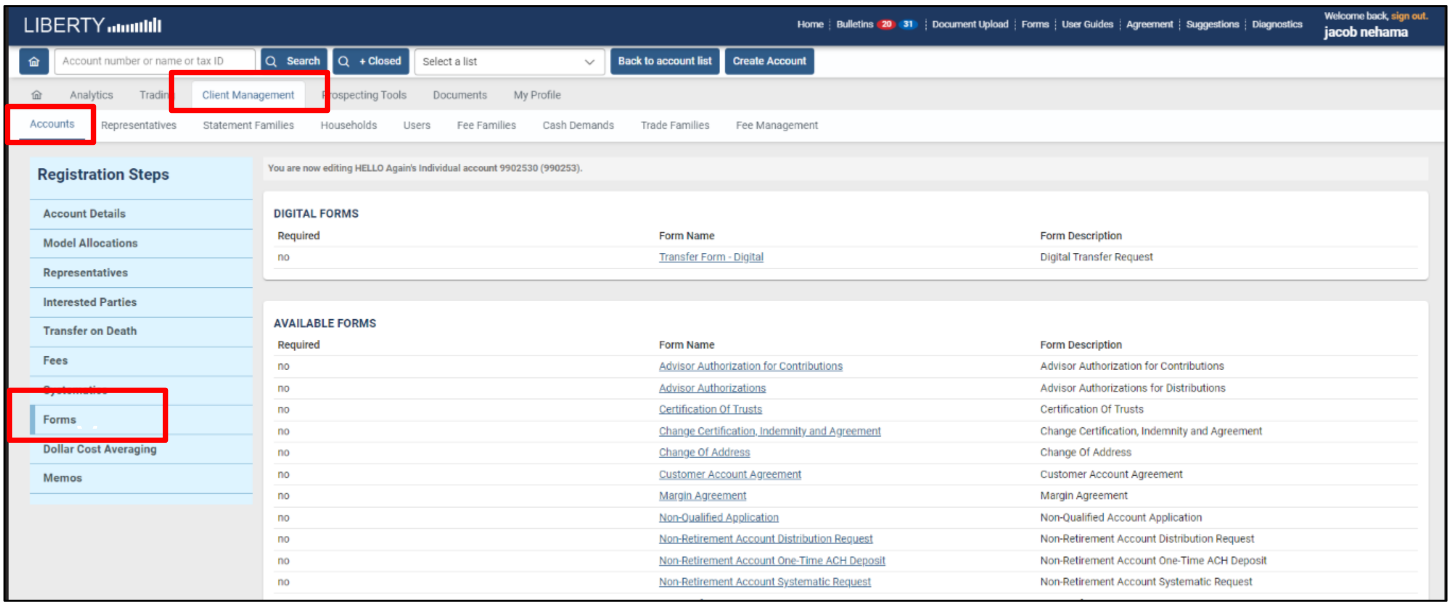
Transfer In Form

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.

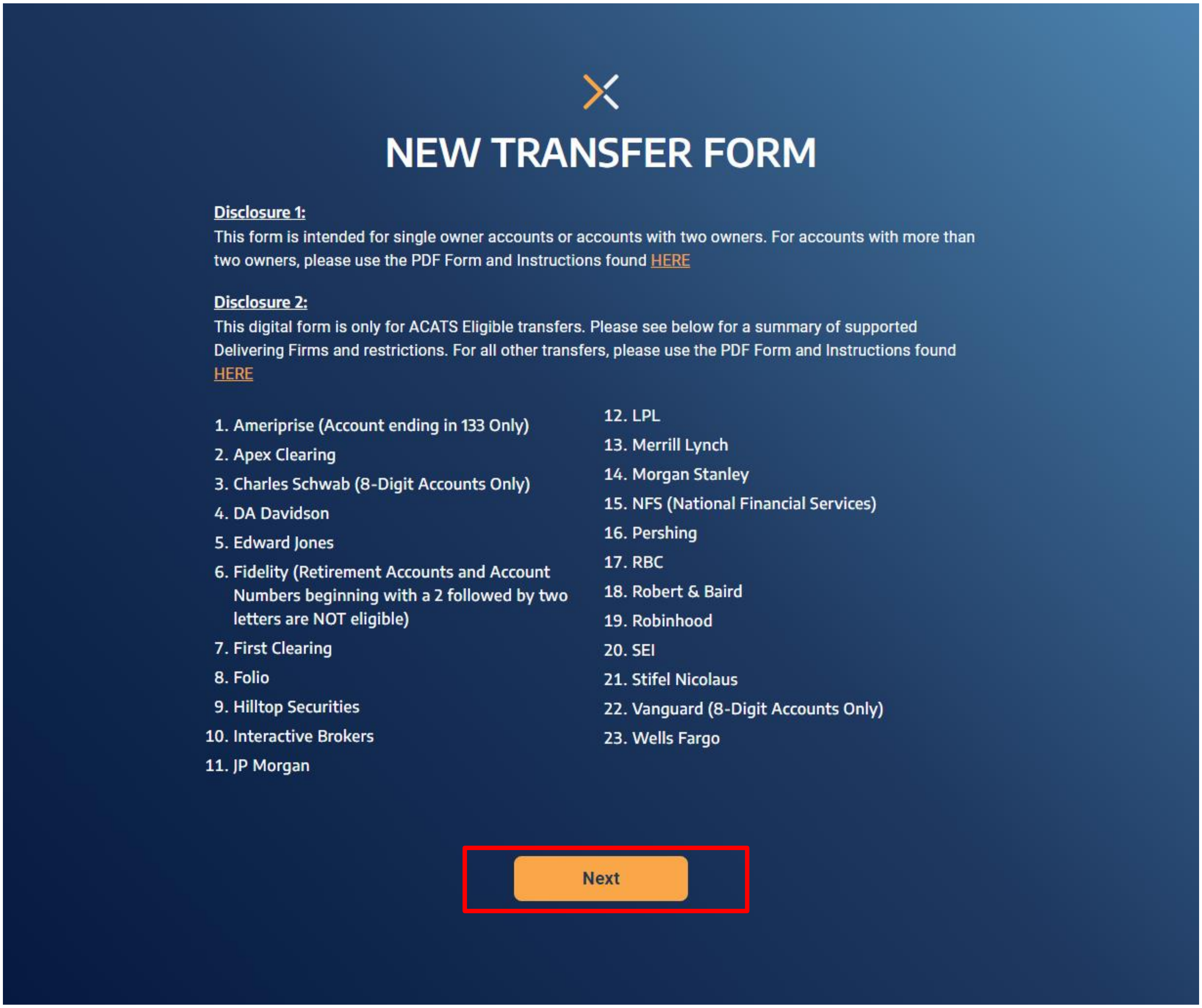
Step 1

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:

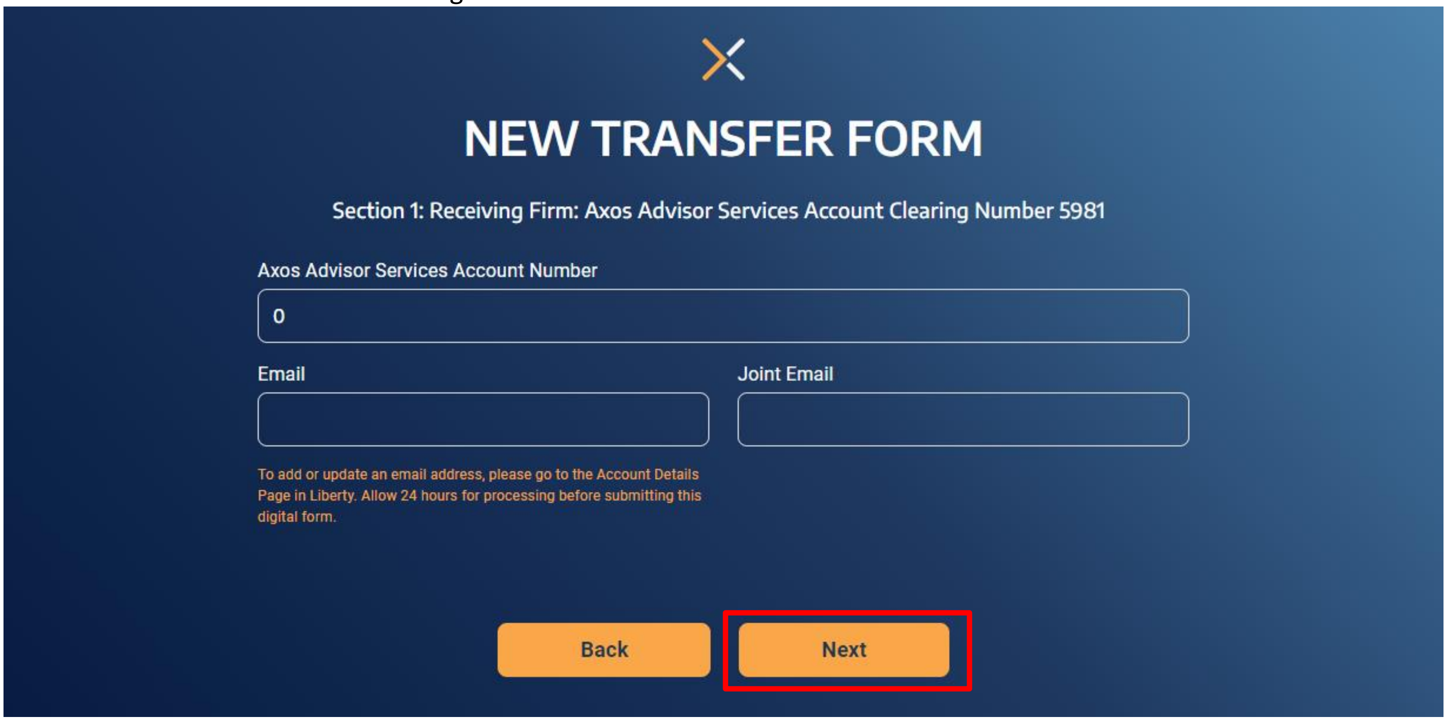
This digital form is only for ACATS Eligible transfers. Please see below for a summary of supported Delivering Firms and restrictions. For all other transfers, please use the PDF Form and Instructions found HERE

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

Next

Step 2

Add the Axos Advisor Service receiving firm information. Select “Next.”



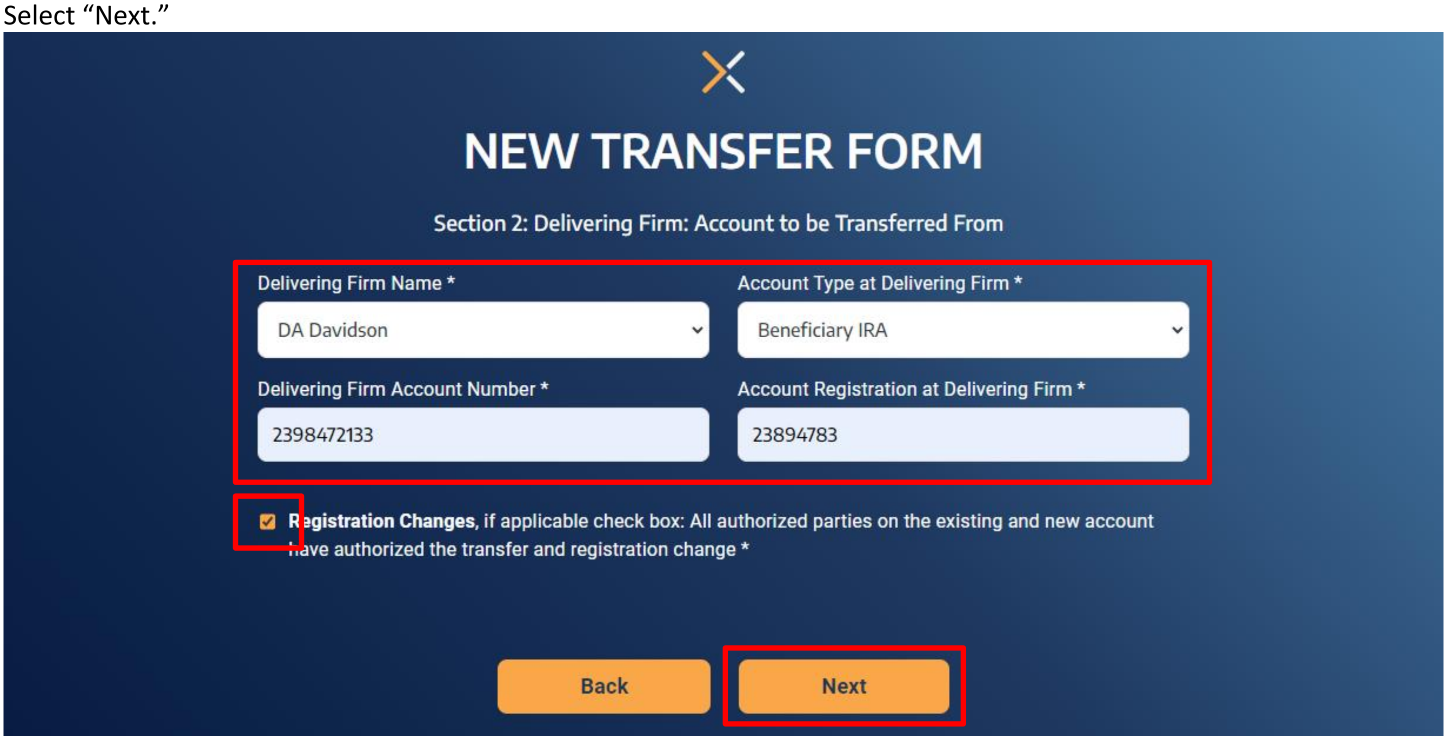
If you need to add or update an email address for the account, please go to the Account Details page in Liberty to update the account information. Please allow 24 hours for processing before submitting this digital form.

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.

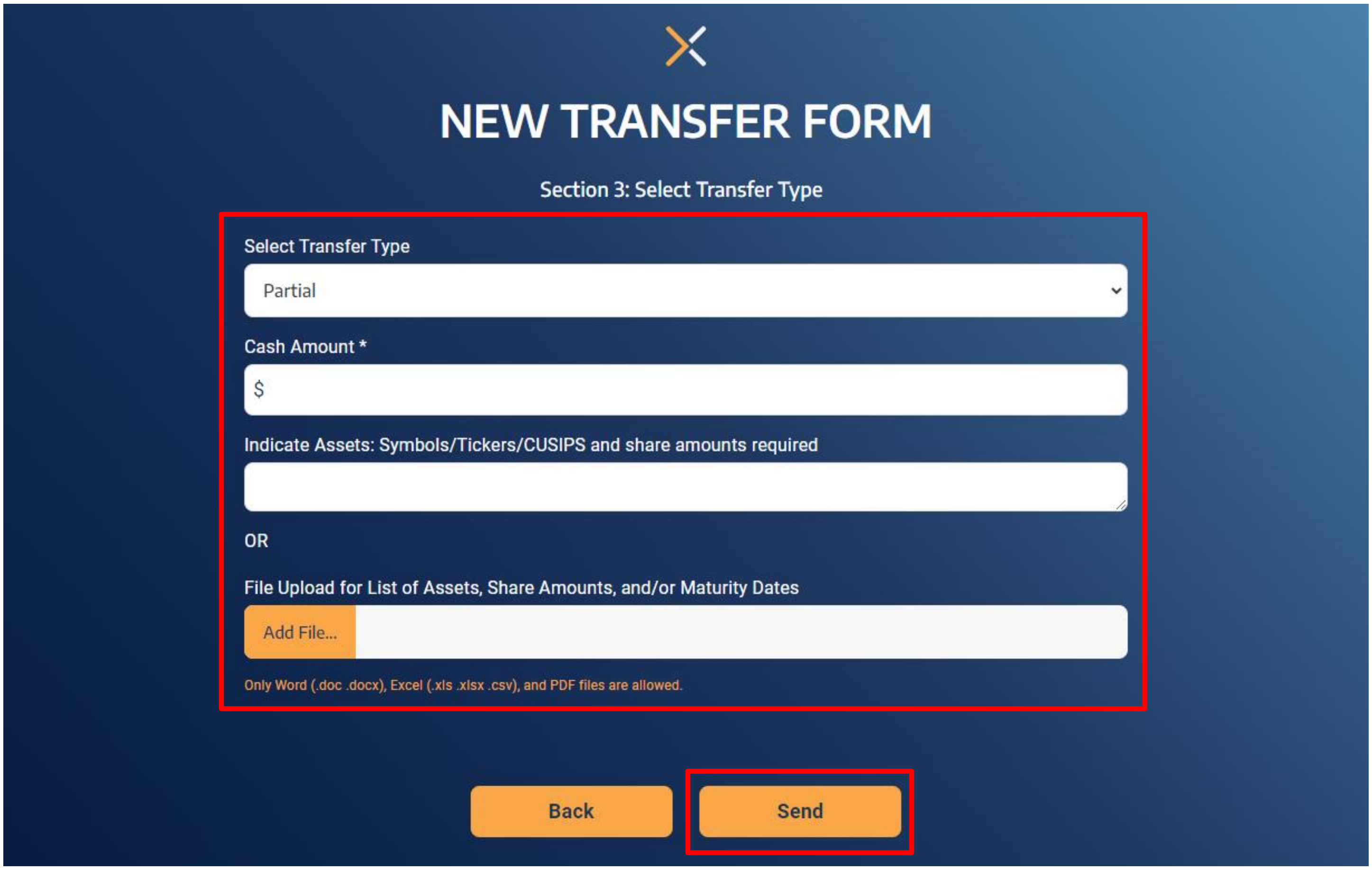
Select “Next.”



Step 4

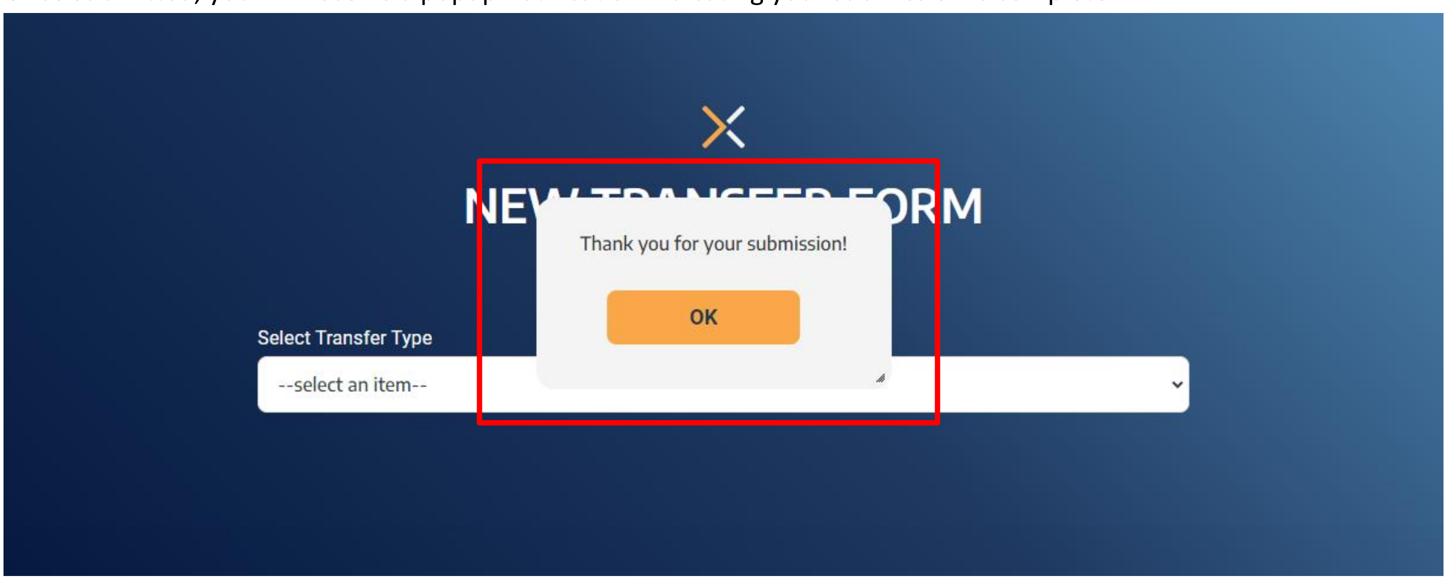
Input the transfer type information, cash amount, list assets and share amount or upload a list of assets and share amounts using the “Add File” bar. *Please note: only Word, Excel, or PDF documents are accepted.*

Select “Send.”



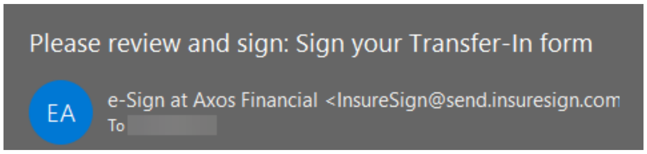
Step 5

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



End Investor Communication

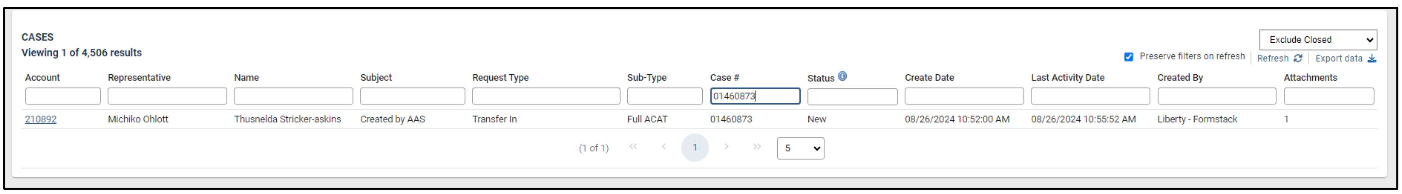
Once completed, your client will receive a notification email from InsureSign@send.insuresign.com to review and sign the transfer form. Encouraging your client to add this email address to their address book as a safe sender will help ensure it reaches their inbox and avoid being filtered by their email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

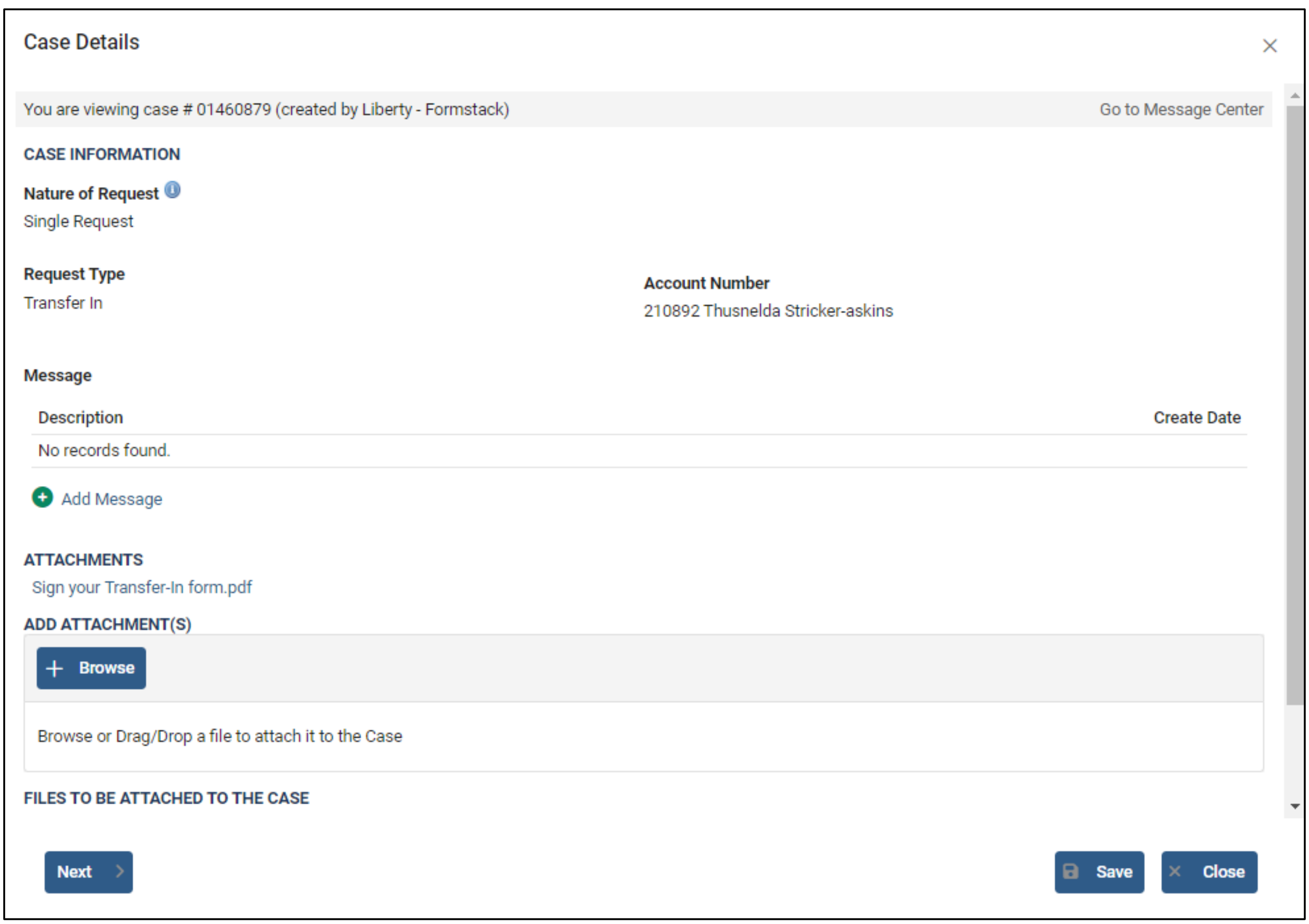


Transfer Status

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 Page

Overview‡ Active
Net Assets
$99,938

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 Settlmnt		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.

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