

STEP BY STEP INSTRUCTIONAL ON HOW TO FILL IN THE DEPOSIT/SUBSTITUTION REQUEST FORM

USING THE ATTACHED **DEPOSIT/SUBSTITUTION REQUEST FORM**, PLEASE FILL OUT ACCORDINGLY. THE FORM CAN BE RETRIEVED FROM (URL. http://www.state.nj.us/dobi/division_insurance/pdfs/fedepfrm.pdf)

1. Assigned account number provided to you by TD Bank. If your account is new, call the Custodian (856) 685-5144 to obtain.
2. Your Company's Name.
3. Your Company's Telephone #.
4. Your Company's Fax #.
5. You will need to check off one or two items listed. Definitions are as follows:

FREE RECEIVE SECURITIES- Securities delivered to Custodian with no cash.

FREE DELIVER SECURITIES-Securities to be delivered out of TD Bank. Company must supply complete delivery instructions to the Custodian.

DVP (DELIVERY VS. PAYMENT)- Using the attached Delivery Instructions, deliver in the securities that are to be Deposited. Once received the Custodian will pay for the security. This includes cash being wired to the Custodian for purchases.

TD BANK TO BUY SECURITY- This field is used if you want the Custodian to affect a purchase.

SUBSTITUTION OF SECURITIES- This field is check if you currently hold a Security with the Custodian that you want to substitute.

6. **CUSIP**: The nine digit number assigned to the Security to be deposited.
7. **DESCRIPTION**: Full description of the security including the rate and maturity date.
8. **PAR/CURRENT FACE**: The number of shares.
9. **ORIGINAL FACE**: This need to be filled in when referring to asset backed securities.
10. **PRICE**: This is the price paid for the security.
11. **PRINCIPAL**: This is the cost of the security not including the accrued interest.
12. **INTEREST**: This is the accrued interest paid for the security.
13. **NET**: The Principal and Accrued Interest combined.

14. **TRADE DATE:** Date the Security was purchased.
15. **SETTLEMENT DATE:** Date of Settlement.
16. **BROKER:** Name of Broker or Bank in which the Security is being delivered in from.
17. **FED WIRE INSTRUCTIONS:** Delivery instructions of the Broker making the delivery. **(See attached delivering instruction sheet)**
18. **CUSIP:** The nine digit number assigned to the Security being delivered out by the Custodian.
19. **DESCRIPTION:** Full description of the security including the rate and maturity date to be delivered out by the Custodian.
20. **PAR/CURRENT FACE:** The number of shares to be delivered.
21. **ORIGINAL FACE:** This needs be filled in when referring to asset backed securities being delivered.
22. **PRICE:** Original price of the security being released.
23. **PRINCIPAL:** Original principal of the security being released.
24. **INTEREST:** Any interest that is to be delivered in conjunction with the release.
25. **NET:** Principal and Interest total to be released.
26. **TRADE DATE:** Date delivery should occur.
27. **SETTLEMENT DATE:** Should be the same as the Trade Date
28. **BROKER:** Name of Broker the Custodian should make delivery to.
29. **FED WIRE INSTRUCTIONS:** DTC#, ABA#, Routing # of Broker receiving delivery. **(See attached delivering instruction sheet)**
30. **Print Name and Telephone # of the Insurance Company Representative.**
31. **Representatives Signature.**

ONCE THE FORM IS CORRECTLY FILLED OUT PLEASE FAX or E-MAIL TO ROBERT EDGE OF THE NJ DEPARTMENT OF BANKING AND INSURANCE FOR APPROVAL (609) 292-6765/robert.edge@dobi.state.nj.us. ONCE THE FORM IS APPROVED BY SIGNATURE THE DEPARTMENT WILL FAX TO TD BANK.

DEPOSIT/SUBSTITUTION REQUEST FORM

(NUMBERS CORRELATE WITH STEP BY STEP INSTRUCTIONAL)

To: State of New Jersey - Department of Banking and Insurance
Office of Solvency Regulation
Attn: Robert L. Edge
robert.edge@dobi.state.nj.us
P.O. Box 325
Trenton, NJ 08625-0325

To: TD Bank, National Association
Attn: Arlene Murphy
Wealth Management, Institutional Trust
1006 Astoria Blvd.
Cherry Hill, New Jersey 08034

Re: Commissioner of Banking and Insurance of the State of New Jersey as Trustee

Account Number: 1 Company Name: 2
Phone Number: 3 Fax Number: 4

In accordance with the administration of the Custodian Deposits held by you as Custodian for the New Jersey Department of Banking and Insurance, we request the following transaction(s):

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Free Receive Securities Free Deliver Securities DVP (Delivery vs. Payment)
 TD Bank to buy Securities Substitution of Securities

Securities to be deposited:

Cusip: 6 Description: 7
Par/Current Face: 8 Original Face: 9 Price: 10
Principal: 11 Interest: 12 Net \$: 13
Trade Date: 14 Settlement Date: 15 Broker: 16
Fed Wire Instructions: 17

Securities to be released:

Cusip: 18 Description: 19
Par/Current Face: 20 Original Face: 21 Price: 22
Principal: 23 Interest: 24 Net \$: 25
Trade Date: 26 Settlement Date: 27 Broker: 28
Fed Wire Instructions: 29

30 Name and Telephone Number of Company Representative
31 Signature of Company Representative - Date

Company faxes/e-mail form to Department of Banking and Insurance (609) 292-6765

Required consent by the Commissioner of Banking and Insurance, State of New Jersey:

Signature of DOBI Representative - Date

DOBI faxes/e-mail form to TD Bank for Acknowledgement

Commerce Bank Representative acknowledges receipt of form:

Signature of TD Bank Representative - Date

TD Bank faxes/e-mail signed form to both the above company and DOBI

Comments:

**TD WEALTH MANAGEMENT
(603) 229-5832**

The following is a list of instructions for delivering securities to TD Wealth Management.

ASSET FREE RECEIPTS/TRANSFERS

DTC eligible assets only - SEE INSTRUCTIONS BELOW FOR FED ASSETS and GNMA's

BANK OF NEW YORK
DTC #901
FOR: TD WEALTH MANAGEMENT ACCT # 806100
FOR FURTHER CREDIT TO: Client's Name and account number

**** REQUIRED INFORMATION**

FEDERAL RESERVE assets – all US Gov't bonds, notes, Fed Farm Credit, FNMA's, GNMA securities, etc.

TELEGRAPHIC ABBREVIATION: **BK OF NY/CUST**
ABA#: **021000018**
RECEIVING ACCT. CODE: **806100**
FOR FURTHER CREDIT TO: Client's Name and account number

MUTUAL FUND TRANSFERS

FOR RE-REGISTRATION INFORMATION, PLEASE CALL 603-229-5832

PHYSICAL SECURITIES NOT DTC ELIGIBLE

REGISTER CERTIFICATES AS FOLLOWS:

STRATEVEST & CO. TAX ID# 03-0349870
c/o TD WEALTH MANAGEMENT
PO BOX 477
CONCORD, NH 03302-0477
FOR THE ACCOUNT OF:

EUROCLEAR

EUROCLEAR
BANK OF NEW YORK
ACCT. NO. 97816
FOR: TD WEALTH MGMT ACCT# 806100
FOR FURTHER CREDIT TO THE ACCOUNT OF:

SECURITIES TRADE INSTRUCTIONS

DTC ELIGIBLE TRADES – SEE INSTRUCTIONS BELOW FOR FED ELIGIBLE TRADES

INSTITUTIONAL ID# 10530
DTC #901
AGENT # 80901
ACCOUNT NAME: TD WEALTH MANAGEMENT
ACCT. NO. 806100
FOR FURTHER CREDIT TO:

FEDERAL RESERVE TRADES – includes US Government bonds, notes, Fed Home Loan, FNMA's, GNMA Trades, etc.

TELEGRAPHIC ABBREVIATION: **BK OF NY/CUST**
ABA#: **021000018**
RECEIVING ACCT. CODE: **806100**
FOR FURTHER CREDIT TO:

EUROCLEAR

EUROCLEAR
BANK OF NEW YORK
ACCT. NO. 97816
FOR: TD WEALTH MANAGEMENT
ACCT. NO. 806100
FOR FURTHER CREDIT TO:

CASH WIRES, CERTIFICATES OF DEPOSIT, AND CHECKS

CASH WIRES: SEND VIA FED WIRE

TELEGRAPHIC ABBREVIATION: TD BANK
BURLINGTON, VT
ABA#011600033
BNF: TD WEALTH MANAGEMENT
DDA#: 0060157930
FOR FURTHER CREDIT TO THE ACCOUNT OF:

(Client Account name and number)

**CASH SENT BY CHECK: ALL CHECKS SHOULD BE FORWARDED TO:
ADDRESS OF FINANCIAL ADVISOR**

**PAYABLE TO: TD WEALTH MANAGEMENT
F/B/O _____**

CERTIFICATES OF DEPOSIT

**TD BANK, N.A. TAX I.D. 01-0137770
RELATIONSHIP & NAME OF TRUST i.e.
Trustee for Mary Stewart Little IRA
143 NORTH MAIN STREET
CONCORD, NH 03301**