

DOCUMENT PROCESSING IDENTIFICATION FORM

I. BROKER-DEALER INFORMATION

NAME: _____ TELEPHONE NUMBER: _____

INTRODUCING BROKER-DEALER: _____ INTRODUCING BROKER-DEALER NUMBER: _____

DATE: _____

II. INSTRUCTIONS

Please utilize this form when sending a document to Pershing for processing. This form should precede the document you are submitting. It will separate it from those documents with a bar code in your fax transmission and allow the document to be quickly identified and routed to the correct processing area.

When sending multiple documents without a bar code, this form should precede each one of the documents. For instance, if you are submitting two birth certificates you should have two document processing identification forms, one preceding each of the certificates.

NOTE: Please do not write any instructions on this document

