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**

○ 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

○ EMAIL ADDRESS/PHONE NUMBER CHANGE

Home or Mobile Phone	Business Phone
Foreign Phone	Email Address

○ OCCUPATION/BUSINESS NATURE/EMPLOYER CHANGE

○ Employed ○ Self-Employed ○Retired ○ Unemployed ○ Homemaker ○ Student

If Employed/Self-Employed is indicated, please complete all employment fields.

If Retired or Unemployed is indicated, please indicate former Occupation.

Employer Name	Years Employed	Phone Number	Occupation	Business Nature
Employer's Address	City	State	Zip Code	
Country	Province	Foreign Postal Code		

○ MONEY FUND INSTRUCTIONS

○ Axos Clearing Insured Deposit (DLD)

○ 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

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(INITIALS REQUIRED)

Account Number:

○ Financial Information

Annual Income $____________	Net Worth $____________	Liquid Net Worth $____________	Risk Tolerance	Tax Bracket
○ Under $25,000 ○ $25,001 - $50,000 ○ $50,001 - $100,000 ○ $100,001 - $200,000 ○ $200,001 - $500,000 ○ $500,001 - $1 million ○ Over $1 million	**(excluding residence)** ○ Under $50,000 ○ $50,001 - $100,000 ○ $100,001 - $500,000 ○ $500,001 - $1 million ○ $1,000,001 - $3 million ○ Over $3 million	○ Under $25,000 ○ $25,001 - $50,000 ○ $50,001 - $100,000 ○ $100,001 - $200,000 ○ $200,001 - $500,000 ○ $500,001 - $1 million ○ $1,000,001 - $3 million ○ Over $3 million	○ Low ○ Moderate ○ Aggressive ○ Speculative	○ 0% ○ 10% ○ 12% ○ 22% ○ 24% ○ 32% ○ 35% ○ 37%

Estimated Value of Investments	Liquidity Needs	Time Horizon	Annual Expenses	Special Expenses
○ under $10,000 ○ up to $24,000 ○ up to $50,000 ○ up to $200,000 ○ under $500,000 ○ over $500,000	○ less than 1 year ○ 1 – 5 years ○ 5 – 10 years ○ 10 – 15 years ○ Over 15 years ○ Not applicable	○ Undefined ○ less than 1 year ○ 1 – 5 years ○ 5 – 10 years ○ 10 – 15 years ○ Over 15 years	○ $50,000 and under ○ $50,001 - $100,000 ○ $100,001 - $250,000 ○ $250,001 - $500,000 ○ Over $500,000 **Investment Knowledge** ○ Limited ○ Good ○ Excellent	○ $50,000 and under ○ $50,001 - $100,000 ○ $100,001 - $250,000 ○ $250,001 - $500,000 ○ Over $500,000 *Timeframe* ○ Within 2 years ○ 3 – 5 years ○ 6 – 10 years

Investment Objective

○ **Current Income** (A) - Preservation of capital with a primary consideration on current income

○ **Balanced** (F)- A balance between capital appreciation and current income with the primary consideration being current income

○ **Growth & Income** (G) **-** A balance between capital appreciation and current income with the primary consideration being capital appreciation

○ **Growth** (H) **-** Capital appreciation through quality equity investment and little or no income

○ **Maximum Growth** (I) **-** Maximum capital appreciation with higher risk and little to no income.

○ **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	○ 0	○ 1 - 5	○ Over 5	○ 0 - 5	○ 6 - 15	○ Over 15
Individual Stocks	○ 0	○ 1 - 5	○ Over 5	○ 0 - 5	○ 6 - 15	○ Over 15
Bonds	○ 0	○ 1 - 5	○ Over 5	○ 0 - 5	○ 6 - 15	○ Over 15
Options	○ 0	○ 1 - 5	○ Over 5	○ 0 - 5	○ 6 - 15	○ Over 15
Securities Futures	○ 0	○ 1 - 5	○ Over 5	○ 0 - 5	○ 6 - 15	○ Over 15
Annuities	○ 0	○ 1 - 5	○ Over 5	○ 0 - 5	○ 6 - 15	○ Over 15
Alternative (structured products, hedge funds, etc.)	○ 0	○ 1 - 5	○ Over 5	○ 0 - 5	○ 6 - 15	○ Over 15
Margin	○ 0	○ 1 - 5	○ Over 5	○ 0 - 5	○ 6 - 15	○ Over 15

Signatures – All account holders, along with an authorized firm representative, must sign below

Signature	Print Name	Date
Account Holder Signature ✘	Print Name	Date
Account Holder Signature ✘	Print Name	Date
Account Holder Signature ✘	Print Name	Date
Broker Signature ✘	Print Name	Date
General Principal Signature ✘	Print Name	Date