



A subsidiary of Axos Financial™

Removal of Non-Marketable Securities

Customer Instruction and Acknowledgement Form

[Reset Form](#)

By executing this form, you hereby request that your introducing broker-dealer or investment advisor ("Your Introducing Firm") sell each of the securities listed below for one penny (\$.01) per position to Axos Clearing.

By signing and returning this form, you acknowledge and represent the following concerning your decision to sell these securities to Your Introducing Firm's "non-marketable securities account" or account with an equivalent use:

- Your decision to sell is voluntary.
- Your decision to sell these securities has been made only after you have had the opportunity to evaluate the costs, benefits and suitability of electing to sell, and the opportunity to discuss such factors with an advisor of your choosing.
- You understand that your decision to sell may have certain tax loss or other consequences and that prior to electing to sell, you have had the opportunity to speak with an appropriate tax advisor or professional concerning any such consequences.
- You will have no further claim to the securities you have elected to sell.

STEP 1: Account Holder and Security Information

Account Title (Name of this Account)	Account Number
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Quantity	Security Description	Symbol/CUSIP

(Please attach a separate sheet if necessary)

STEP 2: Customer Request

You hereby agree to sell to Axos Clearing, and request that Axos Clearing purchase, each of the securities described above in the quantity stated, for a purchase price of one penny (\$0.01) per security. In addition, there will be a \$ 0.01 commission charged for each of these security transactions. You represent that you are the owner, free and clear, of the securities described above in the quantity stated. You further understand and agree that your request here and any resulting transactions are subject to the terms and conditions of the Customer Agreement that governs your brokerage account, which has been introduced to Axos Clearing LLC by Your Introducing Firm.

STEP 3: Signatures

ACCOUNT HOLDER/TRUSTEE/CORPORATE OFFICER SIGNATURE

ACCOUNT OWNER SIGNATURE ✕	PRINT NAME	DATE
ACCOUNT CO-OWNER SIGNATURE ✕	PRINT NAME	DATE

APPROVALS

BROKER SIGNATURE ✕	PRINT NAME	DATE
GENERAL PRINCIPAL SIGNATURE ✕	PRINT NAME	DATE