



USER GUIDE

Redtail Integration

March 2022

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Redtail Integration Overview

Axos Advisor Services is now integrated with Redtail CRM. With this real time integration, advisors and their staff are able to:

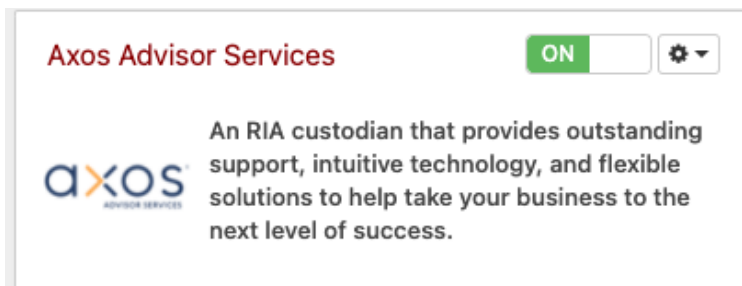
- Create a new account in Axos Advisor Services that includes, adding models, fees, beneficiaries, and representatives. As well as sending, signing and approving documents electronically using DocuSign.
- Refresh account balances, transactions, and positions.

Axos Advisor Services' integration with Redtail underscores our commitment to helping advisors deliver exceptional client service, while also creating everyday efficiencies in everyday work activities.

Integration Set Up

Enabling the integration will allow Redtail users to open accounts, as well as access data from Axos Advisor Services. To set up your integration:

- Complete and return the Axos Advisor Services Third-Party Export Request form located here, <https://www.axosadvisorservices.com/Forms-and-Applications/>.
- Access Redtail CRM, <https://smf.accounts.redtailtechnology.com/>.
- Enter your Redtail username and password.
- Click on your name (on the top right of the screen). Select Manage Your Integrations from the drop down.
- Select the Disabled tab, Axos Advisor Services (If Axos Advisor Services is not available then Axos Advisor Services is on the Enabled tab). Turn the toggle to the ON position.



- Go to the Enabled tab, locate Axos Advisor Services.
- Next to the wheel icon, select Settings from the drop down.
- Enter your Liberty username and password, click Save.

You are now integrated with Axos Advisor Services.

Create a New Axos Advisor Services Account

1. Before opening an account:

- The client must have a social security number and date of birth in their Retail profile.
- The client must have a Redtail address selected as Primary.

The screenshot shows a 'CONTACT CARD' window with a close button (X) in the top right corner. It contains the following information:

Category	Label	Value	Action
Phone	Work	(555) 555-0000 x 31471	Dropdown arrow
Phone	Mobile	(555) 555-0000	Dropdown arrow
Email	Home	fake_email@fakecompany.com	Dropdown arrow
Email	Work	fake_email@fakecompany.com	Dropdown arrow
Address	Investor Residence	1234 Anywhere Lane Beverly Hills CA 90210	Dropdown arrow (highlighted)
Address	Investor Offices	123 Anyplace Lane Suite B Sacramento CA 99320	Dropdown arrow
LinkedIn	LinkedIn	linkedin.com/maryfakeinv	

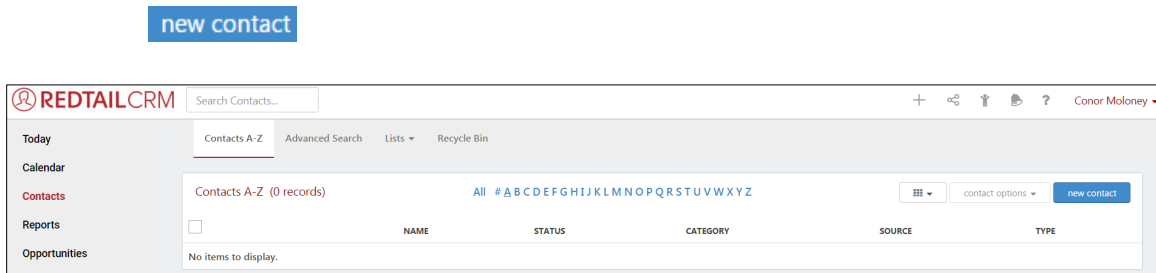
A context menu is open over the 'Investor Offices' address, showing the following options: Edit, Make Primary ..., Map, and Weather.

- If you will be using the DocuSign eSignature functionality, you must be set up with Axos Advisor Services in DocuSign. In addition, if you want the client's phone number to default into the DocuSign forms and to be able to use the phone number for your client's DocuSign authentication, be sure to mark the phone number as Primary in Redtail.

This screenshot is similar to the one above, showing the 'CONTACT CARD' window. The 'Investor Offices' address is highlighted with a dropdown arrow. The context menu is open, showing the following options: Edit, Make Primary ..., Timeline, and Delete.

2. Locate an existing Redtail contact.

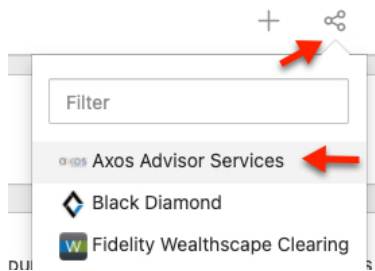
- On the top left, enter any part of your client's name in the Search Contacts box and enter. Or select Contacts on the left navigation bar. Select the first letter of their last name or select All.



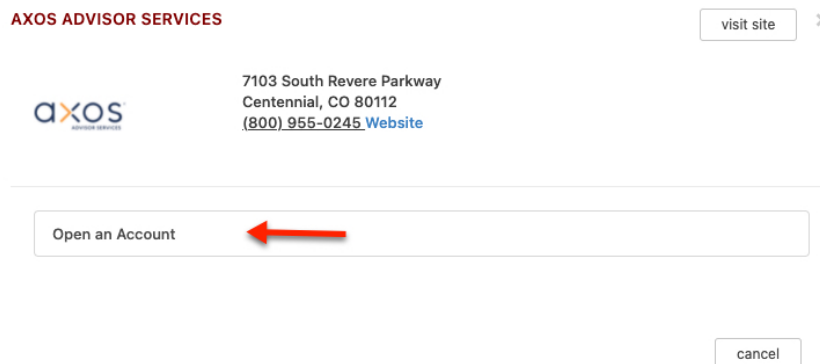
4. Once your contact displays, select your client's name.



6. Select Axos Advisor Services.



7. Opening the Account - Select the Open an Account option.



AXOS ADVISOR SERVICES

visit site

axos

7100 South Revere Parkway
Centennial, CO 80112
(800) 955-0245 Website

Open an Account

Account Type: Please select

Joint Owner:

Models Fees Representatives Beneficiaries

add model

MODEL	ALLOCATION	DISTRIBUTION	CONTRIBUTION	DEVIATION

create account

8. Select the Account Type from the drop down.
9. Enter a Joint Owner if desired.

create account

10. Models (Optional) – To add 1 or more models to an account, select the Add Model button. Select a model from the drop down then, select Add Model. Add the allocation percent then tab out of the field, the Distribution and Contribution percentages will default. Add a Deviation if desired. Repeat this process for each model desired. If models are not added, the account will open with a null model.

Open an Account

Account Type: IRA

Joint Owner:

Models Fees Representatives Beneficiaries

add model

MODEL	ALLOCATION	DISTRIBUTION	CONTRIBUTION	DEVIATION

create account

SELECT MODEL

TEST COMPOSITE MODEL

close

Add Model

Single Model

Open an Account

Account Type

IRA

Joint Owner

Models

Fees

Representatives

Beneficiaries

add model

MODEL	ALLOCATION	DISTRIBUTION	CONTRIBUTION	DEVIATION
TEST COMPOSITE MODEL	100	100	100	0
	100 %	100 %	100 %	

create account

Multiple Models

Open an Account

Account Type

IRA

Joint Owner

Models

Fees

Representatives

Beneficiaries

add model

MODEL	ALLOCATION	DISTRIBUTION	CONTRIBUTION	DEVIATION
TEST COMPOSITE MODEL	50	50	50	0
ABC1 MODEL	20	20	20	0
COMP MO TEST	30	30	30	0
	100 %	100 %	100 %	

create account

11. **Fees (Optional)** – To add fees to an account, select the Fees tab. Select Add Fee Family or Add Fee Schedule.

- If you have selected to Add Fee Family, make your selection from the drop down, and select Add Fee Family.

- If you have selected to Add Fee Schedule, make your selection from the drop down, and select Add Fee Schedule. Enter a Rep Split Percent if desired.

The screenshot shows the 'Open an Account' form. The 'Account Type' is set to 'IRA'. The 'Fees' tab is selected. Below the tabs, there is a table with the following columns: FEE SCHEDULE, FEE PAID BY, ACCOUNT, PAID BY PERCENT, and REP SPLIT PERCENT. The table is currently empty. There are buttons for 'add fee family' and 'add fee schedule'. A 'create account' button is at the bottom right.

Adding a Fee Family

The screenshot shows the 'SELECT FEE FAMILY' dialog box. It has a search bar with 'TstFamily1' entered. There are 'close' and 'Add Fee Family' buttons at the bottom right.

The screenshot shows the 'Open an Account' form. The 'Account Type' is set to 'IRA'. The 'Fees' tab is selected. Below the tabs, there is a table with the following columns: FEE SCHEDULE, FEE PAID BY, ACCOUNT, PAID BY PERCENT, and REP SPLIT PERCENT. The table now contains one entry: 'TstFamily1'. There are buttons for 'add fee family' and 'add fee schedule'. A 'create account' button is at the bottom right.

Adding a Fee Schedule

The screenshot shows the 'SELECT FEE SCHEDULE' dialog box. It has a search bar with 'Default RFS, Charges NO FFES' entered. There are 'close' and 'Add Fee Schedule' buttons at the bottom right.

The screenshot shows the 'Open an Account' form with the 'Fees' tab selected. The 'Account Type' dropdown is set to 'IRA'. Below the tabs, there is an 'add fee family' button. Under the 'FAMILY FEE SCHEDULE' section, there is an 'add fee schedule' button. A table with the following headers is visible: FEE SCHEDULE, FEE PAID BY, ACCOUNT, PAID BY PERCENT, and REP SPLIT PERCENT. The first row shows 'Default RFS, Charges NO FEES' with a value of '0' in the 'PAID BY PERCENT' column. A 'create account' button is at the bottom right.

- **Representatives (Optional)** - To add 1 or more representative to an account, select the Representatives tab and select Add Representative. Select a representative from the drop down then, select Add Representative. Repeat this process for all representatives desired.
 - The Rep on Statement selection will default to the first representative added to the account. If additional representatives are added, the Rep on Statement selection can be changed.
 - To send statement copies to a representative, check the 'Receives Statement' checkbox for each representative desired.
 - Enter the % of fee for each desired representative. The % must total 100. Repeat this process for each representative desired.

The screenshot shows the 'Open an Account' form with the 'Representatives' tab selected. There is an 'add representative' button. Below it is a table with the following headers: NAME, REP ID, REP ON STATEMENT, RECEIVES STATEMENT, and % OF FEE. A 'create account' button is at the bottom right.

The screenshot shows a modal titled 'SELECT REPRESENTATIVES'. It contains a dropdown menu labeled 'Representatives' with 'TEST REP' selected. At the bottom, there are 'close' and 'Add Representative' buttons.

Single rep representative

Open an Account

Account Type: IRA

Joint Owner:

Models Fees **Representatives** Beneficiaries

add representative

NAME	REP ID	REP ON STATEMENT	RECEIVES STATEMENT	% OF FEE
TEST REP	13493	<input checked="" type="checkbox"/>	<input type="checkbox"/>	0

create account

Multiple representatives

Open an Account

Account Type: IRA

Joint Owner:

Models Fees **Representatives** Beneficiaries

add representative

NAME	REP ID	REP ON STATEMENT	RECEIVES STATEMENT	% OF FEE
TEST REP	13493	<input checked="" type="checkbox"/>	<input type="checkbox"/>	50
Bernard Test	18809	<input type="checkbox"/>	<input checked="" type="checkbox"/>	25
Imma Really Testy	32107	<input type="checkbox"/>	<input checked="" type="checkbox"/>	25

create account

12. **Beneficiaries (Optional)** – To add beneficiaries to an account, select the Beneficiaries tab. Select Add Beneficiary. You will be prompted with two selections, ‘Select Existing Beneficiary’ and ‘Add New Beneficiary.’

- The ‘Select Existing Beneficiary’ option allows you to add a beneficiary that already exists in Liberty. Simply select the appropriate person from the drop down and select Add Beneficiary.
- The ‘Add Beneficiary’ option allows you to add a beneficiary that does not exist in Liberty but exists in Redtail. Begin typing your clients first or last name, and matching names will start to appear. Select the appropriate person and select Add Beneficiary.

Select the type, Primary or Contingent and allocate the appropriate %. Continue adding beneficiaries and assigning %, until all are added.

Open an Account

Account Type

IRA

Joint Owner

Models

Fees

Representatives

Beneficiaries

add beneficiary

NAME	TYPE	PRIMARY %	CONTINGENT %	SPOUSE
------	------	-----------	--------------	--------

create account

O

SELECT BENEFICIARY

×

Select Existing Beneficiary

sammy test

-or-

Add New Beneficiary

close

Add Beneficiary

create account

Open an Account

Account Type

IRA

Joint Owner

Models

Fees

Representatives

Beneficiaries

add beneficiary

NAME	TYPE	PRIMARY %	CONTINGENT %	SPOUSE
sammy test	Primary	100	0	False

create account

create account

Account XXXX has been created at Axos Advisor Services.



Note: Your new Axos Advisor Services account will not automatically link to a client contact in Redtail. To link the accounts, see [Link Axos Advisor Services Account to a Retail Contact](#) for instructions.

13. **eSignature Documents (Optional)** – Once the account is created, an option will appear to continue with the DocuSign eSignature process.

Note: If you are using the DocuSign eSignature functionality, you must be set up with Axos Advisor Services in DocuSign.

The screenshot shows a confirmation screen for a newly created Axos Advisor Services account. At the top, a green message box states: "Account 811983 has been created at Axos Advisor Services." Below this, the text "AXOS ADVISOR SERVICES" is displayed in red, followed by a "visit site" button. The Axos logo is shown next to the address: "7103 South Revere Parkway, Centennial, CO 80112" and the phone number "(800) 955-0245" with a "Website" link. A button labeled "Open an Account" is present. Below this, a question asks: "Would you like to continue with e-signature processing?" with "continue" and "cancel" buttons. A final "cancel" button is located at the bottom right.

14. If continue is selected, you will have access to 3 tabs; Forms, Custom Forms and Recipients.

- **Forms** – Required forms will default to 1 copy. Other desired forms can be included in the DocuSign envelope, simply select the checkbox next to the desired form.

Select any forms you wish to be included in the e-sig envelope.

	COPIES	FORM NAME	REQUIRED
<input checked="" type="checkbox"/>	1	Client Application	true
<input type="checkbox"/>	0	Transfer Form	false
<input type="checkbox"/>	0	Advisor Authorizations for Distributions	false
<input type="checkbox"/>	0	Non-Retirement Account Distribution Request	false
<input type="checkbox"/>	0	Non-Retirement Account One-Time ACH Deposit	false
<input type="checkbox"/>	0	Non-Retirement Account Systematic Request	false
<input type="checkbox"/>	0	Statement Family Request	false

submit

- **Custom Forms** – You can browse your computer and import any custom form to include in the DocuSign envelope. This is optional.

Select any additional forms you would like included.

Select files...

submit

- **Recipients** – The Creator and First Client will always default. However, based on the advisor's Axos Advisor Services DocuSign template, other recipients may default. The First Client's phone number will default only if it's marked as Primary in Redtail. Fields that are enabled can be edited.

The screenshot shows a web form titled "Recipients" under a "Forms" tab. The form is for adding recipients to an e-sig envelope. It includes a header instruction: "Add any recipients you wish to be included in the e-sig envelope." Below this is a table with columns: RECIPIENT, NAME, EMAIL, and PHONE NUMBER. The table contains several rows for different roles: Creator (Carrie Creator, carrie.creator@email), RIA First Copy, RIA Second Copy, First Client (Sally Client, sally.client@email), Second Client, RIA First Reviewer, RIA Second Reviewer, AAS Copy (Axos Advisor Services, team@axosadvisorservices.com), and AAS Reviewer. Each row has input fields for the respective information. A "Submit" button is located at the bottom right of the form.

RECIPIENT	NAME	EMAIL	PHONE NUMBER
Creator	Carrie Creator	carrie.creator@email	
RIA First Copy			
RIA Second Copy			
First Client	Sally Client	sally.client@email	
Second Client			
RIA First Reviewer			
RIA Second Reviewer			
AAS Copy	Axos Advisor Services	team@axosadvisorservices.com	
AAS Reviewer			

- When all recipients have been reviewed, select Submit. The following message will appear, "Electronic signature envelope for account number <account number> sent successfully". This is confirmation the DocuSign envelope has been sent. At this point the Redtail process has ended, and the DocuSign eSignature process has begun.

Electronic signature envelope for account number 79 sent successfully.

Example of a required signature in a DocuSign document.

Certification instructions.
 You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement ("IRA"), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. If you are an exempt payee (if you are unsure, please consult your tax professional), enter your exempt payee code (if any) here: _____

If you are exempt from FATCA reporting (if you are unsure, please consult your tax professional), enter your exemption from FATCA reporting code (if any) here: _____

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

BY SIGNING THIS AGREEMENT, YOU ACKNOWLEDGE THAT SECURITIES NOT FULLY PAID FOR MAY BE LOANED TO AXOS CLEARING LLC OR LOANED OUT TO OTHERS.

PLEASE NOTE THAT THIS ACCOUNT APPLICATION AND AGREEMENT CONTAINS A PREDISPUTE ARBITRATION AGREEMENT IN THE TERMS AND CONDITIONS ACCOMPANYING THIS ACCOUNT APPLICATION AND AGREEMENT, WHICH GOVERNS DISPUTES YOU MAY HAVE WITH AXOS CLEARING LLC. YOU ACKNOWLEDGE RECEIVING A COPY OF THIS ACCOUNT APPLICATION AND AGREEMENT. SHOULD YOU HAVE A DISPUTE WITH YOUR ADVISOR, PLEASE REFER TO THE TERMS AND CONDITIONS OF YOUR AGREEMENT WITH YOUR ADVISOR TO DETERMINE HOW IT REQUIRES RESOLUTION OF ANY SUCH DISPUTES.

Step 11. Signatures

To help the government fight the funding of terrorism and money laundering activities, federal laws require all financial organizations to obtain, verify and record information that identifies each person who opens an account. That means that Axos Clearing will ask for your name, address, date of birth and other information that will allow us to identify you. We may also require a copy of your driver's license or other government-issued identifying document.

By signing this Account Application and Agreement, you affirm that you are of full legal age in the state of jurisdiction in which you reside and have the capacity to be bound by the terms and conditions of this Account Application and Agreement. You further affirm that you have read, understood and agree to the Terms and Conditions attached to this Account Application and Agreement.

Account Holder/Trustee/Corporate Officer Signature

Account Holder/Trustee/Corporate Officer Signature x Legal Liberty	Print Name Legal Liberty	Date 3/14/2022 2:20:32 PM MDT
Account Holder/Trustee/Corporate Officer Signature x [Signature]	Print Name Jane Liberty	Date 3/14/2022 2:21:26 PM MDT

Approvals

Axos Principal Signature x	Print Name	Date
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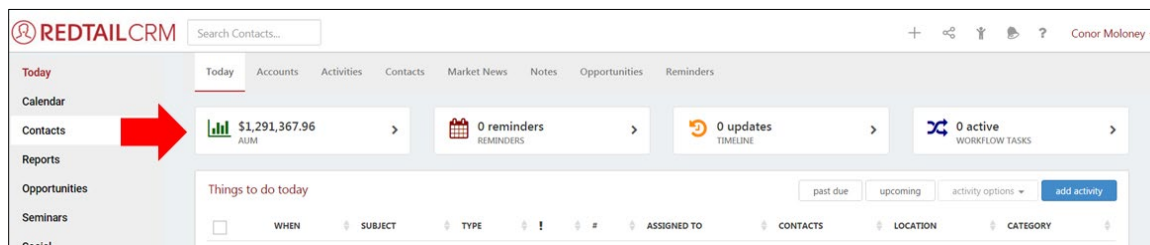
Clearing, custody or other brokerage services provided by Axos Clearing LLC, Member FINRA and SIPC. Axos Clearing LLC is a subsidiary of Axos Financial, Inc. Trademark(s) belong to their respective owners.

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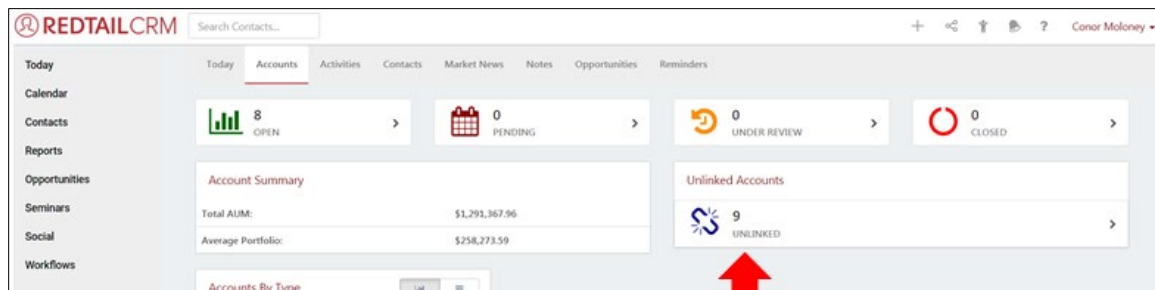
Link a Axos Advisor Services Account to a Retail Contact

Axos Advisor Services accounts that are imported into Redtail as part of the nightly date feed or opened in Redtail, will not automatically link to a Redtail contact. The account will remain unlinked until the account is manually linked. To link the account, follow the instructions below.

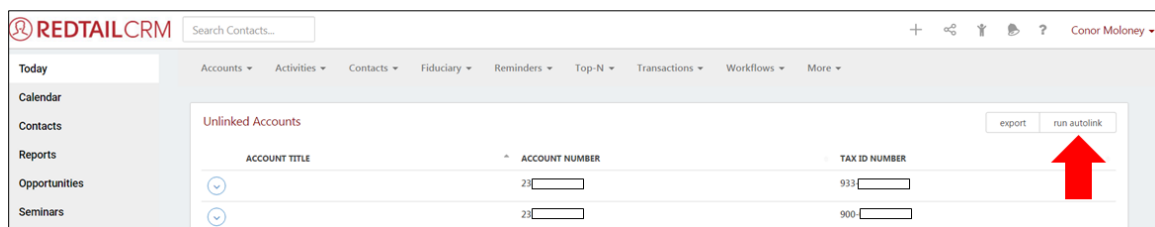
- If a Axos Advisor Services account has a Tax ID # that matches a Tax ID # of a Redtail contact, you can use the Redtail Autolink function. This will link all unlinked accounts at the same time. To perform the Autolink function, select the AUM box from the Redtail home page.



In the Unlinked Accounts box on the right, select Unlinked.

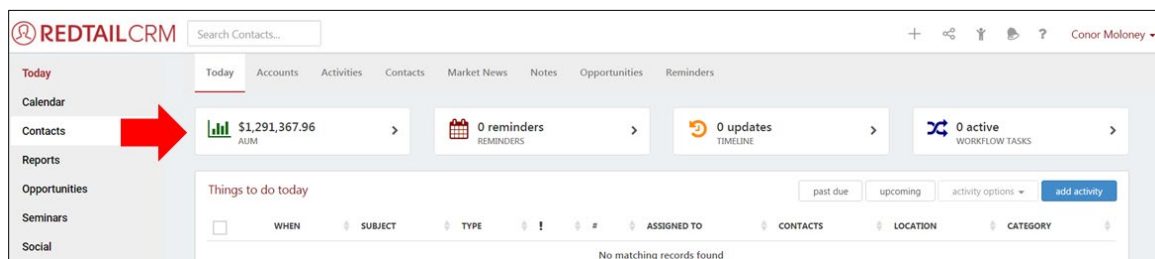


Select, Run Autolink at the top right of page.

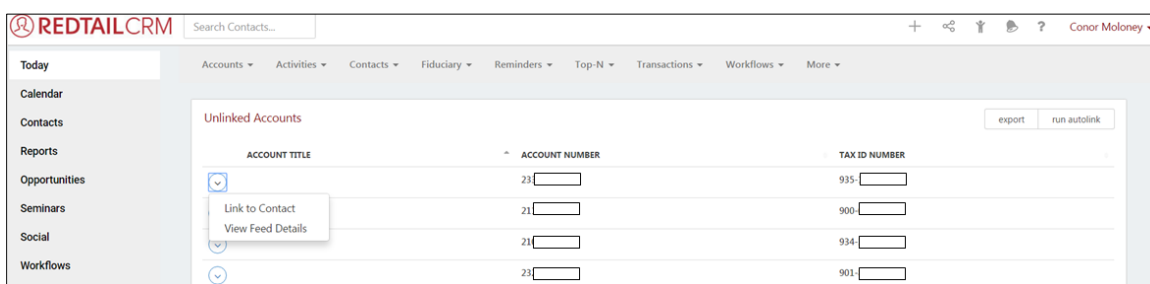
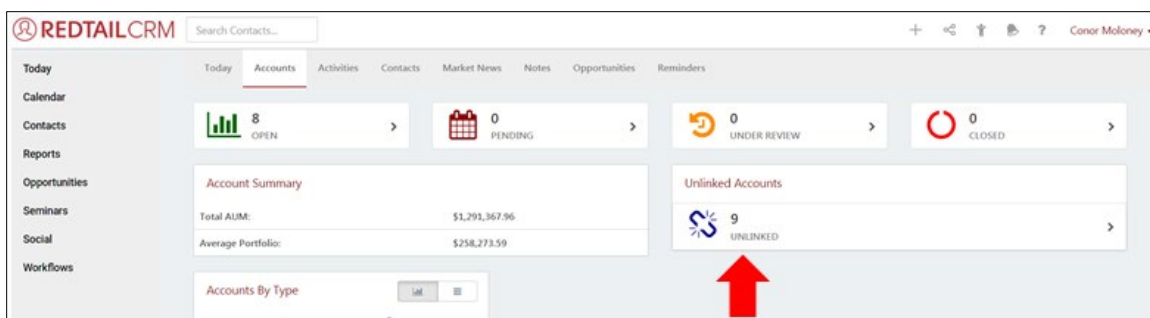


Your Axos Advisor Services accounts are now linked to the appropriate Redtail contacts.

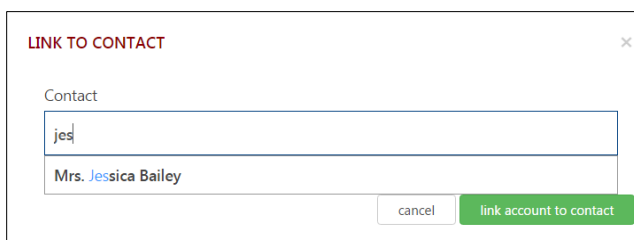
- If an Axos Advisor Services account has a Tax ID # that does not match a Tax ID # of a Redtail contact, the Autolink function cannot be used. The account will have to be manually linked to a Redtail contact. To manually link an account, select the AUM box from the Redtail home page.



In the Unlinked Accounts box, select Unlinked.



In the Contact field, begin typing the Redtail contact you want to link the account to, then select Link Account to Contact.



Your Axos Advisor Services account is now linked to the Redtail contact selected.

Refresh Positions

Refreshing positions on an account will update positions real time and will reflect what is currently on Liberty. If you do not perform a refresh, you will see the positions based the overnight data feed, which reflects positions based on the prior days close. See screen prints on the next page.

1. Select Contacts from the left navigation bar.
2. Locate your client and select their name.

3. Select Accounts from the left navigation bar.



5. Locate the Axos Advisor Services section and select Refresh Positions.
6. A pop-up window will display. Select Refresh Now.

View Transaction History

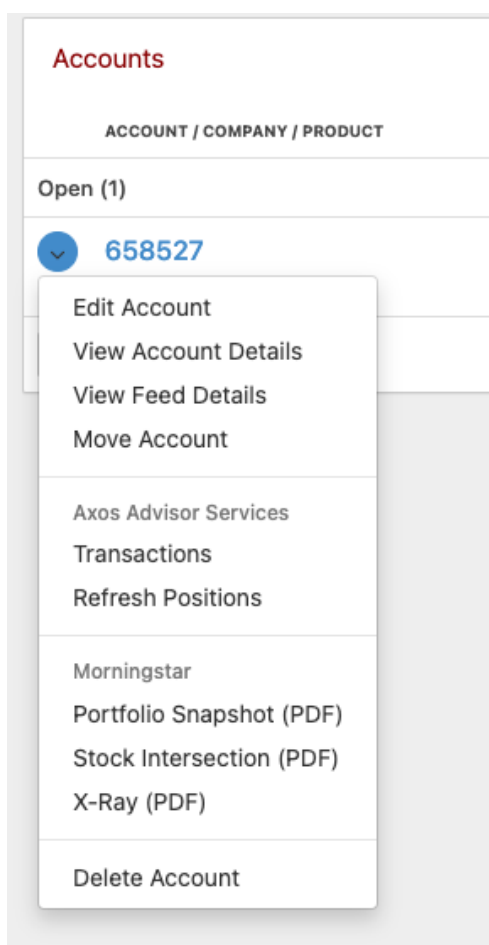
To view transaction history:

1. Select Contacts from the left navigation bar.
2. Locate your client and select their name.
3. Select Accounts from the left navigation bar.

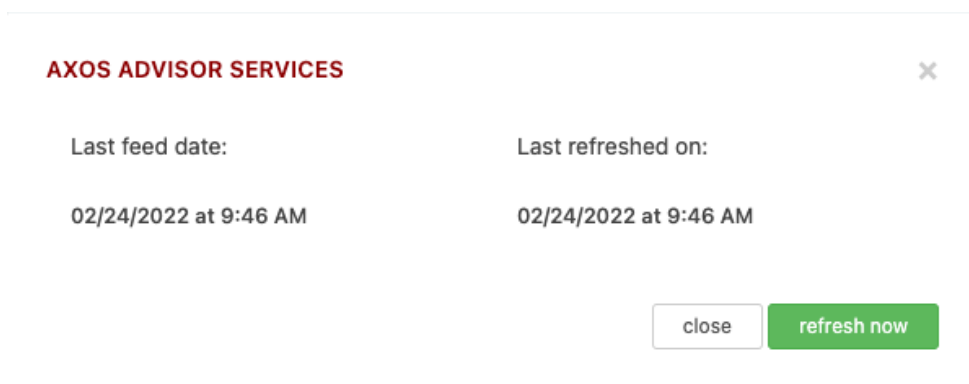


5. In the drop down, locate the Axos Advisor Services section and select Transactions and the Transaction History - Last 90 days, pop up will display.

Positions and Transaction History:



Refresh Positions:



Transaction History:

TRANSACTION HISTORY - LAST 90 DAYS						
TRADE DATE	ACTIVITY	SECURITY	QUANTITY	PRICE	GROSS AMOUNT	POST DATE
03/07/2017	Dividend Cash	HYEM	0		\$2.42	03/07/2017
03/07/2017	Dividend Cash	IEI	0		\$1.58	03/07/2017
03/07/2017	Dividend Cash	IEF	0		\$2.03	03/07/2017
02/28/2017	Reinvested Dividend	GSAWX	0.429	\$9.51	\$0.00	03/02/2017
02/28/2017	Reinvested Dividend	GSHIX	1.369	\$6.64	\$0.00	03/02/2017
	Bank Interest		0		\$0.01	02/28/2017
02/28/2017	Dividend Cash	BKLN	0		\$4.02	02/28/2017

View Account Holdings

To view account holdings (assets):

1. Select Contacts from the left navigation bar.
2. Locate your client and select their name.
3. Select Accounts from the left navigation bar.
4. Select the account number to view and the Account Assets will display.

The screenshot displays the Redtail CRM interface. On the left, the navigation menu includes 'Today', 'Calendar', 'Contacts', 'Accounts', 'Activities', 'Documents', 'Notes', 'Know Your Client', 'Email History', 'More...', 'Reports', 'Opportunities', 'Seminars', 'Social', and 'Workflows'. Red arrows point to 'Contacts' and 'Accounts'. The main content area shows the profile of 'Mrs. Jessica Bailey' with a dropdown menu for account selection, currently showing '210488'. Below this, the 'Account Assets' table is displayed.

ASSET NAME	SYMBOL	SHARES	PRICE	BALANCE
CASH	CASH	1847.51	\$1	\$1,847.51
VANECK VECTORS ETF TR EMERGING MARKETS HIGH YIELD BOND	HYEM	25	\$24.15	\$603.75
ISHARES TR RUSSELL 2000 VALUE ETF	IWN	12	\$119.88	\$1,438.56
ISHARES TR RUSSELL 2000 VALUE ETF	IWD	51	\$113.01	\$5,763.51
ISHARES TR RUSSELL 2000 GROWTH ETF	IWF	46	\$105.98	\$4,875.08
ISHARES TR RUSSELL 2000 GROWTH ETF	IWO	4	\$155.58	\$622.32