

Purchase Instruction/Receipt

Client Name - <i>full name as listed on account</i>			State	Date Receipt Issued (MMDDYYYY)
Advisor Name		Advisor ID	Total # of Checks	Total Amount
				\$

Payment Type - Select one payment type for each dollar amount

Account Number <i>(Do Not use Client ID)</i>	Check Digit	Admin Code	Dollar Amount	IRA/Roth/CESA								
				Rollover	Transfer	Current Year	Prior Year	SEP IRA	Simple IRA	Conversion	Loan Payment	Add On /Prem
			\$	<input type="radio"/>								
			\$	<input type="radio"/>								
			\$	<input type="radio"/>								
			\$	<input type="radio"/>								
			\$	<input type="radio"/>								

Acknowledgment

Authorization for Electronic Debit: We will process checks electronically at first presentment and any re-presentments by transmitting the amount of the check, routing number, account number and check serial number to your financial institution, unless the check cannot be processed electronically or a less costly process is available. By submitting a check for payment you authorize us to initiate an electronic debit from your bank or asset account. When we process your check electronically, your payment may be debited to the bank or asset account on the same day we receive your check and you will not receive the cancelled check with your bank or asset account statement. If we cannot collect the funds electronically we may issue a draft against the bank or asset account for the amount of the check.

- i Use Client Viewer to find Check Digit and Admin Code information and include on the form.
- ! Failure to provide accurate instructions may result in a misapplied payment, a delay in processing and/or a delay in payment of compensation and chargeback to the submitting Advisor.

Account Number, Check Digit, Admin Code

Provide the full Account Number which includes the Check Digit and the Admin Code for each Account Number.

For New Accounts, indicate the product(s) and payment amount for each account.

Payment type definition:

Direct Rollover

The direct movement of assets from a Qualified Retirement Plan (QRP) (i. e. 401(k), 403(b), etc.) to an IRA.

Indirect Rollover

The movement of cash from a QRP or IRA. The client takes receipt of the funds and contributes the assets within 60 days to an eligible retirement plan.

Transfer

The direct movement of assets between trustees or custodians of

like plans. Constructive receipt is not allowed.

IRA/Roth IRA/Coverdell Education Savings Account (CESA)

Current Year Contribution - These are payments received between January 1st and December 31st.

Prior Year Contribution - Elections allowed for payments received between January 1st and the tax return due date without extensions, generally April 15th.

SEP/SIMPLE IRA

We are required to code all contributions for tax year received. (Prior year elections are not applicable for SEP IRA plans and SIMPLE IRA plans.)

Roth Conversion

The movement of assets from a Traditional, SEP, or SIMPLE IRA, or from a Qualified Retirement Plan (ie. 401(k), 403(b),etc.), or 457(b) plan, to a Roth IRA. A Roth Conversion is a taxable event.

Loan Payment for Life, Annuity or Certificate accounts

Add on Payment/Premium

Use for non-qualified contributions, insurance premiums, and QRP.