



Brokerage & Custody Exclusively for Advisors
Member FINRA/ SIPC/ Reg'd MSRB

9845 Erma Road, Suite 312
San Diego, CA 92131
Phone (858) 530-1031
(800) 380-7370
Fax (858) 530-1820

Deposit Instructions

DEPOSITING CHECKS

Make checks payable to "Pershing LLC"

- Write client account number on face of check
- Send checks to Shareholders Service Group at the address above.

Note: Cashier's checks and Money Orders are not accepted in amounts less than \$10,000.

For Retirement Accounts which use Pershing as Custodian

- Write year of contribution on face of check. If the year is not specified, deposit will be credited for current year.
- Complete an IRA Contribution Form and submit it along with the check.

For IRA Rollover Deposits

- IRA Rollover Checks should be made payable to: "Pershing LLC (Plan Type) FBO / Participant's name, Direct Rollover, Client Account # XXX-xxxxxx"
- Direct Rollover Form and previous sponsor's rollover documentation, if available, need to accompany check to show that funds have come from a qualified retirement plan.
- **Send checks to Shareholders Service Group at the address above.**

INSTRUCTIONS FOR WIRING FUNDS TO SSG

For Fed Funds wires to SSG use routing instructions below. Requests should be submitted to the delivering financial institution. SSG does not charge to receive fed funds wires. Sending institution may charge a fee.

Bank of New York (Address: 1 Wall Street New York, NY 10286)

ABA #: 021-000018

Account: Pershing LLC

Account #: 8900512385

For Further credit to: {Insert Customer Name}

{Insert Customer's SSG Account #}

Swift Code, if needed: IRVTUS3N (US Dollars)

For wires to Retirement Accounts which use Pershing as Custodian:

Fax a copy of a completed contribution form to SSG and provide the wire instructions above to the sending bank.

DEPOSITING CERTIFICATES—CERTIFICATE ENDORSEMENT INSTRUCTIONS

- The names on the registered certificate must match the title of the brokerage account. (If titles do not match, call our office for instructions and additional forms.) **All parties must sign.**
- The stock certificates (or Stock or Bond Power) must be endorsed exactly as the name(s) appear on the front.
- Signatures must be within 2 inches of the signature line on the back of the certificate.
- On the back of the certificate preceding the words "attorney to transfer," write "Pershing LLC."
- Write the client account number on the face of the certificate.
- Send stock/bond certificates to Shareholders Service Group at the above address. You may also send certificates unendorsed and also send an endorsed Stock or Bond Power in a separate mailing.

DEPOSIT OF STOCK VIA DTC TRANSFER

- Provide the delivering firm the following information when requesting DTC transfer to a SSG account.
 - Our (receiving firm) DTC/Clearing number: 0443
 - Client's SSG account number and exact account title (If incorrect or missing, transfer will be rejected)
 - Stock name and ticker symbol or CUSIP #
 - Share amount (Provide exact share amount and not dollar value)
- To check the transfer status, please contact the delivering firm. Normally DTC transfers take 2 days, but please check the delivering firm's policies.