

Instructions for Submitting Checks and Securities in Docupace

For standalone checks received for an existing client follow steps 1 – 15 (pg. 1-7).

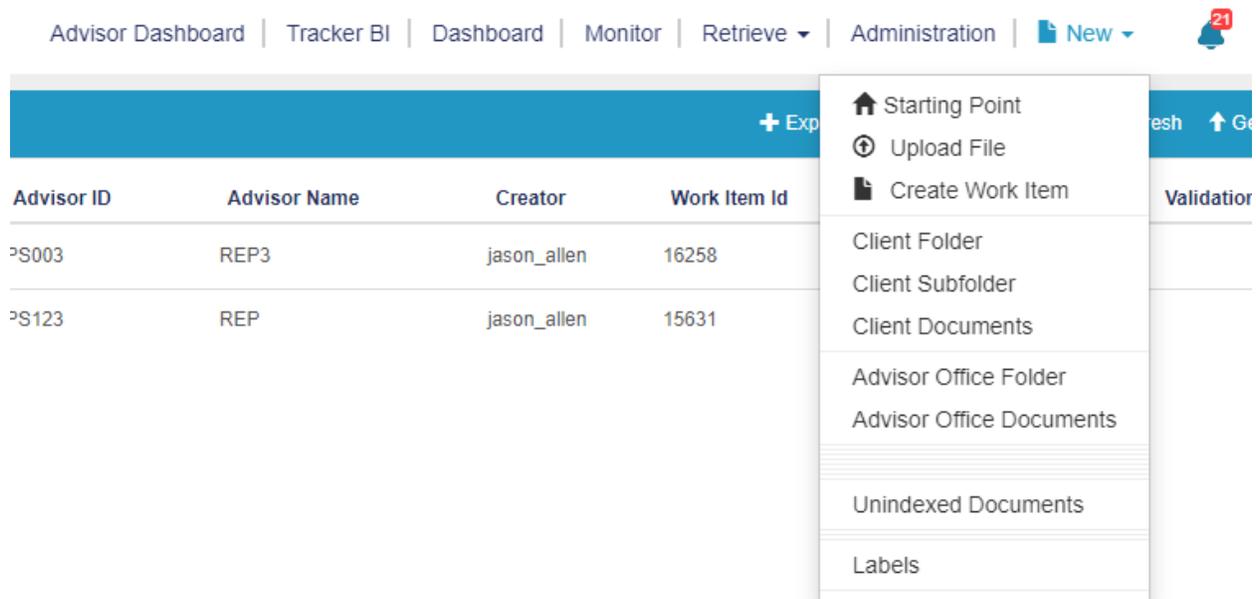
For standalone physical securities received for an existing client follow steps 1 – 15 (pg. 7 – 13)

For checks or physical securities received for a new client follow steps 1 - 14 (pg. 13 – 19)

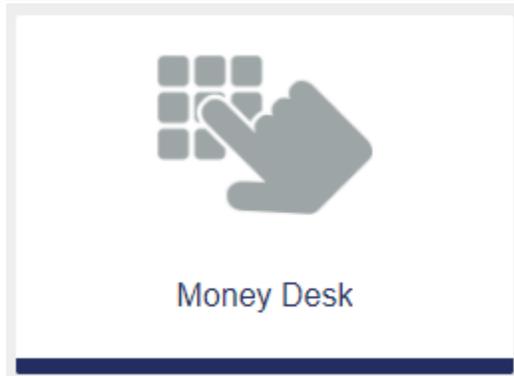
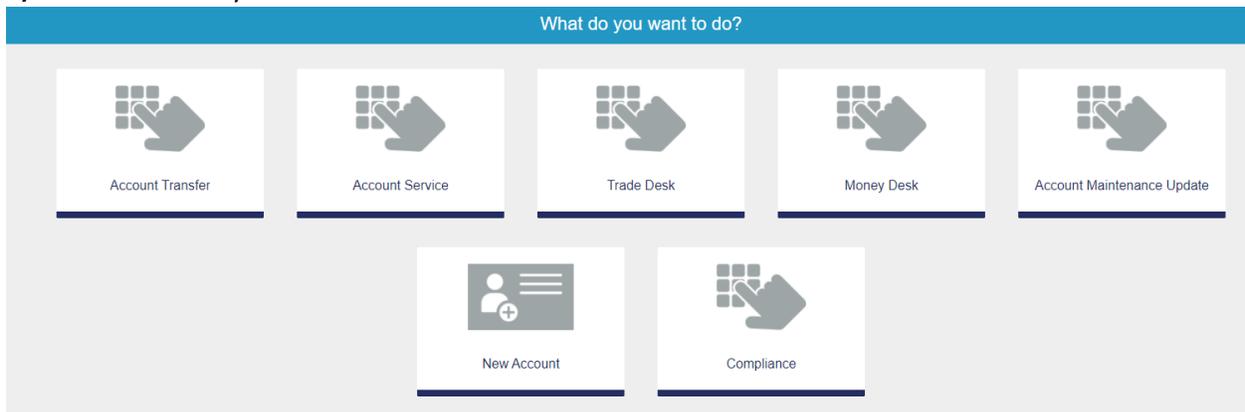
To run reports of check or securities blotters for reference follow steps 1 – 4 (pg. 19 – 20)

Standalone check received for an existing client

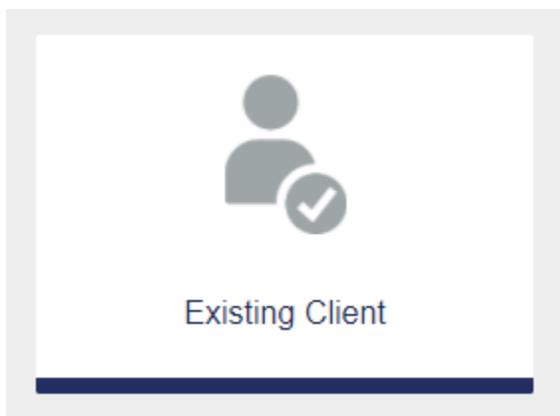
1) To blotter a check for an existing client with no additional paperwork begin in New – Starting Point. (In case of a split check, such as for a 401k contribution for multiple participants, it can be blotted in the employer-level client folder with a list of participants attached or listed in the Notes box. A split check for a 529 contribution can be blotted in one 529 account with the second account referenced in the Notes box.)



2) Select the Money Desk tile.



3) Then select the Existing Client tile.



4) Choose the existing client from all clients provided or use the search fields on the left side to find the client.

Default ▼ Click on a record below to select. Show 15 entries

Clear Refresh

Full name search
Full name search

TIN/SSN
TIN/SSN

Last Name begins with
client

First Name
First Name

		Rep												
First Name	Last Name	Company Name	SSN Masked	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Business Type	Last Note	Client Type	Client Status	User	Group
PRIMARY	CLIENT		XXXXX9999	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	becca_metz	CLIENT HOUSEHOLD

Brokerage	Individual	Brokerage - Retail	PERSHING				PRIMARY CLIENT		PS003	REP3	PS	XXXXX3333		becca_metz
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5) Choose the existing account the check is being deposited to or click New Client Subfolder if the account does not appear.

New Client Subfolder Show 10 entries

Client Subfolder Type	Registration Type	Product Type	Vendor/Custodian	Account #	Last Note	Other Description	Client Folder			Rep				User
							First Name	Last Name	Company Name	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	
Direct Business	IRA - Traditional	Direct - Mutual Fund	FIDELITY ADVISORS	7123682594IA			PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	jason_allen
Direct Business	Money Purchase Plan	Direct - Mutual Fund	FIDELITY ADVISORS	OK1234567890			PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	jason_allen
Direct Business	Individual 401(k) - Employer	Direct - Mutual Fund	JACKSON NATIONAL LIFE INSURANCE COMPANY	PS123-000112345			PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	ps.rep
Direct Business	Partnership	Direct - Mutual Fund	AMERICAN FUNDS	PS123578951			PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	becca_metz
Brokerage	Individual	Brokerage - Retail	PERSHING				PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	becca_metz
Direct Business	401(k) - Roth Participant	Direct - Mutual Fund	FIDELITY ADVISORS				PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	jason_allen
Direct Business	401(k) - Inherited Individual	Direct - Mutual Fund	JACKSON NATIONAL LIFE INSURANCE COMPANY				PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	jason_allen
Direct Business	Individual	Direct - Mutual Fund	JACKSON NATIONAL LIFE INSURANCE COMPANY				PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	jason_allen
Brokerage	Individual	Brokerage - Retail	PERSHING				PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	ps.rep3
Direct Business	Individual	Direct - Mutual Fund	FIDELITY ADVISORS				PRIMARY	CLIENT		PS003	REP3	PS	XXXXX3333	jason_allen

Showing 1 to 10 Previous Next

6) Click No State Required

State ▼

No State Required

7) Review the summary and click Create Work Item.

Review summary before creating Work Item

Selected folders

First Name	Last Name	Company Name	SSN Masked	Rep				Business Type	Last Note	Client Type	Client Status	User	Group
				Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN						
PRIMARY	CLIENT		XXXXX9999	PS003	REP3	PS	XXXXX3333	BD/RIA		Person	Active	becca_metz	CLIENT HOUSEHOLD

Options Selected

Client information PRIMARY CLIENT

Selected Rep Code PS003

Selected Business Type Account Maintenance Update

Selected Sponsor/Custodian from Account PERSHING

Selected Product Type from Account Brokerage - Retail

Selected Registration Type from Account Individual

[Create Work Item](#)

Optional Forms

Form Name	Form Number	Description
ACH AUTHORIZATION AGREEMENT INS	FRM-ACH	Used to establish electronic transfer between a Pershing retail brokerage account and a client bank account.
AFFIDAVIT OF DOMICILE	FRM-AFFDOM-9-09	
BROKERAGE ACCOUNT ADDENDUM	Addendum for Brokerage Accounts	
CANADA TAX TREATY ? HYBRID ENTITY NR303	NR303	

8) To add a copy of the check, click Add Documents – Unindexed Documents

Client Work Item WI Notes Get J-Core Data

Work Item ID	Request Type	Client Account													Request Status	SLA Start Time	SLA Stop Time	Error Description	Jaccomo Checked
		Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Advisor Rep Code	Advisor Last Name					
16640	Account Maintenance Update		CLIENT HOUSEHOLD CLIENT	PRIMARY		XXXXX9999	PS003	REP3	PS	XXXXX3333	PS003	REP3	PS	XXXXX3333	Indexed	12/21/20	11:38 AM		

+ Add Documents

Unindexed Documents

Client Documents

Form From Library

Form Name	Form Number	Description

9) Drag a copy of the check into the Drag & Drop box or click on Upload to find a copy of the image on your computer and click Save in the upper right corner.

Dashboard / Work Item #16640 Save Cancel

Details

Batch ID

Scanning Station

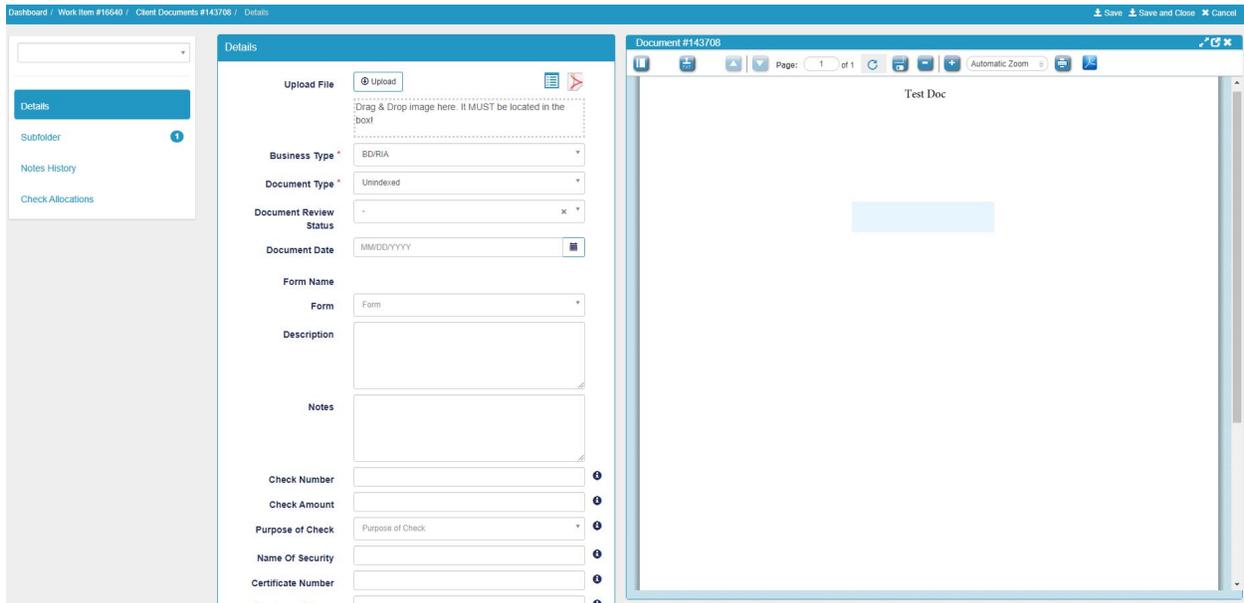
Image Content

File upload was successful!

Drag & Drop image here. It MUST be located in the box!

Document Tools Update Document Apply

10) The check image will appear with the details section on the left.



11) Business Type will default to BD/RIA. Document type is required and **Check** should always be selected to blotter a check.

A close-up view of the 'Details' form. It shows the 'Upload File' section with an 'Upload' button and a dashed box containing the text 'Drag & Drop image here. It MUST be located in the box!'. Below this are three dropdown menus: 'Business Type' with 'BD/RIA' selected, 'Document Type' with 'Check' selected, and 'Document Review Status' with '-' selected. The 'Document Type' dropdown is highlighted with a blue border.

12) Fill in the Check Number, Check Amount, Purpose of Check, Date Advisor Received, Date Advisor Forwarded, and Advisor Forwarded To fields.

The screenshot shows a web form with the following fields and values:

- Check Number: 123
- Check Amount: 500
- Purpose of Check: Deposit
- Name Of Security: (empty)
- Certificate Number: (empty)
- Number of Shares: (empty)
- Approximate Share Value: (empty)
- Date Advisor Received: 12/20/2020
- Date Advisor Forwarded: 12/20/2020 11:44AM
- Advisor Forwarded To: (dropdown menu open)

The dropdown menu for "Advisor Forwarded To" is open, showing a search bar and a list of options:

- MFS INVESTMENT MANAGEMENT
- NATIONWIDE
- OTHER
- PACIFIC LIFE
- PERSHING
- PRINCIPAL FUNDS
- PRUDENTIAL
- PRUDENTIAL MUTUAL FUNDS

13) Click Save and Close.

A blue button bar containing three options: Save, Save and Close, and Cancel.

14) Click Send for Review.

The screenshot shows a "Pending Advisor Review" interface with the following elements:

- Header: Pending Advisor Review
- Buttons: Actions (dropdown), Reassign
- Bottom Buttons: Send for Review, Merge, Archive, Re-Process

15) The check has been blotted and sent for Operations Review.

<input type="checkbox"/>	Request Type	Client Last Name	SLA Start	Advisor Name	Advisor ID	Account #	Creator	Work Item Id	Last Modified	Task Name	SLA Status	Request Status	Validation Message	Assigned to	Node Name
<input type="checkbox"/>	Account Maintenance Update	CLIENT	12/21/20 11:38 AM	REP3	PS003		ps.rep3	16640		Operations Review	IGO	IGO	Documents added on 12/21/20		Pre-Review4

Standalone security received for an existing client

1) To blotter a security for an existing client with no additional paperwork begin in New – Starting Point.

Advisor Dashboard | Tracker BI | Dashboard | Monitor | Retrieve ▾ | Administration | **New ▾** 21

Advisor ID	Advisor Name	Creator	Work Item Id	Validation
PS003	REP3	jason_allen	16258	
PS123	REP	jason_allen	15631	

- Starting Point
- Upload File
- Create Work Item
- Client Folder
- Client Subfolder
- Client Documents
- Advisor Office Folder
- Advisor Office Documents
- Unindexed Documents
- Labels

2) Select the Money Desk tile.

What do you want to do?



Account Transfer



Account Service



Trade Desk



Money Desk



Account Maintenance Update



New Account

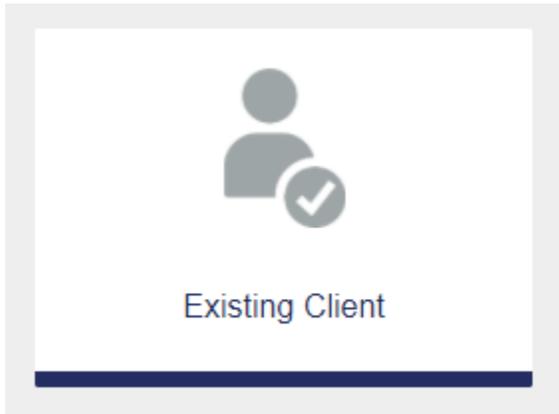


Compliance



Money Desk

3) Then select the Existing Client tile.



4) Choose the existing client from all clients provided or use the search fields on the left side to find the client.

Default ▼ Click on a record below to select. Show 15 entries

Clear Refresh

Full name search

TIN/SSN

Last Name begins with ▼

First Name

		Rep												
First Name	Last Name	Company Name	SSN Masked	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Business Type	Last Note	Client Type	Client Status	User	Group
PRIMARY	CLIENT		XXXXX9999	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	becca_metz	CLIENT HOUSEHOLD

Brokerage	Individual	Brokerage - Retail	PERSHING			PRIMARY CLIENT		PS003	REP3	PS	XXXXX3333		becca_metz	
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5) Choose the existing account the security is being deposited to or click New Client Subfolder if the account does not appear.

New Client Subfolder Show 10 entries

Client Subfolder Type	Registration Type	Product Type	Vendor/Custodian	Account #	Last Note	Other Description	Client Folder		Rep						
							First Name	Last Name	Company Name	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	User
Direct Business	IRA - Traditional	Direct - Mutual Fund	FIDELITY ADVISORS	71236825941A			PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		jason_allen	
Direct Business	Money Purchase Plan	Direct - Mutual Fund	FIDELITY ADVISORS	OK1234567890			PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		jason_allen	
Direct Business	Individual 401(k) - Employer	Direct - Mutual Fund	JACKSON NATIONAL LIFE INSURANCE COMPANY	PS123-000112345			PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		ps.rep	
Direct Business	Partnership	Direct - Mutual Fund	AMERICAN FUNDS	PS123578951			PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		becca_metz	
Brokerage	Individual	Brokerage - Retail	PERSHING				PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		becca_metz	
Direct Business	401(k) - Roth Participant	Direct - Mutual Fund	FIDELITY ADVISORS				PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		jason_allen	
Direct Business	401(k) - Inherited Individual	Direct - Mutual Fund	JACKSON NATIONAL LIFE INSURANCE COMPANY				PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		jason_allen	
Direct Business	Individual	Direct - Mutual Fund	JACKSON NATIONAL LIFE INSURANCE COMPANY				PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		jason_allen	
Brokerage	Individual	Brokerage - Retail	PERSHING				PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		ps.rep3	
Direct Business	Individual	Direct - Mutual Fund	FIDELITY ADVISORS				PRIMARY	CLIENT	PS003	REP3	PS	XXXXX3333		jason_allen	

Showing 1 to 10 Previous Next

6) Click No State Required

State

[No State Required](#)

7) Review the work item and click Create Work Item.

Review summary before creating Work Item

Selected folders

First Name	Last Name	Company Name	SSN Masked	Rep Code	Rep				Business Type	Last Note	Client Type	Client Status	User	Group
					Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code						
PRIMARY	CLIENT		XXXXX9999	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	becca_metz	CLIENT HOUSEHOLD

Options Selected

- Client information** PRIMARY CLIENT
- Selected Rep Code** PS003
- Selected Business Type** Account Maintenance Update
- Selected Sponsor/Custodian from Account** PERSHING
- Selected Product Type from Account** Brokerage - Retail
- Selected Registration Type from Account** Individual

[Create Work Item](#)

Optional Forms

Form Name	Form Number	Description
ACH AUTHORIZATION AGREEMENT INS	FRM-ACH	Used to establish electronic transfer between a Pershing retail brokerage account and a client bank account.
AFFIDAVIT OF DOMICILE	FRM-AFFDOM-9-09	
BROKERAGE ACCOUNT ADDENDUM	Addendum for Brokerage Accounts	
CANADA TAX TREATY ? HYBRID ENTITY NR303	NR303	

8) To add a copy of the security, click Add Documents – Unindexed Documents

Client Work Item WI Notes | Get More Data

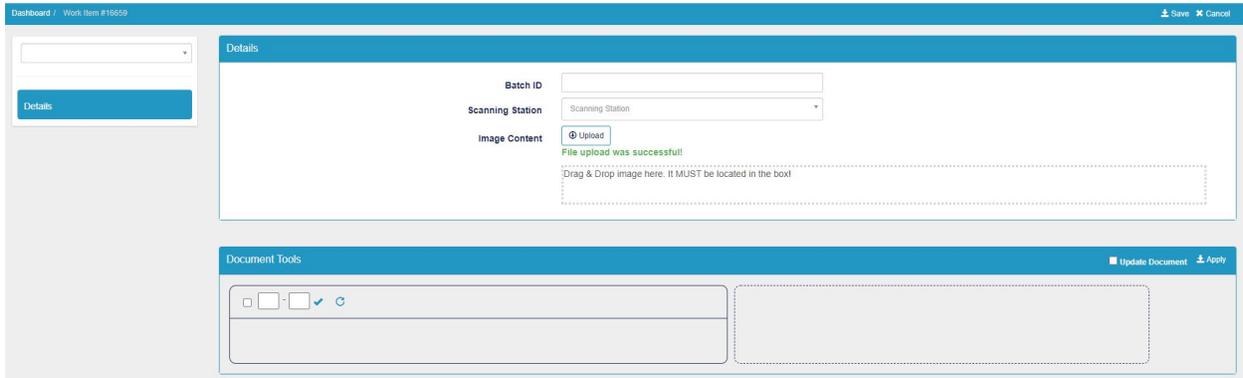
Work Item ID	Request Type	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Request Status	SLA Start Time	SLA Stop Time	Error Description	Jacommo Checked	
																							Client Account
16640	Account Maintenance Update		CLIENT HOUSEHOLD CLIENT	PRIMARY			XXXXX9999	PS003	REP3	PS	XXXXX3333		PS003	REP3	PS	XXXXX3333		Indexed	12/21/20 11:38 AM				

+ Add Documents

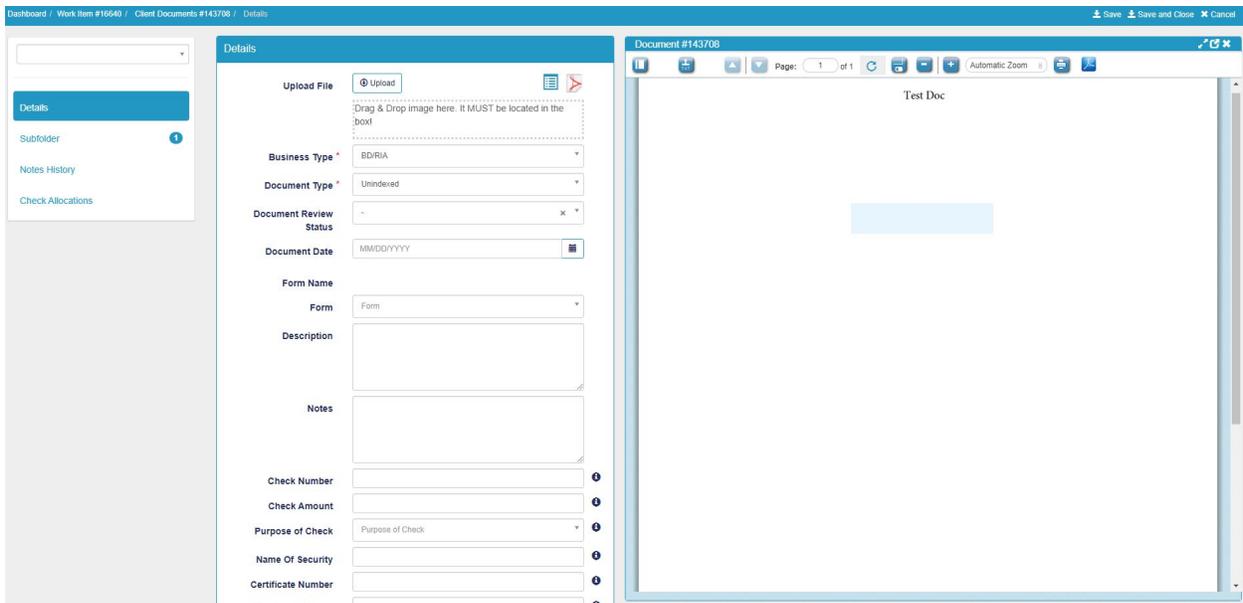
- Unindexed Documents
- Client Documents
- Form From Library

Form Number	Description

9) Drag a copy of the security into the Drag & Drop box or click on Upload to find a copy of the image on your computer and click Save in the upper right corner.



10) The security image will appear with the details section on the left.



11) Business Type will default to BD/RIA. Document type is required and **Security** should always be selected to blotter a security.

Details

Upload File  

Drag & Drop image here. It MUST be located in the box!

Business Type *

Document Type *

Document Review Status 

Document Date 

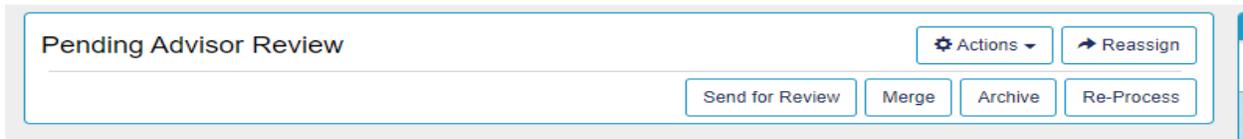
12) Fill in the Name of Security, Certificate Number, Number of Shares, Approximate Share Value, Date Advisor Received, Date Advisor Forwarded, and Advisor Forwarded To fields.

Name Of Security	<input type="text" value="Apple"/>	
Certificate Number	<input type="text" value="a123456"/>	
Number of Shares	<input type="text" value="100"/>	
Approximate Share Value	<input type="text" value="12500.00"/>	
Date Advisor Received	<input type="text" value="12/20/2020"/>	
Date Advisor Forwarded	<input type="text" value="12/20/2020 12:01PM"/>	
Advisor Forwarded To	<input type="text" value="PERSHING"/>	
Date Field OSJ Received	<input type="text" value="MM/DD/YYYY"/>	
Date Field OSJ Forwarded	<input type="text" value="MM/DD/YYYY"/>	
Field OSJ Forwarded To	<input type="text" value="Field OSJ Forwarded To"/>	
Date Back Office Received	<input type="text" value="MM/DD/YYYY"/>	
Date Back Office Forwarded	<input type="text" value="MM/DD/YYYY"/>	

13) Click Save and Close.

Save Save and Close Cancel

14) Click Send for Review.

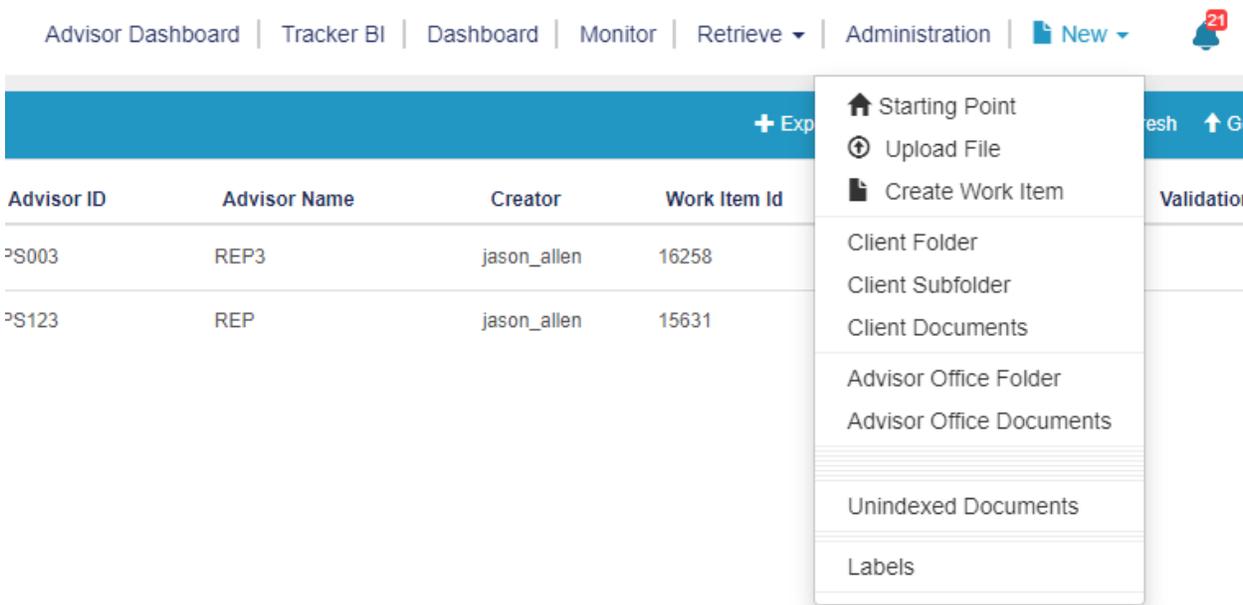


15) The security has been blottered and sent for Operations Review.

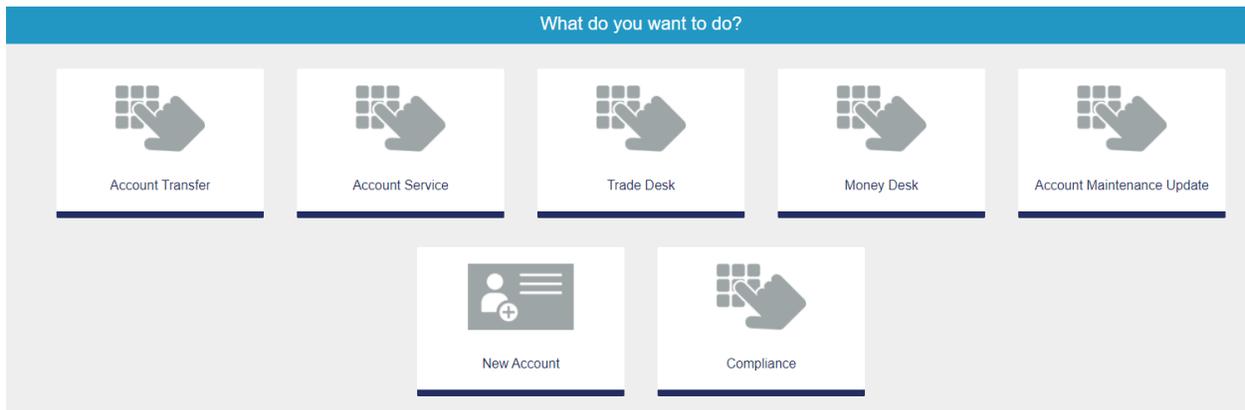
<input type="checkbox"/>	Request Type	Client Last Name	SLA Start	Advisor Name	Advisor ID	Account #	Creator	Work Item Id	Last Modified	Task Name	SLA Status	Request Status	Validation Message	Assigned to	Node Name
<input type="checkbox"/>	Account Maintenance Update	CLIENT	12/21/20 11:38 AM	REP3	PS003		ps.rep3	16640		Operations Review	IGO	IGO	Documents added on 12/21/20		Pre-Review4

Checks or Securities received with New Client Documents

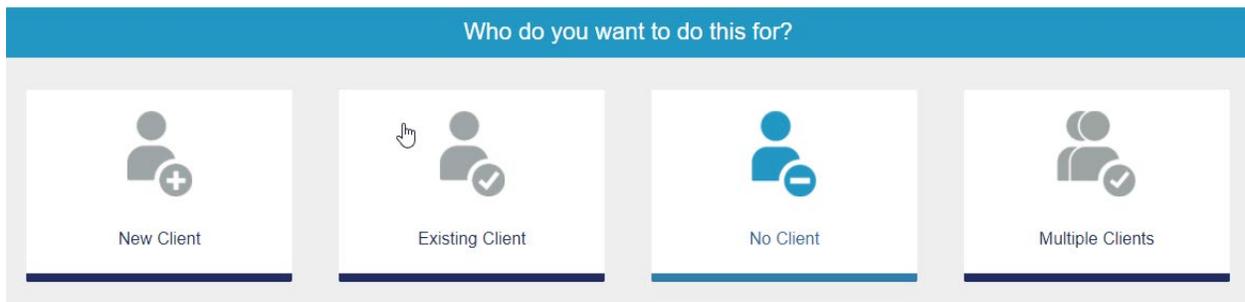
1) To blotter a check or physical security for a new client with the new account process begin in New – Starting Point.



2) Select the New Account tile.



3) Go through the New Account Process by selecting New Client.



4) Fill in client data and click save.

Rep ^{*} + Add Remove

	Rep Code	Last Name	First Name	Rep SSN	OSJ Code
<input type="checkbox"/>	PS003	REP3	PS	XXXXX3333	

Showing 1 to 1 Previous Next

Details

Client Type *	<input type="text" value="Person"/>	Business Type *	<input type="text" value="BD/RIA"/>
Client Status *	<input type="text" value="Active"/>	Middle Name	<input type="text"/>
First Name	<input type="text" value="Tom"/>	Suffix	<input type="text"/>
Last Name	<input type="text" value="Client"/>	Group	<input type="text"/>
Company Name	<input type="text"/>	Gender	<input type="text" value="Gender"/>
TIN/SSN	<input type="text"/>	Email	<input type="text"/>
DOB	<input type="text" value="MM/DD/YYYY"/>	Legal City	<input type="text"/>
Legal Address	<input type="text"/>	Legal Zip	<input type="text"/>
Legal State	<input type="text" value="Legal State"/>	Legal Province	<input type="text"/>
Legal Country	<input type="text" value="Legal Country"/>	Mailing Address	<input type="text"/>
Copy Legal to Mailing	<input type="text"/>	Mailing City	<input type="text"/>
Mailing Address Line 2	<input type="text"/>		

5) Select Sponsor or Custodian.

What Sponsor/Custodian do you want to use?

Select a Sponsor/Custodian

 PERSHING	 FIDELITY ADVISORS	 NATIONWIDE INSURANCE	 JACKSON NATIONAL LIFE INSURANCE COMPANY	 SCHWAB
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6) Click No State Required.

State

7) Select Product Type.

Select a Product Type

Product Type ▾

🔍

Brokerage - Advisory

Brokerage - Retail

8) Select Registration Type.

Select Registration Type

Registration Type ▾

🔍

401(k) - Employer

401(k) - Inherited Individual

401(k) - Omnibus

401(k) - Participant

401(k) - Roth Omnibus

401(k) - Roth Participant

403(b)

457 Plan

9) Click Create Work Item.

Review summary before creating Work Item

History

Selected folders

First Name		Last Name		Company Name	SSN Masked	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Business Type	Last Note	Client Type	Client Status	User	Group
TOM		CLIENT				PS003	REP3	PS	XXXXX3333		ED/RIA		Person	Active		

Options Selected

Client information

TOM CLIENT

Selected Rep Code

PS003

Selected Business Type

New Account

Selected Sponsor/Custodian

PERSHING

Selected Product Type

Brokerage - Retail

Selected Registration Type

Individual

Create Work Item

Required Forms

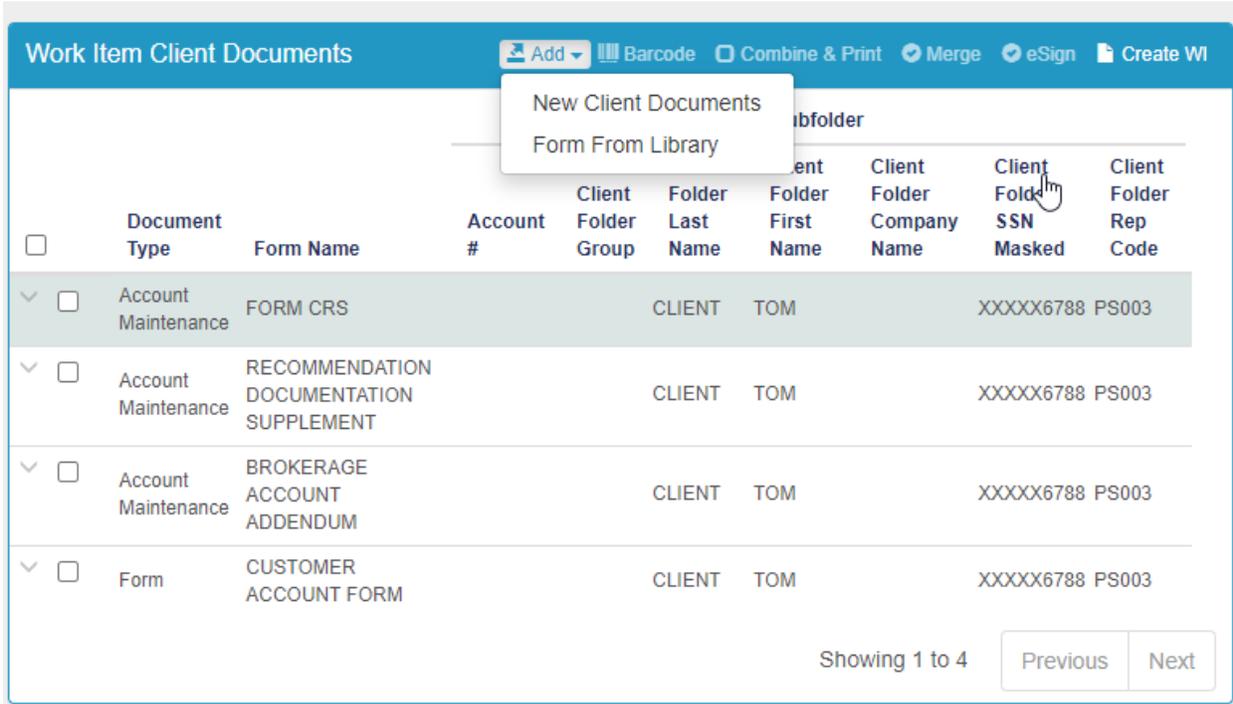
Form Name	Form Number	Description
BROKERAGE ACCOUNT ADDENDUM		Addendum for Brokerage Accounts
CUSTOMER ACCOUNT FORM		PCS Customer Account Form
FORM CRS		PCS Client Relationship Summary 06012020.pdf
RECOMMENDATION DOCUMENTATION SUPPLEMENT		

Showing 1 to 4
Previous
Next

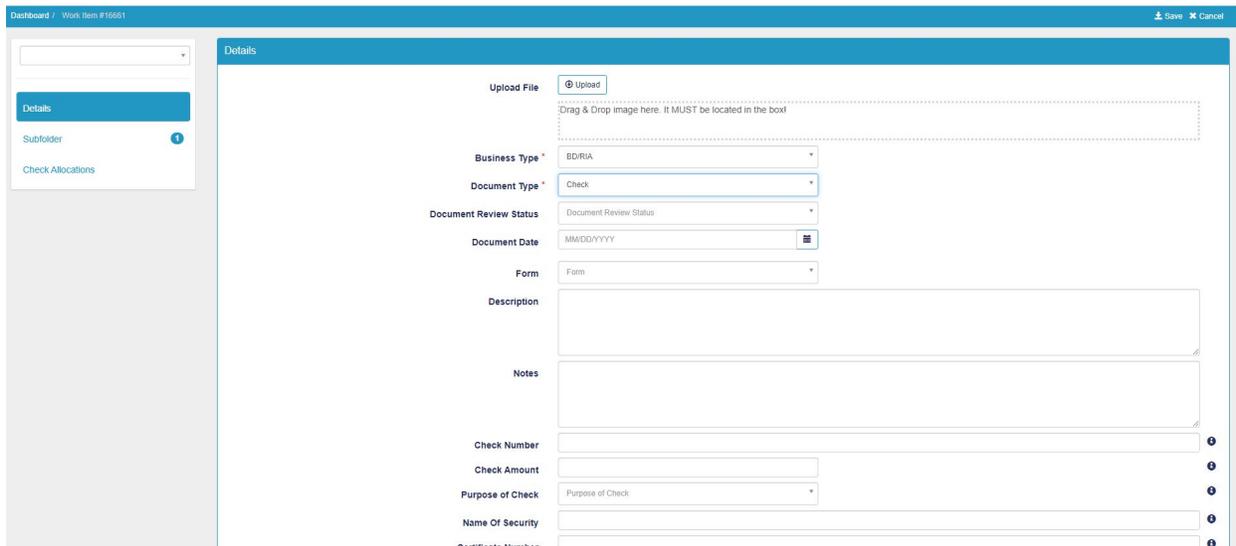
Client information
TOM CLIENT
Selected Rep Code
PS003
Selected Business Type
New Account
New/Existing Folder
Created New Folder
Selected Sponsor/Custodian
PERSHING
No State Required
Selected Product Type
Brokerage - Retail
Selected Registration Type
Individual

Back

10) Complete the client documents for the new account process then click Add in the Work Item Client Documents box and select New Client Documents.



11) Drag and drop the copy of the check or security into the Drag & Drop box or select Upload to choose the file from your computer.



12) Select the Document Type of either Check or Security and fill in the appropriate check or security details as well as receipt and forward date and forward to information and click Save.

Document Type *

Document Review Status

Document Date

Form

Description

Notes

Check Number ⓘ

Check Amount ⓘ

Purpose of Check ⓘ

Name Of Security ⓘ

Certificate Number ⓘ

Number of Shares ⓘ

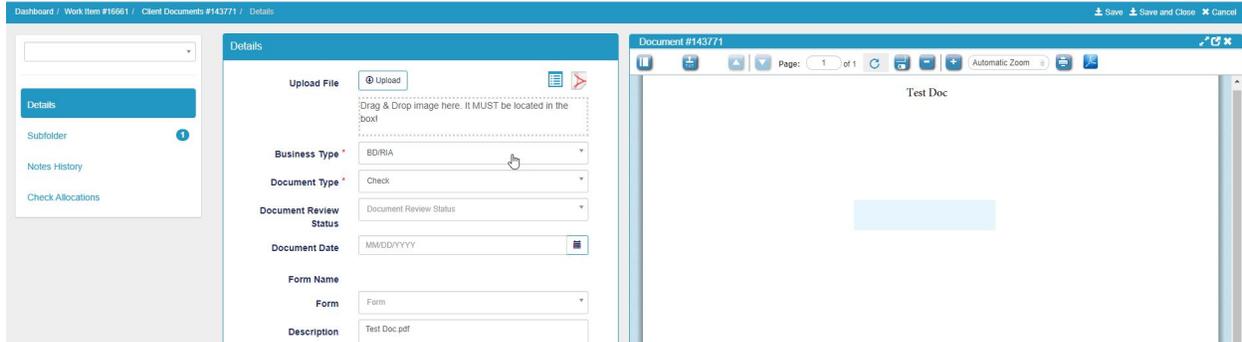
Approximate Share Value ⓘ

Date Advisor Received ⓘ

Date Advisor Forwarded ⓘ

Advisor Forwarded To ⓘ

13) Click Save and Close to return to the Work Item.



14) Continue with the signature process for the new account and submit for review.

Dashboard / Work Item #16661

Pending Advisor Review

Actions Reassign

Send for Review Merge Archive Re-Process

Client Work Item WI Notes Get Jcore Data

Client Account											
Work Item ID	Request Type	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code	Advisor Last Name	Advisor First Name	
16661	New Account		CLIENT	TOM			XXXXX6788	PS003	REP3	PS	

Reports

1) To run a check or securities blotter, go to Administration – Reports.

Administration - Reports

List Domains Reports File Uploaders Barcodes

2) Click on the log to run a report.

Reports 4 items found, displaying all items 1

Name	Description
Checks Received and Forwarded Log Rep Version	Checks Received and Forwarded Log
Correspondence Report Rep Version	Correspondence Report Rep Version
Securities Received and Forwarded Log Rep Version	Securities Received and Forwarded Log Rep Version
Signature Guarantee Log Rep Version	Signature Guarantee Log Rep Version

3) Enter the report parameters.

Parameters for: Checks Received and Forwarded Log Rep Version

Received Date From	12-01-2020
Received Date To	12-01-2020
Forwarded Date From	
Forwarded Date To	
List of Reps for User *	All
Sales Branch *	All

OK

* Indicates required parameters

4) Select the output format.

Export Options for: Checks Received and Forwarded Log Rep Version

Export Type PDF HTML CSV RTF Text

Checks Received and Forwarded Log

Date Received: 12/01/2020 12/21/2020 Rep #: PS003
 Date Delivered: Sales Branch All

Date Received	Rep Name	Rep#	Client Name	Subfolder Type	Acct#	Forwarded To	Check#	Check Amount	Date Forwarded	Document ID	Purpose of Check
12/16/2020	PS REP3	PS003	PRIMARY CLIENT	Brokerage		PERSHING	123	\$ 1,000.00	12/16/2020	142813	Deposit
12/16/2020	PS REP3	PS003	PRIMARY CLIENT	Direct Business		JACKSON NATIONAL LIFE	987	\$ 3,000.00	12/16/2020	142816	Deposit
12/17/2020	PS REP3	PS003	PRIMARY CLIENT	Direct Business	PS123-000112345	JACKSON NATIONAL LIFE	789	\$ 10,000.00	12/17/2020	143357	Deposit
12/17/2020	PS REP3	PS003	PRIMARY CLIENT	Direct Business	PS123578951	AMERICAN FUNDS	456	\$ 1,236.00	12/17/2020	143351	Deposit
12/20/2020	PS REP3	PS003	PRIMARY CLIENT	Brokerage		PERSHING	123	\$ 500.00	12/20/2020	143708	Deposit

Securities Received and Forwarded Log

Date Received: 12/01/2020 12/21/2020 Rep #: PS003
 Date Delivered: Sales Branch PS3

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