



State of Rhode Island and Providence Plantations
Office of the General Treasurer Seth Magaziner
Unclaimed Property Division

Reporting and Delivery of Unclaimed Securities

The Unclaimed Property division will not accept your report of unclaimed securities until it is able to verify that the securities have been transferred into the state's custody account.

Two days prior to delivery, you **MUST** email the division notice of your intent to deliver securities. The notice must be emailed to: up-reporting@treasury.ri.gov. The notice must include: CUSIP #, Security Name, Share Quantity and Broker's DTC #.

All DTC eligible shares MUST be deposited through DTC, DRS, or DWAC (if not DTC participant) as follows:

State of Rhode Island
Fidelity Investments
FEIN: 05-6000522

DTC Participant #0226
Account #Z69640000

Special Instructions for Mutual Funds:

All Mutual Funds should be transferred into our custody account with Fidelity Investments in accordance with the instructions above.

DO NOT RE-REGISTER SHARES INTO A "HOUSE" ACCOUNT OR OPEN A NEW ACCOUNT IN THE DIVISION'S NAME.

Securities deposited to any other account without the express written permission of the Unclaimed Property Administrator will be considered unremitted and your report will not be accepted.

Special Instructions for Dividend Reinvestment Plans (DRP):

Remit only whole shares in accordance with the instructions above. Fractional shares should be liquidated, with proceeds applied to individual owner accounts. These funds should be included in your report and remitted directly to the State of Rhode Island. Do not sum and remit the proceeds of fractional shares as a single aggregate property.

Special Instructions for Physical Certificates:

Register and deliver Physical Certificates ONLY for non-DTC eligible shares as follows:

Certificates must be registered as shown below; the **original certificate** should be delivered with **your report to us**. Please be advised that certificates registered incorrectly 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 security name, CUSIP number, share amount and certificate number should be faxed to 401-462-7698, or scanned and emailed to up-reporting@treasury.ri.gov 48 hours prior to delivery.**

State of Rhode Island
FEIN # 05-6000522
Fidelity Investment Security Processing
499 Washington Blvd.
Jersey City, NJ 07310

Contact Information:

Unclaimed Property Division
Office of the General Treasurer
50 Service Ave, Floor 2
Warwick, RI 02886-1021
up-reporting@treasury.ri.gov
Phone: 401-462-7676
Fax: 401-462-7698