional requirements.

1. Select one: Primary Beneficiary Contingent Beneficiary

Beneficiary Name	
Social Security Number	Date of Birth
Relationship	Percent of Account Balance

2. Select one: Primary Beneficiary Contingent Beneficiary

Beneficiary Name	
Social Security Number	Date of Birth
Relationship	Percent of Account Balance

3. Select one: Primary Beneficiary Contingent Beneficiary

Beneficiary Name	
Social Security Number	Date of Birth
Relationship	Percent of Account Balance

Axos Advisor Services Account Number

SECTION 3: Beneficiary(ies) Continued, if applicable

4. Select one: Primary Beneficiary Contingent Beneficiary

Beneficiary Name	
Social Security Number	Date of Birth
Relationship	Percent of Account Balance

5. Select one: Primary Beneficiary Contingent Beneficiary

Beneficiary Name	
Social Security Number	Date of Birth
Relationship	Percent of Account Balance

6. Select one: Primary Beneficiary Contingent Beneficiary

Beneficiary Name	
Social Security Number	Date of Birth
Relationship	Percent of Account Balance

- Additional beneficiary information provided

SECTION 4: Signature and Date

This primary and/or contingent beneficiary designation supersedes any previous primary and/or contingent beneficiary designation for the account listed in Section 1 or, if removing all beneficiary designations, your estate will be beneficiary.

All IRA beneficiaries' rights and restrictions as outlined in the account application apply.

Account Holder Signature	Date
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For a custodial account, the custodian or guardian must sign.

Print Name

– End of Form –



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General Instructions

Use these instructions to complete the IRA Beneficiary Designation or Change Request form.

Purpose of this form: This form is required to designate, replace, or remove beneficiaries from individual retirement accounts (IRA) including traditional, rollover, SEP, custodial, SARSEP, Roth, and SIMPLE IRAs. This form will **not** be accepted to designate, replace, or remove beneficiaries from Transfer on Death (TOD) accounts, employer sponsored retirement plan accounts, or other non-IRA accounts.

You must **complete all required fields** to expedite processing and to avoid requests for additional information. All fields are required as outlined in detail in these instructions.

Print or type all entries. To type entries, a fillable PDF of this form can be found online at www.axosadvisorservices.com.

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: Request Type

Check the appropriate box to indicate the type of action you want to take.

Important: If you wish to remove all beneficiaries from your account, check the 'Remove All Primary Beneficiary Designations' box. If no valid beneficiary information is designated for your account, your estate will be the beneficiary.

Section 2: Account Information

Enter the account information.

Account type. The account type must match the type shown on the listed account number. If it does not match, the form will not be accepted. You can find the correct account type on the first page of your statement or online on the first page of our TCAccess account inquiry application.

Section 3: Beneficiary(ies), if applicable

Enter all primary beneficiary(ies) and contingent beneficiary(ies) information for the account listed in Section 2. For each entry, check the appropriate box to indicate if the designated beneficiary is a primary or contingent beneficiary. *Note: Do not complete this section if you have elected to remove all beneficiary designations.*

Important: When received by Axos Advisor Services, the information provided on this form supersedes and replaces all existing primary and contingent beneficiary designations. You must provide a complete listing of both the primary beneficiary designations and if applicable, the contingent beneficiary designations, not just additions or deletions to the previous designations.

Note:

- *The beneficiary must be an individual, trust, or entity. The beneficiary must be named on this form. For example, the terms 'spouse', 'children', or 'per stirpes' are not acceptable designations for "Beneficiary Name".*
- *Beneficiary names provided without the social security number will be maintained on file. These names will not be displayed in your online account inquiry application.*
- *If more than one beneficiary is designated, each asset in the account will be divided based on the percent of account balance designation upon the account owner(s) death.*

Important: Due to important tax consequences, if you do not name your spouse as the sole primary beneficiary and if you currently live in a community property state (or ever lived in a community property state while you were married), you may want to consult with your tax or legal advisor concerning community property rights that may apply to your IRA.

Percent of account balance. The percent of account balances must add up to 100% for the designated primary beneficiaries and 100% for the designated contingent beneficiaries. If the percentages do not add up to 100%, Axos Advisor Services will assume the beneficiaries will receive equal shares.

Note: If any primary or contingent beneficiary dies before the account owner, their interest and the interest of their heirs will terminate completely. The percentage of account balance of any remaining primary beneficiaries will be increased proportionately. If no primary beneficiaries survive the account owner, the contingent beneficiaries will acquire the IRA at their designated percentages.

More than six beneficiaries. If you would like to designate additional beneficiaries, complete, sign, and provide an Additional Information Account Addendum form and check the 'Additional Beneficiary Information Provided' box at the end of the section.

Trust as beneficiary. To designate a trust as a beneficiary, enter the beneficiary information as follows.

Beneficiary Name. Provide the full legal title of the trust. Include a list of all trustees and the date of the trust.

Social security number. Provide the Tax Identification Number (TIN) or the social security number for the trust.

Percent of account balance. Provide the percentage allocated to the trust.

Note: If the Tax Identification Number (TIN) for a trust is the same as another beneficiary's social security number, the beneficiary information for the trust will be maintained on file. The trust will not be displayed in your online account inquiry application.

Note: Beneficiary information can be provided and/or modified at any time by completing and signing a subsequent IRA Beneficiary Designation or Change Request form.

Section 4: Signature and Date

Read over the signature section carefully, then sign and date the form.

Note: For a custodial account, the custodian or guardian, not the minor, is responsible for signing this account application.

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.