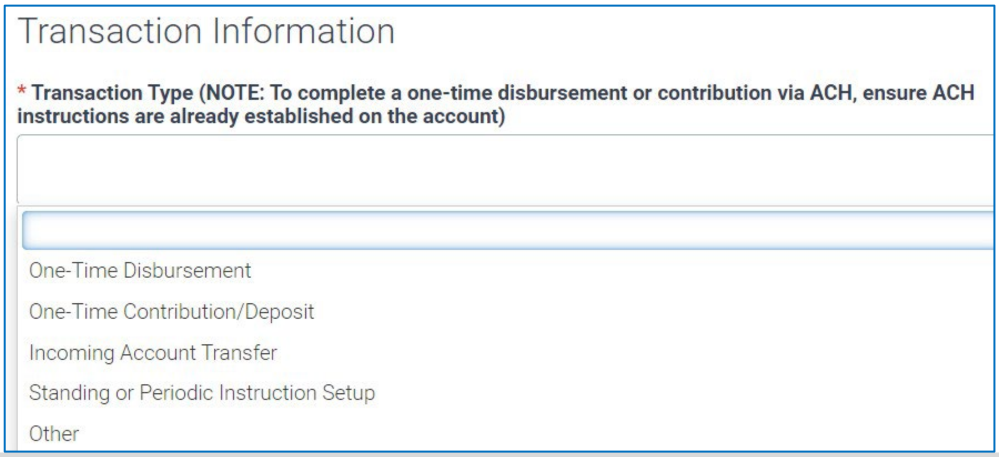
ADVISOR PORTAL: Asset Movement Overview

Description

Request Asset Movement transactions for Pershing accounts within AdviceWorks. Complete ACH setup, distributions, journals, and check requests quickly and easily. Avoid spending time on the phone by submitting and tracking these requests yourself using automated workflows and time-saving features like pre- populated forms and data.



First Things First

Available for CA, CAN and CFS broker dealers only.

The account you want to act on must be a Pershing account.

There are three ways that clients can provide a signature: eSign via DocuSign, eSign in-person on your device, or through traditional wet signature by printing forms and uploading them into AdviceWorks.

The client does NOT have to be an AdviceWorks Client Portal user for you to initiate requests.

Track the status of all your requests on the Status Summary Dashboard.

Verify that your client's cell phone and email address are updated in the contact record.

You know the Delivering Firm information and have access to any required documents from your device.

Important to Know

To complete a one-time disbursement or contribution via ACH, ensure ACH instructions are already established on the account.

For Unified Program and Guided Program accounts, you will need to free up money before initiating an Asset Movement Request. Refer to the Unified Program & Guided Program - Service Requests: Raising Cash job aid in My Advice Architect for instructions to raise cash. This job aid can be found in the Job Aids folder under the Platform tab.

Icons

- Required field
- Additional help
- Edit information
- Generate from template
- Attach document
- View document details and version history
- Magnifying glass

Asset Movement Request Types

One-Time Disbursement	▪ ACH - ACH (Automated Clearing House) ▪ Third Party Check - Standing Third Party Check ▪ One Time Check ▪ One Time Wire
One-Time Contribution/Deposit	▪ ACH - ACH ▪ ACH - Contribution
Incoming Account Transfer	▪ ACAT (Automated Customer Account Transfer) ▪ Non-ACAT ▪ Bank Retirement Plan ▪ Direct Mutual Fund ▪ DRS/DRIP Transfer Agent (Direct Registration System/Dividend Re-Investment Plan)
Standing or Periodic Instruction Setup	▪ ACH - ACH ▪ ACH - Contribution ▪ Third Party Check - Standing Third Party Check ▪ Required Minimum Distribution (via Periodic Instruction) ▪ Retirement Tax Withholding (must be whole percentages - no decimals) ▪ Wire (via Standing Instruction)
Other	▪ Access other forms for Pershing related asset movement requests including journal requests and private investments.

Submit Other Asset Movement Fillable Forms

Financial Professionals can submit additional Asset Movement service requests for most Brokerage and Advisory account types, including journal requests and private investments.

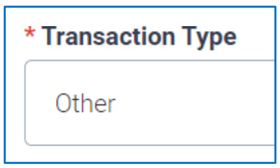
Select from a host of additional forms.

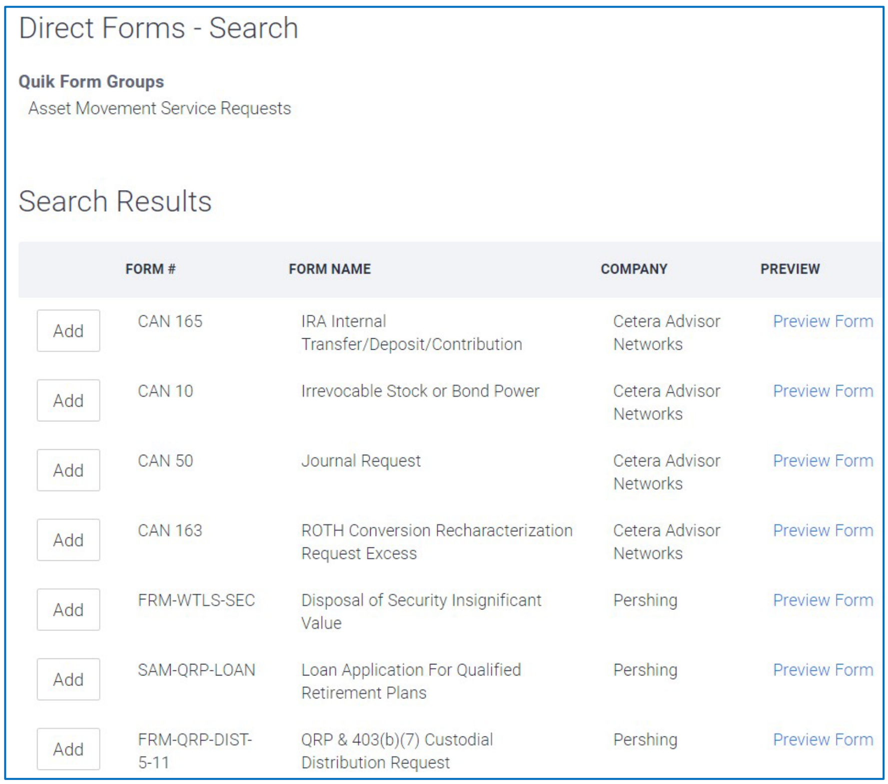
Multiple forms can be submitted in a single request.

Some forms have been automated into AdviceWorks where the account details have been integrated into the forms with eSign capability.

Some forms (in blue) will not have any account details integrated into the account forms. The financial professional will need to:

- Generate the form
- Complete the information on the form
- Have the client physically sign the form
- Upload the signed form to their device and attach the form to the event





	FORM #	FORM NAME	COMPANY	PREVIEW
Add	CAN 165	IRA Internal Transfer/Deposit/Contribution	Cetera Advisor Networks	Preview Form
Add	CAN 10	Irrevocable Stock or Bond Power	Cetera Advisor Networks	Preview Form
Add	CAN 50	Journal Request	Cetera Advisor Networks	Preview Form
Add	CAN 163	ROTH Conversion Recharacterization Request Excess	Cetera Advisor Networks	Preview Form
Add	FRM-WTLS-SEC	Disposal of Security Insignificant Value	Pershing	Preview Form
Add	SAM-QRP-LOAN	Loan Application For Qualified Retirement Plans	Pershing	Preview Form
Add	FRM-QRP-DIST-5-11	QRP & 403(b)(7) Custodial Distribution Request	Pershing	Preview Form

Available Asset Movement Fillable Forms

Form Name *Forms in blue are not integrated into AdviceWorks*	eSign	Wet Sign Only	No Signature Required
Alternative Investment Non Retirement Account Network	x		
Charitable Donation/Gift Request Non-Qual Accounts	x		
Disposal of Security Insignificant Value		x	
IRA Beneficiary Distribution Form	x		

Form Name *Forms in blue are not integrated into AdviceWorks*	eSign	Wet Sign Only	No Signature Required
IRA Beneficiary Liquidation Request Center		x	
IRA Charitable Distribution Instruction and Acknowledgement	x		
IRA Distribution	x		
IRA Internal Transfer/Deposit/Contribution	x		
IRA Required Minimum Distribution Waiver	x		
IRA Uniform RMD	x		
Irrevocable Stock or Bond Power		x	
Journal Request	x		
Journal Request AND Letter of Instruction	x		
Letter of Instruction	x		
Like-to-Like Journal Request			x
Loan Application for Qualified Retirement Plans		x	
Private Investment	x		
Private Investment (Pershing)		x	
QRP Contribution	x		
QRP & 403(b)(7) Custodial Distribution Request		x	
Rescind Letter	x		
Request for Disposition of a Nontransferable Security	x		
Request for Letter of Indemnity			x
Roth Conversion Recharacterization Request Excess	x		