

**2021 Forms 1099-R and
required minimum distribution
(RMD)
mailing reminder notice**



As a reminder:

Effective August 2, 2021, E*TRADE Advisor Services became Axos Advisor Services. As a result and for 2021 only, investors that have accounts pre- and post- acquisition will receive 2 tax forms and will file such information separately.

For Taxable Accounts:

- Investors whose accounts were not active after August 2, 2021, will receive one tax form from E*TRADE Advisor Services.
- Investors whose accounts were not active prior to August 2, 2021 will receive one tax form from Axos Advisor Services.
- Investors having active accounts before and after August 2, 2021, will receive 2 tax forms, one for each firm in their single 2021 Tax Packet.
- The Tax Packet will be Axos Advisor Services branded but the firm to be filed under will be indicated in the top right-hand corner of each form.
- Combined tax forms will be posted to Liberty under one PDF.

For Non-Taxable Accounts:

- Two Form 1099-Rs and 5498s may also be issued per the above conditions and will be delivered in the same envelope.
- When filing using TurboTax or H&R Block, investors whose accounts crossed the August 2, 2021, date will need to log in under both E*TRADE Advisors Services and Axos Advisor Services to retrieve their complete account data for 2021.
 - This will appear as 2 separate firms in TurboTax and H&R Block and the same Liberty login will be used for both firms.
 - Investors whose accounts did not cross the date will only need to log in under the single appropriate firm; E*TRADE Advisor Services for pre-August 2, 2021, and Axos Advisor Services for post August 2, 2021.
- One RMD notice will be sent by Axos Advisor Services in January for applicable accounts, as we normally do.

2021 Forms 1099-R will be mailed by and available online on January 31, 2022.

Letters for account owners requiring RMDs will be mailed by January 31, 2022.

Please let your Client Service Advocate know if you have questions.

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

Axos Advisor Services is a trade name of Axos Clearing LLC. Axos Clearing LLC provides back-office services for registered investment advisers. Neither Axos Advisor Services nor Axos Clearing LLC provides investment advice or make investment recommendations in any capacity. Securities products are offered by Axos Clearing LLC, Member FINRA & SIPC. Axos Clearing, LLC does not provide legal, accounting, or tax advice. Always consult your own legal, accounting, and tax advisors.