



## DELIVERY INSTRUCTIONS - PRINCIPAL CUSTODY SOLUTIONS

Provide a list in Excel format describing the securities that you intend to deliver and submit that to our office at [holder.unclaimed@state.mn.us](mailto:holder.unclaimed@state.mn.us) at least 4 days prior to delivery.

Include the following:

Issue Name  
CUSIP Number  
Number of Shares  
Delivering party's DTC number  
Preferred method of delivery

### INCOMING FED WIRE

Bank Name	Wells Fargo Bank, N.A.
City, State	San Francisco, CA (Street Address: 420 Montgomery Street / Zip Code: 94104)
Routing Transit Number (ABA Number)	121000248
Beneficiary Account Number (Principal DDA)	4516058948
Beneficiary Account Name	Principal Bank PCS Incoming Wire or ACH
Trust Account Number	13487030
Trust Account Name	State of Minnesota Unclaimed Property

### AUTOMATED CLEARING HOUSE (ACH)

Routing Transit Number	121000248
Beneficiary Account Number (Principal DDA)	4516058948
Tran Code	22
Individual ID	Crediting Customer Account Number
Individual Name	Crediting Customer Name

### DTC

Participant Number	2925
Agent Bank ID	00078861
Account Number	13487030
Account Name	State of Minnesota Unclaimed Property
Institution Number	(This is your institution number if you have affirmation responsibility)

\*All DTC eligible shares must be deposited through DTC, DRS or DWAC (if not a DTC Participant).

### FED

The Bank of New York Mellon (BNYM)	
Routing Transit Number (ABA Number)	21000018
Party Mnemonic	CUST
BNYM Account	944107
	Principal Financial Group Federal Reserve

## PHYSICAL SECURITIES

### **Depository Trust & Clearing Corporation (DTCC) - Over the window (OTW)**

DTCC New York Window  
Newport Office Center  
570 Washington Blvd, 5th Floor  
Jersey City, NJ 07310  
**Attn:** Tara Wernert  
**Participant Number**

2925

## MUTUAL FUND TRANSFER INSTRUCTIONS

All mutual fund shares must be delivered manually using fund account numbers set up with our custodian. Submit requests for fund account numbers to our custodian, Principal Custody Solutions at [pcsmplscsc@principal.com](mailto:pcsmplscsc@principal.com). Please use Attn: Zdravko Djukic in the subject line. Provide the fund name, CUSIP, ticker symbol and number of shares to be delivered when requesting fund account numbers.

When making notification of delivery of mutual fund shares, provide all fund information including CUSIP, ticker and share amount. If the fund company is aware of the fund delivery, provide their contact information including name, phone and email. This will allow our Custodian to communicate directly with the fund company to ensure successful delivery of shares delivery of shares to the State of MN – Unclaimed Property.

Contact our office at [holder.unclaimed@state.mn.us](mailto:holder.unclaimed@state.mn.us) or 651-539-1545 for additional instructions if reported shares cannot be transferred to our custodial account.

## FOREIGN SECURITY DELIVERY

Submit a list of foreign securities to our custodian via email at [pcsmplscsc@principal.com](mailto:pcsmplscsc@principal.com). Please use Attn: Zdravko Djukic in the subject line.

**INVESTMENT INCOME:** All dividend reinvestment elections should terminate after registration to Minnesota Unclaimed Property. All dividends, capital gains and other income distributions should be paid in cash. Send all investment income to the Minnesota Department of Commerce by check.

**DRP ACCOUNTS:** Dividend Reinvestment Plan (DRP) accounts should be converted to pay any increments in cash. Fractional shares must be liquidated, unless the fractional shares are transferable, the proceeds from the liquidation should be included with your annual report and remittance. Liquidate fractional shares at the property level, do not total fractions for all owners prior to sale. When reporting proceeds from fractional shares, the cash value should be reported as cash for fractional shares (SC09) for each individual owner.

**WORTHLESS AND NON-TRANSFERABLE STOCK:** Do not report or remit worthless, chilled or otherwise non-transferable securities. Contact our office at [Holder.Unclaimed@state.mn.us](mailto:Holder.Unclaimed@state.mn.us) if you are uncertain whether a security should be delivered based on this criteria. If the stock become transferable and have value then report and remit the shares with your next annual report.

**PHYSICAL SECURITIES:** Advance approval is required prior to delivery of physical certificates. Certificates will be returned to sender if the shares can be transferred electronically or if they are restricted. All certificates must be re-registered with our Custodian, Principal Bank.

**REPORTING RESPONSIBILITY:** It is the Holder's obligation to ensure that reported shares are transferred into our custody successfully. If a transfer agent is acting on behalf of the Holder and fails to remit the shares to our custodial account, the liability remains with the Holder. If a transfer agent is unable to initiate DTC deliveries to our custodial account then a list of securities to be reported will need to be delivered to our office prior to submitting any related reports. If you do not have owner names, list the owner as "Unknown" and furnish as much information as possible from your files. List the dates of the check and their corresponding check numbers, any addresses, SSN's, account numbers, co-owners, or remitters, if known.