

Transfer of Assets: Contact and Delivery Instructions

PERSHING ADVISOR SOLUTIONS LLC

CONTACT AND DELIVERY INSTRUCTIONS

Contact

Client Service: (877) 870-7230

Send To

Pershing Advisor Solutions LLC
One Pershing Plaza, 6th Floor
Jersey City, New Jersey 07399

Tax Identification Number

13-2741729

SPECIAL INSTRUCTIONS

Include the Pershing Account Number on all documentation.

Checks

- Send checks to the attention of Pershing Advisor Solutions LLC, One Pershing Plaza, Jersey City, New Jersey 07399.

Certificates

- Send certificates to the attention of Department S, Physical Custody, One Pershing Plaza, Jersey City, New Jersey 07399

Limited Partnership Documents

- Send limited partnership documents to the attention of the Non ACAT Department, One Pershing Plaza, Jersey City, New Jersey 07399

Depository Trust and Clearing Corporation (DTCC) and Eligible Securities and Options

- Instruct DTCC eligible securities and the Options Clearing Corporation eligible options to clearing broker number 0443.

Federal Entry Securities

- Instruct federal entry securities, for instance, Treasury Notes, to BK OF NYC/PERSHING, ABA Number 021000018.

Restricted Cannabis Securities

- Transfer requests containing non-permissible securities that are received by Pershing will be rejected starting on November 25, 2019. After November 22, 2019, your firm needs to ensure that a partial account transfer is initiated, excluding any non-permissible securities. Review our Task Reference called *Initiate an Incoming Transfer Request* (available in NetX360® Resources) for more information.

Federal Funds Wires (Cash)

To transfer federal funds to Pershing, your clients must provide the following wire instructions to the financial organization that will be transmitting the funds on their behalf:

BANK: The Bank of New York Mellon
ABA NUMBER: 021000018
BENEFICIARY: Pershing LLC
ADDRESS: 240 Greenwich Street
New York, NY 10007

BENEFICIARY ACCOUNT NUMBER: 890-051238-5

ULTIMATE BENEFICIARY:

<Client's Brokerage Account Name>

ULTIMATE BENEFICIARY ACCOUNT NUMBER:

<Client's Brokerage Account Number (i.e.: 123-456789-1)>

If any of the above information is missing, there may be a delay in crediting the account or the funds may be returned to the sender. With regard to incoming federal fund wires for retirement accounts for which Pershing LLC is the custodian or serving as agent, please notify the Client Service Team, on any contribution-related deposits to ensure that the funds are coded properly for tax reporting.

Foreign Securities

- Please contact the Non-ACAT Department for local market instructions to receive the securities at (201) 413-4591 or 4571 option 4.

Reject Letters

- Send all reject letters to the attention of the Non-ACAT Department, One Pershing Plaza, Jersey City, New Jersey 07399.