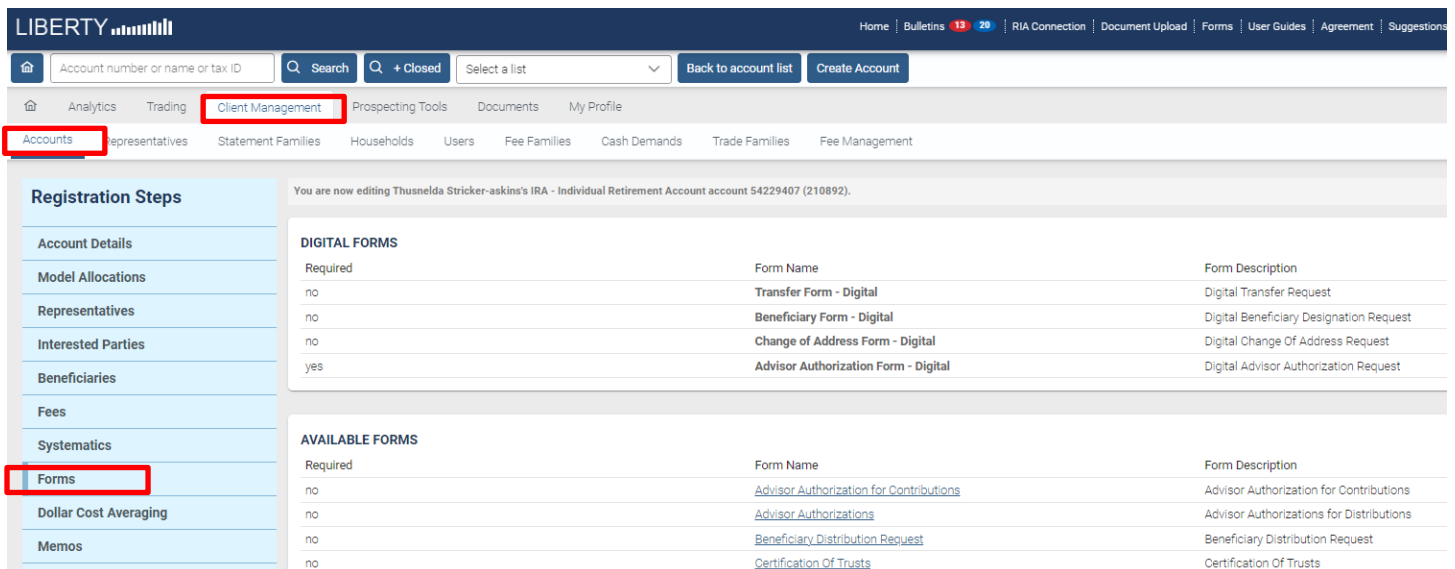


Advisor Authorization Form

Digital Experience User Guide

Liberty

The digital **Advisor Authorization Form** allows Axos Advisor Services to accept specific contribution and distribution instructions submitted by the Advisor on behalf of end clients, without requiring the client’s signature. The digital form can be accessed via Liberty in the Client Management Tab, under the Account Details Page in the Forms Section.



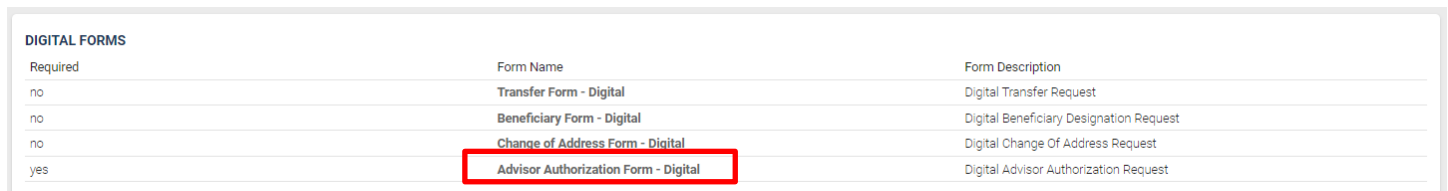
The screenshot shows the Liberty Client Management interface. The 'Client Management' tab is selected in the top navigation bar. In the left sidebar, the 'Accounts' and 'Forms' sections are highlighted with red boxes. The main content area displays a table of digital forms for a specific account.

Required	Form Name	Form Description
no	Transfer Form - Digital	Digital Transfer Request
no	Beneficiary Form - Digital	Digital Beneficiary Designation Request
no	Change of Address Form - Digital	Digital Change Of Address Request
yes	Advisor Authorization Form - Digital	Digital Advisor Authorization Request

Required	Form Name	Form Description
no	Advisor Authorization for Contributions	Advisor Authorization for Contributions
no	Advisor Authorizations	Advisor Authorizations for Distributions
no	Beneficiary Distribution Request	Beneficiary Distribution Request
no	Certification Of Trusts	Certification Of Trusts

Digital Forms

In the Digital Forms section, click on the link under Form Name to launch the digital form experience. The digital Advisor Authorization form will launch in a new window.



Required	Form Name	Form Description
no	Transfer Form - Digital	Digital Transfer Request
no	Beneficiary Form - Digital	Digital Beneficiary Designation Request
no	Change of Address Form - Digital	Digital Change Of Address Request
yes	Advisor Authorization Form - Digital	Digital Advisor Authorization Request

Digital Form Experience

Email Address Requirement: Ensure the account’s email address is accurate and up to date. If changes are needed, update the email address on the Account Details Page in Liberty. Please allow 24 hours for processing before submitting the form.

Review all disclosures associated with the form to ensure a smooth experience and clarity on expectations. If the account falls under the specific disclosures provided, please select "Next."



ADVISOR AUTHORIZATION FOR CONTRIBUTIONS AND DISTRIBUTIONS

Disclosure 1: For contributions, the following account types can not be authorized

Account Types: Beneficiary IRA, Beneficiary ROTH IRA, SEP IRA, Solo K, Qualified Plan, Outside QP, and Estate/ Legal (Conserv., Guardian, Court)

Disclosure 2: For distributions, the following account types can not be authorized

Account Types: Minor Custodial, Solo K, Qualified Plan, and Estate/Legal (Conserv., Guardian, Court)

Disclosure 3: This digital form is for contribution and distribution authorizations for banks accounts that are registered to the primary account holder. For authorizations of 3rd party accounts please use the PDF Form found [HERE](#)

Disclosure 4: This digital form is for setting up advisor authorization for contribution and distribution authorizations. To initiate Roth conversions, internal transfers, and/or QCD checks, please use the respective forms found [HERE](#)

Next

Section 1: Bank Account Information

- Enter the **Bank Account Number**, **Routing Number**, **Bank Name**, and **Account Type** for transactions.
- The **Contribution** and **Distribution** checkboxes will be pre-selected. Uncheck these boxes to exclude either transaction type.
- To authorize multiple accounts, click **“Add Additional Account.”**
- When ready, click **“Next.”**

ADVISOR AUTHORIZATION FOR CONTRIBUTIONS AND DISTRIBUTIONS

Account Number	Routing Number	Bank Name	Account Type	Contribution	Distribution
123456789	140000009	Example Bank	Checking	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

[Add Additional Acct](#)

Note: Minor IRA and Roth accounts are not eligible for Distribution authorizations

* By authorizing distribution, you are providing authorization for Roth conversions, internal transfers, and QCD checks

Back

Next

Section 2: Systematic Authorizations

- This section is automatically checked to grant authorization for **systematic contributions and distributions**.
- To limit the authorization to one-time distributions only, uncheck the boxes.
- Click **“Send”** to submit the authorization changes.

ADVISOR AUTHORIZATION FOR CONTRIBUTIONS AND DISTRIBUTIONS

All authorizations are defaulted to opt-in. If the client does not want these authorizations provided, please uncheck the relevant box

Systematic Authorizations

- Advisor authority to establish/modify systematic transactions using one of the bank account on record for contributions
- Advisor authority to establish/modify systematic transactions using one of the bank account on record for distributions

[Back](#) [Send](#)

Submission Confirmation

After submitting the form, a popup notification will confirm the submission is complete.

ADVISOR AUTHORIZATION FOR CONTRIBUTIONS AND DISTRIBUTIONS

Request successfully created, you can close this page now.

Thank you for your submission!

[OK](#)

End Investor Communication

After the form is completed, your client will receive a notification email from InsureSign@send.insuresign.com prompting them to review and sign the Advisor Authorization form.

- To ensure timely delivery, encourage your client to add InsureSign@send.insuresign.com to their email address book as a safe sender, helping avoid potential filtering by their email provider.

Please review and sign: Sign your Advisor Authorization form



e-Sign <InsureSign@send.insuresign.com>
To

If there are problems with how this message is displayed, click here to view it in a web browser.



Neutral (From: insuresign@send.insuresign.com, External)



Signature Request Reminder

e-Sign (salesforcesupport@axosbank.com) has sent you a reminder.

Your advisor has sent you a document to review and sign.

[Review and Sign](#)

Do Not Share This Email. This email contains information that is only intended for you as the recipient. Please do not share this email, link, or access code with others.

- Formstack Team

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Advisor Authorization Status

- Updates may take up to **48 hours** from the receipt of an in-good-order submission.
- You can monitor the status in Liberty as an **“Account Maintenance”** case within the **Message Center**.
- Once the changes are processed, they will also be reflected in the **‘Account Detail’** tile on the account page.

Liberty Message Center

ACCOUNT CASES

Viewing 41 of 41 results

Preserve filters on refresh | Refresh  | Export data  | Create

Case #	Status	Request Type	Last Activity Date
01476766	New	Advisor Authorization	01/27/2025 07:46:48 PM
01476650	New	Advisor Authorization	01/24/2025 03:46:05 PM
01469372	New	Account Maintenance	11/15/2024 09:56:48 AM
01469148	New	Account Maintenance	11/15/2024 09:46:57 AM
01469146	New	Account Maintenance	11/13/2024 01:33:52 PM

(1 of 9) << < 1 2 3 4 5 > >> 5 ▾

Case Details



You are viewing case # 01476766 (created by Liberty - Formstack)

[Go to Message Center](#)

CASE INFORMATION

Nature of Request

Single Request

Request Type

Advisor Authorization

Account Number

210574 Sherry Newman

Message

Description

Create Date

No records found.

[+ Add Message](#)

ATTACHMENTS

Sign your Advisor authorization form.pdf

ADD ATTACHMENT(S)

[+ Browse](#)

Browse or Drag/Drop a file to attach it to the Case

Account Page

Overview Active Holdings Securities Cash Trading Trade from positions or models Performance View performance and income Transactions View transactions, actions and transfers About your account Account Information, Documents & Settings

Net Assets \$99,938

Professional Mode Thusneida Stricker-askins - IRA - Individual Retirement Account - 54229407 (210892) Net Assets: \$99,938

Notifications & Announcements 168 days ago: Test14
Test14

ADDITIONAL ACTIONS
Account Termination
Fee Management

Totals & Trends
View performance

Securities ²	\$99,794.76
Cash	\$143.48
Total Value	\$99,938.24
Pending Dividends	\$0.00
Total Value + Dividends	\$99,938.24
Pending Cash	\$0.00

more

LATEST ACCOUNT ACTIVITY

Transaction	Statement Date	Trade Date	Post Date	Symbol	Security	Price	Quantity
Sold		08/28/2024	08/29/2024	GSLLC	GOLDMAN SACHS ETF TR ACTIVEBETA US LARGE CAP EQUITY ETF	\$107.00	(0.0180)
Advisor Fee Paid			08/20/2024	n/a	Non-Security		0.0000
Advisor Fee Assessment			08/20/2024	n/a	Non-Security		0.0000
Purchase Pending Settltmnt		06/28/2024	07/03/2024	SPTI	SPDR PORTFOLIO INTERMEDIATE TERM TREASURY ETF	\$28.08	34.6610
Total Transactions							34.6430

ACCOUNT CASES ³

Viewing 5 of 5 results Preserve filters on refresh Refresh Export data Create

Case #	Status	Request Type	Last Activity Date
01460879	New	Transfer In	08/26/2024 03:44:14 PM
01460874	New	Transfer In	08/26/2024 10:59:49 AM
01460873	New	Transfer In	08/26/2024 10:55:52 AM
01460069	New	Transfer In	08/22/2024 01:11:28 PM
01422174	In Progress	Advisor Authorization	11/10/2023 12:50:26 PM

(1 of 1) 1 5

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

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