

# Structured Notes

## Getting Started Guide

### iCapital Registration and Setup

#### Getting Started

- > Contact your Client Service Advocate to complete the iCapital registration form
- > Once complete, your Client Service Advocate will submit your registration form to iCapital
- > iCapital will send login credential emails to you and the team members included on your registration form. Once registration is complete, you will have full access to iCapital's platform and desk
- > iCapital's platform will:
  - Offer a comprehensive dashboard displaying all available products, orders, and educational resources
  - Provide on-demand access to a wide range of educational content and tools
  - Give you seamless access to the Structured Investments Marketplace, allowing you to view and filter current offerings
  - Grant you access to the Structured Investments Sales Book for post-trade and performance analysis
  - Allow you to easily view your calendar and custom notes
  - Enable you to view and download calendar events and custom notes prospectuses
  - Offer access to past offering prospectuses once a product has been traded and settled

#### Placing a Structured Note Order on iCapital's Platform

- > Log into iCapital's platform
- > Once logged in, you can access your Dashboard and the Structured Notes Marketplace
- > Please refer to the *iCapital Platform Quick Start Guide* for a full overview of the platform
- > iCapital's platform will:
  - Offer a comprehensive dashboard displaying all available products, orders, and educational resources
  - Provide on-demand access to a wide range of educational content and tools
  - Give you seamless access to the Structured Investments Marketplace, allowing you to view and filter current offerings
  - Grant you access to the Structured Investments Sales Book for post-trade and performance analysis
  - Allow you to easily view your calendar and custom notes
  - Enable you to view and download calendar events and custom notes prospectuses
  - Offer access to past offering prospectuses once a product has been traded and settled

#### Placing a Structured Note Order with iCapital's Desk

- > Call or email the iCapital desk to discuss proprietary, custom, or calendar notes
  - Desk Line: (720) 463-0739
  - Email: [iCapital-Axos@icapital.com](mailto:iCapital-Axos@icapital.com)
- > Email requested CUSIP to [iCapital-Axos@icapital.com](mailto:iCapital-Axos@icapital.com) and [equitytrading@axosadvisorservices.com](mailto:equitytrading@axosadvisorservices.com)
- > Order will be built within iCapital and Liberty

## Help & Support

- > Call or email iCapital's Axos dedicated support team at (720) 463-0739 or [iCapital-Axos@icapital.com](mailto:iCapital-Axos@icapital.com)
- > *Structured Notes Frequently Asked Questions*
- > We are here to assist you with any needs that might arise. Please contact your Client Service Advocate for assistance

---

**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.