

BEST PRACTICES: PAPERWORK & PROCESSING

TIPS FOR FILLING OUT FORMS

- Always INITIAL the section if/when you need to cross out anything on your paperwork
- All account transfers require a FULL STATEMENT (yes, even blank pages) no older than 90 days
- If you are manually filling in sections of a form, make sure it is LEGIBLE
- If you are scanning a copy of signed paperwork, make sure it is LEGIBLE (pixelated images run the risk of being rejected by our processing team)
- Forms are frequently updated; returning your signed paperwork in a TIMELY manner is your best chance at avoiding the chore of “re-doing” outdated forms
- E-DELIVERY ENROLLMENT prevents a \$1.50/month paper statement surcharge (applicable to eligible Pershing brokerage and advisory accounts).
- Keep it honest: NEVER sign on behalf of any individual except YOURSELF, no exceptions

Does your form require a state of Florida notarization?

Skip the line at a store and have one of our in-house notary publics take care of this as a complimentary, no-cost perk of being a Sunrise member.

SAMPLE
DOCUMENT
ONLY

*No monetary value. Proper photo identification and paperwork required. All participants MUST be physically present, excluding excusable situations of guardianship. Notary reserves the right to exercise fair judgment and refuse services if he/she believes an individual is: incapacitated, unable to understand the document's binding terms, providing untrue information or identification, out of jurisdiction, not physically present, threatening or intimidating in any form.

PAPERWORK PROCESSING ESTIMATES

Accounts requiring additional paperwork or more complex fund reallocations may require additional time. The following items are estimated time frames only and vary with each investor.

ADVISOR

Paperwork quality check and submission to appropriate parties.

BROKER-DEALER

Quality check on compliance officer and broker-dealer levels. Submission to appropriate parties.

CUSTODIAN

Where funds are held for brokerage and advisory accounts. Pershing and Cetera Investment Services are our 2 custodians.

THIRD-PARTY FIRM

When you are opening up an account directly with an outside company like Putnam or Allianz, that firm's clearing house and processing policies differ from ours. This often takes additional time.

1-2

business days

2-5

business days

5-10

business days

7-15

business days

Your advisor's team will continually monitor your paperwork progress and send you notifications, including updates such as when your account has been opened and assets have transferred.

