

A subsidiary of Axos Financial™

| This form must be completed by the person opening a new | w account on behalf of a leg                | al entity. Att | ach additional | sheets as necessary. |
|---|---|----------------|----------------|----------------------|
| Name of Legal Entity                                    | Type of Legal Entity                        |                | Account Num    | ber                  |
|   |   |                |                |                      |
| Legal Address of Legal Entity                           | City  | State          |                | ZIP Code             |
| Name of Natural Person Opening the Account              | Title of Natural Person Opening the Account |                |                |                      |

### **EQUITY INTEREST OWNER**

Provide the following information for each individual, if any, who directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 5% or more of the equity interests of the legal entity identified above.

| Ownership Percentage %   | Name of Natural Person  |      |                     | Socia          | l Security  | Date of Birth                                       |       |                                    |
|--|---|------|---------------------|----------------|---|---|-------|------------------------------------|
| Trading Authority  | Address () Residential () Business  |      |                     |                | Address 2   |   |       |                                    |
| Identification<br>(required for non-US persons)  | City  |      | State               | ZIP C          | ode   | Foreign Postal (                                    | Code  | Country                            |
| O Passport<br>O Other Government-issued ID   | PLACE/COUNTRY OF ISSUANCE   | ID   | No:                 |                | ISSUE DAT   | e (mm/dd/yyyy)                                      | Expir | ation Date (mm/dd/yyyy)            |
| Ownership Percentage %   | Name of Natural Person  |      |                     | Socia          | l Security  | Number/Tax ID                                       |       | Date of Birth                      |
| Trading Authority<br>No Limited Full   | Address () Residential () Bu  | usin | ess                 |                | Addres  | ss 2  |       |                                    |
| Identification<br>(required for non-US persons)  | City  |      | State               | ZIP C          | ode   | Foreign Postal (                                    | Code  | Country                            |
| O Passport<br>O Other Government-issued ID   | Place/Country of Issuance   | ID   | No:                 |                | ISSUE DAT   | e (mm/dd/yyyy)                                      | Expir | ation Date (mm/dd/yyyy)            |
|  |   |      |                     |                |   |   |       |                                    |
| Ownership Percentage %   | Name of Natural Person  |      |                     | Socia          | l Security  | Number/Tax ID                                       |       | Date of Birth                      |
| Ownership Percentage %<br>Trading Authority<br>◯ No ◯Limited ◯ Full  | Name of Natural Person Address () Residential ()Bu  | usin | ess                 | Socia          | l Security<br>Addres                                |   |       | Date of Birth                      |
| Trading Authority<br>No OLimited OFull<br>Identification<br>(required for non-US persons)  |   | usin |                     | Socia<br>ZIP C | Addres  |   | Code  | Date of Birth Country              |
| Trading Authority<br>No OLimited O Full<br>Identification  | Address () Residential ()Bu   |      |                     | ZIP C          | Addres  | ss 2  |       |                                    |
| Trading Authority<br>No Limited Full<br>Identification<br>(required for non-US persons)<br>O Passport  | Address () Residential () Bu  |      | State               | ZIP C          | Addres<br>ode<br>Issue Dati                         | ss 2<br>Foreign Postal (                            |       | Country                            |
| Trading Authority<br>No Limited Full<br>Identification<br>(required for non-US persons)<br>O Passport<br>O Other Government-issued ID  | Address () Residential () Bu<br>City<br>PLACE/COUNTRY OF ISSUANCE                           | ID   | State<br>No:        | ZIP C          | Addres<br>ode<br>Issue Dati                         | Foreign Postal (<br>E (MM/DD/YYYY)<br>Number/Tax ID |       | Country<br>ATION DATE (MM/DD/YYYY) |
| Trading Authority<br>No Limited Full<br>Identification<br>(required for non-US persons)<br>O Passport<br>O Other Government-issued ID<br>Ownership Percentage %<br>Trading Authority | Address () Residential () Bu<br>City<br>PLACE/COUNTRY OF ISSUANCE<br>Name of Natural Person | ID   | State<br>No:<br>ess | ZIP C          | Addres<br>ode<br>Issue Dati<br>I Security<br>Addres | Foreign Postal (<br>E (MM/DD/YYYY)<br>Number/Tax ID | Expir | Country<br>ATION DATE (MM/DD/YYYY) |

Attach additional pages for additional Equity Interest Owners if needed

# **CONTINUED NEXT PAGE**

| Clearing, custody or other brokerage services provided by AXOS Clearing, LLC, | Page 1 of 2 |
|---|-------------|
| member FINRA and SIPC. Trademark(s) belong to their respective owners.        | BOCF 4/2018 |



## **CONTROL PERSON**

Identify individuals with significant responsibility in managing the legal entity such as, but not limited to:

Executive officer or senior manager (Chief Executive Officer; Chief Financial Officer; Chief Operating Officer; Managing Member; General Partner; President; Vice President; Treasurer) OR any other individual who regularly performs similar functions.

| Title   | Name of Natural Person     |      |       | Soci | Social Security Number/Tax ID Date of Birth |                  |       |                         |
|---|----------------------------|------|-------|------|---|------------------|-------|-------------------------|
| Trading Authority   | Address () Residential ()B | usin | ess   |      | Addre                                       | ess 2            |       |                         |
| ○ No ○Limited ○ Full  | City                       |      | State | ZIP  | Code  | Foreign Postal ( | Code  | Country                 |
| non-US persons)<br>O Passport<br>O Other Government-issued ID | Place/Country of Issuance  | ID   | No:   |      | ISSUE DAT                                   | TE (MM/DD/YYYY)  | Expir | ation Date (mm/dd/yyyy) |
| Title   | Name of Natural Person     |      |       | Soci | ial Securit                                 | y Number/Tax ID  |       | Date of Birth           |
| Trading Authority   | Address () Residential ()B | usin | ess   |      | Addre                                       | ess 2            |       |                         |
| ○ No ○Limited ○ Full<br>Identification (required for          | City                       |      | State | ZIP  | Code  | Foreign Postal ( | Code  | Country                 |
| non-US persons)<br>O Passport<br>O Other Government-issued ID | Place/Country of Issuance  | ID   | No:   |      | Issue Dat                                   | te (mm/dd/yyyy)  | Expir | ation Date (mm/dd/yyyy) |
| Title   | Name of Natural Person     |      |       | Soci | ial Securit                                 | y Number/Tax ID  |       | Date of Birth           |
| Trading Authority   | Address () Residential ()B | usin | ess   |      | Addre                                       | ess 2            |       |                         |
| ○ No ○Limited ○ Full  | City                       |      | State | ZIP  | Code  | Foreign Postal ( | Code  | Country                 |
| non-US persons)<br>O Passport<br>O Other Government-issued ID | Place/Country of Issuance  | ID   | No:   |      | Issue Da                                    | TE (MM/DD/YYYY)  | Expir | ation Date (mm/dd/yyyy) |
| Title   | Name of Natural Person     |      |       | Soci | ial Securit                                 | y Number/Tax ID  |       | Date of Birth           |
| Trading Authority   | Address () Residential ()B | usin | ess   |      | Addre                                       | ess 2            |       |                         |
| ○ No ○Limited ○ Full  | City                       |      | State | ZIP  | Code  | Foreign Postal ( | Code  | Country                 |
| non-US persons)   | Place/Country of Issuance  |      | No:   | I    |   | TE (MM/DD/YYYY)  | 1     | ATION DATE (MM/DD/YYYY) |

Attach additional pages for additional Control Persons if needed

### CERTIFICATION

I hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

| SIGNATURE OF NATURAL PERSON OPENING THE ACCOUNT | ISSUER PRINTED NAME | DATE |
|---|---------------------|------|
| ×   |                     |      |

### TO BE COMPLETED BY THE INTRODUCING BROKER DEALER (IBD).

Must be executed by a Principal of the Introducing Broker Dealer such as the President; Chief Executive Officer (CEO); Chief Compliance Officer (CCO); or Anti-Money Laundering Officer (AMLO).

Reviewed by:

|   | DATE |
|---|------|
| × |      |

| Clearing, custody or other brokerage services provided by AXOS Clearing, LLC, | Page 2 of 2 |
|---|-------------|
| member FINRA and SIPC. Trademark(s) belong to their respective owners.        | BOCF 4/2018 |