

RESIDUAL SWEEP REQUEST FORM

RECEIVES

(Definition: The account has been transferred from another carrying firm into an account with Prime.)

- ◆ *A residual balance exists with the former carrying firm. Please request a residual sweep of the account balance to be transferred into the client's account with Prime.*

Client's Name: _____

Prime Account Number: _____

Former Carrying Firm: _____

Former Carrying Firm Account Number: _____

If you have a current statement from the former carrying firm, please fax along with this request. NOTE: A residual sweep can take up to two weeks to occur.

DELIVERY

(Definition: The Prime account has been transferred to another carrying firm.)

- ◆ *Please sweep the balance in the following account to the new carrying firm.*

Client's Name: _____

Prime Account Number: _____

New Carrying Firm: _____

New Carrying Firm Account Number: _____

Date

Representative's Name

Please fax to the Transfer of Assets Department at (845) 473-3232.