

If you answered Yes to either Option 1, Question 1 or Option 2, Question 2 of the IRA Rollover Certification form, you must complete this form to self-certify a late rollover. All other rollover rules still apply and this only applies as a waiver of the 60-day rollover timeliness requirement.

### ACCOUNT INFORMATION - REQUIRED

|                                      |                              |                 |
|--------------------------------------|------------------------------|-----------------|
| Account Title (Name of this account) |                              | Account         |
| Previous Custodian Name              | Rollover Contribution Amount | Broker Rep Code |

### LATE ROLLOVER CERTIFICATION INFORMATION

Pursuant to the Internal Revenue Service (IRS) Revenue Procedure 2016-47, I certify that this contribution missed the 60-day rollover deadline for the reason(s) listed below under Late Contribution Reason. I am making this contribution as soon as practicable after the reason or reasons listed below no longer prevent me from making the contribution. I understand that this certification concerns only the 60-day requirement for a rollover and that, to complete the rollover, I must comply with all other tax law requirements for a valid rollover and with your rollover procedures.

Axos Clearing LLC ("Axos Clearing") may rely on this certification to show that I have satisfied the conditions for a waiver of the 60-day rollover requirement for the amount identified above. Axos Clearing may not rely on this certification in determining whether the contribution satisfies other requirements for a valid rollover.

### LATE CONTRIBUTION REASON – (CHECK ALL THAT APPLY)

I intended to make the rollover within 60 days after receiving the distribution but was unable to do so for the following reason(s).

- The distribution was in the form of a check and the check was misplaced and never cashed.
- The distribution was deposited into and remained in an account that I mistakenly thought was an IRA.
- My principal residence was severely damaged.
- One of my family members died.
- I or one of my family members was seriously ill.
- I was incarcerated.
- Restrictions were imposed by a foreign country.
- A postal error occurred.
- The distribution was made on account of an IRS levy and the proceeds of the levy have been returned to me.
- The party making the distribution delayed providing information that the receiving IRA required to complete the rollover despite my reasonable efforts to obtain the information.
- An error was committed by the financial organization making the distribution or receiving the contribution.

### SIGNATURES

I declare that the representations made in this document are true and that the IRS has not previously denied a request for a waiver of the 60-day rollover requirement with respect to a rollover of all or part of the distribution to which this contribution relates. I understand that in the event I am audited and the IRS does not grant a waiver for this contribution, I may be subject to income and excise taxes, interest, and penalties. I understand Axos Clearing will be required to report the contribution to the IRS. I also understand that I should retain a copy of this signed certification with my tax records.

|                               |            |      |
|-------------------------------|------------|------|
| Account Holder Signature<br>x | Print Name | Date |
|-------------------------------|------------|------|