

Securities Received procedures:

- 1) **Branches should never receive securities for deposit into managed accounts; always check account. (OUTSIDE RIA EXEMPT)**
- 2) Securities for deposit must be overnighted to RJ for deposit to the client's account.

Raymond James & Associates
Custody Department., 14A00
880 Carillon Parkway
St. Petersburg, FL 33716

Package for RJ:

- a. Security receipt/1048 (Advisor Access> My Clients> Money & Security Movement>Security **Receipt>PRINT RECEIPT FOR PACKAGE**)
- b. Form 1087 Authority to Deposit Securities (to be used if stock certificate & brokerage account have different registrations)
- c. Form 1046 Stock Power
- d. Any additional forms to support this transaction. i.e. Trustee Cert, Death Certificate, ect.

Package for Home Office: admin@levelfourfinancial.com

- a. 1048 Security receipt copy for branch principal approval
- b. Form 1087 Authority to Deposit Securities (to be used if stock certificate & brokerage account have different registrations)
- c. Form 1046 Stock Power (if securities are received without an endorsement).
- d. Copy of Front and Back of the Stock Certificate
- e. Copy of the UPS tracking
- f. Level Four security log (EOM packet)
- g. Any additional forms to support this transaction. i.e. Trustee Cert, Death Certificate, ect.

If you have any questions, please contact your branch principal.