

ADVISOR PORTAL: Asset Movement ACAT Clearing Firm Numbers

Description Automated Customer Account Transfer (ACAT) simplifies the transfer process, as assets are transferred electronically from one brokerage firm to another. To request an ACAT transfer, you may need the delivering firm’s clearing number as noted in the chart below.

For ACAT eligible firms not listed, please see:

<http://www.dtcc.com/client-center/dtc-directories>

A.G. Edwards & Sons	0201
ADP	0158
Allstate Financial Services, L.L.C.	0226
American Century Brokerage, Inc	0443
American Express	0216
Ameriprise	0756
Ameritrade	0188
Arvest Investments	0141
Aura Financial Services	0750
AXA Advisors, L.L.C.	0075
B&T Securities	0226
Banc of America Securities, L.L.C.	0226
Baird	0547
Bear Stearns Securities	0352
Berthel, Fisher & Co.	0141
Blair (William) & Co., L.L.C.	0771
Brill Securities	0352
BrownCo, L.L.C.	0785
Cambridge Inv Research	0226
Capital Investment Group	0750
CapTrust	0141
Cetera Investment Services	0701
Charles Schwab	0164
Chase Retirement Services	0226
Citigroup	0418
Commonwealth Financial Network	0226
Cosse International Securities	8153
Curian Clearing, L.L.C.	0300
Cutter & Co.	0141
D.A. Davidson & Co.	0361
David Lerner	5144
Davenport & Co.	0715
Dominion/First Southwest Co.	0309

E*Trade	0385 - Retail/Non-Retirement Cash requests will reject. Client will have to call E*Trade prior to initiating the ACAT or send cash via wire request.
Eagle One Investments, L.L.C.	0727
Edward Jones	0057
Emmett A. Larkin & Co.	0371
Empire Financial Group	0234
Ferris, Baker & Watts	0039
Fidelity Brokerage (accounts starting with 2 and two letters are mutual fund accounts)	0226
First Allied Securities	0733
First Clearing L.L.C./Wells Fargo Clearing	0141
First Wall Street Corp	0234
Fiserv Securities	0188
Folio Investments [Kindom Trust]	0728
Freedom Investments	0571
Goldman Sach's	0005
Goldman Sach's Execution & Clearing	0501
H&R Block Financial Advisors	0756
Hilliard Lyons	0768
HSBC	0816
Janney Montgomery Scott	0374
JP Morgan	0226/0352
KeyBanc Capital Markets, Inc	0799
Legent Clearing, L.L.C.	0052
Legg Mason Wood Walker (Brokerage)	0740
Lehman Brothers accounts beginning 700	0229
Lehman Brothers accounts beginning 500	0158
Lincoln	0266
Linsco/Private Ledger Corp.	0075
McDonald Investments	0799
Merrill Lynch	0671 (#8862 for gifting stock)
Mesirow Financial	0727
ML Stern & Co.	0581
Morgan Keegan	0780
Morgan Stanley DW Inv.	0015
Nat City	0141
National Advisors Trust	0226
National Financial	0226
National Securities	0632
NBC Securities	0306
Neuberger Berman	0158/0074
Nuveen Investments	0448

Oppenheimer & Co	0571
OptionsXpress	0338
Park Avenue Securities	0226
Pearlman Karvy	8086
Penson Financial Services	0234
People's Securites	0158
Pershing Advisor Solutions	0443
Piper Jaffray & Co.	0311
Private Client Group	0141
Pruco Securiries	0141
Raymond James & Associates	0725
RBC Dain Rauscher	0235
Richards, Merrill & Peterson	8192
Ridge Clearing & Outsourcing	0158
Robert W. Baird & Co.	0547
Rydex	0226
Sammon Securities	0141
SEI	2039 or 2663 (statement will show which DTC# to use)
Scott & Stringfellow	0702
Scottrade	0705
Smith Barney	0418
Smith, Moore, & Co.	0494
Southwest Securities	0279
Stephens, Inc.	0419
Sterne Agee & Leach	0750
Stifel, Nicholas, & Co.	0793
Summit Brokerage Services	0141
Sun Trust Investment Services	0226
SunAmerica	0443
Trust Co of America (6 digit # on prefixes FPI CGM & HZI)	5981 (Attempt as ACAT 1st)
U.S. Bancorp Investments	0280
UBS Financial Services	0221
US Clearing	0158
USAA	0226
Uvest Financial Services Group	0443
Vanguard Brokerage Services	0062
Wachovia Securities L.L.C.	0141
Wayne Hummer Investments	0141
Wedbush Morgan	0103
Wells Fargo Brokerage Services L.L.C.	0141
Ziegler (B.C.) & Co	0443
Zions Direct	0443