

Annual Third-Party Distributions Notification Letters

In compliance with SEC regulations and to protect your client's funds, Axos Advisor Services sends annual notification letters to end investors related to third-party distributions from their accounts.

Axos Advisor Services' process for sending notifications includes:

- Notifying account owners when Axos Advisor Services initially receives an Advisor Authorization for Distributions where third-party instructions are provided.
- Notifying account owners each time an advisor-initiated third-party distribution is processed.
- Sending an annual notice to all account owners with a third-party authorization.

Our annual notification letters will be mailed this month to all account owners who have a third-party Advisor Authorization on file. No action is needed by you or your client if the information is correct. If it is not correct, your client is instructed to contact you for assistance.

If you would like a list of your accounts with an Advisor Authorization for Distribution on file, we have a standard report within Liberty called "Accounts with Advisor Auth for Dist." that can be utilized.

If you have any questions, please contact your Client Services Representative.

Investment Products: Not FDIC Insured - No Bank Guarantee - May Lose Value.

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