

# Inherited Roth IRA Adoption Agreement

This Adoption Agreement may only be used by a beneficiary in conjunction with the inheritance of a Roth IRA plan. A New Account Application must accompany this form to establish a new IRA Account.

**ACCOUNT INFORMATION - REQUIRED**

Axos Clearing LLC, custodian for the IRA of:

<b>Account Title (Name of this account)</b>		<b>Account Number</b>	
<b>Original Owner's Information:</b> Name:			<b>FOR SPECIFIC BENEFICIARY PROVISIONS, PLEASE REFER TO THE APPLICABLE SECTIONS OF THE PLAN AGREEMENT AND THE DISCLOSURE STATEMENT.</b>  <b>THE TOTAL ALLOCATION OF ALL PRIMARY BENEFICIARIES MUST EQUAL 100%</b>  <b>THE TOTAL OF ALL CONTINGENT BENEFICIARIES MUST EQUAL 100%</b>  <b>TO DESIGNATE YOUR ESTATE AS YOUR BENEFICIARY, WRITE IN "ESTATE". "PER WILL" DESIGNATIONS ARE NOT ACCEPTABLE</b>  <b>IF NO BENEFICIARY IS NAMED, THE BENEFICIARY PROVISIONS OUTLINED IN THE PLAN AGREEMENT WILL APPLY.</b>
SSN	Date of Birth	Date of Death	
<b>DESIGNATION OF BENEFICIARY</b>			
I designate that upon my death, the assets in this account be paid to the beneficiaries named below. The interest of any beneficiary that predeceases me terminates completely, and the percentage share of any remaining beneficiaries will be increased on a pro rata basis. If no beneficiaries are named, my estate will be my beneficiary.			
<input type="radio"/> Primary  <input type="radio"/> Contingent Share %	BENEFICIARY'S NAME	SOCIAL SECURITY NUMBER/TAX ID	DATE OF BIRTH
	RELATIONSHIP	ADDRESS	
<input type="radio"/> Primary  <input type="radio"/> Contingent Share %	BENEFICIARY'S NAME	SOCIAL SECURITY NUMBER/TAX ID	DATE OF BIRTH
	RELATIONSHIP	ADDRESS	
<input type="radio"/> Primary  <input type="radio"/> Contingent Share %	BENEFICIARY'S NAME	SOCIAL SECURITY NUMBER/TAX ID	DATE OF BIRTH
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	RELATIONSHIP	ADDRESS	
<input type="radio"/> Primary  <input type="radio"/> Contingent Share %	BENEFICIARY'S NAME	SOCIAL SECURITY NUMBER/TAX ID	DATE OF BIRTH
	RELATIONSHIP	ADDRESS	

**SPOUSAL CONSENT**

Spousal consent must be completed if the spouse is not the sole primary beneficiary.

**CURRENT MARITAL STATUS (Required)**

- I Am Not Married** – I understand that if I become married in the future, I should review the requirements for spousal consent.
- I Am Married** – I understand that if I choose to designate primary beneficiary other than or in addition to my spouse, my spouse should sign below.  
*I am the spouse of the above-named IRA owner. I acknowledge that I have received a fair and reasonable disclosure of my spouse's property and financial obligations. Because of the important tax consequences of giving up my interest in this IRA, I have been advised to see a tax professional. I hereby give the IRA owner my interest in the assets or property deposited in this IRA and consent to the beneficiary designation indicated above. I assume full responsibility for any adverse consequences that may result*

Signature of Spouse x	Print Name	Date
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**SIGNATURES – IMPORTANT PLEASE READ BEFORE SIGNING**

I understand the eligibility requirement for the type of Inherited Roth IRA contribution I am making, and I state that I do qualify to make the contribution. I have received a copy of the Inherited Roth IRA Application, the 5305-RA Custodial Account Adoption Agreement and Disclosure Statement. I understand that the terms and conditions which apply to this Inherited Roth IRA are contained in this Axos Clearing LLC Individual Retirement Custodial Account Adoption Agreement. I agree to be bound by those terms and conditions. All information provided by me is true and correct and may be relied upon by the Custodian. Within seven days from the date I open this inherited Roth IRA I may revoke it without penalty by mailing or delivering a written notice to the Introducing Broker Dealer and/or Axos Clearing Custodian. I assume full responsibility for

- Determining that I am eligible to establish an inherited Roth IRA,
- Ensuring that all rollover or transfer contributions I make are within the limits set forth by the tax laws, and
- The tax consequences of any rollover or transfer contributions and distributions.

Signature of Inherited Roth IRA Owner x	Print Name	Date (mm/dd/yyyy)
Signature of Custodian x	Print Name	Date (mm/dd/yyyy)

*Mail completed form(s) to: Trading Direct, 160 Broadway, Floor 7E, New York NY 10038.*