

# Letter of Authorization -3<sup>rd</sup> Party Distributions

This form is used to provide authorization by the account owner(s) to issue a check or a wire payment to an alternate party that results in a change of beneficial ownership. This form is not intended to be used for ACAT transfers.

**STEP 1: ACCOUNT INFORMATION**

Brokerage Account Title (Name of this account)	Brokerage Account Number
Phone Number – best number during business hours	PHONE NUMBER, NOTARY OR MEDALLION STAMP IS REQUIRED FOR VERIFICATION.

**STEP 2: AMOUNT/TYPE OF REQUEST**

Dollar Amount: \$        One time only (default)     Standing Instructions

STANDING INSTRUCTIONS ARE VALID FOR ONE YEAR FROM SIGNATURE DATE BELOW. NOT AVAILABLE FOR IRA ACCOUNTS.

**STEP 3: THIRD PARTY PAYMENT METHOD – CHECK OR WIRE - Select only one**

Check

Make Check Payable to:	
Mail Check to:	

A THIRD PARTY DISTRIBUTION RESULTS IN A CHANGE OF BENEFICIAL OWNER.

EXAMPLES:

JON SMITH PAY TO: JON & MARY SMITH  
 JON & MARY SMITH PAY TO: JON SMITH  
 JON SMITH PAY TO: MARY SMITH

Wire

Bank Name		
City	State	ABA/Routing Number
3 <sup>rd</sup> Party Beneficiary Name	3 <sup>rd</sup> Party Beneficiary Account Number	
3 <sup>rd</sup> Party Beneficiary Address		
Intermediary Bank Name (if applicable)	Intermediary Bank Account Number	
City	State	Swift Code/IBAN
Purpose of Wire		

THIRD PARTY DISTRIBUTIONS FROM AN IRA ACCOUNT ARE LIMITED TO THE FOLLOWING:

- ALTERNATIVE INVESTMENTS
- CHARITABLE DONATIONS
- PAYMENTS TO ANOTHER FINANCIAL INSTITUTION FOR THE BENEFIT OF THE ACCOUNT OWNER ARE CONSIDERED TRANSFERS AND MUST BE SUBMITTED AS SUCH.
- FOREIGN ACCOUNT OWNER THIRD PARTY REQUESTS ARE SUBJECT TO ADDITIONAL REVIEW.

**STEP 4: NOTARY OR MEDALLION STAMP GUARANTEE**

Please use space below

IF PHONE VERIFICATION IS UNABLE TO BE COMPLETED, A NOTARY OR A MEDALLION STAMP GUARANTEE IS REQUIRED.

**STEP 5: SIGNATURES – ALL ACCOUNT HOLDERS MUST SIGN BELOW**

*By affixing my signature below, I represent to Axos Clearing LLC and my brokerage firm that the information contained above is truthful and accurate, and represents my instruction.*

Account Holder Signature <b>x</b>	Print Name	Date
Account Holder Signature <b>x</b>	Print Name	Date

-ALL REGISTERED OWNERS ON YOUR BROKERAGE ACCOUNT ARE REQUIRED TO SIGN THE SAME FORM.  
 -FOR BUSINESS AND TRUST ACCOUNTS, SEPARATE SUPPORTING DOCUMENTATION CONFIRMING THE SIGNATURE AUTHORITY FOR THE BROKERAGE ACCOUNT IS REQUIRED.

<b>SIGNATURE –GENERAL PRINCIPAL SIGNATURE</b>		
General Principal <b>x</b>	Print Name	Date