APPENDIX M: DOCUMENT CODES AND DESCRIPTIONS

USED IN THE FOLLOWING STANDARD FILES: KTMS, KTRV

DOCUMENT CODE	DOCUMENT DESCRIPTION
1001	1001 Form - Reduced Rate Exemption
101E	1001 Form Expired
1078	Alien Claiming Residence
1234	New Account
1441	IRS Regulation 1.1441-5 Person not Subject Withhold
144N	Rule 144 Non-Affiliate Representation Letter
147C	IRS Letter 147c
401K	LB Omni 401K Adoption Agreement
407	407 Letter
412	412 Form
4224	4224 Foreign Tax Exempt Form
422E	Expired 4224 Foreign Tax Exempt Form
42CL	1042 Client Acknowledgment Letter
42PU	1042 Statement of Purchase Form
42KY	1042 Deal Structuring KYC Confirmation
457P	457 Certification
4KAP	401k Adoption Agreement
4KEN	401k Enrollment Form
5130	IPO Certification 5130 Eligible
5131	IPO Certification 5131 Eligible
5143	Qualified Plan IRA Client Agreement
529A	529 CSP Account Application / Client Agreement
529D	529 Documents
5304	5304 Form Simple
5305	5305 SEP Form
530R	5305-SEP Form (Expire 2/28/1997)
5500	IRS Schedule P
60DY	60 Day Notification
6BE1	IRS 6166 - Belgium
6DE1	IRS 6166 - Germany 1
6DE2	IRS 6166 - Germany 2
6DE3	IRS 6166 - Germany 3
6DE4	IRS 6166 - Germany 4
6DE5	IRS 6166 - Germany 5

DOCUMENT CODE	DOCUMENT DESCRIPTION
6DK1	IRS 6166 - Denmark
6ES1	IRS 6166 - Spain
6FI1	IRS 6166 - Finland
6FR1	IRS 6166 - France
6HU1	IRS 6166 - Hungary
6ID1	IRS 6166 - Indonesia
6IT1	IRS 6166 - Italy
6JP1	IRS 6166 - Japan
6KO1	IRS 6166 - Korea
6NL1	IRS 6166 - Netherlands
6NZ1	IRS 6166 - New Zealand
6SE1	IRS 6166 - Sweden
6ZA1	IRS 6166 - South Africa
7028	SSA Form 7028
8	New Account Over the Phone
84W9	Indemnify W9 Prior to 1984
8709	IRS Form 8709
8BCT	Copy W8 Beneficial Owner with US TIN
8BEC	W8 Copy Beneficial Owner
8BET	W8 Beneficial Owner with US TIN
8ECC	W8 Copy for Effectively Connected US Bus/Trd
8ECI	W8 ECI Effect Connected
8EXC	W8 Copy for Foreign Government/Organization
8EXP	W8 Copy for Private Foundation
8EXT	W8 Foreign Government/Org with US TIN
8ICT	Copy W8 Intermediary with US TIN
8IMC	W8 Copy for Intermediary
8IMF	W8 IMY Withholding Foreign Trust
8IMQ	W8 IMY Qualified Intermediary
8IMT	W8 Intermediary with US Tax ID
8IMU	W8 IMY US Branch
8XCT	Copy W8 Foreign Government/Org with US TIN
980A	Add Brokerage Account
980U	Update Brokerage Account
A/C#	Account Designated by a Number
AAUF	Account Application Update Form
ABTA	Abstract of Trust Agreement
ACAM	ACAM 3rd Party Payout (Standing Instructions)
ACAT	Customer Account Transfer
ACHA	ACH Authorization Forms
ACKN	Acknowledgement

DOCUMENT CODE	DOCUMENT DESCRIPTION
ACNA	Amended Customer New Account Form
ACOR	Annuity Change of Ownership Request
ACRE	Additional Call Reports Evidencing Discussions with Client Related to AML or KYC
ACTT	Acceptance of Trustee
ADDL	Supporting W8 Documents
ADFI	Audited Financials
ADHC	Ad Hoc Form
ADIA	Addendum to IRA Adoption Agreement
ADMF	Client Administration and Asset Management Fees
ADOP	Adoption Agreement Form
ADRL	Home Address Refusal Letter
AFCU	Affidavit of Custodian
AFDD	Affidavit of Domicile - Original
AFDO	Affidavit of Domicile - Copy
AFPA	Affidavit of Durable Power of Attorney
AFT	Affidavit of Trust
AGE	Proof of Age
AGNT	Agent Agreement
AIAU	AIA Authorization
ALC2	Acknowledgement Letter - Category II Fixed Income Offerings
ALC3	Acknowledgement Letter - Category III Fixed Income Offerings
ALEN	Alien Registration Number
ALEO	Acknowledgement Letter - Equity Offerings
ALRT	Alert Change
ALTR	IRA Letter of Acceptance
AMGC	Asset Master to Harris Asset Master Conversion Agreement
AMLP	Written Description off Clients AML Program
AMLQ	Wolfsberg Questionnaire or other written description of AML program
AMMS	Alliance Money Market Fund Selector
AMTL	Amended Precious Metal Agreement
AMUC	Mass Updates/View Control Rec
AMUD	Mass Updates/Docs View Control Rec
ANAP	Annuity Application-Purchase
ANDR	Annuity Delink Request
ANLD	Annuity Delink Request
ANLR	Annuity Link Request
ANRE	Annual Report
AODE	Actual Owner of Disregarded Entity Tax Document
AOOC	Articles of Incorporation
APAF	Automatic Payment of Advisory Fees
APBC	All Point Bulletin Change

DOCUMENT CODE	DOCUMENT DESCRIPTION
APBN	All Points Bulletin Notice
APPT	Letters of Appointment
APRF	Affidavit/Agreement in Lieu of Proof of Ownership
ARRC	Automated Registered Representative Change
ARTC	Articles of Incorporation
ARTS	Articles of Association
ASWR	Annuity Surrender Withdrawal Request
ATES	Attestation Letter
ATFR	Accommodation Transfer Authorization
ATTF	Power of Attorney - Foreign
ATTY	Power of Attorney
AUDL	Auditor’s Letter
AUDT	IBD Agency Agreement Audit Results
AUTH	Letter of Authorization
AUTX	AUTEX Instructions
B2BR	Books and Records Certification
B2CR	Third Party Custodian/Trustee Certification
B789	Prototype Plan
B801	Pension Plan Adoption Agreement
B924	Profit Sharing LB Customer Adoption Agreement
BADO	Outside Custodian Adoption Agreement
BANK	Banking Institution
BCRT	Bank Certification
BDCA	Broker Dealer Credit Account
BDSC	B-Share Disclosure
BENE	Beneficiary Designation Form
BIRC	Birth Certificate
BKCL	Bank Letter of Authority
BKDC	Broker Dealer Change Notice
BKLC	Banking License
BKLK	Banklink Authorization Form
BKPT	Breakpoint Disclosure
BLIC	Business License
BNOF	RASA (044) Billing Notification Forms
BNOT	IRS B-Notice
BNPR	B-Notice Processing Error
BSCT	Bear Stearns Custodial Trust
BYLW	Bylaws
BYSL	Customer Instruction for Purchase/Liquidation
C/OL	C/O Letter
C457	457 Plan Certification Form

DOCUMENT CODE	DOCUMENT DESCRIPTION
CAAP	Customer Account Application
CACT	Certificate of Authority of Corporate Trustee
CADA	Custodian Authorization - Discretionary UGMA/UTMA Account
CADD	Change of Address
CAEA	Control Agreement Entire Securities Account
CAES	Customer Agreement Electronic Services
CAGR	Custodial Agreement
CAIC	Current Alien ID Card
CAMF	Current Armed Forces ID
CAOL	Compliance Approval for Relationship: Client has Offshore Banking License
CARC	Compliance Approval for Relationship: Client uses Account with Broker Dealer
CASH	Cash Account Agreement
CATO	Client Authorization to Transfer Out
CBCK	Proof For Credit Bureaus Check
CBKS	Current Bank Statement within Last 30 Days
CDAR	CDARs Agreement on File
CDLA	CEDULA Card
CDSC	C-Share Disclosure
CEOA	Officers Certificate
CERO	Client Eligibility Represent for Off Shore Fund
CGSS	Certificate of Good Standing from State
CHD	Check Distribution Copies
CHKR	Check Request
CHTR	Charter
CIAP	Investment Policy Statement
CIOP	Client Investment Objectives Agreement
CIP0	CIP Document
CIP1	CIP Document Requirement is Satisfied
CIP2	CIP Not Required Form
CIPA	Customer Identification Protection Addendum
CIPD	Customer Identification Program Document
CIRS	IRS Correspondence
CIWA	Customer Information Worksheet
CKNJ	Letter of Authorization to Pay 3rd Party Checks
CKS	Check Copies
CKWR	Check Writing Cards
CLML	Claim Letter
CLNT	Client Agreement
CLOW	Certificate of Limited Ownership
CLSC	Close/Waive Notice as per Compliance
CLSE	Authorization to Close Account

DOCUMENT CODE	DOCUMENT DESCRIPTION
CLUB	Investment Club Agreement
CMHY	Community Property Husband can Trade
CMOD	CMO Disclosure
CMPY	Community Property (Both Authority to Trade)
CMXM	Current Mexican Matricula
CNGE	Change Made on the Account Record
CNGR	Change Request
CNST	NDF Consent to Assignment Agreement
COAG	Collateral Agreement
COBA	Cost Basis
COBB	Cost Basis Backup
COBD	Deleted Cost Basis
CODA	COD Agreement
COFA	Corporate Full Authority
COIN	Certificate of Incorporation
COLA	Collateral Receipt
COLI	Corporate Owned Life Insurance
COMM	Community Property Agreement
COMP	Compliance/Legal Authorization
CONA	Conversion Adoption Agreement
CONF	Commission Offset Notification Form
CONN	Connecticut Customer Information Document
CONS	Conservatorship
CORA	Corporate Account Agreement
CORC	Corporate Charter
CORE	Collateral Release Form
CORN	Non-Corporate Resolution
CORO	Corporate Resolution - Original
CORP	Corporate Resolution - Copy
CORR	Correspondence
CORU	Correspondence
COTN	Co-Tenant Information
COUR	Court Appointments
CPBL	IBD Prime Broker Letter
CPPS	Profit Sharing Plan Agreement
CPRC	Current Permanent Resident Card
CPRW	Certificate of Puerto Rico Tax Withholding
CR	Check Received
CRCA	Control Record Contact Add/Update
CRCS	Call Report for Client Site Visit to Verify Client Identity
CRDT	Credit Interest Agreement

DOCUMENT CODE	DOCUMENT DESCRIPTION
CREC	Correction to Account
CREQ	IBD Request
CRLL	Corporate Resolution Limited Liability
CRPS	Corporate Secretary
CRTJ	Court Judgment
CRTL	Customer Rescind Letter
CSIN	Customer Service Inquiry
CSMA	Combined Statement Mailing Agreement
CSUP	Confirm Suppression Authorization Form
CTAC	Corporate Trading Authorization - Copy
CTAO	Corporate Trading Authorization - Original
CTLG	Court/Legal Documents
CTRA	Request to Open Control Record
CTRB	Contribution Deposit Form
CTRS	Corporate Owned Life Trust
CTRU	Request to Update Control Record
CUSC	Custodian Change Form
CUST	Custodian Agreement
CXLN	Cancellation Notice
DCAF	Dollar Cost Averaging Form
DEAC	Death Certificate - Copy
DEAD	Death Distributions
DEAO	Death Certificate - Original
DETE	Documentation Deleted
DISA	Discretionary Approval Form
DISB	Disability Statement
DISC	Disclosure Document
DISI	Discretionary Individual
DISJ	Discretionary Joint
DIST	Distribution Request Form
DIVD	Divorce Decree Court Issued
DIVR	Dividend Reinvestment Form
DL	Draft Letter on File
DLIC	Driver's License
DLJ2	Pershing Second Document Request
DLJC	Pershing Customer Agreement with Margin
DLJD	Pershing Customer Agreement - No Margin
DLJO	Pershing First Option Request
DLJP	Pershing Portfolio Advisory Service Agreement
DLJR	Pershing First Document Request
DMBC	Certificate of Domicile, Birth, Marriage, or Death

DOCUMENT CODE	DOCUMENT DESCRIPTION
DNTS	Disposition of Non-Transferable Security Form
DOC8	Documentation
DOCA	Partnership Account Agreement
DOCT	Document Transfer Request
DOLC	Date of Last Contact
DODV	Date of Death Valuation
DOPT	Delete Option Agreement
DPCT	Document proof to prove that Client is publicly traded
DPPT	Document proof to prove that Parent is publicly traded
DQIF	Pershing Qualified Investor Form
DRLD	Direct Rollover Form
DRTA	Direct Rollover Transfer Authority
DRVR	Driver's License
DST	Distribution Statements
DSUB	Pershing Subscription Agreement
DVPI	DVP Indemnification
DWAC	DWAC Transfers
EBLD	Exhibit B/Pledge Act Letter of Direction
ECFM	Electronic Confirm Delivery Authorization
EDDS	Enhanced Due Diligence / Sources
EDGE	Cashedge Funds Transfer Service
EDRA	Equity Dividend Reinvestment Authorization
EDSC	ERISA Disclosure
EISF	Enrollment/Investment Selections Form
EMDS	Emerging Market Debt Structured Agreement
EPOA	Employee POA and Trustee Form
ERSA	ERISA Letter
ESAS	Electronic Services Agreement
ESCB	Education Savings Account (ESA) Client Agreement - CPB
ESCM	Education Savings Account (ESA) Client Agreement - CPWM
ESCR	Escrow Agreement
ESIP	Education Savings Account (ESA) Client Agreement - IPB
ESOP	Employee Stock Options
ESTT	Estate Papers
ETPR	ETP Risk Disclosure Letter
EVEX	Evidence of Existence (E.G., Website Screenshot)
EXCD	Excess Contributions
EXMP	Exempt Organization
EXMT	Exempt Coding Request
EXTN	Extension For Filing
F144	Form 144 Notice of Proposed Sale of Security

DOCUMENT CODE	DOCUMENT DESCRIPTION
F151	Form 151 PB Executing
F1SA	Form 1 to Schedule A
F30N	IPO Cert. 5130 Not Eligible
F31N	IPO Cert. 5131 Not Eligible
FBBS	Asset Based Group Billing Form
FBCF	Foreign Bank Certification Form
FBIC	Full Best Interest Contract
FBNS	Fictitious Business Name Statement/Filing
FCIP	Fiduciary Cert. of Investment Powers
FDWR	Fed Fund Wire
FFNJ	Letter of Authorization to Wire Fed Funds
FGNA	Foreign Account Supplement Questionnaire
FIDC	Fiduciary Cash Agreement
FIDM	Fiduciary Margin Agreement
FINL	Financial Institution
FIRA	Request to Open Firm Account
FIRU	Request to Update Firm Account
FPFA	SLOA for Investment Advisor Dibursements
FPLA	Fully Paid Lending Agreement
FREE	Letter of Free Funds
FRID	Free Riding Withholding Agreement
FSTM	Financial Statement
GARD	Guardianship Papers
GLOS	GLOSS New Account Form
GNTY	Guarantee of Account
GOLD	M F Gold Level Authorization
GOVC	Government Charter
GOVI	Government Issued Identification
GOVT	Government Issued Proof of Citizenship
GRDN	Letter of Appointment
GREN	Green Card
GVT	Government Pairoff
HDMI	Hold Mail Instruction
HOCO	History of Commissions Offsets
ICAD	Investment Advisor CADD
IC76	Can non-resident Tax Certification for FIs
IDAT	College Photo ID and academic transcript / Bursar’s receipt for current term
IGLC	Internet Gambling License
IMNQ	W8IMY Non-Qualifying Intermediary
IMS	Limited Trading Authorization
IMS0	Ltd Trading Authorization with Management Fees Only

DOCUMENT CODE	DOCUMENT DESCRIPTION
IMS1	Ltd Trading Authorization with Management Fees & First Party Distribution
IMS2	Ltd Trading Authorization with First Party Disbursements Only
IMS3	Full Authorization 3rd Party Checks Management Fees
INAG	Investment Advisory Agreement
INFO	Informational Notice
INLI	Investor Lists
INOS	Investment Option Selection Form
INSI	INS Card
INST	Letter of Instruction
INTP	Interested Party Address Change
INVA	Investment Advisory
INVC	Investment Club
INVL	Investment Letter
IOPT	Institutional Option Agreement Received
IPOC	BWA Client Application - Cash
IPOL	Investment Policy
IPOP	IPO Acknowledgement Letter
IPOS	Certificate for the purchase of IPOs - Equity Securities
IRAC	IRA Application Simple
IRAR	Roth IRA Application
IRAS	SEP IRA Application
IRAT	IRA Application Traditional
IRDA	Investment Representative Disclosure Authorization Letter
IRDF	Interest Rate Disclosure Document
IRSB	IRS Documentation For B Notice Removal
IRSC	IRS C Notice
IRSD	IRS Determination Letter
IRSK	Securitized Product IR Acknowledgement
IRSR	IRS Remove C Notification
ISAD	Information Sharing Agreement Document
ISCA	Institutional Suitability Certificate Affirm Independent Judge
ISEC	Institutional Suitability Exemption Certificate
ISSA	Investors Select Account Application
ITAC	Institutional Trading Authorization - Copy
ITAO	Institutional Trading Authorization - Original
JBA	Journal Between Accounts Authorization
JGST	Judgment Satisfied
JLRQ	Journal Request
JNTN	Joint Account Agreement
KONE	K-1 Schedule
LBIC	Limited Purpose Best Interest Contract

DOCUMENT CODE	DOCUMENT DESCRIPTION
LBMP	LB OMNI MP Adoption Agreement
LBPS	LBOMNI PS Adoption Agreement
LEDO	Legal Document
LEGL	Legal/Compliance Document
LEVY	Legal/Compliance Document
LFEE	Level Fee Fiduciary
LGCA	Legal/Compliance Authorization to Change
LIMF	Letter of Intent Mutual Fund
LINK	Internet Link Request Form
LLCA	Limited Liability Company Agreement
LOA	Letter of Authorization
LOAC	Letter Authorizing Combined Statements
LOAN	Loan Distribution Form
LOAS	Letter of Authorization/Standing
LOAW	Letter of Authorization/Wrap Fees
LOCB	Lockbox Documents
LOCK	Lock Up Agreement
LODE	Letter of Office of Decedent's Estate
LOIN	Letter of Indemnity
LOUT	Opt Out Letter Disagree
LPCG	Limited Partnership Change of Custodian Form
LPCP	Professional License with Photograph
LPFA	Retirement LPOA for Advisor Dibursements
LPIN	Limited Partnership Instructions for Buy/Sell
LPPA	Limited Partnership Agreement
LPPU	Limited Partnership Purchases
LPRE	Limited Partnership Re-Registration Forms
LPRL	Limited Partnership Redemptions LOA
LPSA	Limited Partnership Subscription Agreement
LPSC	Limited Partnership Sample Certificate
LQIF	Lister Watson Qualified Investor Form
LRES	Letter of Resignation
LSUB	Lister Watson Subscription Agreement
LTAC	Letter of Estate Administration - Copy
LTAO	Letter of Estate Administration - Original
LTDP	Limited Partnership Form (110)
LTEE	Letters of Trusteeship
LTPC	LOA for 3rd Party Check (requires Notary Public)
LTPF	Limited Partnership Form
LTPS	LOA for 3rd Party Check (requires client signature(s) only)
LTRA	Letter of Authority

DOCUMENT CODE	DOCUMENT DESCRIPTION
LTRO	Letter of Testamentary - Original
LTRT	Letters of Testamentary - Copy
MAIC	Missing App'l Info from Conversion
MAIL	PCFN Electronic Mail
MAPC	Client Agreement
MAPQ	Questionnaire
MAPS	MAP Setup Form
MARC	Marriage Certificate
MARG	Margin Agreement
MAWD	Mail Waiver - Domestic
MAWI	Mail Waiver - International
MEDC	Medicare Card (65 older)
MEET	Minutes of a Meeting
MEMB	Member Acknowledgement
MEMO	Memo
MEMT	Memorandum of Trust/TCIP
METL	Precious Metals
MFDF	Mutual Fund Disclosure
MFDO	Mutual Fund Dividend Option Change
MFIT	Mutual Fund/UIT Disclosure Statement
MFL	Mutual Fund Liquidation
MFRD	Mutual Fund Risk Disclosure Stmt
MGFA	Management Fee Authorization
MGNC	Margin Agreement IBD
MGND	Deleted Margin Agreement
MGNF	Management Fee Authorization (IBD)
MGST	Mailgram Sent
MIPQ	Meridian Account Questionnaire
MISC	Miscellaneous
MLTY	Military Card
MMFA	Money Market Funds Account
MML	Money Market Liquidation
MNDC	Minnesota Disclosure
MNOR	Minor IRA - Letter of Authorization
MNYL	Money Market Liquidation
MOVE	ForwardTrak Move Update Authorization
MPAG	Money Purchase LB Customer Adoption Agreement
MRCL	Margin Calls
MRGS	Margin Agreement Sent to Pershing Approval
MURE	Multiple Change Request
N301	NR301 CRA Declaration Non-Resident Taxpayer (Individual, Trust or Corporation)

DOCUMENT CODE	DOCUMENT DESCRIPTION
N302	NR302 CRA Declaration Non-Resident Partnerships
N303	NR303 CRA Declaration Non-Resident Hybrid Entity
N9LP	New Account W9 for Limited Liability Co. Partnership
N9SE	New Account W9 for S-Corporation Exempt
NABL	New Account Form PAR509C
NAF2	New Account Form Page Two
NAFC	Customer Information Sheet
NAFM	New Account Form
NAFX	New Account by Fax
NAMD	Name Change due to Divorce
NAME	Name of One Client on Two or More Accounts
NAMM	Name Change due to Marriage
NAOB	New Account and NOBO Customer Objection Form
NAPH	New Account Over the Phone
NATL	National Identification Card
NAW9	New Account Form with a W9
NBIC	Negative Consent Full Best Interest Contract
NDAC	Advisory Client Agreement
NDIC	Non-Driver's ID Card with Photograph
NEWF	New Account Information Card
NHMI	Northern Hold Mail Instruction
NLPB	Negative Consent Limited Purpose Best Interest Contract
NMSG	Notebook Message
NOBC	No Further Business as per Compliance
NOBO	NOBO - Customer Objection to Disclosure
NOBS	No Further Business
NOSL	Letter of Non Solicitation
NPLA	Loan Advance Lending Agreement
NPRO	Non-Profit Organization
NPT4	Loan Advance Form T-4
NPUR	Do Not Purge Request
NRIS	Naked Risk Letter
NTXC	NetExchange Pro Client Enrollment Form
NW9C	New Account Form For C-Corporation
NW9S	New Account Form For S-Corporation
OBIC	One Time Best Interest Contract
ODC	Over Delivery Claim
ODTD	On-Demand Disclosure
OFAC	OFAC Search
OFCF	Officer's Certificate
OFDP	Offering Document/Prospectus

DOCUMENT CODE	DOCUMENT DESCRIPTION
OFFA	Office Add to KORR
OFFU	Change Made to Office
OGVT	Other Government Identification
OL8	Online Customer Agreement / W8
OL8M	Online Customer Agreement / W8 / Margin Agreement
OL9	Online Customer Agreement / W9
OL9M	Online Customer Agreement / W9 / Margin Agreement
OLCA	PCNF Customer Agreement Only
OLFD	Other Legal Formation Document
OLM	PCNF on Line Customer Agreement with Margin and No W9
OLNN	PCNF on Line Customer Agreement. No W9 and No Margin
OLOU	Option Letter of Understanding
OMEM	Offering Memorandum
OPER	Operating Agreement
OPIN	Option Indicator Added NTRY
OPT0	Option Form Requested
OPT1	Option Agreement Received
OPT2	Option Agreement Received
OPT3	Option Agreement Received
OPT4	Option Agreement Received
OPT5	Option Agreement Received
OPT6	Option Agreement Received
OPT7	Option Agreement Received
OPT8	Option Agreement Received
OPT9	Option Agreement Received
OPTA	Option Agreement Sent to Pershing Compliance For Approval
OPTC	Option Agreement IBD
OPTD	Option Agreement Deleted
OPTR	Option Restriction
ORFM	Origination Form
ORGA	Organization Account Authorization
ORST	Option Restriction
OSUB	Proof of Ownership of a Subsidiary
OTOA	Outgoing Transfer Form
OWCE	Owner Certification
OWDO	Owner Documentation
OWRS	Owner Reporting Statement
PA3P	POA Agent Information/Agreement/Affidavit - 3rd Party
PAA	Pledge Asset Agreement
PACM	Durable POA - Cash Management - IP as Agent
PACT	USA PATRIOT Act

DOCUMENT CODE	DOCUMENT DESCRIPTION
PADF	Durable POA - Debt/Fixed Income Only - IP as Agent
PAFA	Durable POA - Commodity - Limited - IP as Agent
PAFT	Durable POA Full Discretion Third Party
PAGY	Proof of Entity's Government status
PALF	Durable POA - Limited Duration - IP as Agent
PARA	Partnership Agreement
PARF	Partnership
PART	(Co-)Partnership Agreement
PASS	Passport
PATP	Durable POA Comm Limited Third Party
PBCS	Prime Brokerage Clearance Services Agreement
PBIA	Prime Broker Investment Advisor
PCAD	Parent CADD
PCAP	PCNF Adoption Agreement
PCCH	ProCash Cash Account Agreement and W9
PCFN	PC Financial Network New Account Agreement
PCMG	ProCash Margin Account Agreement and W9
PCN9	PCNF New Account Form with W9 and No Margin Agreement
PCNM	PCNF New Acct. Form with Margin and No W9
PCNN	PCNF New Acct. Form No W9 and No Margin Agreement
PCOR	Personal Correspondence
PDEL	Letter of Authorization to Deliver Securities
PEND	Pending Form on File
PERS	Proof of Entity's Regulated Status
PGAA	Pershing Government Account Authorization
PGAG	Personal Guaranty Agreement
PIP	Periodic Investment Plan Form
PLCP	Professional License with Photograph
PLGE	Proof That Plan Is Governed By ERISA
PLNR	Printout of Lexis Nexis Report confirming client data
PMMF	Representation Letter for FPR MMF
PMRD	Portfolio Margin Risk Disclosure
POAR	Tax Reclamation Services Power of Attorney form
POBL	Post Office Box Legal
POBW	Post Office Box Removal
POBX	Post Office Box Letter
PORT	Portfolio Manager/Customer Acknowledgement
PPAG	Portfolio Point Agreement
PPLP	Private Placements Limited Partnerships
PPRS	Pending Papers
PRCA	Prime Broker Customer Agreement

DOCUMENT CODE	DOCUMENT DESCRIPTION
PRDR	Prospectus Redirection Consent
PRMB	Prime Broker Letter
PRNT	Promissory Note
PROA	Prototype Adoption Agreement
PROC	ProCash New Account Agreement
PROR	Problem Response Form
PRTA	Partnership Account Agreement
PRTE	Principal Trading Exemption Contract
PSCT	Prudential Securities Custodial Trust
PSEI	Computer Pay Stub or Employee ID from Recognized Company with Name and Photograph
PSP	Pension/Profit Sharing Plan
PTPD	Printout from Third Party Database
PTWC	Principal Trading Written Consent Form
PTWX	LOA Consenting to Principal Trading
QDRO	Qualified Domestic Relation Order
QIBB	Blanket QIB
QIBN	Qualified Institutional Buyer (QIB) Certificate - Non US
QIBU	Qualified Institutional Buyer (QIB) Certificate - US
QIB1	Qualified Institutional Buyer (QIB)
QRPA	Qualified Retirement Plan Agreement
QRPB	Qualified Retirement Plan (QRP) Beneficiary Designation Form
QRPD	Qualified Distributions
QRPS	Simplified Adoption Agreement QRP
QUES	Questionnaire
QUOT	Non Professional Subscriber Agreement
R144	Rule 144 Seller Representation
R145	Rule 145 Seller Representation
R407	Rule 407
R701	Rule 701 Sellers Representation
RA01	Rejected Adoption Agreement - Missing Participant Social Security Number
RA02	Rejected Adoption Agreement - Missing Participant Date of Birth
RCAP	Resource Checking Agreement
RCKA	Resource Checking Application
RCRT	Retirement Plan Trustee Certification Form
RDDL	Required Document Deleted
RDIS	Investment Professional Disc Authorization Letter
RDOC	Rollover Documentation
REAC	Account Reactivation
REAT	Restated and Amended Trust Agreement
RECH	Recharacterization
RECT	Receipt Received

DOCUMENT CODE	DOCUMENT DESCRIPTION
REGS	Reg S - Principal
REJM	Mail Returned to IBD
REOP	Request to Re-Open Account
REPO	Return of Overpayment
RER	Re-Registration
RES	Research
RETA	Restated Trust Agreement
RETT	Resignation of Trustee
REVW	Review Account Category
RFAA	Retail Futures - Arbitration Agreement
RFAC	Retail Futures - Authorization of CGM on opposite side of customer trade
RFAK	Retail Futures Account Agreement Kit
RFAT	Retail Futures - Resolution Authorizing Futures Trading
RFHL	Retail Futures - Hedge Letter
RFPN	Retail Futures - Privacy Notice
RFPR	Representation Letter for First Pr Family Funds
RFSC	Retail Futures - Statement of Financial Condition
RFWI	Retail Futures - Wire Instructions
RISK	Risk Letter
RJAC	Reject NAW9 Missing Application from Conv.
RJAD	NAW9 Missing Legal Address
RJBD	NAW9 Missing Date of Birth
RJEM	NAW9 Missing Employer
RJSG	NAW9 Missing Signature of Joint Owner
RJSS	NAW9 Missing Tax ID/SS#
RJSU	NAW9 Missing Suitability Info
RLOB	Reasonable Letter of Explanation/Birth Country
RLOE	Reasonable Letter of Explanation
RLOM	Reasonable Letter of Explanation/Mailing Country
RLOT	Reasonable Letter of Explanation/Treaty Country
RMD	70 ½ Form Requirement Minimum Distribution
RMDD	Required Minimum Distribution Document
RMMF	Representation Letter for FPR MMF
ROLC	Rollover Contribution
ROLD	Rollover Distribution
ROTC	Roth Conversions
RPRC	Retirement Product
RRAD	Registered Representative Add
RRCG	Registered Representative Change
RSIG	Client Signed Rollover Documentation
RSUP	Rollover Supporting Documentation

DOCUMENT CODE	DOCUMENT DESCRIPTION
RTCK	Returned Pershing Check
RTCN	Resources Trust Conversion
RTQU	Risk Tolerance Questionnaire
RVPO	Revocation of Power of Attorney
RVTA	Revocation of Full/Limited Trading Authorization
RVTR	Revocation of Trust
S1W8	Supporting Documents for Individual Accounts
S2W8	Supporting Documents for Non-Individual Accounts
SAB	Stocks and Bonds
SADP	Substitute Adoption Agreement
SAMA	Sub Advisor Authorization Form
SARS	IRS 5305A Form
SCES	Simplified Cashless Exercise Sell & Payment Authorization
SCPT	Sponsored Deferred Contribution Plan & Trust Agreement
SEC	Securities
SELC	Select Service Agreement
SENT	Papers Sent to Client
SEPP	SEP Prototype Adoption Agreement
SESA	Annual Calculation
SIGN	Signature Guarantee
SINF	Supplemental Account Information
SIOT	Structured Investment, Opportunity Type
SIPG	Structured Investment, Principal Guaranteed
SIPT	Structured Investment, Performance Type
SLAA	Security Loan Application
SLNK	Select Link Code
SMMP	Sophisticated Municipal Market Prof Document
SMRP	Smart Tier Three Participant
SMRT	Smart Tier Three Trustee
SMTP	Smart Tier Two Participant
SMTT	Smart Tier Two Trustee
SOBI	Sellout/Buy
SOCS	Social Security Change
SOEI	Sellout/Buyin
SOEN	Stock Option Exercise Notice
SOLE	Sole Proprietorship
SPCF	Spouse Consent Form
SPFF	Senior Public Figure Details Form FACTIVA
SPFG	Senior Public Figure Details Form Government Databases
SPFI	Senior Public Figure Details Form Internet Searches
SPFN	Senior Public Figure Details Form Major News Publications

DOCUMENT CODE	DOCUMENT DESCRIPTION
SPFO	Senior Public Figure Details Form Other Sources
SPFW	Senior Public Figure Details Form World Check
SPRD	SP Client Risk Disclosure
SRCA	Signature Retirement Client Agreement
SREC	Stock Received
SRTF	LOA Standing Request to Transfer Funds (requires Notary Public)
SRTS	LOA Standing Request to Transfer Funds (requires Client Signature Only)
SSA	SSA B Notice Card
SSAD	Statement Suppression Delete Document
SSAO	Statement Suppression at OMGEO
SSAP	Statement Suppression at Pershing
SSM	Mutual Short Sell Disclosure
SSRP	Supervisory Supplement for Retirement Plans
STA	Customer Statement
STBP	Stock or Bond Power
STCF	Statement & Confirm Req
STID	State Identification Card
STLN	State Tax Lien
STMT	Statement Message Document
STRL	Stop/Release Letter
STSA	402 Street Side Add
SUBA	Subscription Agreement
SUIT	Suitability Update
SUMM	Summons
SUN	Sundry Charges
SUPS	BRM Supervisory Agreement
SWAG	Sweep Agreement
SWCH	Switch Form
SYEX	Systematic Exchanges
SYN0	IPO Unrestricted Form
SYN1	Executive Officer / Director Restrictions Form
SYWD	Systematic Withdrawal Form
T403	Third Party 403B
TADJ	Tax Adjustment Form
TAXF	Tax Form
TBNA	Telephone Bill with Name & Address of Customer
TCER	Title Certificate
TCIP	Trustee Certification of Investment Powers
TCSF	Trade Confirmation Suppression Form
TD3F	Trading Authority Third Party Full
TD3L	Trading Authority Third Party Limited

DOCUMENT CODE	DOCUMENT DESCRIPTION
TDAD	Trading Authorization Deleted
TDAF	Trading Authority Full
TDAL	Trading Authority Limited
TDSC	Transitional Disclosure
TESA	Third Party Education Savings Agreement
TFDW	LOA to transfer funds by wire
TFRA	TEFRA Agreement
TFRR	Transfer Request Form
TINC	TIN/EIN Change
TINR	TIN Requested
TIRA	Third Party Individual Retirement Agreement
TJAS	Texas Joint Account Supplement to Client Agreement
TJBA	NAW9 Need Updated Address
TLCP	Trade License with Photograph
TNOF	Termination of Notification
TOA	Transfer of an Account (from)
TOAT	Transfer of an Account (to)
TODA	Transfer on Death (TOD) Affidavit
TODI	Transfer on Death (Individual)
TODJ	Transfer on Death (Joint Account)
TPAF	Third Party Administrator Form
TPCK	Third Party Checks
TPIG	Third Party IRA Guardian Agreement
TPSA	Third Party SEP Agreement
TPSI	Third Party Simple IRA
TQRP	Third Party Qualified Retirement Plan (QRP) Agreement
TR1P	Trust Agreement First/Signature Page
TRAN	Document Transmittal
TRDA	Trustee Declination to Act
TRFS	Transfer and Ship
TRMD	Trust Amendment
TRST	Trust Agreement
TRTG	Third Party Roth Guardian Agreement
TSEP	Third Party SEP Agreement
TSOR	TSO Report Request
TSTA	Test Account Add
TTCH	Trustee Change
TXND	Pre-Transaction Disclosure
TXWC	Tax Waiver - Copy
TXWO	Tax Waiver - Original
UBIA	BIA Agreement

DOCUMENT CODE	DOCUMENT DESCRIPTION
UBID	Defeasance BID Agreement
UBNA	Utility Bill with Name and Address of Customer
UBTI	Unrelated Business Taxable Income
UIND	Directed Share/Unit Indication
UKAL	United Kingdom Authorization Letter
ULAI	Authorized Individual
ULIC	Large Suitability Certification
UNCD	Union Card
UNIN	Unincorporated Agreement
UPDT	New Account Update
USEA	US Employment Card with Photograph
USGR	Small Client Application
USUB	Substitute Paperwork
UVST	UVEST/Centura Bank Adoption Agreement
V2A	Annuity Addendum
VAMA	Various Mass Updates(511 CTRL)
VARP	Variable Annuity Replacement Paperwork
VCCP	Valid Credit Card with Photo
VDEP	Verification of Deposit
VDSI	LOA - ROI Distribution Standing Instructions
VERB	Verbal Adoption Agreement
VEXP	Vanguard Exempt Verification
VIFD	Verification of the Identity of the Fund
VISA	VISA Number
VIST	Verification of ID of Settler/Trustee on Whose Behalf Applicant for Business fs Acting
VMXI	Valid Mexican Voter ID Card
VNIC	Valid National ID Card
VOD	Verification of Deposit
VOID	Void Check(s)
VOIF	Verification of Identity Form
VPLN	External Financial Plan
VPRO	External Investment Proposal
VRGD	Vehicle Registration Document
VS3	Netherlands Antilles
VS3E	Expired Netherland Antilles
VS4	Netherland Antilles
VS4E	Expired Netherland Antilles
VTGC	Voter Registration Card
VUID	Veterans Universal Access ID Card with Photograph
W2SS	W2 Form with Social Security Number
W8	Foreign Tax Form W8

DOCUMENT CODE	DOCUMENT DESCRIPTION
W8BE	Foreign Status Beneficial Owner
W8CO	W8 IBD
W8D	Original IRS Form W8
W8E	Expired Foreign Tax Form
W8EC	Foreign with Effectively Connected US Business/Trd
W8ET	W8 BEN-E (Entity)
W8EX	Foreign Status for Government/Organization
W8IM	Foreign Status for Intermediary
W8IT	W8 BEN (Individual)
W8MT	W8 IMY (Intermediary)
W9	US Tax Form W9
W9C	New Account Form for C-Corporation
W9DT	Add W9 Per Tax Reporting
W9LP	New Account Form for Limited Liability Co. Partnership
W9S	New Account Form for S-Corporation
W9SC	Generic W9 Code for Corporation & LLC Partnership
W9SE	W9 S-Corporation Exempt
W9WH	W9 but Subject to Backup Withholding
WEBP	Web Page of Customer
WESM	WESCOM Miscellaneous
WILL	Last Will and Testament
WJSA	Waiver of Joint and Survivor Annuity
WOI	Withdrawal on IRA
WRAP	Wrap Client Services Agreement