



TRANSACTION DEPARTMENT (BROKERAGE) TRANSMITTAL FORM

DATE: _____

CLIENT NAME(S): _____

ACCOUNT NUMBER: _____ REP NUMBER _____

SOURCE OF FUNDS (for check amounts over \$5000): Gambling Winnings/Lottery Gift/Inheritance
 Rents/Real Estate Sale Earned Income (Annual Income \$ _____) Other (please list) _____

Note: Savings and Checking accounts are not a Source of Funds.

Any checks from an Investment Company require a Liquidation Form.

Checks must be payable to the clearing firm

CHECK# _____ AMOUNT _____ IF APPLICABLE, CONTRIBUTION YEAR _____

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ENCLOSED:

- LETTER OF UNDERSTANDING
(required for most products)
- HARBOUR NEW ACCOUNT FORM
- PERSHING NEW ACCOUNT FORM
- IRA ADOPTION AGREEMENT
- ACAT TRANSFER AND COPY OF STATEMENT
- LIQUIDATION FORM
- TRUSTEE CERTIFICATION OF INVESTMENT POWERS
- CORPORATE RESOLUTION
- MARGIN AGREEMENT
- OPTION AGREEMENT
- OTHER LEGAL DOCUMENTS

SPECIAL INSTRUCTIONS:

INFORMED CONSENT OF REG BI: By submitting this form, the financial professional acknowledges that the client has been provided access to Harbour's Form CRS and/or Harbour's Best Interest Disclosure. Access may be attained electronically by visiting <https://harbourinv.com/clients/regulation-bi/>, on paper, or by other means.