

# ACH Authorization Agreement

PERSHING ADVISOR SOLUTIONS LLC

Please complete the following fields to set up the electronic transfer of funds between your Pershing Advisor Solutions LLC brokerage account and the account with your bank/financial institution. You may begin depositing funds into your brokerage account from your financial institution or send payments to your financial institution account from your brokerage account upon approval. All transactions are processed through the Automated Clearing House (ACH) system.

## STEP 1. ACCOUNT INFORMATION

Account Number	Account Title
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## STEP 2. INSTRUCTIONS

- Set up new instructions.
- Replace existing instructions. Complete all applicable sections.

Nickname/description for instructions (optional)

## STEP 3. TYPE OF REQUEST

### Standing Instructions — Ad-Hoc

- Standing instructions for transfers INTO and/or OUT of my brokerage account. Proceed to Step 6.

### Periodic Contributions/Distributions

All periodic instructions will establish a standing instruction. Select one option below then proceed to Step 4.

- Periodic contributions INTO my brokerage account (Deposit). For retirement accounts, also indicate a contribution type in Step 5.
- Periodic distributions OUT of my brokerage account (Pay Principal).
- Periodic income distributions OUT of my brokerage account (Pay Income).
- Periodic purchase of mutual funds (SRS). ACH is contingent upon the execution of periodic mutual fund purchases.

STANDING INSTRUCTIONS WILL EXPIRE WITHIN 15 MONTHS OF NON-USE.

AN IRA OR QRP DISTRIBUTION FORM IS REQUIRED FOR DISTRIBUTIONS OUT OF RETIREMENT ACCOUNTS.

## STEP 4. AMOUNT, START DATE AND FREQUENCY OF PERIODIC REQUESTS

Dollar Amount (leave blank for income or Required Minimum Distribution)	Start Date
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Select one option only.

- Weekly:  M  T  W  TH  F
- Semi-monthly - Occurs twice a month
- Monthly - Occurs every month
- Bi-monthly - Occurs every other month
- Quarterly - Occurs every 3 months
- Semi-annually - Occurs every 6 months
- Annually - Occurs every 12 months

REQUIRED FOR PERIODIC INSTRUCTION.

SEMI-MONTHLY DISTRIBUTIONS TAKE PLACE 14 CALENDAR DAYS AFTER THE START DATE.

REQUESTS SCHEDULED ON A WEEKEND OR HOLIDAY WILL OCCUR ON THE FOLLOWING BUSINESS DAY.



ACHA





# ACH Authorization Agreement: One and the Same Letter

PERSHING ADVISOR SOLUTIONS LLC

Please complete the below fields if the name on your brokerage account does not match the name on your bank account and voided check.

## Name Differences

Only required if the name on your brokerage account does not match the name on your bank account.

Please only complete the information below if the name on your check does not match the name on your brokerage account but each account belongs to you. Examples of acceptable name differences include a bank account using middle initial instead of full name or using the suffix Jr. or Sr. when the brokerage account does not. Please note name changes due to marriage or divorce do require a completed one and the same letter.

I certify that the name on the voided check is different than the name on my Pershing Advisor Solutions LLC brokerage account; and I hereby certify that I am indeed one and the same person by signing below.

I certify that \_\_\_\_\_ and \_\_\_\_\_ are one and the same person  
Name on check Name on brokerage account

Print Name	Date
Signature	

X

## Notarization

State of \_\_\_\_\_

County of \_\_\_\_\_

I certify that on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, before me, the undersigned personally appeared \_\_\_\_\_, personally known to me or provide to me on the basis of satisfactory evidence to be the individual whose name is subscribed to be within the instrument and acknowledged to me that he/she executed the same in his/her capacity, and that by his/her signature on the instrument the individual, or the person upon behalf of whom the individual acted, executed the instrument.

Notary Public Signature \_\_\_\_\_

My Commission Expires \_\_\_\_\_

[SEAL]