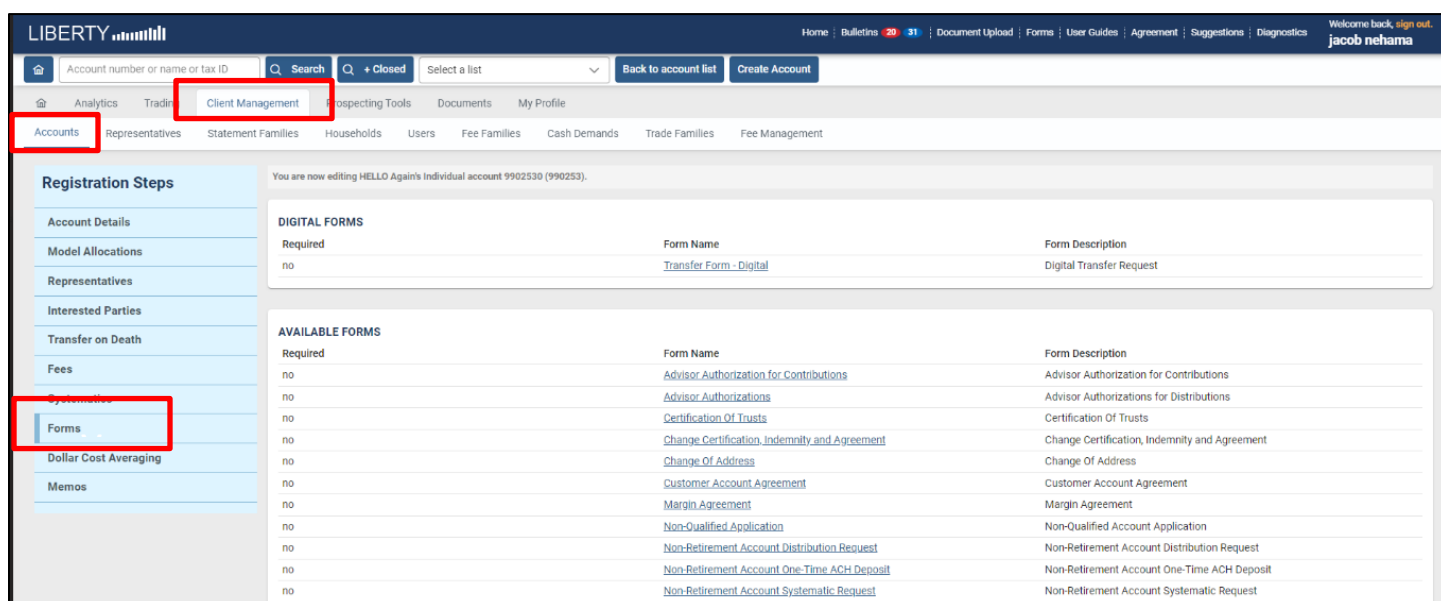


Transfer In Form

Digital Experience User Guide

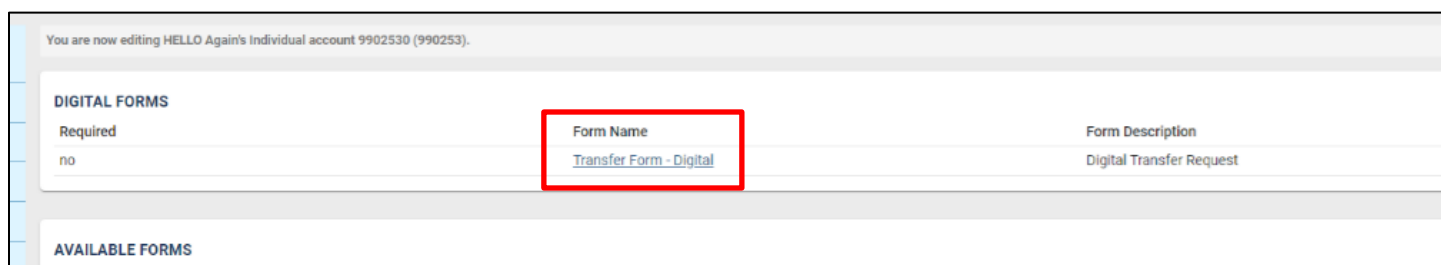
Liberty

The Digital Transfer In form can be accessed via Liberty in the Client Management Tab, under the Account Details Page for an account in the Forms Section.



Digital Forms

In the Digital Forms section, click on the link under Form Name to launch the digital form experience.



Digital Form Experience

The digital Transfer In form will launch in a new window.

Step 1

Please review the disclosures associated with the form to ensure you have the best possible client experience and understand what to expect.

The digital form is designed for single-owner accounts or accounts with two owners. If your account has more than two owners, please use the PDF form and instructions available [HERE](#).

Additionally, the digital form is only for ACATS Eligible transfers.

If your transfer falls under the specific disclosures provided, please select "Next."



NEW TRANSFER FORM

Disclosure 1:

This form is intended for single owner accounts or accounts with two owners. For accounts with more than two owners, please use the PDF Form and Instructions found [HERE](#)

Disclosure 2:

This digital form is only for ACATS Eligible transfers. Please see below for a summary of supported Delivering Firms and restrictions. For all other transfers, please use the PDF Form and Instructions found [HERE](#)

- | | |
|---|---------------------------------------|
| 1. Ameriprise (Account ending in 133 Only) | 12. LPL |
| 2. Apex Clearing | 13. Merrill Lynch |
| 3. Charles Schwab (8-Digit Accounts Only) | 14. Morgan Stanley |
| 4. DA Davidson | 15. NFS (National Financial Services) |
| 5. Edward Jones | 16. Pershing |
| 6. Fidelity (Retirement Accounts and Account Numbers beginning with a 2 followed by two letters are NOT eligible) | 17. RBC |
| 7. First Clearing | 18. Robert & Baird |
| 8. Folio | 19. Robinhood |
| 9. Hilltop Securities | 20. SEI |
| 10. Interactive Brokers | 21. Stifel Nicolaus |
| 11. JP Morgan | 22. Vanguard (8-Digit Accounts Only) |
| | 23. Wells Fargo |

Next

Step 2

Add the Axos Advisor Service receiving firm information. Select "Next."

NEW TRANSFER FORM

Section 1: Receiving Firm: Axos Advisor Services Account Clearing Number 5981

Axos Advisor Services Account Number

0

Email

Joint Email

To add or update an email address, please go to the Account Details Page in Liberty. Allow 24 hours for processing before submitting this digital form.

Back Next

If you need to add or update an email address for the account, please go to the Account Details page in Liberty to update the account information. Please allow 24 hours for processing before submitting this digital form.

Step 3

Input the delivering firm account information that will be transferred.

Select the "Registration Changes" checkbox to confirm that all authorized parties are aware and have authorized the transfer.

Select "Next."

NEW TRANSFER FORM

Section 2: Delivering Firm: Account to be Transferred From

Delivering Firm Name * DA Davidson

Account Type at Delivering Firm * Beneficiary IRA

Delivering Firm Account Number * 2398472133

Account Registration at Delivering Firm * 23894783

Registration Changes, if applicable check box: All authorized parties on the existing and new account have authorized the transfer and registration change *

Back Next

Step 4

Input the transfer type information, cash amount, list assets and share amount or upload a list of assets and share amounts using the "Add File" bar. *Please note: only Word, Excel, or PDF documents are accepted.*

Select "Send."

NEW TRANSFER FORM

Section 3: Select Transfer Type

Select Transfer Type

Partial

Cash Amount *

\$

Indicate Assets: Symbols/Tickers/CUSIPS and share amounts required

OR

File Upload for List of Assets, Share Amounts, and/or Maturity Dates

Add File...

Only Word (.doc .docx), Excel (.xls .xlsx .csv), and PDF files are allowed.

Back Send

Step 5

Once submitted, you will receive a popup notification indicating your submission is complete.

NEW TRANSFER FORM

Thank you for your submission!

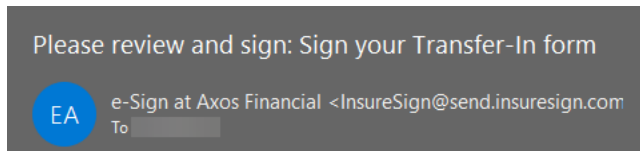
OK

Select Transfer Type

--select an item--

End Investor Communication

Once completed, your client will receive a notification email from InsureSign@send.insuresign.com to review and sign the transfer form. Encouraging your client to add this email address to their address book as a safe sender will help ensure it reaches their inbox and avoid being filtered by their email provider.



Transfer Status

In-kind and partial cash/in-kind transfers can take 7-10 days from the submission date. You can view the transfer status within Liberty as a case within the Message Center, or once the ACATS are in progress, you can view them on the 'Transfer In' tile on the account page.

Liberty Message Center

Account	Representative	Name	Subject	Request Type	Sub-Type	Case #	Status	Create Date	Last Activity Date	Created By	Attachments
210892	Michiko Ohlott	Thusnelda Stricker-askins	Created by AAS	Transfer In	Full ACAT	01460873	New	08/26/2024 10:52:00 AM	08/26/2024 10:55:52 AM	Liberty - Formstack	1

Case Details

You are viewing case # 01460879 (created by Liberty - Formstack) [Go to Message Center](#)

CASE INFORMATION

Nature of Request
Single Request

Request Type
Transfer In

Account Number
210892 Thusnelda Stricker-askins

Message

Description	Create Date
No records found.	

[+ Add Message](#)

ATTACHMENTS

Sign your Transfer-In form.pdf

ADD ATTACHMENT(S)

[+ Browse](#)

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

FILES TO BE ATTACHED TO THE CASE

[Next](#) [Save](#) [Close](#)

Account Page

Overview
 Net Assets
\$99,938

Active

Holdings
 Securities 100%
 Cash 0%

Trading
 Trade from positions or models

Performance
 View performance and income

Transactions
 View transactions, actions and transfers

About your account
 Account Information, Documents & Settings

Professional Mode
Thusnelda 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†	\$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	GSLC	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 Settlement		06/28/2024	07/03/2024	SPTI	SPDR PORTFOLIO INTERMEDIATE TERM TREASURY ETF	\$28.08	34.6610
Total Transactions							34.6430

ACCOUNT CASES

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	Account Maintenance	11/10/2023 12:50:26 PM

(1 of 1) << < 1 > >> 5

ASSETS IN TRANSFER							Export data
Transferring Firm	Status	Opened	Closed	Pending Cash	Pending Assets	Total Received	Total Expected Value
No records found.							
Total Assets In Transfer				\$0.00	\$0.00	\$0.00	\$0.00

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.