



JOHN CHIANG
California State Controller
Notice to Holders

INSTRUCTIONS FOR REPORTING AND REMITTING SECURITIES
March 2011

This notice has been issued to assist you with the proper reporting and remitting of security properties during the upcoming Remit Report process. Securities include stocks and mutual funds for purposes of this notice. As a convenience, we are providing you with a summary of instructions that will substantially reduce the likelihood you will need to be contacted to correct reporting errors. This information can also be found in the Holder Handbook. Please take note of the following:

- **The SS-1 (Securities Summary Form) is Required for All Remit Reports**
 - + Must be completed and attached to the Holder Remit Report for all reported securities - "Securities" includes mutual funds
 - + When transferring securities electronically, e-mail the SS-1 at least 48 hours prior to transfer to: ucpdtcss1@sco.ca.gov and calif.statemail@wellsfargoadvisors.com

 - **Each Owner's Fractional Shares Must be Liquidated and Reported as Cash**
 - + Do not total fractional shares for the issue – liquidate each owner's fractional shares
 - + Applies to all issues, not just dividend reinvestment plans
 - + ONLY exception is open-end mutual fund shares

 - **Direct Registration Required for Transfer of Open-End Mutual Fund Shares to the State Controller's Broker**
 - + Accounts are to be registered with the following information:
 - NETWORKING MATRIX LEVEL 3
 - Use CASH option for all Div and Cap Gains
 - Registration:
 - FIRST CLEARING, LLC
 - FBO STATE OF CALIFORNIA
 - BIN #63827250
 - 2801 MARKET STREET
 - ST. LOUIS, MO 63103
- Tax ID#: 23-2384840
Branch#: 80
DTC#: 0141
Representative #: 80H7

- **When Mutual Fund Accounts Cannot be Held with the State Controller's Broker**
 - + Attach written verification to the Remit Report that Wells Fargo Advisors cannot hold the fund
 - + Register accounts with the following information:
 - State of California
 - State Controller's Office
 - PO Box 942850
 - Sacramento, CA 94250-5873
 - Tax ID#: 68-0322976
 - + Submit a copy of the mutual fund statement(s) with the Remit Report:
 - State of California
 - State Controller's Office
 - PO Box 942850
 - Sacramento, CA 94250-5873
 - Tax ID#: 68-0322976

- **Non-Transferable Security Issues Must be Itemized on the Remit Report**
 - + Provide a detailed list of non-transferable security issues and submit with the Remit Report
 - + Detailed list must include the following:
 - Issue Name, CUSIP #, # of shares and reason they are non-transferable
 - + Submit Monthly/Quarterly account statements when non-transferable security issues are held in an SCO holding account. Mail account statements to: State Controller's Office, Unclaimed Property Division, P.O. Box 942850, Sacramento, CA 94250-5873

- **Change in Information from Notice Report to Remit Report**
 - + Share amount adjustments, corporate actions, CUSIP changes, and other changes often transpire between the time the Notice Report is submitted and the Remit Report is due
 - + ANY CHANGES must be reflected on the Remit Report
 - + Information on the Remit Report for individual owners must match what is being remitted

- **When the State Controller's Office Does Not Have an Existing Mutual Fund Account in a Particular Family of Funds**
 - + Contact Tim Johnson at Wells Fargo Advisors at (916) 443-4493 to obtain information needed to open a new mutual fund account

- **NEW! Email Address for Questions Involving Remitting Securities**
 - + Please contact us at: updsecrecon@sco.ca.gov

- **Report ID Number Must be Included in the DTC Comment Field**
 - + Report ID number is located on the 14f letter you receive from the SCO
 - + Report ID number must be the first entry in the DTC comment field
 - + The transfer may be rejected if the Report ID number is not included