

Axos Advisor Services

New Account Requirements



Effective September 2023

Liberty Account Type	Entity Type	Account Registration Format (Line breaks as they appear except when the information does not fit on one line)*if applicable	Application Required	CIP Information Required (Name, Address, Social Security and Date of Birth Information)	Form of Identification and ID# Required (Driver's License, Passport, etc)	Additional Documents Required	Signatures Required for Account Application Section
Non-Retirement Custodial Accounts							
Individual	Individual	John Doe *TOD	Investment and Banking Multi-Account Application and Agreement	Individual	Individual	Transfer on Death (TOD) Add. Request	Individual
Joint	Joint Tenants With Rights of Survivorship	John Doe Mary Doe JTWROS *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders
Joint	Joint Tenants by the Entirety	John Doe Mary Doe TEN ENT *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders
Joint	Community Property with Rights of Survivorship (WROS)	John Doe Mary Doe CPWROS *TOD		All Account Holders	All Account Holders	Transfer on Death (TOD) Add. Request	All Account Holders
Joint	Community Property	John Doe Mary Doe COM PROP		All Account Holders	All Account Holders	None	All Account Holders
Joint	Joint Tenants in Common	John Doe Mary Doe TEN COM		All Account Holders	All Account Holders	None	All Account Holders
UTMA & UGMA	UTMA/UGMA	John Doe Custodian Johnnie Doe UTMA/ TX		Custodian and Minor	Custodian	None	Custodian

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Non-Retirement Custodial Accounts							
Legal (Conservator, Guardian, Court)	Estate	Estate of John Doe Jane Doe Executor	Investment and Banking Multi-Account Application and Agreement	Executor	Executor	Copy of Death Certificate, Affidavit of Domicile, Letter of Testamentary or Court Appointment, Beneficial Ownership Certification	Executor
Legal (Conservator, Guardian, Court)	Guardianship	John Doe Guardian FBO Johnnie Doe		Guardian and Beneficial Owner	Guardian and Beneficial Owner	Guardian; a court order naming Guardian and their authorizations.	Guardian
Legal (Conservator, Guardian, Court)	Conservatorship	John Doe Conservator FBO Johnnie Doe		Conservator and Beneficial Owner	Conservator and Beneficial Owner	A court order naming Conservator and their authorization.	Conservator
Trust	Trusts	John Doe Living Trust Dtd 01/01/01 Mary Doe, Jane Doe TTEE		Authorized Trustee(s)	Authorized Trustee(s)	Trust Certification	Authorized Trustee(s)
Trust	Charitable Trust	John Doe Charitable Remainder Trust Dtd 01/01/01 Mary Doe, John Doe TTEE		Authorized Trustee(s)	Authorized Trustee(s)	Trust Certification. If Tax Exempt, include W-9 with exempt box marked	Authorized Trustee(s)
Trust	Donor Advised Trust	John Doe Donor Advised Trust Dtd 01/01/01 Mary Doe, John Doe TTEE		Authorized Trustee(s)	Authorized Trustee(s)	Trust Certification. If Tax Exempt, include W-9 with exempt box marked	Authorized Trustee(s)
Unincorporated Entity	Company (Unincorporated)	ABC Company John Doe, Mary Doe (Officer)	Investment and Banking Multi-Account Application and Agreement	Authorized Party(ies)	Authorized Party(ies)	Beneficial Owner Certificate	Secretary and Authorized Party(ies)
Corporation	Corporation	ABC Corporation John Doe, Mary Doe (Officer)		Authorized Party(ies)	Authorized Party(ies)	Beneficial Owner Certificate	Secretary and Authorized Party(ies)
Unincorporated Entity or Corporation	Sole Proprietorship	Doe Air Conditioning John Doe		Owner	Owner	Beneficial Owner Certificate	Owner
Tax Exempt	Non-Profit Association	Doe Water Works Association John Doe, Mary Doe (Officers)		Authorized Party(ies)	Authorized Party(ies)	Beneficial Owner Certificate	Secretary and Authorized Party(ies)

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Non-Retirement Custodial Accounts							
Tax Exempt/ Corp/Trust (As Applicable)	Endowments	ABC Endowment Fund John Doe, Mary Doe (Officer/Trustee)	Investment and Banking Multi-Account Application and Agreement	Authorized Party(ies)/ Authorized Trustee(s) - (As Applicable)	Authorized Party(ies)/Authorized Trustee(s) (As Applicable)	Trust Certification (As Applicable)	Secretary and Authorized Party(ies)/ Authorized Trustee(s) - (As Applicable)
Tax Exempt/ Corp/Trust (As Applicable)	Foundations	ABC Foundation John Doe, Mary Doe (Officer/Trustee)		Authorized Party(ies)/ Authorized Trustee(s) - (As Applicable)	Authorized Party(ies)/Authorized Trustee(s) (As Applicable)	Trust Certification (As Applicable)	Authorized Party(ies)/ Authorized Trustee(s) - (As Applicable)
Ltd Liability Part/Co	Limited Liability Company	ABC LLC John Doe, Mary Doe (Officer)		Authorized Party(ies)	Authorized Party(ies)	Beneficial Ownership Certification	Authorized Party(ies). All of the Managers, if Manager Run. All of the Members, if Member Run.
Ltd Liability Part/Co	Limited Liability Partnership or Limited Partnership	ABC LLP John Doe, Mary Doe (Officer) or ABC LP John Doe, Mary Doe (Officer)		Authorized Party(ies)	Authorized Party(ies)	Beneficial Ownership Certification	Authorized Party(ies). All of the General Partners.
General Partnership	Partnership	ABC Partnership John Doe, Jane Doe (Officer) or John Doe, Mary Doe and Jane Smith Partnership John Doe, Mary Doe (Officer)		Authorized Party(ies). All of the General Partners.	Authorized Party(ies). All of the General Partners.	Beneficial Ownership Certification	Authorized Party(ies). All of the General Partners.

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IRA-Individual Retirement Accounts							
IRA - Individual Retirement Account	Traditional IRA	John Doe	Investment and Banking Multi-Account Application and Agreement	Account Owner	Account Owner	IRA Beneficiary Designation. When account owner unable to act for themselves, will need a court order naming conservator/guardian with their authorizations.	Account Owner
Individual Rollover IRA	Rollover IRA	John Doe		Account Owner	Account Owner	IRA Beneficiary Designation.	Account Owner
IRA - Individual Retirement Account	Custodial IRA	John Doe Custodian FBO Johnnie Doe		Custodian and Minor	Custodian	IRA Beneficiary Designation.	Custodian
IRA - Individual Retirement Account	Conservator/Guardian IRA	John Doe Conservator/Guardian FBO Johnnie Doe		Conservator/Guardian and Ward	Conservator/Guardian	IRA Beneficiary Designation. Court order naming conservator/guardian with their authorizations.	Conservator/Guardian
Bene IRA or Bene Roth IRA	Bene IRA	Jane Doe		Beneficiary Account Owner	Beneficiary Account Owner	IRA Beneficiary Designation. If Trust is Beneficial Account Owner, will need Trust Certification. If Estate Owner, will need Letters of Testamentary with visible court seal.	Account Owner
SEP IRA	SEP IRA	John Doe		Account Owner	Account Owner	IRA Beneficiary Designation	Account Owner
Roth IRA	Roth IRA	John Doe		Account Owner	Account Owner	IRA Beneficiary Designation	Account Owner
Roth IRA	Custodial Roth IRA	John Doe Custodian FBO Johnnie Doe		Custodian and Minor	Custodian	IRA Beneficiary Designation	Custodian
SIMPLE IRA	SIMPLE IRA	John Doe		Account Owner	Account Owner	IRA Beneficiary Designation	Account Owner

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Retirement Plan Accounts (Employer Sponsored Plans)							
Solo K (Solo K Roth)	Solo 401(k)(Solo 401(k) Roth)	Doe Consulting, Inc. Solo 401(k) Plan FBO John Doe John Doe TTEE or (with multiple trustees) Doe Consulting, Inc. Solo 401(k) Plan FBO John Doe (or spouse) John Doe, Mary Doe TTEEs or (with no company name) John Doe Solo 401(k) Plan FBO John Doe John Doe TTEE	Solo K Defined Account Package with Adoption Agreement	Plan Trustee	Plan Trustee	Solo 401(k) Defined Contribution Account package, Solo 401(k) Beneficiary Designation/Change Request	Plan Trustee, Plan Administrator if not Employee, or Plan Participant
Qualified Plan (401(k), 401(k) Roth, 457, Defined Benefit Plan, Profit Sharing Plan, Other)	Non-Prototype Retirement Plan -Pooled	<Retirement Plan Title> John Doe, Mary Doe TTEEs	Investment and Banking Multi-Account Application and Agreement	Plan Trustee	Plan Trustee	Beneficial Owner Certificate	All Trustee(s) or Authorized Party(ies)
Qualified Plan (401(k), 401(k) Roth, 457, Defined Benefit Plan, Profit Sharing Plan, Other)	Non-Prototype Retirement Plan -Plan Participant	<Retirement Plan Title> FBO John Doe John Doe, Mary Doe TTEEs		Plan Trustee and Plan	Plan Trustee	Beneficial Owner Certificate	Plan Participant and All Trustee(s) or Authorized Party(ies)
Trust Account Registration: All Trustees must be listed. Corporate, Company, LLP, LLC, etc. Account Registrations: All Authorized Parties named in Section 3 of the Account Application must be listed in the Account Registration.							