

## SECURITIES TRANSFER INFORMATION

Do not report stocks or other intangible ownership interests unless you are also able to simultaneously deliver the property. **Do not report securities that are non-transferable.** Owner accounts for non-transferable securities should remain active. Any unclaimed property reported and delivered to the Department must have value. **Do not report or remit securities with no-value.**

The entity responsible for preparing the report of unclaimed property will be responsible for emailing the Notification of Transfer.

### **Notification of Transfer of all securities will be emailed directly to:**

State of Florida, Department of Financial Services  
Attn: Division of Unclaimed Property  
At: [EReporting@MyFloridaCFO.com](mailto:EReporting@MyFloridaCFO.com)

The subject line of the email must include the Florida assigned Unclaimed Property Identification (UPID) number for your organization and the “Notification of Transfer.” The notification will include:

- Florida Assigned UPID Number
- Entity Name
- Entity FEIN (Federal Employer Identification Number)
- Entity Contact Person Name, Telephone Number, & Email Address
- Report Due
- Reporting Year
- Reported CUSIP (Committee on Uniform Securities Identification Procedures) Number
- Reported Security Name
- Number of Shares
- Type of Shares (DTC, Certificate, Mutual Fund, etc...)
- Dollar amount of shares
- Date & time transfer to Florida’s Securities Custodian occurred

The notification shall be emailed at least 48 hours in advance of the transfer of the securities to the Department’s Custodian. Microsoft Excel is the preferred format for processing. A template has been provided for your convenience at: [Transfer of Securities Notification template.](#)

When share information (i.e. dividends, capital gains earned, or any other type of corporate action) changes after the report of unclaimed property and the Notification of Transfer has been submitted, both the report of unclaimed property and the Notification of Transfer information must be updated and resubmitted.

**Common or Preferred Stock and Mutual Funds eligible for DTC/DWAC transfer must** be sent directly to:

DTC participant 901  
Agent Bank #26500  
State of Florida, Account 822496.

At least 48 hours prior to delivery you must email a list of intent to deliver to [upch.custody@avenuinsights.com](mailto:upch.custody@avenuinsights.com). The list shall include the information found in the Notification of Transfer section. **The Department’s FEIN is 27-2818119.**

**Dividend reinvestment plans should be terminated** by converting the whole shares to common stock and liquidating the partial shares. The whole shares can then be sent via DTC to:

DTC participant 901  
Agent Bank #26500  
State of Florida, Account 822496.

Partial shares must be sold and the proceeds mailed to:

Florida Department of Financial Services  
Attn: Division of Unclaimed Property  
200 East Gaines St  
Tallahassee, FL 32399-0358

A listing containing the information found in the Notification of Transfer section shall be emailed to the Department Custodian at [upch.custody@avenuinsights.com](mailto:upch.custody@avenuinsights.com) at least 48 hours before the transfer of the securities.

**Direct Registration/Book-Entry shares are not accepted by the Department.**

**Securities must be transferred via DTC to:**

**DTC participant 901  
Agent Bank #26500  
State of Florida, Account 822496.**

**To transfer securities not eligible for DTC, issue a physical certificate** registered in the name of “Hare & Co., LLC, FBO Florida Department of Financial Services” and mail to:

The Depository Trust Company  
570 Washington Blvd – 5<sup>th</sup> Floor  
Jersey City, NJ 07310  
Attn: BNY Mellon/Branch Deposit Department  
FEIN: 13-6062916

**DO NOT** deliver original certificates to the State of Florida with your report. A photocopy must be sent with the original report. If any certificates are registered incorrectly, they will be returned to you for re-registration and your report will be considered incomplete. Only one certificate must be delivered for each security position reported. Copies of the certificates or a list of the certificates including the information found in the Notification of Transfer section shall be faxed to 617-722-9660 at least 48 hours prior to delivery.

**Delivery of Foreign Securities:** When attempting to deliver foreign securities, contact the Department’s securities custodian at [upch.custody@avenuinsights.com](mailto:upch.custody@avenuinsights.com) to obtain delivery instructions.

**Federal Reserve Book Eligible Securities Delivery Instructions**

Federal Reserve Bank of New York  
ABA#0210-0001-8  
BK of NYC/CUST  
FBO - State of Florida; Account # 822496

A listing containing, at a minimum, the information found in the Notification of Transfer section shall be emailed to the Department Custodian at [upch.custody@avenuinsights.com](mailto:upch.custody@avenuinsights.com) at least 48 hours before the transfer of the securities.

### **Open End Mutual Fund Accounts**

**Accounts** held for the State of Florida must be registered to the name Mac & Co., LLC. The Department's securities custodian will provide account numbers for all mutual funds transferred to the State of Florida's account. Contact the Department's securities custodian at [upch.custody@avenuinsights.com](mailto:upch.custody@avenuinsights.com) to obtain account numbers 3 – 4 business days prior to attempting delivery.

### **Closed End Mutual Funds Accounts**

**Accounts** held for the State of Florida must be registered in the name of State of Florida c/o Avenu Insights & Analytics, LLC, 100 Hancock Street, 10 Floor, Quincy, MA 02171 FEIN 27-2818119.

If the fund is DTC eligible, please close the account and deliver full shares at DTC# 901, Agent Bank #26500, Account # 822496.

If the fund is not DTC eligible, please close the account and forward certificate for full shares to:

Avenue Insights & Analytics, LLC  
100 Hancock Street  
10th Floor  
Quincy, MA 02171

Partial shares must be sold and the proceeds mailed to:

Florida Department of Financial Services  
Attn: Division of Unclaimed Property  
200 East Gaines St.  
Tallahassee, FL 32399-0358

A listing containing, at a minimum, the information found in the Notification of Transfer section shall be emailed to the Department Custodian at [upch.custody@avenuinsights.com](mailto:upch.custody@avenuinsights.com) at least 48 hours before the transfer of the securities.

All unclaimed property must be remitted once the report is filed through the Holder Reporting Online System.

Do not report stocks or other intangible ownership interests unless you are also able to simultaneously deliver the property. Should any property that is not transferred become transferable in the future and available for delivery simultaneously with the report of unclaimed property, report the property to the Department and include a brief explanation stating why the property was reported after the reporting due date.

Contact the Department at [EReporting@MyFloridaCFO.com](mailto:EReporting@MyFloridaCFO.com) or at 850-413-5522 should you have any questions.