



Notice of Incoming Security Transfer (via DTC or DRS method)

Input Receiving Account Title at Trading Direct/Axos Clearing

Input Receiving Account # at Trading Direct/Axos Clearing

Dear Trading Direct / Axos Clearing,

I shall be initiating the transfer of the below security from another financial institution, to Trading Direct/Axos Clearing:

Input Security Name:

Input Symbol:

Input Quantity:

This security is being delivered from:

Input Delivering Financial Institution Name:

Input Delivering Financial Institution DTC number (if known/applicable):

Input Account Title at Delivering Financial Institution

Signature(s) and Date:

Signature of Primary Account Owner

Date

Signature of Joint Account Owner (if applicable)

Date

Please also include a recent statement or trade confirmation from delivering firm, showing the account #, account title, and security being delivered.

This completed form, along with the statement/confirm, may be faxed to 212-202-4655, or scanned & e-mailed to info@tradingdirect.com, or mailed to:

Trading Direct
160 Broadway
East Bldg Floor 7
New York NY 10038