



Notice of Incoming Security Transfer (via DRS, DTC, or OCC 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(s) from another financial institution, to Trading Direct/Axos Clearing:

_____ <i>Shares</i>	_____ <i>Symbol</i>	_____ <i>Security Name</i>
_____ <i>Shares</i>	_____ <i>Symbol</i>	_____ <i>Security Name</i>
_____ <i>Shares</i>	_____ <i>Symbol</i>	_____ <i>Security Name</i>
_____ <i>Shares</i>	_____ <i>Symbol</i>	_____ <i>Security Name</i>
_____ <i>Shares</i>	_____ <i>Symbol</i>	_____ <i>Security Name</i>
_____ <i>Shares</i>	_____ <i>Symbol</i>	_____ <i>Security Name</i>
_____ <i>Shares</i>	_____ <i>Symbol</i>	_____ <i>Security Name</i>

This security is being delivered from:

_____ <i>Delivering Financial Institution Name</i>	_____ <i>DTC#</i>	_____ <i>Account Title & number at Delivering Financial Institution</i>
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Signature(s) and Date:

_____ <i>Signature of Primary Account Owner</i>	_____ <i>Date</i>	_____ <i>Signature of Joint Account Owner (if applicable)</i>	_____ <i>Date</i>
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Please also include a recent statement or trade confirmation from delivering firm, showing the account #, account title, and security being delivered.

This completed form and statement, may be faxed to 212-202-4655, scanned & e-mailed to info@tradingdirect.com, or mailed to:
Trading Direct
160 Broadway
East Bldg Floor 7
New York NY 10038