

Account Update Form

This form is used to make any corrections or changes to your account. You may not use this form to change the account registration or the account type. All pages must be submitted together for processing. Complete all applicable sections.

ACCOUNT INFORMATION - REQUIRED

| | | | | | |
|--|-----------|----------------|------------------------|------------|--|
| Account Title (Name of this account) | | | Account Number | | |
| Client Name | | | Broker Rep Code | | |
| <input type="radio"/> ADDRESS CHANGE | | | | | |
| Please change the address on my account to the following: | | | | | |
| Physical Address (no PO Box) | Address 1 | | Address 2 | | |
| | City | State | Zip Code | | |
| | Country | Province | Foreign Postal Code | | |
| Mailing Address (if different from Physical) | Address 1 | | Address 2 | | |
| | City | State | Zip Code | | |
| | Country | Province | Foreign Postal Code | | |
| <input type="radio"/> EMAIL ADDRESS/PHONE NUMBER CHANGE | | | | | |
| Home or Mobile Phone | | | Business Phone | | |
| Foreign Phone | | | Email Address | | |
| <input type="radio"/> OCCUPATION/BUSINESS NATURE/EMPLOYER CHANGE | | | | | |
| <input type="radio"/> Employed <input type="radio"/> Self-Employed <input type="radio"/> Retired <input type="radio"/> Unemployed <input type="radio"/> Homemaker <input type="radio"/> Student <i>If Employed/Self-Employed is indicated, please complete all employment fields.</i> <i>If Retired or Unemployed is indicated, please indicate former Occupation.</i> | | | | | |
| Employer Name | | Years Employed | Phone Number | Occupation | Business Nature |
| Employer's Address | | City | State | Zip Code | |
| Country | Province | | Foreign Postal Code | | |
| <input type="radio"/> MONEY FUND INSTRUCTIONS | | | | | |
| <input type="radio"/> Axos Clearing Insured Deposit (DLD) <input type="radio"/> Do Not Sweep to Axos Clearing Insured Deposit (DLD) | | | | | |
| Disclaimer: By initialing this document, I represent my consent and authorization to participate in the chosen Sweep Program. I acknowledge that I have read and understand the terms and conditions of the Sweep Program included in the Customer Agreement. | | | | | PRIMARY _____ (INITIALS REQUIRED) |

Account Number:

| FINANCIAL INFORMATION | | | | |
|--|---|---|---|---|
| Annual Income \$ _____ | Net Worth \$ _____ | Liquid Net Worth \$ _____ | Risk Tolerance | Tax Bracket |
| <input type="radio"/> Under \$25,000 <input type="radio"/> \$25,001 - \$50,000 <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$200,000 <input type="radio"/> \$200,001 - \$500,000 <input type="radio"/> \$500,001 - \$1 million <input type="radio"/> Over \$1 million | (excluding residence) <input type="radio"/> Under \$50,000 <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$500,000 <input type="radio"/> \$500,001 - \$1 million <input type="radio"/> \$1,000,001 - \$3 million <input type="radio"/> Over \$3 million | <input type="radio"/> Under \$25,000 <input type="radio"/> \$25,001 - \$50,000 <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$200,000 <input type="radio"/> \$200,001 - \$500,000 <input type="radio"/> \$500,001 - \$1 million <input type="radio"/> \$1,000,001 - \$3 million <input type="radio"/> Over \$3 million | <input type="radio"/> Low <input type="radio"/> Moderate <input type="radio"/> Aggressive <input type="radio"/> Speculative | <input type="radio"/> 0% <input type="radio"/> 10% <input type="radio"/> 12% <input type="radio"/> 22% <input type="radio"/> 24% <input type="radio"/> 32% <input type="radio"/> 35% <input type="radio"/> 37% |
| Estimated Value of Investments | Liquidity Needs | Time Horizon | Annual Expenses | Special Expenses |
| <input type="radio"/> under \$10,000 <input type="radio"/> up to \$24,000 <input type="radio"/> up to \$50,000 <input type="radio"/> up to \$200,000 <input type="radio"/> under \$500,000 <input type="radio"/> over \$500,000 | <input type="radio"/> less than 1 year <input type="radio"/> 1 – 5 years <input type="radio"/> 5 – 10 years <input type="radio"/> 10 – 15 years <input type="radio"/> Over 15 years <input type="radio"/> Not applicable | <input type="radio"/> Undefined <input type="radio"/> less than 1 year <input type="radio"/> 1 – 5 years <input type="radio"/> 5 – 10 years <input type="radio"/> 10 – 15 years <input type="radio"/> Over 15 years | <input type="radio"/> \$50,000 and under <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$250,000 <input type="radio"/> \$250,001 - \$500,000 <input type="radio"/> Over \$500,000 Investment Knowledge <input type="radio"/> Limited <input type="radio"/> Good <input type="radio"/> Excellent | <input type="radio"/> \$50,000 and under <input type="radio"/> \$50,001 - \$100,000 <input type="radio"/> \$100,001 - \$250,000 <input type="radio"/> \$250,001 - \$500,000 <input type="radio"/> Over \$500,000 Timeframe <input type="radio"/> Within 2 years <input type="radio"/> 3 – 5 years <input type="radio"/> 6 – 10 years |
| Investment Objective <input type="radio"/> Current Income (A) - Preservation of capital with a primary consideration on current income <input type="radio"/> Balanced (F) - A balance between capital appreciation and current income with the primary consideration being current income <input type="radio"/> Growth & Income (G) - A balance between capital appreciation and current income with the primary consideration being capital appreciation <input type="radio"/> Growth (H) - Capital appreciation through quality equity investment and little or no income <input type="radio"/> Maximum Growth (I) - Maximum capital appreciation with higher risk and little to no income. <input type="radio"/> Speculation (J) - Maximum total return potential, involving a higher degree of risk through investment in a broad spectrum of securities. | | | | |

| Investment Experience | Years of Experience | | | Transactions per year | | |
|--|-------------------------|-----------------------------|------------------------------|-----------------------------|------------------------------|-------------------------------|
| Mutual Funds/Exchange Traded Funds | <input type="radio"/> 0 | <input type="radio"/> 1 - 5 | <input type="radio"/> Over 5 | <input type="radio"/> 0 - 5 | <input type="radio"/> 6 - 15 | <input type="radio"/> Over 15 |
| Individual Stocks | <input type="radio"/> 0 | <input type="radio"/> 1 - 5 | <input type="radio"/> Over 5 | <input type="radio"/> 0 - 5 | <input type="radio"/> 6 - 15 | <input type="radio"/> Over 15 |
| Bonds | <input type="radio"/> 0 | <input type="radio"/> 1 - 5 | <input type="radio"/> Over 5 | <input type="radio"/> 0 - 5 | <input type="radio"/> 6 - 15 | <input type="radio"/> Over 15 |
| Options | <input type="radio"/> 0 | <input type="radio"/> 1 - 5 | <input type="radio"/> Over 5 | <input type="radio"/> 0 - 5 | <input type="radio"/> 6 - 15 | <input type="radio"/> Over 15 |
| Securities Futures | <input type="radio"/> 0 | <input type="radio"/> 1 - 5 | <input type="radio"/> Over 5 | <input type="radio"/> 0 - 5 | <input type="radio"/> 6 - 15 | <input type="radio"/> Over 15 |
| Annuities | <input type="radio"/> 0 | <input type="radio"/> 1 - 5 | <input type="radio"/> Over 5 | <input type="radio"/> 0 - 5 | <input type="radio"/> 6 - 15 | <input type="radio"/> Over 15 |
| Alternative (structured products, hedge funds, etc.) | <input type="radio"/> 0 | <input type="radio"/> 1 - 5 | <input type="radio"/> Over 5 | <input type="radio"/> 0 - 5 | <input type="radio"/> 6 - 15 | <input type="radio"/> Over 15 |
| Margin | <input type="radio"/> 0 | <input type="radio"/> 1 - 5 | <input type="radio"/> Over 5 | <input type="radio"/> 0 - 5 | <input type="radio"/> 6 - 15 | <input type="radio"/> Over 15 |

| SIGNATURES – ALL ACCOUNT HOLDERS, ALONG WITH AN AUTHORIZED FIRM REPRESENTATIVE, MUST SIGN BELOW | | |
|---|------------|------|
| Account Holder Signature x | Print Name | Date |
| Account Holder Signature x | Print Name | Date |
| Account Holder Signature x | Print Name | Date |
| Broker Signature x | Print Name | Date |
| General Principal Signature x | Print Name | Date |