

# DEPOSIT/SUBSTITUTION REQUEST FORM

(NUMBERS CORRELATE WITH STEP BY STEP INSTRUCTIONAL)

To: State of New Jersey - Department of Banking and Insurance (NJDOBI)  
Office of Solvency Regulation  
Attn: Robert L. Edge  
[robert.edge@dobi.nj.gov](mailto:robert.edge@dobi.nj.gov)  
P.O. Box 325  
Trenton, NJ 08625-0325

To: TD Wealth®  
Attn: Betsy Smith  
[betsy.smith@td.com](mailto:betsy.smith@td.com)  
12000 Horizon Way, 3rd Floor  
Mailcode: NJ5-134-360  
Mount Laurel, NJ 08054

**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):

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

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\_\_\_\_\_  
Name and Telephone Number of Company Representative

\_\_\_\_\_  
Signature of Company Representative - Date

**Company faxes/e-mails form to NJDOBI for approval of transaction**

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

\_\_\_\_\_  
Signature of DOBI Representative - Date

**NJ DOBI faxes/e-mails form to TD Wealth® approving the processing of transaction**

Commerce Bank Representative acknowledges receipt of form:

\_\_\_\_\_  
Signature of TD Bank Representative - Date

**TD Wealth® faxes/e-mails signed form(s) to both company and NJDOBI for completion of transaction**

Comments:

## **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 ALSO BE RETRIEVED FROM (URL. [http://www.state.nj.us/dobi/division\\_insurance/pdfs/fedepfrm.pdf](http://www.state.nj.us/dobi/division_insurance/pdfs/fedepfrm.pdf))

1. Assigned account number provided to you by TD Wealth®. If your account is new, call the Custodian (856) 685-5141 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:** These 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 E-MAIL OR FAX TO ROBERT L. EDGE OF THE NJ DEPARTMENT OF BANKING AND INSURANCE FOR APPROVAL, [robert.edge@dobi.nj.gov](mailto:robert.edge@dobi.nj.gov) OR (609) 292-6765. ONCE THE FORM IS APPROVED BY SIGNATURE THE DEPARTMENT WILL FORWARD TO TD BANK.**

**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\*\***

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**\*\* 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\*\***

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**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:**

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**EUROCLEAR**

EUROCLEAR

BANK OF NEW YORK

ACCT. NO. 97816

FOR: TD WEALTH MGMT ACCT# 806100

**FOR FURTHER CREDIT TO THE ACCOUNT OF:**

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**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:

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**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:

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**EUROCLEAR**

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

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**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:

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(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**