



Pershing Retail Transmittal

DATE: _____

CLIENT NAME(S): _____

Clearing Firm: _____

ENCLOSED:

- CLIENT INVESTMENT PROFILE
- CLIENT INVESTMENT PROFILE ON FILE
- Letter of Understanding – (excl. Stocks)
- LOU previously submitted for this position (excl. Stocks)
- LIQUIDATION FORM

ATTACHED:

Checks payable to: **Pershing or Wedbush**

- Check # _____ for \$ _____
- Check # _____ for \$ _____
- Check # _____ for \$ _____
- Check # _____ for \$ _____

NOTE: Business will not be processed without a Letter of Understanding or a New Account Form, unless on file already

*****If there is a check, please mail all paperwork to Harbour directly. Do not send an electronic copy*****

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

Note: If funds are from their savings, please specify the origination from the options above***

Pershing Retail

Individual/joint

Pershing Application
ACAT
Statement

IRA Account

IRA Adoption Agreement
ACAT
Statement

Roth Account

Roth IRA Adoption Agreement
ACAT
Statement

Trust

Pershing Application
ACAT
Statement
Trustee Certification
Fully copy of the Trust

Misc Forms:

ACH Authorization
IRA Contribution

Transfer on Death
IRA Distribution

Asset Movement

SPECIAL INSTRUCTIONS:

REPRESENTATIVE :

REP NO.