West Virginia
Purchasing Division
2019 Washington Street, East
Charleston, WV 25305
Telephone: 304-558-2306
General Fax: 304-558-6026
Bid Fax: 304-558-3970

The following documentation is an electronically-submitted vendor response to an advertised solicitation from the *West Virginia Purchasing Bulletin* within the Vendor Self-Service portal at ***wvOASIS.gov***. As part of the State of West Virginia's procurement process, and to maintain the transparency of the bid-opening process, this documentation submitted online is publicly posted by the West Virginia Purchasing Division at ***WVPurchasing.gov*** with any other vendor responses to this solicitation submitted to the Purchasing Division in hard copy format.

WVOASIS

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Welcome, Lu Anne Cottrill

Procurement | Budgeting | Accounts Receivable | Accounts Payable

Solicitation Response(SR) **Dept:** 1300 **ID:** ESR01222000000004286 **Ver.:** 1 **Function:** New **Phase:** Final

Modified by batch , 01/30/2020

Header 2

List View

General Information | Contact | Default Values | Discount | Document Information

Procurement Folder: 674837

Procurement Type: Central Master Agreement

Vendor ID: VC0000082535

Legal Name: AVENU SLS HOLDINGS LLC

Alias/DBA:

Total Bid: $56,848.00

Response Date: 01/30/2020

Response Time: 11:04

SO Doc Code: CRFQ

SO Dept: 1300

SO Doc ID: STO2000000001

Published Date: 1/15/20

Close Date: 1/30/20

Close Time: 13:30

Status: Closed

Solicitation Description: Securities Custodial Services

Total of Header Attachments: 2

Total of All Attachments: 2

Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Solicitation Response

Proc Folder : 674837

Solicitation Description : Securities Custodial Services

Proc Type : Central Master Agreement

Date issued	Solicitation Closes	Solicitation Response	Version
	2020-01-30 13:30:00	SR 1300 ESR01222000000004286	1

VENDOR

VC0000082535

AVENU SLS HOLDINGS LLC

Solicitation Number: CRFQ 1300 STO2000000001

Total Bid : $56,848.00 **Response Date:** 2020-01-30 **Response Time:** 11:04:19

Comments:

FOR INFORMATION CONTACT THE BUYER

Melissa Pettrey

(304) 558-0094
melissa.k.pettrey@wv.gov

Signature on File **FEIN #** **DATE**

All offers subject to all terms and conditions contained in this solicitation

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
1	Securities Custodial Services	12.00000	MO	$3,140.000000	$37,680.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Monthly maintenance fee

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
2	Securities Custodial Services	10.00000	EA	$50.000000	$500.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Received physical item

Comments: Avenu shall pass-through to STO, DTC 'pass-through' costs related to registering and depositing physical certificates to DTC.
Fee increases imposed by DTC and incurred by Avenu during the term of the services rendered by Avenu shall result in a corresponding fee increase to the STO.

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
3	Securities Custodial Services	350.00000	EA	$20.000000	$7,000.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Receive DTC item

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
4	Securities Custodial Services	4.00000	EA	$50.000000	$200.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Extensive Research/Calculations

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
5	Securities Custodial Services	100.00000	EA	$25.000000	$2,500.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Receive mutual fund

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
6	Securities Custodial Services	250.00000	EA	$20.000000	$5,000.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Liquidate DTC item

Comments: The following brokerage fees will apply for all DTC, Physical and Foreign Sale of Securities. All commissions/fees set out below are deducted from gross sale proceeds prior to trade settlement:
- $0.05 per share commission
- $5.00 flat commission for any position (lot) under 100 shares
- SEC section 31 Fee of $0.0218/$1,000.00 of principal value of trade

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
7	Securities Custodial Services	10.00000	EA	$50.000000	$500.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Liquidate physical items

Comments: The following brokerage fees will apply for all DTC, Physical and Foreign Sale of Securities. All commissions/fees set out below are deducted from gross sale proceeds prior to trade settlement:
- $0.05 per share commission
- $5.00 flat commission for any position (lot) under 100 shares
- SEC Section 31 Fee of $0.0218/$1,000.00 of principal value of trade

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
8	Securities Custodial Services	100.00000	EA	$25.000000	$2,500.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Liquidate mutual fund

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
9	Securities Custodial Services	1.00000	EA	$532.000000	$532.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Return physical item

Comments: This fee applies only for securities that are not DRS Eligible and therefor do participate in the DRS Program. For Securities that are DRS Eligible but do not participate in the DRS program-the indicated cost will apply:
DRS Eligible Not Participating - Physical Cert Issuance to Claimant: $682.00
Avenu attempts to avoid this fee for its clients by issuing all transfers in DRS form and therefore the volume should be minimal. This fee is largely a pass through. Fee increases imposed by DTC and incurred by Avenu during the term of the

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
10	Securities Custodial Services	1.00000	EA	$25.000000	$25.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Return mutual fund

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
11	Securities Custodial Services	5.00000	EA	$25.000000	$125.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Return DTC item

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
12	Securities Custodial Services	5.00000	EA	$20.000000	$100.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Mailings

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
13	Securities Custodial Services	12.00000	EA	$15.000000	$180.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : Outgoing Wire Costs

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
14	Securities Custodial Services	1.00000	EA	$6.000000	$6.00

Comm Code	Manufacturer	Specification	Model #
84121806			

Extended Description : 1099s

Comments: Per record processed and submitted to IRS

AVENU
INSIGHTS & ANALYTICS

West Virginia State Treasurer's Office

Request for Quotation for

SECURITIES CUSTODIAL SERVICES

SOLICITATION #: CRFQ STO2000000001

COST PROPOSAL

Submitted By:

Avenu SLS Holdings, LLC
100 Hancock Street, 10th Floor
Quincy, MA 02171
Attn: David Lemoine, Managing Director
Phone: (207) 229-4322
E-Mail: proposals@avenuinsights.com

WWW.AVENUINSIGHTS.COM

January 30, 2020

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EXHIBIT A PRICING PAGE 5

Cover Letter

January 30, 2020

Department of Administration
Purchasing Division
Attn: Melissa Pettrey, Senior Buyer
2019 Washington Street East
Charleston, WV 25305-0130

RE: Request for Quotation to Provide Securities Custodial Services

Dear Ms. Pettrey:

Avenu SLS Holdings, LLC ("Avenu") is pleased to provide the following **Cost** response to the West Virginia State Treasurer's Office, Unclaimed Property Division ("STO" or "Agency") Request for Quotation for Securities Custodial Services, Solicitation # CRFQ STO2000000001.

Enclosed for your consideration in response to the above-referenced Request for Quotation (RFQ) is the offer from Avenu. Thank you in advance for your attention. Please note that we deeply appreciate STO's consideration in accepting this bid for evaluation, and we hope for further discussion once you have studied our attached proposal. We would be honored to continue to provide this service to your office.

Avenu is a privately-owned company, headquartered in the Washington D.C. metro area, that specializes is Unclaimed Property Safekeeping, Brokerage, Liquidations and Management Services. As an expert in this area, Avenu offers the STO the following:

- **Unclaimed Property Experts.** Avenu is the nation's largest and most experienced provider of unclaimed property administration services to state governments.
- **Experience.** Avenu's unclaimed property team has been providing these products and services for over thirty (35) years. And we deliver unclaimed property securities custodial services to more states than any other provider.
- **Proven Track Record.** Avenu offers the STO a proven track record of performance.

Avenu is pleased to provide the STO with the following designated representatives who may speak and act on behalf of Avenu.

Primary Contact:
Name: David Lemoine
Title: Managing Director
Phone: (207) 229-4322
E-Mail: David.Lemoine@avenuinsights.com

Alternate Contact:
Name: Vilka Markovich
Title: Director
Phone: (617) 722-9657
E-Mail: Vilka.Markovich@avenuinsights.com

As Chief Financial Officer, I have executive authority to bind Avenu to all commitments made in this proposal and I certify that all elements contained herein are true. Should the STO require any clarification or have any questions, please feel free to contact the primary and secondary contacts listed above.

Thank you,

Mike Melka
Chief Financial Officer
Avenu SLS Holdings, LLC

REQUEST FOR QUOTATION
To Provide
SECURITIES CUSTODIAL SERVICES

Exhibit A Pricing Page

Vendor Name: Avenu SLS Holdings, LLC

Vendor shall complete this Cost Sheet and submit it with its bid, even if responding online via wvOASIS. Complete the listing of all fees, charges and costs to provide the Services, and state the per-transaction fee and the annual fee, if any, for each. **The rates shall remain fixed for the initial term of the contract.** Prices shall include all shipping, travel, lodging, meals and other related costs, payable in arrears. Please complete each category; if Vendor does not intend to designate a fee for a specific item, mark it as "zero" cost. Shaded areas do not need to be completed.

Vendor understands that all Services will be provided and billed on a monthly basis, in arrears, based upon **actual quantities** used. The quantities provided are general estimates only and shall only be used for evaluation purposes. Vendor hereby proposes to provide the basic Services as anticipated below:

	DESCRIPTION	ASSUMED PER YR	COST PER ITEM	ANNUAL COST
1	Monthly maintenance fee (4.2.1 & 4.2.2)	12	$ 3,140.00	$ 37,680.00
2	Receive physical item (4.2.3) ***	10	$ 50.00	$ 500.00
3	Receive DTC item (4.2.4)	350	$ 20.00	$ 7,000.00
4	Extensive Research/Calculations (4.2.6)	4	$ 50.00	$ 200.00
5	Receive mutual fund (4.2.7 & 4.2.14)	100	$ 25.00	$ 2,500.00
6	Liquidate DTC item (4.2.16)*	250	$ 20.00	$ 5,000.00
7	Liquidate physical items (4.2.16)*	10	$ 50.00	$ 500.00
8	Liquidate mutual fund (4.2.16)	100	$ 25.00	$ 2,500.00
9	Return physical item (4.2.17) **	1	$ 532.00	$ 532.00
10	Return mutual fund (4.2.17)	1	$ 25.00	$ 25.00
11	Return DTC item (4.2.17)	5	$ 25.00	$ 125.00
12	Mailings (4.2.17)	5	$ 20.00	$ 100.00
13	Outgoing Wire Costs (4.2.19)	12	$ 15.00	$ 180.00
14	1099s (4.2.20)****	1	$ 6.00	$ 6.00
	TOTAL Estimated Annual Cost			**$ 56,848.00**

* The following brokerage fees will apply for all DTC, Physical and Foreign Sale of Securities. All commissions/fees set out below are deducted from gross sale proceeds prior to trade settlement:

- $0.05 per share commission
- $5.00 flat commission for any position (lot) under 100 shares
- SEC Section 31 Fee of $0.0218/$1,000.00 of principal value of trade

- Commission is waived for any sale where the gross proceeds are less than or equal to the calculated commission rate
- No commission for worthless sales. RJA will purchase worthless securities for $0.01/block of shares
- Corporate and Government Bonds – 1% per $1,000.00 bond
- No commission for the sale of Mutual Fund Shares, however some mutual fund companies might charge liquidation/processing fee that varies from fund to fund
- Physical Securities (Not DTC Eligible)
  - Transactions with Value. FINRA Rules require the return of the securities to state
  - Worthless Transactions: RJA will purchase worthless securities for $0.01/block of shares within the transaction

Additional Brokerage Fees – STO can make decision prior to processing transactions:

- Restricted Securities: $150.00 for Legal Opinion to lift the restriction
- Foreign Securities that need to be deposited to a foreign market prior to sale: Fixed Exchange Cost: $250.00 per transaction

** This fee applies only for securities that are not DRS Eligible and therefore do participate in the DRS Program. For Securities that are DRS Eligible but do not participate in the DRS program– the indicated cost will apply:

DRS Eligible Not Participating – Physical Cert Issuance to Claimant: $682.00

Avenu attempts to avoid this fee for its clients by issuing all transfers in DRS form and therefore the volume should be minimal. This fee is largely a pass through. Fee increases imposed by DTC and incurred by Avenu during the term of the services rendered by Avenu shall result in a corresponding fee increase to the STO.

With regard to the increasing cost of issuing certificates, DTC has issued a number of fee increases to register positions in certificate form. As this is primarily a pass-through fee, Avenu has increased its fees accordingly.

Whether a security is issued as DRS or in physical form is a decision that is made at the transfer agent, however Avenu has a standing procedure in place for all transfers to owners in which DRS is the default as this is far less costly than issuing physical certificates.

Some companies still offer a choice between DRS and physical, though most companies offer exclusively one or the other and only a small number of companies issue physical certificates only.

*** Avenu shall pass-through to STO, DTC ‘pass-through’ costs related to registering and depositing physical certificates to DTC.

Fee increases imposed by DTC and incurred by Avenu during the term of the services rendered by Avenu shall result in a corresponding fee increase to the STO.

**** Per record processed and submitted to IRS.

The undersigned, acting for and on behalf of the Vendor, hereby covenants, agrees and acknowledges that Vendor will provide the Services specified in the RFQ and contained in its Bid for the amount(s) proposed on this Cost Sheet. Vendor further covenants and declares that the person signing this Cost Sheet has authority to bind the Vendor.

Printed Name: Mike Melka, CFO Signature: _____

Date: 01/30/20

Template Revised 12/12/2017

AVENU
INSIGHTS & ANALYTICS

West Virginia State Treasurer's Office

Request for Quotation for

SECURITIES CUSTODIAL SERVICES

SOLICITATION #: CRFQ STO2000000001

TECHNICAL PROPOSAL

Submitted By:

Avenu SLS Holdings, LLC
100 Hancock Street, 10th Floor
Quincy, MA 02171
Attn: David Lemoine, Managing Director
Phone: (207) 229-4322
E-Mail: proposals@avenuinsights.com

WWW.AVENUINSIGHTS.COM

January 30, 2020

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Cover Letter

January 30, 2020

Department of Administration
Purchasing Division
Attn: Melissa Pettrey, Senior Buyer
2019 Washington Street East
Charleston, WV 25305-0130

RE: Request for Quotation to Provide Securities Custodial Services

Dear Ms. Pettrey:

Avenu SLS Holdings, LLC ("Avenu") is pleased to provide the following Technical response to the West Virginia State Treasurer's Office, Unclaimed Property Division ("STO" or "Agency") Request for Quotation for Securities Custodial Services, Solicitation # CRFQ STO2000000001.

Please share with the proposal generation team our appreciation for the obvious amount of effort that went into creating the well-crafted request. Additionally, we wish to thank the evaluation team in advance for your time and consideration of our response.

Avenu is a privately-owned company, headquartered in the Washington D.C. metro area, that specializes is Unclaimed Property Safekeeping, Brokerage, Liquidation and Management Services. As an expert in this area, Avenu offers the STO the following:

- **Unclaimed Property Experts.** Avenu is the nation's largest and most experienced provider of unclaimed property administration services to state governments.
- **Experience.** Avenu's unclaimed property team has been providing these products and services for over thirty (35) years. And we deliver unclaimed property securities custodial services to more states than any other provider.
- **Proven Track Record.** Avenu offers the STO a proven track record of performance.

Avenu is pleased to provide the STO with the following designated representatives who may speak and act on behalf of Avenu:

Primary Contact:
Name: David Lemoine
Title: Managing Director
Phone: (207) 229-4322
E-Mail: David.Lemoine@avenuinsights.com

Alternate Contact:
Name: Vilka Markovich
Title: Director
Phone: (617) 722-9657
E-Mail: Vilka.Markovich@avenuinsights.com

As Chief Financial Officer, I have executive authority to bind Avenu to all commitments made in this proposal and I certify that all elements contained herein are true. Should the STO require any clarification or have any questions, please feel free to contact the primary and secondary contacts listed above.

Thank you,

Mike Melka
Chief Financial Officer
Avenu SLS Holdings, LLC

2. Executive Summary

This response to the Request for Quotation CRFQ STO2000000001 ("RFQ") for Securities Custodial Services issued by the West Virginia State Treasurer's Office, Unclaimed Property Division ("STO" or "Agency") is submitted by Avenu SLS Holdings, LLC (83-0713956). Avenu SLS Holdings, LLC. ("Avenu") is incorporated in the State of Delaware and has its principal place of business at 5860 Trinity Parkway, Suite 120, Centreville, VA 20120.

Privately owned, Avenu SLS Holdings, LLC (Avenu) helps state and local governments raise revenue, optimize operations and increase community trust. Its revenue enhancement and administrative solutions are used by 3,000 customers in all 50 states, the District of Columbia, Puerto Rico and several Canadian provinces, and is supported by 1,000 employees.

Headquartered in Centreville, Virginia, the company serves local governments with populations as small as 150 residents to larger jurisdictions with more than two million citizens as well as every state unclaimed property administration. As a reflection of Avenu's dedication to supporting state and local governments, in January 2020 Avenu received its second consecutive year of industry-wide recognition by being listed on the GovTech 100 for helping state and local governments better serve their citizens.

One advantage of engaging Avenu is that STO will continue to receive the company's concierge-level service with strategies and solutions that deliver positive results. Avenu ensures alignment with the STO's overall objectives, provides regular communication and puts plans in place to meet expectations. Avenu also applies its deep understanding of government and industry-specific issues, protects sensitive data, and creates solutions that governments are proud to showcase.

Avenu, through its unclaimed property solutions group, has been providing unclaimed property administrative solutions to state governments since 1984. Our specialized team is the nation's leading unclaimed securities custody provider and offers over 35 years of continuous operating experience and a well-deserved reputation for service excellence. We provide unclaimed securities liquidation and custody services to 31 state programs, including the STO. Our services also have been applied to securities management for state-held insurance collateral and for state lottery funds.

Choosing the right partner requires a thoughtful approach that combines capability, commitment and collaboration with the right mix of the technical, functional, business process, and subject matter expertise.

Avenu's group, led by Vilka Markovich, has been providing unclaimed property support services to the West Virginia State Treasurer's Office, Unclaimed Property Division since early 2016. These services include, but are not limited to, the maintenance, transfer, liquidation, and custody of securities for unclaimed property, as outlined in this RFQ. Thirty-one state programs including the STO rely on us for the maintenance, transfer, liquidation, and custody of unclaimed securities.

Industry-Leading Capabilities

The long-standing mission of Avenu's team is to serve as the premier provider of state unclaimed property support services in the nation. Our commitment is to continue delivering innovative and cost-effective services to our clients that simplify the administration of an unclaimed property program. Our solution offers the STO ongoing access to industry-leading innovations and best practices as well as automation that will be described in detail throughout this proposal.

Avenu is the only firm that specializes in unclaimed securities custody, providing claims processing and call center support, along with offering general unclaimed property expertise. We deliver services that simplify the management of unclaimed securities for our clients, and which can integrate with their unclaimed property management systems. Competing firms may be able to manage unclaimed securities, however, unclaimed property is not their primary focus and often times unclaimed property programs using these other providers are required to utilize technology, processes, and methodologies that do not meet the STO's specific needs.

Our focus is unclaimed property and it has been so for over 35 years and for over 30 years we have provided direct services of one sort or another to the STO. We offer comprehensive and flexible solutions, which address the unique needs of unclaimed property programs through the development of specialized processes.

Our ability to create this one-of-a-kind solution is a direct result of our commitment to our clients, our long-term experience in the industry, our creative approach to problem solving, and our ability to select and manage our vendors or subcontractors. And we are especially pleased to now offer these services under the ownership and strong support of Avenu SLS Holdings, LLC.

Comprehensive Service Solution

Our solution has been developed to reduce the amount of time the STO spends managing its unclaimed securities portfolio. At a minimum, our unclaimed securities services include the following basic deliverables:

- Custodial safekeeping and accounting of various equity types including, but not limited to stocks, bonds, mutual funds, dividend reinvestment plans (DRPs), foreign investments and private equities in an account established and utilized solely for the STO
- Sales of securities including a large volume of odd lots, round lots, closely held, thinly traded and foreign securities held in various formats such as DTC, non-DTC eligible, physical, book-entry, mutual funds, and more
- Expeditious transfer of shares to owners, including all corporate actions and interest
- Receipt and settlement of a large volume of positions, both electronic and physical, of all equity types, reconciling and valuing the securities/equities, particularly within a short timeframe
- Worthless Securities Research, determination and liquidation which include stocks listed as well as those not listed on exchanges
- Privately held securities, research, determination and liquidation

- DRS (Direct Registration Share) processing by converting shares from the accounts held directly with transfer agents to DTC
- PREM (Position REMoval) – Monthly review of account holdings to remove securities that fall under these criteria resulting in a reduced overall cost for the STO
- Execution of mandatory and voluntary corporate actions, collection and maintenance of dividends, interest, sales and corporate action cash proceeds, bond redemption/maturities and other
- 24/7 secure online access to account information as well as robust reporting capabilities
- Dedicated, experienced account management team including an assigned primary and back up Account Manager to assist with all the STO's inquiries
- 1099 reporting and customer service, communication and coordination with unclaimed property owners on behalf of our clients to ensure their property is returned in their preferred form whether that be in cash or shares
- Mutual Fund Account Application processing for transfers back to the owners. Full support and coordination between the owners and mutual fund companies for a successful transfer
- Mutual Fund Account Establishment and preparation for receipt of property in the account
- Securities Entitlement Calculations and corporate action research

Unclaimed Securities Portfolio Management

With over 35 years of experience providing unclaimed property services, our approach is distinct from other custody service providers because of our unique understanding of how a state unclaimed property administrator's management of an unclaimed securities portfolio differs from other types of securities custody environments. We apply our experience, development efforts and understanding of unclaimed property in a way that is specifically intended to assist the STO.

Avenu fully comprehends all tasks associated with the custody services of securities for unclaimed property. This includes but it is not limited to safekeeping, receipt, delivery, liquidation, tracking of corporate actions/dividends, research, and sales of potentially worthless securities, as well as tracking, reconciling, reporting, and research that is required with these securities.

We ensure that the STO continues to receive the highest quality of service, including a quick response and resolution to all inquiries – ask any of our current clients who also depend on our services. We pay particular attention to achieving a fast and efficient turnaround time for all transactions, especially during periods of peak volumes or tight time frames.

The Avenu teams' understanding of the STO's unclaimed securities portfolio is based upon the hundreds of thousands of transactions, of varying sizes, that we have processed on behalf of our 31 state clients, including those of the STO.

We help manage the distinct challenges of receiving, maintaining, liquidating and transferring securities back to owners, as well as performing research on these transactions and positions.

Our solution addresses these challenges through experienced and dedicated Account Managers, robust online reporting, consolidated account management as well as automation and integration with unclaimed property management systems, such as that used by the STO, to provide the most comprehensive solution available to assist states in managing their portfolios.

As a demonstration of our recent experience with unclaimed securities portfolio management, we have provided here for your easy reference our processing statistics for the past 12 years related to liquidation of securities.

Number of Transactions				Number of Shares				Economics
Calendar Year	Tradeable	Non-Tradeable	Total	Calendar Year	Tradeable	Non-Tradeable	Total	Transaction Dollar Value
2008	14,479	2,430	16,909	2008	15,096,396	14,699,959	29,796,355	$ 228,141,566
2009	19,746	4,892	24,638	2009	37,452,979	28,840,475	66,293,454	$ 330,612,407
2010	26,076	6,214	32,290	2010	56,337,835	212,807,413	269,145,248	$ 307,478,733
2011	21,180	4,604	25,784	2011	39,019,468	83,423,567	122,443,035	$ 327,059,835
2012	21,352	4,641	25,993	2012	37,226,382	162,473,927	199,700,309	$ 292,749,655
2013	22,344	4,063	26,407	2013	47,711,425	8,491,422	56,202,847	$ 569,941,457
2014	23,641	3,637	27,278	2014	142,261,735	47,924,528	190,186,263	$ 570,746,807
2015	27,267	5,222	32,489	2015	109,949,954	234,158,300	344,108,254	$ 787,986,439
2016	28,606	4,401	33,007	2016	47,689,049	92,093,628	139,782,677	$ 542,299,547
2017	31,232	4,706	35,938	2017	42,919,172	246,269,489	289,188,661	$ 757,227,936
2018	35,567	5,621	40,920	2018	76,824,217	352,999,109	429,823,326	$ 774,539,896
2019	24,882	2,824	27,706	2019	78,496,538	104,350,819	182,847,357	$ 499,805,724

Below statistics represent transactions related to unclaimed property accounts for the period of January 1, 2019 through December 31st, 2019.

Receipts - 68,966 positions
Sales - 35, 000 transactions
Reissuance to owners - 12,300
Securities held - 17,920
Positions held – 59,714
Unclaimed assets under custody – approximately $2 billion

We provide unclaimed securities custody services for a wide variety of securities including, but not limited to, common and preferred stocks, dividend reinvestment plans, book-entry stock, stock warrants and corporate, government, and municipal bonds, as well as mutual funds. We have the capacity to process the high volume of transactions that inevitably result from holder reporting deadlines and advertisements, outreach, or media events.

Avenu was the first custodian to offer clients a robust securities research and liquidations process for the many worthless securities that are reported to the states. We also developed the first automated mutual funds process, which closely resembles a book-entry or DTC environment, to quickly process transactions and provide our clients with one consolidated account for all positions.

We process Direct Registration Shares (DRS) and eliminate the paper statements. We immediately reflect the positions in the STO's account so that a true and accurate value of all positions and holdings is available at all times. In fact, with our consolidated account management, all positions, no matter the type or location are reflected in the STO's account and the total market value is available at all times.

Our solution combines the resources of Avenu and our extensive experience in the unclaimed property industry, safekeeping services of Bank of New York Mellon (BNY Mellon), and the brokerage experience plus specialized unclaimed property expertise of Raymond James Financial, Inc. (Raymond James). In addition, our solution is flexible and customizable to the specific needs of the STO. For all these reasons, Avenu is particularly well qualified to continue delivering abandoned property unclaimed securities services to the STO.

Experienced Customer Service and Support

We are known for service excellence because at the core of our solution is customer service. We go beyond what is typically offered by other custodians, by performing more of the tasks required to manage unclaimed securities for state programs.

This extra effort, support and the availability of our staff is the foundation for our strong reputation for excellent customer service. We perform tasks that are traditionally assigned to internal staff in many states, thereby allowing the STO's personnel to spend more of their time focusing on other administration priorities. Our clients recognize a significant difference both in the level of support available and the amount of time their staff is able to dedicate to other important tasks within the office.

Our comprehensive services solution is used by state programs of all sizes. As a result, our team of professionals has experience supporting a wide variety of client specific needs. Our team collectively has hundreds of years of unclaimed property experience, and most members of our custody team have over 10 years of direct abandoned/unclaimed securities experience and some of the team members have over 20 years of experience working in the escheatment unclaimed property departments with Transfer Agent or Brokerage Firms.

Throughout the life of the contract, the STO will continue to have an assigned primary Account Manager for stocks and mutual funds processing. There also will continue to be a dedicated backup Account Manager as well as our full support team with the knowledge and resources to provide all the required abandoned property custody services.

Our Account Managers are personally responsible and accountable for accurate and efficient performance of all required services. Our fully dedicated team of professionals supports all of the STO's activities, including monitoring activity in the STO's account on a daily basis, carrying out all instructions, working on exceptions and responding to all inquiries received from the STO, holders, transfer agents, individual owners, among others.

Solution Advantages

Our custody solution has been developed and enhanced over a period of more than three decades. During that time, we developed ways to streamline processes and solve complex issues that, not only we face as a custodian, but also that our clients face as the administrators of unclaimed securities.

Specifically, our solution takes into account the high volume of transactions received, frequently over short periods of time, the particular types of securities received such as the high volume of mutual funds, as well as the changes in the securities industry and how those changes affect our clients. We consider the changes within the industry and determine ways that we can bring an innovative solution to benefit our clients, such as the STO.

This solution features a consolidated account management; (one place to view all positions and transactions), automated receipt and processing, reduced paper, maintenance of original delivery date and claim number within transaction postings and robust online reporting capabilities for immediate access to all account information are only some of the differentiating services provided by Avenu.

In addition, Avenu has an automated way of tracking many of the other asset types that the STO may find challenging or cumbersome, such as direct registration shares and worthless or potentially worthless securities.

From the initial receipt of securities to liquidation, entitlement calculation, re-registration, check issuance and 1099 reporting for owners, Avenu offers exceptional customer service, automation and support with our flexible and comprehensive solution.

Other features include increased re-registration field length for ease in tracking and reconciling. In addition, Avenu provides numerous standard and ad-hoc reports from its robust online reporting system and offers the ability to further customize these reports to meet the STO's specific needs. Many of these features can seem like small changes, but in a typical custody environment processing system changes can take months or years to complete, depending upon complexity. Each of the components of our solution, from streamlined receipts to worthless securities research and sales and online account access, has been customized to assist our clients' unclaimed property programs with its unique needs.

Our flexible features provide the STO the opportunity to choose the method of processing that works best with existing procedures. Each method of processing is discussed, and a customized processing plan is developed. Furthermore, our exclusive interfaces with our longstanding subcontractors, Raymond James and BNY Mellon, combined with our automated features and dedicated customer service support, make Avenu well positioned to continue supporting the STO with custody and brokerage services for abandoned property securities.

Willingness to go above and beyond on behalf of the West Virginia State Treasurer's Office

Avenu has modeled its securities custody solution around a partnership philosophy with its state clients. Acting as an extension of the program, Avenu has developed features of our solution to assist with all of the tasks associated with unclaimed securities custody. Avenu performs much of the work that would otherwise be handled by the STO's staff.

For instance, Avenu Custody Account Managers and other Custody staff maintain relationships with various holders as well as transfer agents to find reported property and bring them into the STO's account.
Any time Avenu receives a check (i.e. dividends, cash in lieu of fractions, or other distribution) for the STO, for which no corresponding shares can be found in the account, the Account Managers pro-actively coordinate with the transfer agent(s) to identify what the check is for and based on, then to recover any corresponding shares, if applicable. This significantly reduces time that would potentially be required by the STO to research, determine funds that were/were not received, the reason why, and then place a request with the transfer agent. This is an example of how Avenu delivers customized solutions and demonstrates the exceptional customer service that differentiates us from other providers.

Conclusion - The Avenu Advantage

Our ongoing commitment is to provide the STO with innovations, results, an unparalleled team of dedicated experts, and in general an industry-leading and cost-effective approach to managing unclaimed securities. We will ensure that the STO continues to benefit from key service features such as consolidated account management for accurate and up-to-date valuation at all times, no paper statements for DRS, DRP and mutual funds, timely research, and the option to research and liquidate worthless securities. The STO will be able to continue with quick turnaround times for processing transactions, including online access to all transactions, positions and market values in the STO's account, all without a disruptive and costly conversion.

The Avenu team will continue delivering its exceptional customer service, which greatly exceeds that of a traditional custody vendor relationship. Based on our 35 years of experience, proven record of success, reputation for excellence, financial stability, and comprehensive service solution, Avenu has superior capabilities to continue delivering our solution to assist the STO in managing abandoned securities.

3. Qualifications:

Vendor, or Vendor's staff if requirements are inherently limited to individuals rather than corporate entities, shall have the following minimum qualifications. By signing and submitting its bid, Vendor certifies that it has the minimum qualifications. Vendor shall provide complete responses to each requirement and provide any additional information as requested in this section. All required documents should be provided with Vendor's bid and must be provided within 24 hours of request.

Avenu acknowledges this requirement.

Avenu SLS Holdings, LLC meets and, at times, exceeds all requirements presented in this solicitation. Avenu is pleased to provide the West Virginia State Treasurer's Office with detailed responses to each of the listed requirements (please see the following sections) and the task-oriented breakdown, covering implementation activities listed in Specifications. All required documents will be provided as required.

3.1 Staff Requirements:

3.1.1 The Vendor shall provide a quality, experienced and professional staff to perform the Services under this contract. Accordingly, staff assigned to the contract shall have least three (3) years of experience in providing unclaimed securities custodial services similar in nature to the Services required in this RFQ. Vendor shall provide the following information: the number of staff assigned to the STO contract, the names and contact information of the specific staff to be assigned to the STO contract, and a resume for each staff member assigned to the STO contract that states their qualifications, experience and training, including relevant continuing professional education.

Avenu acknowledges this requirement.

Our client service commitment to the STO includes providing a dedicated and experienced account management team including a primary securities Account Manager and if needed a mutual funds Account Manager, and a dedicated and knowledgeable backup Account Manager for securities and mutual funds as well as our full operations support team of key personnel with the knowledge and resources to continue to meet all the STO's requirements. Avenu has appointed a knowledgeable, experienced and professional representative specifically assigned to the STO to respond to all inquiries regarding contract activities, answering questions related to ordering, re-registration, liquidation, delivery and any other inquiry as relates to services described in this RFQ. Each of our proposed key personnel or staff assigned to the STO has direct experience either administering an unclaimed property program, processing securities, or has lengthy experience in general unclaimed property processing of unclaimed securities.

Our team experience includes a former State Treasurer, Deputy State Treasurer, state unclaimed property administrator, unclaimed property program manager, NAUPA Executive Director and state in-house unclaimed property system administrators along with rightful owner claims management experts, MissingMoney.com administrators and annual holder reporting specialists. All of these resources, some with as much as 30 years of experience in unclaimed property are available to the STO.

Our dedicated team is led and supported by a vice president with over 21 years of direct unclaimed securities custody expertise.

Our fully dedicated team of experienced professionals will meet all requirements and support all activities required in this RFQ from monitoring activity in all accounts, accepting, processing, delivering and liquidating securities as well as fulfilling research requests, carrying out the STO's instructions and responding to all inquiries – all with a continued focus on streamlining processes and implementing best practices wherever possible for the benefit of the STO.

Avenu has a dedicated and knowledgeable team of key personnel listed below in this section who will continue to perform all of the services required by an unclaimed securities custodian as set forth in this Proposal. In addition to the custody team, our executive management team is available to assist the STO with any and all services.

David Lemoine, Managing Director
With Avenu since 2013 – Quincy, MA

David Lemoine is the Managing Director of Avenu Finance & Revenue Solutions (FRS) and Vice President of Avenu SLS Holdings, LLC. David is responsible for all aspects of Avenu's unclaimed property services, including compliance, holder reporting, securities custody, claims management and systems solutions. The Avenu FRS group delivers unclaimed property solutions to all 50 states, Puerto Rico, the District of Columbia and the Provinces of Alberta and Quebec.

David served as the Maine State Treasurer from 2005 to 2011. Prior to being State Treasurer, from 1995 to 2005, David was a member of the Maine House of Representatives and is a licensed attorney who began practicing law in 1989. He established his own law firm in 1993 and maintained an active private law practice until being elected as State Treasurer in 2005.

David is a graduate of Colby College and the University of Maine School of Law. Prior to joining Avenu, David was Vice President of State & Local Government Relations for TD Bank. He came to Avenu (formerly "Conduent") in late 2013.

Under a contract with the STO, David Lemoine will be the senior manager responsible for overseeing Avenu contract performance to ensure the STO is completely satisfied with all services.

David Milby, Client Success Manager & MissingMoney.com Program Manager
With Avenu Since May 2019

David came to Avenu to expand MissingMoney.com, which has been completely reengineered to include many enhancements. David also serves as the Unclaimed Property Business Unit's manager for client success. David's focus is to work with all team members in developing and implementing creative, effective, value differentiated solutions that facilitate the expansion of mutually beneficial, long-term client relationships.

Previously, he has successfully led a wide range of operations at state and national levels serving in positions of progressive executive responsibility for non-profit and private sector organizations. For 18 years, he was the director of the National Association of Unclaimed Property Administrators and is a recipient of the NAUPA Lifetime Achievement Award.

David received his education at the University of Mississippi and Morehead State University where he majored in public relations with emphasis in advertising and a minor in political science. He holds several executive management certifications.

Under a contract with the STO, David Milby will be the Customer Success Manager (CSM) who will assist with Avenu-STO communications and will support the Contract Manager as needed in meeting all client service needs.

Vilka Markovich, Vice President
With Avenu since 1998 – Quincy, MA

Vilka Markovich is the vice president responsible for managing the unclaimed securities custody and brokerage as well as mutual funds areas of Avenu.

In this role, Vilka is responsible for the daily management of operations and personnel for the custody services unit. Vilka provides staff support and training to a team of twelve custody account managers collectively servicing 31 state programs.

Vilka provides experienced leadership and support to the custody and mutual funds staff and ensures Avenu delivers all required services to its 31 custody clients, working with both the client service and contract management teams. Vilka ensures departmental procedures are up to date, followed and that turnaround times and deadlines are met for all state clients.

She oversees and facilitates conversions for new clients and develops new initiatives within the custody services area to constantly improve procedural efficiency, automation and overall client satisfaction. Vilka also manages subcontracting partnerships with The Bank of New York Mellon and Raymond James & Associates.

Vilka joined Avenu in 1998 and held several positions including:

Vilka worked as a First Line Manager, where she supervised all aspects of unclaimed securities processing and Senior Client Liaison where she managed the client relationships of several large states.

Vilka was previously an elementary school teacher in her native Albania and holds a B.S. in Education from the University of Tirana, Albania. Under a contract with the STO, Vilka Markovich will be the Contract Manager for all client service needs and will be responsible for delivery of all contractual requirements and services and will dedicate the time necessary to ensure the STO is completely satisfied with all services.

Pansy Chan, Securities Custody Supervisor
With Avenu since 1997 – Quincy, MA

Pansy Chan is a Project Support Specialist responsible for new project implementation. Pansy facilitates the transition or conversion process for our custody clients and oversees the Custody team.

With more than twenty-two years of experience and knowledge across several unclaimed property support functions, Pansy is an invaluable resource relied upon by our state clients. Pansy has successfully led the transition for all of our custody clients since 2003 as well as some prior to that time.

Pansy rejoined the custody service unit after working for three years as part of the unclaimed property management system, UPS2000, development team, supporting states with system requests, several conversion and general inquiries. Prior to that Pansy managed the holder report processing unit. Other system facilitations that Pansy has been involved in include system enhancements and other processing efficiencies for our holder reporting process. Additionally, Pansy has completed several projects on system owner level updates which allow seamless corporate action updates to individual owner accounts. She has also assisting several states in reconciling their database management system to the abandoned securities portfolios. Pansy also has experience from working in our claims processing unit.

Under a contract with the STO, Pansy Chan will support the team and direct/handle all projects related to the STO's account. Pansy will also be available to assist the STO as needed.

Victoria Perkins, Account Manager
With Avenu since 2014

Vicki works as the primary Account Manager for West Virginia. She is responsible for the daily support of for state clients and handling the overall management of state portfolios. Additionally, Vicki prepares monthly billing statements, provides proposal support, and researches outstanding issues.

Vicki joined Avenu in 2014 and worked in the Auditing Department as a Communications Administrator where her responsibilities included:

- General audit support including communications and authorization tracking for states
- Monthly reporting including Agree to Participate (ATP) and Work in Progress (WIP)

- Holder Research
- Support and development of ACT (Audit Communications Tool)
- Proposal Support

Prior to joining Avenu, Vicki held positions at DST Systems, PFPC (First Data Corporation) and BFDS. These positions included:

- Senior Business Systems Analyst - Responsible for coordinating the Project Development and life cycle changes related to Print Mail, Software, Internet and Desktop and Mainframe Development, documentation of business requirements and test scripts as well as execution, testing and implementation of changes through test platforms and final production.
- Client Services
- Corporate Actions Administrator – Print Mail

Vicki holds a Bachelors' Degree in Business Management from the University of Massachusetts at Lowell with a Certificate in Computer Proficiency.

Under a contract with the STO, Victoria Perkins will handle the maintenance of unclaimed securities custody and processing of all related transactions as directed by the STO. Vicki will be available to assist the STO as needed on all daily activities.

Margaret A. Wagner (Peg), Account Manager
With Avenu since 2010 – Quincy, MA

Peg Wagner joined Avenu in 2010. She is an Account Manager in the custody services unit where she is responsible for the daily customer support of state clients as well as the overall management of their portfolios. Peg administers Mutual Fund and DRP processing transactions for several custody clients. These transactions include but are not limited to account transfers, account consolidations securities liquidations, re-registration requests, reconciliations.

Peg previously worked in the transfer agent industry for more than 20 years, including a long career at Computershare. While at Computershare, Peg held the following positions:

- Business Unit Team Leader in the Operations of Dividend Reinvestment Plans, Tax and Dividend Reporting as well as DTC and Transfer Units.
- Technology Services Team Leader providing management and liaison assistance to programming team.
- Systems Conversion Analyst
- Business and Product Support Analyst

Under a contract with the STO, Peg Wagner will be the STO's back up contact and will handle inquiries, questions and day-to-day account activities for the STO's account and she will be available to assist the STO as needed.

Our Subcontracting Partners
BNY Mellon

William H. Blackford, Managing Director, Relationship Executive Manager, US Financial Institutions
Bank of New York Mellon

William Blatchford joined the BNY Mellon in 1983 and currently manages a team of Relationship Executives supporting US Investment Managers with Registered and Non-Registered Funds. He has held numerous positions throughout his career with the bank including global oversight for the Investment Manager Relations Group, Global Corporate Actions, Income Collection, Security Master File Maintenance, Transmission Support Group and Global Pricing. Bill was a founding member of ISITC and participates in numerous other industry forums and initiatives. Bill received a Bachelor of Arts in Economics from the Furman University.

Under a contract with the STO, Bill would support Avenu and be available for any issues that may arise and ensuring that BNY Mellon processes all work as directed by Avenu both timely and accurately within agreed upon deadlines.

Christy Westbrooks, Service Director, Vice President
Bank of New York Mellon

Christy Westbrooks joined BNY Mellon in 1998 and is responsible for ensuring service quality.
In this capacity the Service Director (SD) closely monitors daily operational and system workflows to ensure proper service levels are maintained or exceeded. She ensures that all service delivery commitments are met for Avenu and is in consistent communication with her assigned team at Avenu. She also ensures that BNY Mellon is in full compliance with all regulatory requirements and in turn that Avenu and our clients meet any applicable requirements.

Christy also works closely with William Blatchford and Vilka Markovich on matters that need escalation due to the nature of the issue though those are not common. Bill, Christy and Vilka are fully engaged in all matters related to our clients, from routine service issue escalation to new product rollouts. In addition, Christy ensures deployment of new business opportunities and will look for ongoing ways to continuously improve the relationship.

Christy received a Bachelor of Arts in Mathematics – Minor in Psychology from Lake Forest College. Under a contract with the STO, Christy would support Avenu and be available for any issues that may arise and ensuring that BNY Mellon processes all work as directed by Avenu both timely and accurately within agreed upon deadlines.

Giovanni Gonzalez, Department Head of Mutual Funds Operations
Bank of New York Mellon

Giovanni Gonzales received his Bachelor of Science with Management major and a certificate in International Business from Long Island University, CW Post campus. In 1998 Giovanni received his Master of Business Administration from LIU CW Post where he concentrated in Finance.

After business school he worked for Prudential Investments where he was a Fund Administrator for their offshore funds group. He then worked for American Express Bank as a Senior Manager in their middle office group in charge of overseeing all aspects of Fund Administration for 27 Mutual Funds, 5 target date funds and 3 Hedge Funds.

Giovanni was a senior consultant/project manager for Goldman Sachs and in charge of building their NSCC Fund Trading product when they acquired Spear Leads Kellogg and their 90,000 mutual fund positions.

He joined BNYM in 2006 as a project manager in the Mutual Funds Operations group where he has been promoted multiple times and is now the Department Head of Mutual Funds Operations as well as for Tri-Party Repo, Time Deposit, Derivatives, SLGs, and Precious Metals.

He has been involved in restructuring the groups, is responsible for clearing approximately $1 Trillion in assets as well as leading and managing every aspect of the groups.

Under a contract with the STO, Giovanni will support Avenu though the management of BNY Mellon's mutual fund group.

V. Michael Patton, Vice President – Mutual Fund Unit Manager
Bank of New York Mellon

V. Michael Patton is the current Vice President and Senior Unit Manager of the Mutual Funds Department, in the Global Securities Ops Division, at the BNY Mellon. He has worked across several lines of business during his 15 years at BNY Mellon, including Asset Servicing, Special Investments, Derivatives, Short Term Investments, and Mutual Funds.

He graduated from Gannon University in Erie Pennsylvania in 2000 with a degree in Chemistry/Business and shortly followed that with a Master's in Business Administration Degree, with a focus on leadership, from Waynesburg University, in Waynesburg Pennsylvania in 2003.

His current responsibilities include the oversight of 36 employees, completion of system and regulatory projects, serving as a Business Recovery Coordinator, acting as liaison between BNY Mellon Legal and the Mutual Funds Industry for all NSCC and Operational Legal Contracts, establishment and maintenance of the risk profiles for the Mutual Fund Departments across both locations.

Under a contract with the STO, Michael will provide support to Vilka and her team for mutual funds processing.

Raymond James & Associates

Ronald Tillett, Managing Director, Head of Mid-Atlantic Public Finance
Raymond James & Associates

Ron Tillett joined Raymond James in April 2012 following the Firm's acquisition of Morgan Keegan and became the Head of the Mid-Atlantic Public Finance Practice in 2014. Since 2001, Mr. Tillett has focused on the asset management and underwriting needs of public clients throughout the Mid-Atlantic and United States, with particular emphasis on state-level clients. Mr. Tillett has extensive experience in all phases of governmental debt issuance, management, and the investment practices and policies of public clients.

He works with state and local government clients throughout the United States and manages equity and fixed-income accounts in 31 states and the State of West Virginia.

Prior to joining Morgan Keegan in 2001, Mr. Tillett served with four Virginia Governors and the Virginia General Assembly over a twenty-four-year public service career. He served as Secretary of Finance in the cabinet of two Virginia Governors and served as State Treasurer with two other Virginia Governors. As Deputy State Treasurer and State Treasurer, Mr. Tillett had direct responsibility for the Unclaimed Property Programs for Virginia. Mr. Tillett also spent ten years with the Virginia General Assembly's House Appropriations Committee and the Joint Legislative Audit and Review Commission.

He is a member of the Commonwealth of Virginia's Debt Capacity Advisory Committee, the Governor's Advisory Council on Revenue Estimates, the Christopher Newport University Education Foundation, the Board of Trustees for the National Institute of Public Finance at Pepperdine University and the National Association of State Treasurers, and is Chairman of the Board of Atlantic Union Bankshares Corporation with a headquarters in Virginia.

Mr. Tillett received a Bachelor of Science in Urban and Regional Planning from Virginia Commonwealth University and is a FINRA Registered General Securities Representative (Series 7), Municipal Advisor Representative (Series 50), Municipal Securities Representative (Series 52), Municipal Securities Principal (Series 53), Municipal Advisor Principal (Series 54), Investment Banking Representative (Series 79), and an Operations Professional (Series 99). In addition, he has successfully completed the Uniform Securities Agent State Law Examination (Series 63) and has been awarded the requirements by the Securities and Exchange Commission associated with the Securities Industry Essentials Examination. He is registered by 5 Self-Regulatory Organizations and in 15 states, including West Virginia.

Mr. Tillett has had direct responsibility for the liquidation and management of unclaimed securities for more than 15 years. Under a contract with the STO, Ron will oversee the brokerage services which consist of both pre-trade analysis and liquidations. In addition, he will oversee the worthless research and liquidation process if the STO chooses to sell those securities.

Pam Allen, Vice President / Sales Assistant

Raymond James & Associates

Pam Allen joined RJA in 1981 and is a First Vice President/Sales Marketing Coordinator in the RJA Institutional Equity Trading Department. Ms. Allen began her career with Morgan Keegan as a Retail / Institutional Sales Assistant working for the firm's Vice Chairman.

Since 1991, Ms. Allen has been working in the Investment Banking Division in addition to the Institutional Equity Sales Department of Morgan Keegan coordinating the marketing efforts for Initial Public Offerings as well as secondary stock offerings and other Morgan Keegan equity events and conferences. She has extensive experience in selling and trading securities on all exchanges.

Ms. Allen holds the NASD Series 7 – General Securities Representative Professional License and has completed the NASAA Series 63 – Uniform Securities Agent State Law Examination. Ms. Allen has been involved in trading securities at RJA for 29 years. Ms. Allen has had direct responsibility for the liquidating of unclaimed securities for RJA for 5 years working with Ron Tillett and Avenu SLS Holdings, LLC.

Under a contract with the STO, Pam will serve as the day-to-day contact with Avenu for processing liquidation of securities.

3.1.2. **Project Implementation Team:** Vendor shall provide staff with at least three (3) years experience in providing unclaimed securities custodial services similar in nature to the Services required in this RFQ for the Project Implementation Team. Other project team members will include staff from the Unclaimed Property Division and other suggested STO staff as may be assigned by the STO and the Vendor. The Project Implementation Team will work to implement the Services to be provided by the Vendor, with the goal of a smooth transition into the contract.

Avenu is proud to be the incumbent custodian with a current team in place for the West Virginia State Treasurer's Office, Unclaimed Property Division. Please refer to our Staff Resumes found in Section 3.1, Staff Requirements for information regarding personnel experience. Company Organizational Charts have been provided under Avenu Exhibits, Tab B.

3.1.3. In the response to this RFQ, Vendor shall describe the Project Implementation Team, specifying its members, their qualifications and experience, and organizational structure for this project. Specify the names of the persons on the Project Implementation Team, together with all contact information, and provide a resume that states their qualifications, experience and training, including relevant continuing professional education. This information should be provided with the vendor's bid and shall be provided within 24 hours of request.

Avenu is proud to be the incumbent custodian with a current team in place for the West Virginia State Treasurer's Office, Unclaimed Property Division. Please refer to Staff Resumes in Section 3, Qualifications for staff experience. Company Organizational Charts have been provided under Avenu Exhibits, Tab B.

3.1.4. The Vendor shall identify all principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists, who would be assigned to the Project Implementation Team that will serve the STO contract. This information should be provided with the vendor's bid and shall be provided within 24 hours of request.

Avenu is proud to be the incumbent custodian with a current team in place for the West Virginia State Treasurer's Office, Unclaimed Property Division. Please refer to Staff Resumes in Section 3, Qualifications for staff experience. Company Organizational Charts have been provided under Avenu Exhibits, Tab B.

3.1.5. Vendor shall provide quality of staff over the term of the contract and ensure that any new or additional staff members have the same qualifications, training and experience as the staff members Vendor provided in its bid to this RFQ. The Vendor shall inform the STO in writing of any personnel or staff changes that would affect the Services provided to the STO.

Avenu will continue to provide quality staff during the term of the contract and inform the STO in writing of any personnel or staff changes.

3.1.6. **References:** Vendor shall provide positive references. Provide the names of at least three (3) clients for which Vendor provides services similar to those required by the STO that may be contacted as references for purposes of this RFQ. Include the name and telephone number of the contact person for each of the clients specified. At least one (1) of these clients should have operations of at least the size, complexity and nature of the STO as described in the Overview herein. All or none of these clients may be contacted by members of the Evaluation Committee to determine the ability of the Vendor and the level of satisfaction with the Vendor. Furthermore, the STO reserves the right to contact any person or entity it believes prudent in order to inquire about the Vendor. This information should be provided with the vendor's bid and shall be provided within 24 hours of request.

Avenu has provided three (3) references below as requested. Avenu provides all of the specific services requested in this RFQ and other related services solely to government (unclaimed property) agencies.

Based on the specific requirements of this RFQ, we have chosen the Virginia Department of the Treasurer, The Tennessee State Treasury Department, and the District of Columbia Office of Finance and Treasury as our references, due to the similarities in the scope of services provided. Additionally, we have provided contact information for all of our state clients can be found under Avenu Exhibits, Tab A, Custody Client List.

The STO is encouraged to contact any or all of our clients for information on the services we provide. As the STO has been utilizing our services since early 2016, it is our hope that STO staff can be one of our best references.

Unlike other custodians with limited experience and a small number of unclaimed property references, Avenu has been providing unclaimed securities custody for over 35 years and has remained focused on providing the best-possible customized solution to address the unique needs of unclaimed property programs. This is apparent in our partnerships with our state clients, our dedication to quality customer service in both daily activities as well as throughout the year during our attendance at conferences such as NAST and NAUPA. We additionally host a user training conference with specific sessions dedicated to unclaimed securities custody which addresses the technical aspect of managing an unclaimed securities portfolio.

Name of Organization	Dates of Service	List of Services Performed	Contact name, email address, and phone number
Virginia Department of the Treasurer Unclaimed Property Division	Provided Custody Services: 1998 - present	Securities Custody Services, Maintenance of Securities (Book Entry, Mutual Funds, DRP and Others); Receipt, Liquidation and Transfer of Securities (Book Entry, Mutual Funds and Others). Perform Securities and Corporate Action research.1099 Processing and filing with IRS.	Melinda Barbish Audit Manager 101 North 14th Street James Monroe Building, 3rd Floor Richmond, VA 23219 804.225.2515 (phone) melinda.barbish.virginia.gov
Tennessee State Treasury Department Unclaimed Property Division	Provided Custody Services: 1990 - present	Securities Custody Services, Maintenance of Securities (Book Entry, Mutual Funds, and Others); Receipt, Liquidation and Transfer of Securities (Book Entry, Mutual Funds and Others). Perform Securities and Corporate Action research.	John Gabriel, Director Andrew Jackson Building, 10th floor Nashville, TN 37243-0242 615.253.0242 (phone) john.gabriel@state.tn.us
District of Columbia Office of Finance and Treasury Unclaimed Property Unit	Provided Custody Services: 1990 - present	Securities Custody Services, Maintenance of Securities (Book Entry, Mutual Funds, and Others); Receipt, Liquidation and Transfer of Securities (Book Entry, Mutual Funds and Others). Perform Securities and Corporate Action research.	Eric S. Eichler Unclaimed Property Supervisor 1101 4th Street, Suite 800W Washington, DC 20024 202.442.8195 (phone) eric.eichler@dc.gov

3.2. Vendor shall be or shall contract with a financial institution insured by the Federal Deposit Insurance Corporation (FDIC).

Acknowledged. BNY Mellon, our partner, is insured by the Federal Deposit Insurance Corporation (FDIC).

3.3. Vendor shall be a member or contract with a member of the Securities Investor Protection Corporation.

Acknowledged. Through our partnership with BNY Mellon and Raymond James, we are a member of the Securities Investor Protection Corporation.

3.4. Vendor shall be a member or contract with a member of the National Association of Security Dealers.

Acknowledged. Through our partnership with BNY Mellon and Raymond James, we are a member of the National Association of Security Dealers.

3.5. Vendor shall be a member or contract with a member of the NYSE, the NASDAQ and the Depository Trust Corporation.

Acknowledged. Through our partnership with Raymond James Financial Inc. and BNY Mellon, we are a member of all principal stock exchanges including New York, American, NASDAQ and OTC and trade/execute sales on all of these exchanges on behalf of our 31 unclaimed securities custody clients – including the STO. In addition, BNY Mellon trades on over 100 global markets which are critical for the maintenance and sale of unclaimed securities. Raymond James Financial Inc. will provide services for sale of securities at the request of the STO.

3.6. Vendor shall be or shall contract with a brokerage firm that is in compliance with the SEC's Customer Protection Rule and Net Capital Rule.

Acknowledged. Raymond James, our partner, is in compliance with the SEC's Customer Protection Rule and Net Capital Rule.

3.7. Vendor shall have at least five (5) years of continuous operation in providing unclaimed securities custodial services to at least five (5) state unclaimed property divisions. To the extent that Vendor contracts with another entity to provide specified services, that entity shall also have five (5) years of experience in providing unclaimed property securities-related services.

With over three decades of experience providing unclaimed property services to such a large number of states and programs of all sizes, our approach is distinct from other custody service providers.

Since 1984, for over 35 years, Avenu has been assisting states with the custody and safekeeping of their unclaimed securities portfolios, creating a comprehensive solution to address the unique needs of unclaimed property programs.

Our comprehensive solution currently provides the STO with all the services required in this RFQ and does so in a manner that automates certain processes and saves the STO staff valuable time.

Perhaps most important, our solution is delivered by our team of dedicated unclaimed securities experts. We pride ourselves on our customer service which is at the core of our solution and truly sets us apart from other vendors. We act as an extension of the STO's staff and offer complete, customized support for each state's specific unclaimed securities requirements.

We perform tasks that are traditionally assigned to internal state staff so that those individuals can spend more time focusing on their other important duties.

The level of support makes a positive difference in their work environment and contributes to their ability to accomplish additional tasks and day-to-day-activities.

Our customer service and flexible approach have earned us a reputation for service excellence in the unclaimed securities industry – but don't rely on our word, ask any of our other clients. We have provided a list of our current clients that can verify that reputation. We will ensure that the STO receives quick and accurate responses to inquiries so that the STO staff can work more efficiently and get their jobs done.

Our team of experts is frequently called upon to speak at industry conferences on unclaimed securities, including best practices, trends and recommend ways to manage new challenges. We led many of the innovative processes that our clients and their custodians have adopted such as for mutual funds, Direct Registration Shares (DRS) and worthless securities. We are proud that we were the first to offer these and continue with that innovative focus today to further simplify the administration of an unclaimed securities portfolio for our clients. We've eliminated paper, reduced dedicated state staff time, increased the availability of data and improved turnaround times – all of which have a direct impact not simply for our clients but other states that now use these processing methods.

Our client service commitment to the State of West Virginia includes providing a dedicated and experienced account management team consisting of a primary account manager, a dedicated and knowledgeable backup account manager for securities and mutual funds as well as the full complement of our operations support team of experienced personnel. Our dedicated team is led and supported by a vice president with over 21 years of direct unclaimed securities custody expertise.

This fully dedicated team of experienced professionals will meet all requirements and support all activities required in this RFQ including monitoring activity in all accounts on a daily basis, carrying out STO's instructions and responding to all inquiries with a focus on streamlining processes and implementing best practices wherever possible for the benefit of the STO.

Avenu has a longstanding partnership of more than 15 years with both Bank of New York Mellon (BNY Mellon) and Raymond James in providing premier cash management, custody, safekeeping and brokerage services to our clients.

Additional information on our experience and methodology is provided throughout our proposal within the Executive Summary, Staff Requirements, Mandatory Requirements, Deliverables as well as throughout the proposal.

Today, Avenu supports 31 state unclaimed property programs, including the STO, with custody services in protecting the rights of citizens and returning property to its rightful owner, delivering high-quality, responsive customer service to constituents and reducing expenses wherever possible through technology and automation.

No other firm or combination of firms can provide the experience, knowledge, staffing and support as well as financial backing that come from partnering with our Quincy-based unclaimed securities custody experts.

3.8. Vendor shall be authorized to conduct business in the State of West Virginia. All assets and data relating to the STO shall be maintained in a facility located within the United States of America. Provide the address of the physical location of the facility from which the Services will be provided and the nature of all business conducted from that facility.

Avenu is authorized to conduct business in the State of West Virginia. Avenu SLS Holdings, LLC, ("Avenu") is a Delaware company with its headquarters located at 5860 Trinity Parkway, Suite 120, Centreville, VA 20120.

Avenu's website can be found at: https://www.avenuinsights.com/.

The legal entity submitting this proposal and entering into any subsequent contract is Avenu SLS Holdings, LLC. The principal place of business for any work arising from the RFQ is:

Avenu SLS Holdings, LLC
100 Hancock Street, 10th Floor
Quincy, MA 02171
617.371.9900 (p)
617.371.4295 (f)

All other business conducted at the Quincy office relates to Avenu's unclaimed property compliance or administrative support work.

4. Mandatory Requirements:

4.1 Mandatory Contract Services Requirements and Deliverables:

Contract Services must meet or exceed the mandatory requirements listed below. By signing and submitting its bid, Vendor certifies that it will provide the Contract Services required and Vendor meets or exceeds all mandatory requirements. The mandatory requirements in the RFQ require a complete response from the Vendor. Vendor shall provide additional information as requested in this section. All required documents should be provided with Vendor's bid, or within 2 business days of request.

Avenu meets or exceeds all of the mandatory requirements required in this RFQ. We have provided a complete response to all of the mandatory requirements in the RFQ. We agree to the Contract Services Requirements and Deliverables and will provide any additional information or documents within 24 hours.

4.2 Deliverables - Facilitate and simplify the delivery and collection of reported unclaimed securities:

4.2.1 Open, maintain, and close accounts as directed by the STO. Initially, Vendor shall maintain one (1) separate custody account in the name of the West Virginia State Treasurer. If necessary, the Vendor shall also maintain separate accounts and/or sub-accounts for Unclaimed Property as may be requested by the STO if the primary custody account is unable to provide all detailed segregation, or if the STO requests such additional account.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will open, maintain and close accounts as directed by the STO. As a current client we currently have an account established in the STO's name for use solely by the STO and Avenu on its behalf. Avenu will receive and account for securities via DTC, DWAC, DRS, in certificate, mutual fund or any other form in the established account.

To account for all security and other positions, Avenu has stablished segregated securities custody, brokerage and cash account on behalf of the STO with a unique account number and account name, into which all securities received from holders or the STO are deposited and maintained in this account. All activities occurring therein and all related procedures, are referenced and detailed throughout this RFQ.

We can open a separate or sub-account for the STO, but additional charges will apply as we are charged for each account as well. We can work with the STO to identify the reason why an additional account may be required then develop and discuss alternative solutions to address the need. During the entire time we have been supporting states with securities custodial services, we have not been required to establish other accounts as the way in which we have organized the accounts and securities provides all of the requirements by all of our 31 clients – including the STO. We will be happy to discuss the requirements with the STO and establish an additional or sub-account if required.

4.2.2 Receive and safely hold assets delivered to it by the STO, by audit vendors of the STO, and by businesses reporting unclaimed property. Vendor must, receive and hold securities in the name of the STO, the Vendor or others, all as directed by the STO, using the same care in the physical custody thereof as in the case of other assets held by it in a fiduciary capacity.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu Receipt of Securities Process and Controls

Avenu coordinates the receipt of securities based upon instructions provided by the STO. We receive securities via DTC, DWAC, DRS or in certificate form in the name of the STO, in the assigned nominee name, or street name when the certificates are delivered under owners' name.

Avenu has established a segregated securities custody, brokerage and cash account on behalf of the STO with a unique account number and account name into which all securities received from holders or directly from the STO are deposited and then maintained.

Avenu currently provides and will provide all of the services in this RFQ to the STO, including depositing all newly received negotiable shares into the STO's custodial account. The deposits include, but are not limited to physical certificates, positions delivered via DTC, direct registration share (DRS) and other types of securities as delivered by Holders, Transfer Agent and/or the STO.

Avenu accepts and prefers receiving securities through Depository Trust Company (DTC) from holders and reporting entities. Avenu receives securities via DTC for the STO using Participant #0901. A DTC Participant List as of December 31, 2019 which includes BNY Mellon and the participant number we use for our clients is provided under Avenu Exhibits, Tab C.

Avenu also receives physical and DRS securities delivered to the STO and deposit those securities immediately to DTC whenever possible. We work to ensure that all positions are deposited to DTC no matter how they are delivered to easy maintenance and transfer/liquidation process.

DTC – Depository Trust Company

Avenu emphasizes our preference to receive securities through DTC within our suggested reporting instructions provided to the STO and our other state clients.

We assist our clients with publishing holder reporting instructions that are easy for holders to follow and accurately report the property. This way, the amount of time required for the STO staff for follow up on pending receives for outstanding reports is reduced.

We accept securities through DTC and coordinate directly with holders on behalf of the STO to resolve any errors when necessary. Additionally, our experienced Account Managers, follow up with the delivering party to make sure that all property reported and presented for delivery into the STO's account is received in. Avenu credits the positions to the STO's account immediately upon receipt of the property and the STO can then view the position using NEXEN®, our online reporting tool further described in this RFQ and Transaction Reports are detailed in Avenu Exhibits, Tab D Sample Monthly Reports.

Also, as soon as Avenu is made aware any position issued in Direct Registration Shares/Book Entry (DRS) by the transfer agents they are processed by moving these positions off of the books of the transfer agent and crediting the STO's account within 48 hours or upon Transfer Agent's approval.

Direct Registration Shares (DRS)

Another advantage of our customized unclaimed securities solution is the automated way in which we process DRS positions. A key differentiator is the receipt of these positions electronically when agents refuse to transfer the positions via DTC. This is an example of how we are able to streamline our services for the STO while some custodians process these statements manually or not at all.

Holders and their agents are increasingly delivering securities property in the form of DRS shares issued in the STO's designated name, because it is less costly for them; however, it involves more work for the STO. Our custody solution allows these positions to be easily processed, eliminating any additional work on the STO's part.

With other custodians, DRS statements and mutual funds are largely processed by the states manually, because of the custodians' inability or reluctance to implement an automated process which typically is not needed for their other clients. In this scenario, holder reports might include a holdings statement (or in some cases no statement at all) instead of paper certificates, and thus there is essentially no active delivery of property on the part of the holder to the STO's centralized custody account.

While this fulfills the holder's responsibility to report and deliver property and reduces expense for them, it causes extra work for the STO's staff with the required tracking of reported, split and spin-off shares; receiving physical checks with no knowledge of their relation to reported property; or even responding to due-diligence notifications for previously reported property that is about to be re-escheated due to inactivity.

Avenu has a specific DRS receipt process in place for the STO whereby immediately upon receipt of a DRS holding statement, the STO's dedicated Account Manager reviews and initiates a receipt transaction in which the DRS shares are deposited into the STO's account.

This process allows the position to be settled at DTC within 48 hours of Transfer Agent's approval and reflected in the STO's account. Occasionally, the STO's dedicated Account Manager is able to coordinate with the transfer agent and have the position deposited to the account within 24 hours. Once DRS shares are receipted into the account, the STO is able to monitor and track via NEXEN® reports and initiate transfers or liquidations unlike if the position remained directly at the transfer agent on the STO's behalf.

In the event that the STO receives a report for shares and is unable to find a certificate or DRS statement and the position is not reflected in the STO's account; staff need only contact their Avenu Account Manager to obtain the shares.

Avenu custody consultants, account managers and other custody staff have multiple contacts at different holders and transfer agents and typically need only the CUSIP and share amount in question to identify and obtain reported shares on behalf of the STO.

Also, any time Avenu receives a check (i.e. dividends, cash in lieu of fractions, etc.) for the STO for which no corresponding shares can be found in the account, the STO's Account Manager will pro-actively follow up with the transfer agent to find out what the check is for and recover any corresponding shares, if applicable.

This significantly reduces time required for STO staff to research, determine the funds that were/were not received, the reason and then request from the agent when reconciling. This is an example of our client focused, customized solutions, our exceptional customer service and the many things that differentiate Avenu from other providers.

All of the receipt and deposit activities as described in this section are comprehensively tracked, recorded and made available to the STO in multiple reporting formats.

Deposit Withdrawal at Custodian (DWAC)

Avenu will process transactions via DWAC for the STO as needed and upon receiving authorized instructions from the STO. Avenu will coordinate with Transfer Agents all DWAC Transactions for trades that are coming in the account and/or leaving the account for any transfer needed to the owners.

National Securities Clearing Corporation (NSCC)

Avenu will accept, maintain and deliver all securities eligible for the NSCC process. NSCC is subsidiary of DTCC and as described in the previous section, Avenu will successfully process all trades involving equities, corporate and municipal debt, American depositary receipts, exchange-traded funds, mutual funds and unit investment trusts.

Automated Customer Account Transfer Service (ACATS)

Avenu will process transactions via ACATS for the STO as needed and upon receiving authorized instructions from the STO.

Physical Securities

Though the number of physical securities has decreased, we still receive certificates on behalf of the STO. Many certificates require legal documentation or paperwork in order to make them negotiable and eligible for Avenu to deposit to DTC. Avenu works with the STO when necessary to obtain the required stock powers and letters of incumbency for each certificate being deposited. Avenu understands that the process can be somewhat time consuming for the STO to complete and obtain signatures. To eliminate this requirement, Avenu requests that physical certificates are registered under Hare & Co, the nominee name for BNY Mellon. By using this nominee name, Avenu has been able to eliminate the need for STO to provide documentation including signatures. This makes the deposits a much simpler and faster process.

In addition, by utilizing this nominee name, positions are not co-mingled or registered to a master custodian account for receipt and delivery to the STO's account to prevent errors and provide for reconciliation long after the position is received, which is important for unclaimed property programs. The positions may also be received via DTC using the account number above with DTC participant # 0901.

Avenu understands the variety of registrations that the STO may receive from holders or reporting organizations. If the STO does not reject the certificates and return to the holders for re-registration, and depending upon how the certificate is registered, the STO may be required to provide legal paperwork in order to deposit the securities to DTC such as stock powers, stock resolutions and in some cases transfer agent letters and extra charges might apply based on DTC pass-through costs.

Avenu suggests that in the case where these documents are required, they be delivered under separate cover from the original instruments as anyone who is in receipt of both the original instrument and the supporting documentation may act with his or her own instructions as the bearer to deposit, transfer or liquidate the security.

If certificates are received and Avenu is not in possession of the required paperwork to process an item for re-registration, the STO's Account Manager will advise what paperwork is required. While Avenu awaits the receipt of the requested paperwork, the certificates will be deposited to the STO's account, maintained in the vault and coded as such.

Avenu shall pass-through to STO charges related to DTC 'pass-through' fees for processing and depositing physical certificates to STO's account.

Mutual Funds & Dividend Reinvestment Plans (DRPs)

Another solution advantage, and perhaps one of the most important, is our automated mutual fund solution. This component is an automated process for maintaining mutual fund accounts and DRPs (Dividend Reinvestment Plans) which eliminates the processing of paper statements by the STO and ensures all mutual funds positions are maintained in STO's account.

Avenu performs regular reconciliations of mutual fund holdings in the STO's accounts in addition to daily reconciliation of accounts done systematically by Fund Serve, the U.S. industry standard for processing and settling mutual fund and other pooled investment product transactions between fund companies and distributors.

When statements are received at Avenu from mutual fund companies or forwarded by the STO, they are compared with the account's holdings and verified on a daily basis. Any discrepancies, though rare, are resolved within 24-48 hours of identification.

Some fund companies only forward confirmation statements semiannually, at year end, or open accounts that are not recognized by Avenu, making full reconcilements more difficult. Due to that inconsistency of updated balances, in addition to the daily processing and reconciliation of positions, Avenu performs two major reconciliations during the calendar year.

The first takes place during the month of January (right after reporting season to account for all newly reported positions) and covers the period of August through December, and the second takes place in August for the period of January through July (prior to reporting season).

During these reconciliations, Avenu staff review all year-end statements or statements received from different fund companies for the preceding period, confirm that the fund balances match the balances reflected on NEXEN® and file the statements for future reference. In the event that fund balances do not reconcile with the positions indicated on NEXEN®, Avenu acts immediately to resolve the discrepancy.

Please refer to Avenu Exhibits, Tab D Sample Monthly Reports, Transaction Report PDF Format– Specifically to Receipt of Securities transaction for examples of these transactions.

Included below is the typical timeline for the completion of transactions once Avenu has received the instructions and initiated the transaction.

Format	Re-registration Duration
Depository to Depository (DTC)	24 hours
Direct Registration Shares	3 – 5 business days
Physical Certificate	15 – 30 business days
Open-end Mutual Funds	5 – 10 business days
Close-end Mutual Funds	10 – 15 business days
Dividend Reinvestment Plans	10 – 20 business days

Foreign Securities

Our partner BNY Mellon offers Custody of Assets on almost every foreign market and through the FX (Foreign Exchange) Program options that allows us to automate trade processing and execution of these foreign transactions. All holders need to do is contact Avenu – the Account Administrator – for foreign account details and agree on Trade Date and Settlement Date. Once all trade decisions are exchanged and verified with the holder, Avenu will set up the trades on the Custody Platform for successful execution and settlement.

If for any reason, there is no account opened in a particular market – Avenu will work with BNY Mellon to open the account and process the trades for the STO. A listing of the current global markets in which we participate is also provided under Avenu Exhibits Tab E, BNY Mellon Global Market List.

4.2.3 Allow physical deposit of stock certificates.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will deposit all negotiable shares into the custodial account for the benefit of the STO, including those received in the form of a physical stock certificate as described in further details in section 4.2.2, immediately preceding this section.

Please note – Avenu shall pass-through to STO charges related to DTC ‘pass-through’ fees for processing and depositing physical certificates to STO’s account.

4.2.4 Accept Depository Trust & Clearing Corporation (DTCC) eligible securities.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will accept all eligible securities to be deposited in the account through DTC as described in further details in section 4.2.2, preceding this section.

4.2.5 Maintain the proper and current amount of shares of securities in the State's account, including but not limited to updating the accounts when actions, such as stock splits, reverse splits, mergers, consolidations, dividends paid and dividends reinvested, and other events, could affect the volume or value of the shares.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu maintains records to the delivering entities information. All transactions related to Receipt of Securities will record information related to the delivering party which include the holder name and the broker information and will be displayed in trade transaction details.

Please refer to Avenu Exhibits, Tab D Sample Monthly Reports, Transaction Report PDF Format– Specifically to Receipt of Securities transaction for examples of these transactions.

Avenu provides on-line access to all pertinent data on all corporate restructures, mergers, spin-offs, tenders, etc. through NEXEN®. Additional detail of NEXEN® is provided under Avenu Exhibits, Tab F. Corporate actions will be posted to and settle within the STO's account on an automated basis each day. As with any settlements, all receipts are reconciled at the end of each day to ensure that each account has been properly credited. Avenu systematically processes all corporate actions for items being held at DTC for our state clients.

Avenu processes all physical corporate actions for items being held in the vault in nominee name on behalf of the STO. Actions on such items take longer to process, as they need to be mailed to the agents for any exchanges, etc. Any physical certificates received as the result of a stock split, distribution, etc., will automatically be deposited to the STO's account.

Additionally, unlike other custodians, Avenu processes all corporate actions on items being submitted for deposit. These items may have undergone a corporate event or action many times prior to receipt by Avenu. We ensure that all actions are properly credited to the STO, including those on older certificates being submitted for deposit.

Avenu is accustomed to the amount of research involved with receiving unclaimed securities. We have trained our staff and modified our procedures to be able to manage the high volume of research and corporate activity.

Avenu receives and deposits all physical certificates and researches and processes all corporate actions in order to ensure the STO is in receipt of all additional corporate actions associated with the original certificate.

All postings, including corporate actions, can be viewed on a daily basis using NEXEN®, our on-line inquiry tool available to the STO 24 x 7. Mandatory corporate actions are settled to the STO's account and available for the STO upon settlement. Voluntary corporate actions are available to the STO on our Extranet which is our on-line transaction processing system. The Extranet will include the issue name, CUSIP, type of action, number of shares, market value and the options that the STO may elect.

Upon election, or default and settlement, all voluntary corporate actions will be posted to the STO's account and available on NEXEN® just as other corporate actions are. Please refer to Avenu Exhibits, Tab G for a copy of our Extranet Manual and Tab F for a copy of our NEXEN® Manual for additional details.

The complete description of all corporate action postings is available on-line at the end of each month as well in the electronic statements, specifically the Cash &Security Transaction History, delivered to the STO within the first two (2) business days of each month. Specific details on all corporate actions is provided below:

Voluntary Corporate Actions

Voluntary corporate actions are any actions on which the STO has a right to choose which option it would like to exercise. Avenu promptly notifies states of all voluntary corporate actions made by issuers of securities, including but not limited to offerings, exchanges, tenders and consolidations, which are held in each individual state account.

The notification is posted to the Avenu Extranet for an authorized state representative to view and act on. Avenu provides all of the necessary information for states to make a decision and makes this information available on our Extranet. Additionally, all voluntary (and mandatory) corporate action information is available to view on NEXEN®.

The Extranet provides a cutoff-date as to when an option needs to be chosen and communicated back to Avenu. We follow up with states to ensure that the options are understood, and an educated choice can be made. We will then enter the instruction in NEXEN® as received from the STO and the action will be processed.

After choosing to take action on a given voluntary corporate action, the STO will receive confirmation of the response via email. The STO can also utilize both Extranet and NEXEN® to view which voluntary corporate actions are pending, those which have expired, and the options previously chosen, as these files are maintained on the website for as long as the STO would like to see them. Avenu operates on a standing instruction from some states to take the 'default' option on all voluntary corporate actions. Currently, the STO has given Avenu standing instructions to either take no action, or take the default action, on all voluntary actions.

The STO may still elect to participate on any voluntary actions through our extranet, or if desired, Avenu can notify the STO of upcoming voluntary action deadlines by contacting a particular individual at the STO.

Please refer to Avenu Exhibits, Tab D, Sample Monthly Reports, Transaction Report PDF Format – Specifically to note Corporate Action transaction for examples.

Mandatory Corporate Actions

Avenu collects and records all dividends, interest and cash from corporate actions such as exchanges and all other cash receipts and allocates the funds to the appropriate CUSIP numbers within the STO's account. Avenu also redeems bonds at maturity, including coupons, and collects the proceeds as part of our normal procedures. These securities are constantly monitored to ensure that they are presented at the time of maturity so that states will be provided with the appropriate funds. All funds are posted to the STO's account on payable date. All income and principal balances are reconciled on a daily basis to ensure that the STO's account has been properly credited with the appropriate income.

Avenu also collects and allocates all corporate restructuring activity for the STO such as stock splits, stock dividends, mergers, etc. Avenu processes and posts all corporate actions made by issuers of securities which are held under Avenu's custody on behalf of the STO. As with any settlements, all receipts are reconciled at the end of each day to ensure that every STO's account has received its entitlement.

Avenu, from our over 35 years of experience with unclaimed securities, also understands that there may be instances in which the STO receives securities that have reached maturation and were not presented as a result of being classified as unclaimed property and are only now being reported. These securities will be researched and presented to ensure that the STO is properly credited with the appropriate funds. If it is determined that the securities have previously been presented for payment, Avenu will inform the STO of such payment with all appropriate information required for the STO to update holder reports and its UPS database to reflect such payment.

Avenu provides the STO with detailed information of all corporate actions that have transacted in the account. This information is available on NEXEN® as well as in the monthly reports delivered to the STO. Information such as the number of shares or units on which income is being paid, the record and payable date, income amount and market value of an asset may be viewed to assist with any reconcilements.

The description of the corporate action is part of the transaction, in order to assist with any reconciliation. These transactions are also provided as part of the electronic submission provided and the standard monthly reporting package delivered to our clients.

Please refer to Avenu Exhibits, Tab D, Sample Monthly Reports, Transaction Report PDF Format – Specifically to note Corporate Action transaction for examples.

4.2.6 Provide ongoing consulting, custodial and research services. At the request of the STO, Vendor shall conduct research on corporate actions such as mergers, name changes, discontinued corporations, etc. Such research is to be completed within 30 days of request, unless the STO approves the Vendor additional time in conducting extensive research, and/or entitlement calculations, beyond 30 days.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will provide ongoing consulting, custodial and research services. Avenu understands that many calculations on securities will be straightforward, accurately calculating the value or entitlement of shares received many years ago that have been liquidated and then claimed in the future could be difficult and time-consuming.

Avenu provides research or calculations on securities to numerous clients and does have the experience and capabilities to provide these services to STO. Avenu has invested in and utilizes several databases and services which provide historical securities information as relying upon one database or resource can provide inaccurate results. Additionally, Avenu retains transaction history statements for all of its unclaimed securities custody clients that can be utilized to pull historical corporate action information.
It is a combination of these resources that allows Avenu to have the most accurate historical information as depending upon one source does not typically provide accurate results.

Avenu currently provides investigative services for the purpose of researching unpublished and unknown items received by our unclaimed securities clients. We understand the unique nature of the types of securities that are reported to state unclaimed property programs and have developed procedures to research all securities that are submitted for deposit.

In addition to the functions of depositing the certificates reported to states, sometimes on a daily basis, Avenu has the ability to research older certificates that may be reported as safe deposit box contents or from a batch of older certificates that had not previously been researched.

All research is conducted within 30 days of request unless the request requires extensive research. If any request will take a longer period than typically required, we will inform the STO. Please refer to Avenu Exhibits, Tab H for Samples of Entitlement Calculation.

4.2.7 Acquire securities, mutual funds, or other investment properties that are held by other investment brokers, transfer agents, or other accounts that should be in the State's account.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will acquire securities, mutual funds, and other investments that are held by other entities and should be held in the STO’s account.

Avenu conducts periodic reconciliations to determine if there are additional assets that should be in our client’s accounts. We additionally will contact entities, at the request of the STO, or if we identify that they are holding securities that should be in the STO’s account.

4.2.8 Determine the valuation of securities it holds.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu provides valuation of securities for all positions held on behalf of the STO. The security types accounted for and priced by Avenu include, but are not limited to, all stocks, bonds, warrants, rights, preferred stocks, dividend re-investment plans (DRP) and mutual funds. The pricing sources are the Russell 1000, 2000, 2500 and 3000 indexes.

Avenu reviews the price dates reported on the Security Valuation reports on a daily basis and works with BNY Mellon's asset management group to resolve any discrepancies immediately.

Avenu has multiple resources in place for investigation of unusual or significant pricing changes. Avenu will research with both BNY Mellon's asset management group and Raymond James's traders to provide an explanation or resolve any discrepancies immediately. For more information, please refer to Avenu Exhibits, Tab D - Security Valuation Report.

Avenu determines the value of securities upon receipt and maintains that valuation as well as the current value which is available to the STO at any time using NEXEN®. The STO at any time can access the value of a particular security, type of security or the entire portfolio. We offer consolidated reporting so the STO can see the true valuation or market value of all assets on one report at all times.

4.2.9 Maintain records relating to services provided herein, for the life of the contract. Vendor shall maintain the security and confidentiality of those records, as required by the Act.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will maintain records relating to all services provided for the life of the contract or a minimum of 10 years. All records are maintained according to Avenu standard security and confidentially procedures.

We currently have our clients' records dating back to 1992 which assist with reconciliation and other efforts. Immediate access to all historical data is available to the STO for 24 months following any transaction via NEXEN®. Records older than 24 months are also maintained securely and can be provided to the STO upon request. In addition, we provide standard monthly reporting packages which include a List of Assets and Transaction Statement in .pdf as well as Excel for the STO's records.

4.2.10 Obtain prior written approval from the STO and shall execute the specific written instructions of the appropriate STO unit with respect to the release, submission, withdrawal, sale, substitution, investment or other disposition of the securities.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

Avenu will release securities upon receipt of written authorized direction from an authorized STO representative. Avenu can receive these instructions via secure FTP site/electronic transmission, over the Extranet, via fax/hard-copy mail, or e-mail based upon the preference of the STO.

An authorized signature is required on all instructions that are sent via fax/hard-copy or mail, as the Avenu Account Manager will compare this to the list of the STO's authorized signers for verification. Avenu recommends transmitting these instructions by using our Extranet Method as all instructions are sent and received securely though our Extranet and are submitted by an authorized user from the STO. Additional information on Avenu's Extranet is provided under Avenu Exhibits, Tab G.

After the verification process is complete, transactions are processed and immediately will show in the STO's custodial account as transaction pending for settlement. The STO may view this information at any time during the process using online access via NEXEN®. Additional information on NEXEN® is provided under Avenu Exhibits. Tab F and please refer to Avenu Exhibits, Tab D, Sample Monthly Reports, Transaction Report PDF Format – Specifically to note Unsettled Trade Report for examples.

4.2.11 Provide CUSIP numbers on securities as requested, preferably electronically by e-mail.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will provide CUSIP numbers on securities as requested either via email or telephone. In addition, the STO has the ability to perform a "quick" lookup by security name on the NEXEN® home page to obtain any CUSIP numbers. Avenu will provide training as how to use these tools. Additionally, STO can locate this information and instructions as how to use these tools in NEXEN® User Manual included with Avenu Exhibits, Tab F.

4.2.12 Provide a web-based interface for use by the STO and other authorized entities.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract. A detailed description of NEXEN® including screen shots and report samples is provided under Avenu Exhibits, Tab F, and a detailed description of Extranet is provided under Avenu Exhibits, Tab G.

NEXEN® is BNY Mellon's Internet-based product for institutional clients and their investment managers. NEXEN® is an integrated site on the web which allows the STO to have inquiry-only access to a variety of intellectual properties, reports and transactions. This Client Reporting application is placed on a secure site on the World Wide Web. Using an existing Internet connection, the STO can operate directly from its Internet browser, with no additional software installation.

This allows the STO access without installing separate applications and requires no updates to be made. Avenu will provide training sessions as needed to ensure STO staff is familiarized with NEXEN®.

The STO has the ability to select from a library of available reports to query, sort and download account data. The STO may run these reports on demand or schedule them to run at a later time or on a permanent basis, for assistance with the reconciliation process.

NEXEN® Reporting offers the enhanced reporting capabilities of quickly changing the logical sort order within a report and drilling down as many as two levels to see selected data in greater detail. NEXEN® allows the STO to track all transactions, inventory, account value, value for a particular security, transaction history for a particular security or date range as well as liquidations or sales. Also helpful to the STO is the tracking of transfers to owners in which Avenu can include the claim number, owner name and registration of the security. This proves helpful when performing research on an old claim or in the event that an owner claims that property was never received. Avenu can also provide this service for liquidations executed for the benefit of an individual claimant. The same information can be included for tracking purposes.

Each NEXEN® user has authorized access to a menu of reporting options. Available reporting options include, but are not limited to:

Reporting

- Timely access to real-time cash, custody, accounting, performance and more
- Analytics, securities lending and benefit disbursement reports
- Fully customizable reports via the use of user defined parameters
- Comprehensive scheduling facility
- Sophisticated report writer
- Drill-down capabilities
- Supports a series of industry standard file formats such as HTML, PDF, XLS, XML, CSV, TXT, RTF and PRN file formats

Real-Time Custody

- Direct access to the real-time core processing engine
- Status of transactions
- Details of asset positions
- Corporate action announcements which includes voluntary, mandatory and class action

Intellectual Properties

- Global news updates
- Market conditions and trends
- Operational policies & global custody standards
- Securities lending market updates
- Depositary risk analysis

Russell/Mellon Analytical Services

- Performance web generator
- Universe information
- Index product information
- News and upcoming events
- Market outlook
- Analytical insights

Please refer to Avenu Exhibits for further details on NEXEN®.

Avenu Extranet

Extranet is a secure FTP site capable of additional automation, where the STO may upload files such as notices with sale instructions or reissue/transfer instructions to be downloaded and processed by Avenu. Additionally, the STO is able to view and respond to voluntary corporate actions.

The Extranet Portal provides electronic acknowledgement of transaction requests received by Avenu.

A confirmation e-mail is sent to a separate, designated individual within the STO containing:

i. details of the transaction (i.e. shares/re-registration information, security name)
ii. user that initiated the transaction
iii. time transfer request was received by Avenu

Additional information on the Avenu Extranet and capabilities can be found under Avenu Exhibits, Tab G.

Avenu will provide NEXEN® and Extranet training sessions upon request so that the STO staff is comfortable using it on a daily basis. The online help section additionally offers training and the option to go to a specific topic.

4.2.13 Provide a Medallion Guarantee of signatures as requested by the STO.

Avenu provides medallion signature guarantees for all of its clients as part of our standard solution and will also provide it to STO at no charge if awarded this contract. STO completes the stock power or other documents for medallion signature and forwards them to Avenu. We then obtain a medallion signature guarantee and forward the completed documentation back to the STO or designated parties as authorized/directed by STO.

As stated previously in our quotation, by utilizing some of our automated solutions such as mutual funds, we have eliminated the need for STO to obtain stock powers which is a significant benefit to many of our state clients.

4.2.14 Maintain the mutual fund shares in the same account as the stock shares and include their market value on all reports.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu currently receives and deposits into the STO's unique account all securities, including Mutual Funds delivered by either holders, brokers, fund companies, or other entities for the benefit of the STO.

All of our accounts, including that of the STO, are reconciled on a daily basis to ensure that all income is properly allocated and credited, and all securities transactions are settled properly. The market value is included on the repots – same as with all other securities received and held for the STO.

The STO will have access to view this account at any time using our NEXEN® product described throughout this proposal and in detail under Avenu Exhibits, Tab F.

4.2.15 Send communication regarding any security having no substantial commercial value to the STO stating the security has been researched and has no market value. Upon request from the Unclaimed Property Division, the Vendor shall remove all securities deemed worthless from the STO Custody Account using a Positional Removal (PREM) function or other similar method deemed acceptable by the STO.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

For securities that have no substantial value, no market or worthless securities, Avenu offers and provides to our clients, including the STO, a unique and extensive worthless securities research and liquidation process as part of our comprehensive unclaimed securities solution. This service is utilized by the majority of our clients to remove positions from their portfolios.

Our Worthless Security verification process is as follows:

- The securities that are identified with “No Value” in the research liquidation process are reviewed to determine if they are “worthless.” Worthless securities are defined as securities for which an attempt is made to liquidate and for which no market exists. No market will exist for a number of reasons, including the company is bankrupt, trading has been suspended by the exchange, there is no interest in the security by the investor community because of the company size, the financial condition of the company, or some other problem with its trading history. These are but just a few reasons why a security will not trade.
- A physical copy of the Liquidation Form is given to the Raymond James (RJA) OTC Traders. The Traders will check the symbol versus the NASDAQ Workstation to see if the symbol registers. If the symbol now has a market, the trade will be executed at the market price and will follow the above described liquidation procedure.
- When no market appears on NASDAQ, electronic Pink Sheets are checked to see if there is a market for that particular symbol. If there are markets, the trade is executed at the market price. The CUSIP number is then checked using RJA’s in-house security management system to determine if the CUSIP number is registered within the system. (Generally, this system will identify if the CUSIP or security is worthless.)
- When the symbol or CUSIP number is not available through the previous steps, the RJA Reorganization Department will then check the CUSIP number versus the DTC platform. This system will provide the latest information on that particular CUSIP number/security.

- Securities identified through these processes that have potential value, will be resubmitted to complete a trade. If a trade is not executed following a request from the STO, then several factors exist within the transaction:

  (1) The security may be worthless

  (2) The security may be thinly traded

  (3) There may be a large block of thinly traded securities that might disrupt the trading price of a security requiring multiple sales

  (4) The security may be a municipal bond or Treasury Security that requires additional research and documentation to liquidate

  (5) There may be an error in the documentation requesting the sale such as CUSIP, account number, or number of shares. When one of the events described above occurs, the account manager will notify the STO immediately with a recommended solution to the issue. Once the issue is resolved, the security will, to the extent necessary, be resubmitted through the Security Liquidation process.

If the security is deemed worthless following these steps, the account manager notifies the STO and advises RJA to purchase the securities for $0.01 for the block of shares upon receiving STO's approval to liquidate as worthless.

PREM – Position REMoval Process

For Position REMovals, PREM actions, we have extensive experience. As the custodian for 31 state unclaimed securities portfolios, including STO, we are a large holder of worthless securities and have been a large holder throughout our history due to the nature of abandoned securities, particularly those that are identified through the PREM process.

At the beginning of the program in the early 2000's, we assisted DTC in eliminating a large number of positions that were PREM eligible, which reduced the expenses for our clients that they were incurring form holding these positions in their portfolio.

As part of our standard process, any securities that have been deposited to DTC and are determined to be worthless by DTC will be delivered off the STO's portfolio with explanations. DTC refers to this process as PREM or Position REMoval.

The review is done monthly and the list of PREM eligible securities will be forwarded to the STO for review and approval. Once approval is received the securities are removed from the account they will be deposited into an omnibus worthless account that DTC maintains and monitors.

The STO will receive the shares or value as determined by DTC, if the security regains value at a later time. These transactions will appear in the statement and also on NEXEN® online reporting.

Avenu communicates and make recommendations regarding the disposition of any worthless or problem securities that cannot be traded in the open market. Additionally, Avenu will hold worthless positions in the STO's account until specific directions are received from the STO.

4.2.16 Upon request from the STO, take any action necessary to liquidate all securities held by the STO.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will liquidate securities within the time period authorized by the STO and report each listed security with a detailed transaction breakdown of sale proceeds upon a set schedule and receipt of written authorized direction from a STO Representative. Currently, Avenu liquidates securities upon authorization from the STO.

Avenu Key Solutions for Securities Liquidation

The next four sections will provide information related to the following processes:

1. Liquidation process for Stocks, Bonds, Privately Held Securities
2. Liquidation of Mutual Funds
3. Automated Liquidation Process
4. Identifying and Processing Liquidation of Worthless Securities

Liquidation Process for Stocks, Bonds, Privately Held Securities

Avenu will provide services for sale of securities at the request of STO. Working with our partner Raymond James, Avenu executes sales of securities within 24 business hours upon receiving authorized instruction from the STO. Funds for these sales are deposited to the STO's account upon settlement of the sale and then wired to the STO upon request or agreed upon set schedule.

Our utilization of Raymond James to handle trades reflects our commitment to providing our state clients with the solution that meets their unclaimed property needs with the highest level of service.

Avenu has partnered with Raymond James due to their knowledge of unclaimed securities and the unique issues associated with those assets. Our experience with Raymond James has provided unparalleled results in executing unclaimed securities sales, worthless research and liquidations. Of course, Avenu will work with any broker that the STO designates. Avenu receives no compensation from Raymond James, nor do we mark up the associated fees, ensuring the best commission costs for the STO.

Working with Raymond James, Avenu has been able to automate the trade process and build in features that protect the STO against possible situations such as oversells.

Avenu can liquidate securities within the time period authorized by the STO and report each listed security with a detailed transaction breakdown of sale proceeds upon a set schedule and receipt of written authorized direction from an STO Representative.

Avenu maintains the date of the receipt for each security received in the account. This way the STO and the account administrator is able to gather data using specified timeframe criteria and run reports as needed.

Please refer to Avenu Exhibits; Sample Monthly Reports Tab D, Lot Level Valuation Report PDF Format, which illustrates account holdings by the date of receiving the security in the account.

The authorized list of securities eligible for sale is forwarded to the account administrator for process. Once the sale is processed, the account administrator provides the STO the list of securities that cannot be sold along with the reason for the non-sale status. Please refer to Avenu Exhibits; Sample Monthly Reports Tab D, Position – Unable to Trade Report, for illustration and more information.

Avenu can sell securities on listed exchanges as well as execute private sales. Avenu will assist in determining whether private sale is the only market for such securities and follow all authorized instructions of the STO thereafter.

The process of liquidating stocks, bonds or mutual funds begins with receipt of the STO's authorized instructions to sell. Avenu can receive these instructions via SFTP /electronic transmission, through the Extranet, www.unclaimedproperty.com, via fax/hard-copy mail, or e-mail based upon the preference of the STO.

An authorized signature is required on all instructions that are sent via fax/hard-copy or mail, as the Avenu account manager will compare this to the list of the STO's authorized signers for full verification. After the verification process is complete, the file is loaded to our Avenu Liquidation Console.

This internally developed system verifies that the STO is holding an adequate number of shares to cover the sale to avoid a possible oversell situation. Any rejections are forwarded to the STO's account manager for review, who in turn works with the STO as needed to resolve the discrepancies.

Marketable and valid securities are systematically sent to Raymond James via a secure FTP for the sale execution. The requests are forwarded to Raymond James each day at 10:00AM and 2:00PM EST.

Raymond James initiates the sale for all marketable securities, which creates a transaction on BNY Mellon's Global Securities Processing System and in turn alerts the STO's account manager that a sale is pending. The securities that are identified with "No Value" are reviewed to determine if they are "worthless" and the STO will be notified. Please refer to section below "Identifying and Processing Liquidation of Worthless Securities" for detailed information.

In order for the sale transaction to settle, the STO's account manager with Avenu must actively verify each sale transaction, ensuring for a third and final time that all positions are being sold precisely as requested by the STO, and that the commission charges are calculated and applied correctly. Once verified, the transaction settles within two (2) business days.

The applicable shares are delivered out of the STO's account and sale proceeds are received at that time. These shares are simultaneously marked as sold/settled in our Avenu Liquidation Console System.
Below is an overview of our trade process flow:

- An authorized individual from the STO inputs a trade request through our web-based trade entry system (or other agreed upon method) and Avenu is alerted to the transaction request
- Avenu verifies position; informs the STO of any discrepancies/problems identified
- Trade is executed
- Executed trades are sent to the depository to await settlement
- Avenu receives trade details via NEXEN®
- Trade details are entered into the DTC ID system in unverified status
- Unverified trades are viewed through our web based NEXEN® real-time custody product
- Avenu affirms trades online in NEXEN® for all DTC-eligible securities
- Trades settle T+2 (trade date plus two days)

Trade status is updated to 'verified' in our custody system to enable the trade to automatically settle with depository. The STO may view this information at any time during the process online via NEXEN®.

Please refer to Avenu Exhibits; Sample Monthly Reports Tab D, Transaction Report PDF Format– Specifically to Liquidation of Securities transaction for more information.

Liquidation of Mutual Funds

For mutual funds processing the course is similar, as described in the previous section. Avenu has an automated way of processing and maintaining mutual funds which is similar to that of DTC. The STO's account manager receives the STO's instructions to liquidate, and instead of forwarding the request to Raymond James as with securities, the sale request is forwarded to the individual fund companies via BNY Mellon. These requests are processed directly at the fund companies, shares are debited from the account and proceeds received. The turnaround time for mutual fund liquidation is typically between 24-72 hours.

However, some fund companies do not participate in FundServe or otherwise require written instruction, which can result in a longer timeframe for the transaction to be completed.

Please refer to Avenu Exhibits; Sample Monthly Reports Tab D, Transaction Report PDF Format– Specifically to Mutual Fund Sales transaction for more information.

Automated Liquidation Process

For liquidations, Avenu can offer implementation of our automated process for liquidations for the STO. With this feature, once a sale transaction has settled, in order to update the STO's unclaimed property management system with that information, a file can be generated and sent to the STO to update those records systematically. This will eliminate the need for STO personnel to manually data enter the information into the system.

Upon settlement, the STO may elect to receive an automated report and/or data file detailing the particulars of the sale for each sale date including all information recorded with the transaction such as: issue name including security type, CUSIP number, number of shares/units sold, trade and settlement date, price per share/unit, gross sale amount, net sale amount, broker commission rate per transaction, and any other fees, so that this information then may be used to update the STO's unclaimed property database and owner records accordingly.

Through our partnership with Raymond James and BNY Mellon, we are a member of all principal stock exchanges including New York, American, NASDAQ and OTC and trade/execute sales on all of these exchanges on behalf of our 31 unclaimed securities custody clients. In addition, BNY Mellon trades on over 100 global markets, a capacity which is critical for the maintenance and sale of unclaimed securities.

Identifying and Processing Liquidation of Worthless Securities

As referenced in section 4.2.15 and repeated here for readers' convenience, for worthless securities, Avenu offers and provides to our clients, a unique and extensive worthless securities research and liquidation process as part of our comprehensive unclaimed securities solution. This service is utilized by the majority of our clients to remove positions from their portfolios.

Our Worthless Security verification process is as follows:

- The securities that are identified with "No Value" in the research liquidation process are reviewed to determine if they are "worthless." Worthless securities are defined as securities for which an attempt is made to liquidate and for which no market exists. No market will exist for a number of reasons, including the company is bankrupt, trading has been suspended by the exchange, there is no interest in the security by the investor community because of the company size, the financial condition of the company, or some other problem with its trading history. These are but just a few reasons why a security will not trade.
- A physical copy of the Liquidation Form is given to the Raymond James (RJA) OTC Traders. The Traders will check the symbol versus the NASDAQ Workstation to see if the symbol registers. If the symbol now has a market, the trade will be executed at the market price and will follow the above described liquidation procedure.
- When no market appears on NASDAQ, electronic Pink Sheets are checked to see if there is a market for that particular symbol.
- If there are markets, the trade is executed at the market price. The CUSIP number is then checked using RJA's in-house security management system to determine if the CUSIP number is registered within the system. (Generally, this system will identify if the CUSIP or security is worthless.)
- When the symbol or CUSIP number is not available through the previous steps, the RJA Reorganization Department will then check the CUSIP number versus the DTC platform. This system will provide the latest information on that particular CUSIP number/security.

- Securities identified through these processes that have potential value, will be resubmitted to complete a trade. If a trade is not executed following a request from the STO, then several factors exist within the transaction:

  (1) The security may be worthless

  (2) The security may be thinly traded

  (3) There may be a large block of thinly traded securities that might disrupt the trading price of a security requiring multiple sales

  (4) The security may be a municipal bond or Treasury security that requires additional research and documentation to liquidate

  (5) There may be an error in the documentation requesting the sale such as CUSIP, account number, or number of shares. When one of the events described above occurs, the account manager will notify the STO immediately with a recommended solution to the issue. Once the issue is resolved, the security will, to the extent necessary, be resubmitted through the Security Liquidation process.

If the security is deemed worthless following these steps, the account manager notifies the STO and advises RJA to purchase the securities for $0.01 for the block of shares upon receiving STO's approval to liquidate as worthless.

4.2.17 Upon request from the STO, electronically re-register securities directly to claimants or register via physical certificate, insured against loss, and return receipt requested. Vendor shall prepare paperwork, send for Medallion Signature guarantee, send paperwork to transfer agent, and receive confirmation from transfer agent. Additionally, Vendor shall provide confirmation letters and copies of the returned certificates to the STO.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will initiate the reissuance of a security to an owner within 24 hours of receiving authorized instructions from the STO, electronically, in an agreed upon format as we do for our other clients.

In most instances, the reissuance, delivery and settlement process will usually be completed within 5-7 business days for all DTC and DRS positions but may take longer if a physical certificate is requested or necessary.

The STO will be able to verify that the submission is processed within 24 hours of receipt by running a pending report on Pending Trades on NEXEN®. The STO will be able to see the trade date, which is the date the trade was entered, and verify that the trade was entered according to our procedures and timeline.

Avenu Transfer Request Process and Controls

As part of our commitment to ensure we prevent any potential problems for the STO, Avenu checks the portfolio to ensure that the STO is currently maintaining the position in its account prior to finalizing any transactions. All requests are processed within 24 hours of receipt and verification.

If there are any discrepancies with the number of shares/units requested to transfer and the number of shares/units currently being held, or if there are questions on the registration instructions, the STO's dedicated Account Manager will coordinate with the STO for problem resolution. Once the discrepancy is resolved, Avenu will update the request and confirm with the STO for final authorization, if needed.

All transfer submissions from the STO are completed within 10-30 days, although the majority of them are completed within 1-2 weeks of submission. As indicated, Avenu processes all transfer submissions within 24 hours of receipt. The STO is able to verify that the submission is processed within 24 hours of receipt by running a pending report, "Pending Trades," on NEXEN®.

The STO is able to see the trade date, which is the date the trade was entered by Avenu, and verify the trade was entered within 24 hours of receipt and verification – if entitlement calculation is needed. Any transfer requests with an issue that cannot be completed within 10-30 days will be communicated to the STO by its dedicated Account Manager, Margaret Wagner.

Upon successful transfer of securities, Avenu settles the transaction to the STO's account with a complete description of the transaction including information such as registration name or owner name, date of transaction, security, number of shares/units and claim number if provided.

This owner information along with the claim number is also included in the standard monthly/daily reports, ensuring easy tracking of the claim transfers for reconciliation and follow up. We have customized and increased the length of the fields in our system to accommodate additional information concerning the owner as it is extremely useful to an unclaimed property program. Other custodians may have a limited number of characters and not be able to accommodate this additional detail or may need to customize their system to accommodate it, resulting in delays and increased costs for the STO.

Methods of Transaction Requests

Avenu can also receive a request for the transfer of a security to an owner in a variety of ways including written as well as electronically, depending upon the preference of the STO.

File Transfer (current and preferred) – The STO can generate a file from its unclaimed property management system, which can be delivered to Avenu's FTP site to initiate transfer requests.

This is our preferred method. This eliminates all paper letters or reports to then either fax or mail to Avenu for our clients. This also reduces the amount of manual effort required for both the STO and Avenu to deliver a transfer request which additionally reduces the amount of time a transfer will take to be completed. In addition, this method allows state staff to spend the time currently dedicated to preparing transfer requests on other unclaimed property related tasks.

The file will include: the claimant's name, social security number, current mailing address and/or DTC number, receiving agent's name and customer account number (if applicable), issue name, CUSIP number and quantity of shares/units to be transferred.

All the information provided on this request is required, as it will be used to transfer shares to the owner and will appear in the settled transaction report which the STO can view at any time using NEXEN®.

The request will be forwarded to Avenu via secure FTP site and systematically processed through DTC. Avenu will continue to review and monitor the file for any exceptions and work with the STO and the transfer agent to promptly resolve and process these transfers. Upon settlement, a return file will be forwarded to the STO to mark open transfers as completed.

A high-level overview of this automated process is provided below:

a) acknowledge receipt of the file
b) confirm that the STO is holding the position
c) forward to the transfer agent with minimal amount of re-keying
d) provide to the STO an electronic report showing transfer request has been sent to transfer agent by date
e) provide electronic notification of issuance of certificates to owners, as well as an image if certificates are issued – when necessary

Written Request - the STO currently submits Transfers via written authorized instructions. The request includes but is not limited to the claimant's name, social security number, current mailing address and/or DTC number, receiving agent's name and customer account number (if applicable), issue name, CUSIP number and quantity of shares/units to be transferred.

All of the information provided on this request is required, as it will be used to transfer shares to the owner and will appear in the settled transaction report which the STO can view at any time using NEXEN®.

Avenu Extranet – the STO can initiate transfer requests using our online system which we refer to as our Extranet. Please refer to Avenu Exhibits, Tab G for a copy of our Extranet manual.

The STO can upload transfer information on this website and the authorized user receives confirmation that the transaction has been received along with a tracking number. The information that has been requested is displayed with the username, time, and date of request.

For the purposes of dual authorization, we offer a second confirmation of receipt to be delivered to a separate authorized user via email. This ensures that more than one individual is involved with all transaction requests and that all information being requested is tracked.

By initiating a transfer request online using our website, the STO is able to track the number of requests being generated by any user, verify at any time how the information was requested, track the turnaround time for completion and ensure that proper audit procedures for dual authorization are being followed. As with any transaction that Avenu would initiate on behalf of the STO, there are strict guidelines and procedures that are followed. These procedures were put in to place to protect both Avenu and its clients.

As part of our commitment to ensure we prevent any potential problems for our state clients, Avenu checks the portfolio to ensure that the STO is currently maintaining the position in its account and confirms that there are no outstanding actions that impact the position prior to finalizing any transactions. All requests are processed within 24 hours of receipt and verification.

If there are any discrepancies with the number of shares/units being requested for transfer and the number of shares/units currently being held, or if there are questions on the registration instructions, the STO's dedicated account manager will coordinate with the STO for problem resolution. Once the discrepancy is resolved, Avenu will update the request and confirm with the STO for final authorization, if needed.

Upon successful transfer of securities, Avenu settles the transaction to the STO's account with a complete description of the transaction including information such as registration name or owner name, date of transaction, security, number of shares/units and claim number if provided. This owner information is also included in the standard monthly reports, ensuring easy tracking of the claim transfers for reconciliation and follow up.

We have customized and increased the length of the fields in our system to accommodate additional information concerning the owner as it is extremely useful, we have found, within an unclaimed property program.

Other custodians may have a limited number of characters and not be able to accommodate this additional detail or may need to customize their system to accommodate it, resulting in delays and increased costs for the STO.

Direct Registration Shares (DRS)

Direct registration shares ("DRS") is a practice that is being increasingly promoted by transfer agents and holding companies which presents another challenge to state programs due to the increase in paper as well as having assets held outside of a state's DTC account.

With DRS, the ownership of shares is recorded on the books of the transfer agents or the holding companies and holding statements similar to mutual funds are issued rather than certificates. Transferring shares via DRS is far more cost-effective when compared to the cost of processing and issuing certificates.

While this cost-effective method works well for the agents and their customers, the use of DRS presents a large problem to state unclaimed property programs because of the volume of transactions and the way in which transactions are held and need to be processed.

For STO, we developed our automated solution to manage these DRS positions, eliminate the paper and manual processing which simplifies the process for our state clients.

Upon receipt of a transfer request from the STO, Avenu instructs DTC to issue the requested position into the name of the owner(s). DTC forwards the instructions to the transfer agents or holding companies, which (in the case of DRS) open up an account on behalf of the owner(s). The DRS statements are mailed directly by the transfer agents or holding companies via first class mail to the owners.

The statement includes share amount, security name, type of stock, CUSIP, owner name, owner address, account number, transaction date and type of transaction. A duplicate statement is not mailed to either Avenu or the STO but instead, the STO accesses NEXEN® for the date the transfer was completed, and the statement mailed to the owner. This reduces paper coming in to both offices and provides an automated means of obtaining this information to then record the completed transaction in the STO's unclaimed property management system.

The STO can additionally schedule a report to be delivered each day which provides the information on these completed transactions. Finally, the STO can utilize NEXEN® to check the status of the transfer throughout the process.

Depository Trust Company (DTC) Transfer

If the position is being transferred to an owner's account via DTC, the securities will be deposited to the owner's brokerage account within 24 hours of receipt as there is no need to issue a DRS statement or stock certificate and mail it to the individual. Transferring via DTC is the most efficient, cost effective the quickest way to return shares to owners.

Avenu encourages the STO to include a place for owners' brokerage account information on the claim form when shares are involved. Again, DTC transfer is the quickest way for the shares to be registered back into the rightful owner's name.

Mutual Fund

Avenu will reissue a mutual fund into an owner's name upon receipt of authorized instruction from the STO.

Avenu typically only requires a W-9 form from the owner in order to coordinate with the fund company and have a new account set up in the owner's name.

In instances where the owner already has an active account at the respective fund company, Avenu will work directly with the fund company to have the shares transferred to the owner's account whenever possible. In some cases, an account application is needed.

Avenu will work with the STO and the owner to get these required documents for the transfer to complete. For many of our state clients, we deal directly with the owners to assist in the completion of the documentation, explaining why Avenu encourages the STO to include a place for an owner's brokerage account information on the claim form for a quick turnaround.

Physical Certificate

Finally, in the case where a physical certificate is required and issued, the transfer agent will mail the certificate, registered in the name of the owner according to the STO's instructions, either directly to the STO or directly to the claimant depending upon the preference of the STO.

Avenu has a standing procedure in place for all transfers to owners where DRS is the default.

This is far less costly than issuing physical certificates. Some companies still offer a choice between DRS and physical, though most companies offer exclusively one or the other and only a small number of companies issue physical certificates only. Avenu will work closely with the STO to find alternative ways to complete the transfer when possibility of certificate issuance is identified.

Approximate timeline of processing these types of transfers is included at the below indicated table:

Format	Re-registration Duration
Depository to Depository (DTC)	24 hours
Direct Registration Shares	3 – 5 business days
Physical Certificate	10 – 15 business days
Open-end Mutual Funds	5 – 10 business days
Close-end Mutual Funds	10 – 15 business days
Dividend Reinvestment Plans	10 – 20 business days

If there are any discrepancies with the number of shares/units requested to be transferred and the number of shares/units currently being held, or if there are questions on the registration instructions, the STO's dedicated account manager will coordinate with STO staff for problem resolution within 24 hours of identifying the issue. Once the discrepancy is resolved, Avenu will update the request and confirm with the STO staff for final authorization.

Please refer to Avenu Exhibits, Sample Monthly Reports Tab D - Transaction Report PDF Format– Specifically to note Transfer to Claimant transaction for more information.

4.2.18 Within three (3) days of completing a transaction, report all interest, dividends, corporation actions, proceeds of sale and any other earnings related to the securities held in safekeeping as unclaimed property, and follow all instructions from the STO as to the sale of securities related to unclaimed property.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu collects all dividends, interest income, sale proceeds and allocates all income to the appropriate CUSIP numbers with the STO's account.

All cash balances are reconciled on a daily basis to ensure that the STO's account has been properly credited with the appropriate income. All principal and income are posted to the STO's account on payable date.

Avenu also collects and allocates all corporate restructuring activity such as stock splits, stock dividends, mergers, etc. Avenu processes and posts all corporate actions made by issuers of securities which are held in Avenu's custody for the STO. As with any settlements, all receipts are reconciled at the end of each day to ensure that the STO's account has received what was due. Detailed information on Avenu's procedures with regard to all corporate restructurings (i.e. mergers, stock splits, stock dividends and more) is provided in response to item 4.2.5.

All transactions are accurately reported in the transactions reports that can be retrieved by the STO anytime though our online portal – NEXEN, and also reported to the STO on the first business day of the month.

4.2.19 Complete all wire transfers within one (1) business day requested by the STO.

Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu will complete all wire transfers to STO, upon request and as soon as the trades settle in the account. We have a standard procedure whereby cash account balances are remitted to the STO on the first business day of the month or the next business day. As with any part of our flexible solution, procedures can always be modified when agreed to by the STO and Avenu.

The process of initiating wires/ACH for incoming or outgoing funds, begins with receipt of the STO's authorized instructions to proceed with the requested transaction.

Avenu can receive these instructions via SFTP /electronic transmission, through the Avenu Extranet, www.unclaimedproperty.com, via fax/hard-copy mail, or e-mail based upon the preference of the STO.

An authorized signature is required on all instructions that are sent via fax/hard-copy or mail, as the Avenu Account Manager will compare this to the list of the STO's authorized signers for full verification and then process the request.

4.2.20 Upon request from the STO, file 1099-B and 1099-DIV IRS information reports for claim payments for securities transferred to owners.

Avenu currently provides this service to 2 other state unclaimed property programs and will provide to STO in the manner set forth below, if awarded this contract.

Avenu issues an IRS Form 1099 for all accounts paid during the calendar year and provides a copy to the STO. Avenu will maintain records of all payments that are made by Avenu on behalf of the STO to owners. After the end of each year, and prior to the IRS deadline of January 31st of the following year, Avenu produces IRS Forms 1099(B) and 1099(DIV) and any other applicable federal reporting forms pursuant to IRS regulations for these accounts paid during the previous calendar year.

These forms are mailed to the recorded recipients with an Avenu inquiry number that the recipients may call with any questions. A copy of the file is then sent to the STO. IRS regulations require that Avenu file a report to the IRS on behalf of the West Virginia State Treasurer's Office, Unclaimed Property Division prior to March 15th, or March 31st depending upon the filing method utilized for the prior year's payments. The fee charge for this service is per record processed and submitted to IRS. Avenu follows and will continue to follow the procedures for any payments that the STO requests that Avenu makes on its behalf, if awarded this contract.

4.3 Deliverable - Accounting and Reporting:

4.3.1. Vendor shall provide custodial and securities accounting services for unclaimed securities including mutual funds.

Acknowledged. Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

4.3.2. The Vendor shall deliver all reports and documents to the STO in an electronic format and, if requested, in a printed version. The Vendor shall provide electronic versions of the documents as follows: Spreadsheets shall be compatible with Microsoft Excel files, expository reports shall be compatible with Microsoft Word and/or Adobe PDF-format files; and database files shall be compatible with Microsoft Access software. Vendor should provide samples of each report with Vendor's bid.

Acknowledged. Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

4.3.3. The Vendor shall provide the STO the ability to schedule reports as needed.

Acknowledged. Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract. The STO has the ability to schedule such reports through NEXEN®. Currently Monthly Reports are scheduled to be delivered to the STO on the first business day and the package includes the following reports in excel and PDF format:

1. Cash and Security Transaction
2. Custody Valuation
3. Settled Cash Balances

4.3.4. The Vendor shall format reports to be compatible for upload into the new Unclaimed Property System, KAPS, which will go live in July 2019.

Acknowledged. Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu has automated the data transfer to and from the applications of several of our clients and can implement the same service with the requirements outlined in this RFQ for the STO immediately. We have worked closely with states utilizing several different unclaimed property management systems in order to automate the transfer of data between all existing unique systems.

The files can be generated directly from NEXEN®. NEXEN® provides various reporting types with numerous fields, as required in this section and can generate these reports in multiple formats. There are different options offered for each report in order to meet the STO's needs, such as cash and security transactions for deposits, withdrawals, dividend payments, securities receipt for settled as well as pending transactions.

We provide the flexibility of scheduling reports to run at a desired time, and running reports in different formats for the STO's review and processing. Each report can be exported to XLS, CSV and other variety of formats to perform sorting and other actions as needed.

Please refer to Avenu Exhibits, Sample Monthly Reports Tab D - Data Transfer Automation for the example of these files that contains all necessary data elements to process cash and securities transactions as stated in this section.

4.3.5. The Vendor shall provide online reporting capabilities that can be utilized by the STO staff.

Acknowledged. Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

NEXEN®

Avenu can provide the STO with access to NEXEN®, our internet-based inquiry and reporting product, which is available 24 hours a day, 7 days a week. NEXEN® runs completely via the internet and requires no extra software to be installed by the STO. It is secured by a unique user ID and password for each user. Each user is set up only with the STO's authorization.

This on-line inquiry system allows the STO to track all transactions, inventory, portfolio value, transaction history and value for a particular security using a date range as well as liquidations or sales.

This proves helpful when performing research on an older claim or for the case in which an owner claims that they never received their property. When the STO receives holder reports and the holders claim the securities have already been delivered via DTC, the STO can verify the receipts on this system.
The STO can also utilize this system to research the discrepancies between its portfolio and what is on the STO's unclaimed property management system.

Authorized individuals on NEXEN® have access to view information contained in the STO's accounts. The STO can select from a library of available reports to query, sort and download account data.

The STO may run these reports on demand or schedule them to run at a later time or on a permanent basis, for assistance with the reconciliation process. NEXEN® Reporting offers the enhanced reporting capabilities by quickly changing the logical sort order within a report and drilling down as many as two levels to see selected data in greater detail.

Each NEXEN® user has authorized access to a menu of reporting options. Reporting engines available include:

Reporting

- Timely access to real-time cash, custody, accounting, performance and more
- Analytics, securities lending and benefit disbursement reports
- Fully customizable reports via the use of user defined parameters
- Comprehensive scheduling facility
- Sophisticated report writer
- Drill-down capabilities
- Supports a series of industry standard file formats such as HTML, PDF, XLS, XML, CSV, TXT, RTF and PRN file formats

Real-Time Custody

- Direct access to the real-time core processing engine
- Status of transactions
- Details of asset positions
- Corporate action announcements which includes voluntary, mandatory and class action

Intellectual Properties

- Global news updates
- Market conditions and trends
- Operational policies & global custody standards
- Securities lending market updates
- Depositary risk analysis

Russell/Mellon Analytical Services

- Performance web generator
- Universe information
- Index product information
- News and upcoming events
- Market outlook
- Analytical insights

A sample of the reports available and additional capabilities has been provided under Avenu Exhibits, Tab D– Sample Monthly reports and Tab F for NEXEN®/Online Capabilities and a copy of the NEXEN® Manual.

Avenu Extranet

Extranet is a secure FTP site capable of additional automation, where the STO may upload files such as notices with sale instructions or reissue/transfer instructions to be downloaded and processed by Avenu. Additionally, the STO is able to view and respond to voluntary corporate actions.

The Extranet Portal provides electronic acknowledgement of transaction requests received by

Avenu. A confirmation e-mail is sent to a separate, designated individual within the STO containing:

i. details of the transaction (i.e. shares/re-registration information, security name)
ii. user that initiated the transaction
iii. time transfer request was received by Avenu

Additional information on the Avenu Extranet and capabilities can be found under Avenu Exhibits, Tab G.

4.3.6. The Vendor shall provide the STO with all reports by the first business day after the end of the applicable reporting period.

Acknowledged. Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract. Avenu delivers these reports to the STO and our clients on the first business day of each month for the prior month's activity and we also maintain those reports indefinitely.

4.3.7. **Monthly Reports:** Vendor shall provide the following reports or information in a format agreed upon by the Vendor and the STO:

- A detailed report identifying number of transactions, unit cost, and total cost;
- An inventory of the securities held;
- A summary of cash receipts and disbursements, which includes, but is not limited to:
  - Date of Transaction
  - Number of Units
  - Market Value
- Any change to the account due to dividends, redemption, stock splits or other action affecting the account; and
- A summary of earnings for the month, which includes, but is not limited to:
  - Income Earned
  - Dividends

- Interest
- Corporation Action
- Other Receipts
- Fees & Other Expenses
- Transfers

Acknowledged. Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Avenu provides comprehensive reports containing all required information related to transaction history and holdings to our 31 state clients, including STO. All the reports offered by Avenu are available online via NEXEN®, and monthly statements are delivered via email and, if desired, posted to a secure FTP (SFTP) site. These files are provided in both PDF and Excel formats, and delivered via secure encrypted email or FTP. These files can also be produced in a variety of formats, i.e. - .csv, .tsv, fixed format, etc.

The reports provided and/or available to the STO are: Cash and Security Transaction, Custody Valuation and Settled Cash Balances. Samples of these reports can be found in under Avenu Exhibits Tab D.

Avenu offers the ability to produce one consolidated statement for all transactions and positions in all locations. This report will provide a total market value for all securities held by the STO, even those that are not held physically or at DTC such as mutual funds, DRP and DRS shares. The STO also has the ability to segregate each asset type, specify a date range for receipt, transfer or liquidation as well as many more criteria.

Cash and Security Transaction Report

Monthly Transaction Reports detail all transactions occurring within the account for the prior month including, but not limited to: security free receipts, security transfers (claims paid), security liquidations, dividends collected and all corporate activity (stock splits, mergers, spinoffs, etc.). The report details the security name/description, CUSIP, share amount, trade date, contractual settlement date, actual settlement date, income cash and principal cash. This report is delivered to the STO, as well as our other custody clients, in both PDF and Excel format via secure email, within two business days following month end. This report can be run for monthly transactions, daily or any other date range.

Custody Valuation

Avenu creates a monthly List of Assets Report of all securities held in the STO's account, which includes the overall market value, the CUSIP, security name, number of units held, price per share and market value of all positions as of the close of business on the last day of the month. This report is delivered to the STO on the second business day of each month and may be generated at any time during the month by the STO using NEXEN®.

The price per share and market value are reconciled after the closing price is assigned on the last day of the month once again to ensure that the price is accurate and that all positions are valued at the last closing price. The STO has the ability to, at any time, create a similar list of assets held using NEXEN® and can print or save the report as a file locally.

All positions, whether physical, DTC, Federal Reserve, DRP, cash vehicles and, if applicable, mutual funds are credited to a unique account number and name on behalf of the STO. Assets are segregated by type and registration for reporting purposes. The segregation of assets and labeling of distinctions such as physical, DTC, book-entry, etc. are listed on NEXEN® and included in the monthly report issued by Avenu.

Settled Cash Balances

Cash Statements are created and forwarded on a monthly basis but can also be viewed daily. The statement is separated into two parts – Income and Principal. The STO is able to view cash received in the account for all types of transactions such as dividends, mergers, liquidation and interest payments, pay downs on certain securities and more.

Custom/Ad-hoc

Custom or ad-hoc reports are available online or by request and are extremely flexible in their capacity to present account activity, status, market value and other information. All essential portfolio information is available to the STO, including; daily cash and portfolio balances (DTC, physical stock, bonds, DRP and mutual funds); historical transaction activity for all securities positions and cash in the account; and account valuation for entire portfolio or particular securities held. All of this information is available in the standard unclaimed securities reports or other variations of those reports and is available to the STO online through NEXEN® or by contacting the STO's dedicated account manager.

Avenu maintains in both hard copy and electronic form all records for receipts, distributions, sales, deliveries and locations of securities, funds and other property on behalf of all of its state clients.

Please refer to Avenu Exhibits; Sample Monthly Reports Tab D for more information.

Avenu maintains these records in a safe and secure environment. Avenu maintains the previous year's hard copy records onsite in the secure custody area for ease in obtaining information to assist the STO with any inquiries, and additionally maintains comprehensive historical records in electronic format for reference.

Additionally, Avenu provides a complete historical accounting of all activities for a security or securities through NEXEN®. Avenu provides our clients with access to NEXEN®, our online reporting tool, for immediate access to current account information as well as for the previous 24 months. In addition, we generate monthly reports of account detail including transactions and positions with market value and deliver those in multiple formats such as hard copy, PDF, Excel or .csv among others.

4.3.8. **Holdings Reports:** The Vendor shall furnish a Statement of Holdings Report detailing the following information:

- Number of Units
- Issue Name
- Market Value
- Dividends Earned in detail
- Corporate Actions (CUSIP number changes, mergers, splits, etc.)

Acknowledged. Avenu currently provides this service to the STO, as well as to 30 other state unclaimed property programs and is prepared to continue to do so if awarded this contract.

Information related to these reports is included in 4.3.7 above. Please refer to Avenu Exhibits; Sample Monthly Reports Tab D, Custody Valuation Report PDF Format, which illustrates account holdings by the date of receiving the security in the account.

4.3.9. **Encryption**: Encryption technology for transmission of all reports shall be compliant with the Federal Information Processing Standard Publication (FIPS):http://csrc.nist.gov/groups/STM/cmvp/documents/fips140-2/FIPS14021G.pdf. SSL and early TLS must not to be used.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

4.3.10. **Conversion:** Vendor shall provide a conversion process that will enable the STO to convert to the new system with a minimum interruption of its business that will allow for the establishment of new accounts and will provide for the smooth transfer of all securities from the current vendor.

Avenu is proud to be the incumbent custodian for West Virginia State Treasurer's Office, Unclaimed Property Division.

In the event that a conversion to a new custodian is required, Avenu will work closely with the STO to ensure a smooth and easy conversion process.

We ensure that there is clear communication to all parties throughout the conversion process as well as beyond that as additional income and positions may be delivered to Avenu as the STO's current custodian/broker. Please note that all agreed upon pricing and charges under the contract will apply to all transactions and holdings during the conversion period.

Avenu will ensure an easy and thorough transition process by being very transparent and working closely with the STO in this process. Upon completion of the contract, Avenu will perform the following:

- Transfer all securities designated by the STO to the successor contractor. Avenu will forward all DTC and physical certificates to the successor. As is the case with unclaimed property programs, Avenu anticipates the continual receipt of certificates in current nominee name and/or positions via DTC.Avenu would, for a period of one year, provide legal documentation required for the successor to deposit the certificates. All Avenu positions will be sent back with a message indicating the new instructions and delivery address.

- Provide the successor contractor with all information related to the services. All information would be communicated concerning the management of the account prior to conversion.

- Respond to any questions from the STO or successor contractor related to Avenu's prior administration of the program. Avenu would provide a conversion contact familiar with the administration of the program. This person would be able to answer all questions and follow up on any outstanding issues until completion.

- Retain all books, records, and other documents relative to this contract for five (5) years after final payment or until audited by the West Virginia State Treasurer's Office, whichever is sooner.

  The agency, its authorized agents and/or state auditors shall have full access to and the right to examine any of said materials during said period.

4.3.11. **Implementation Date:** Vendor shall have all Services established and operating within sixty (60) business days of the effective contract date. If the Vendor fails to meet this time frame requirement, the STO may, in its discretion, deem the Vendor in breach of contract and take such action that is in the best interest of the STO. Any such delay will result in the Vendor being liable to the STO for the cost of maintaining its current safekeeping provider plus a twenty-five percent (25%) administrative fee. In no event shall the administrative fee exceed the cost of a one-year term as provided by the contract.

Avenu is proud to be the incumbent custodian for the West Virginia State Treasurer's Office, Unclaimed Property Division. As the current provider, if awarded a contract as result of this RFQ, an implementation and conversion process will not be required.

Continuing to have Avenu perform these services reduces the time and expense involved for the STO in continuing its day-to-day operations. No additional software or equipment is required and therefore training on new systems for STO staff will not be needed.

Any changes that are required as a result of a new contract will be included in a proposed project plan, discussed with the STO and then included in our updated procedures.

As is the current process, we review the procedures established for the STO and our other clients periodically through the year in order to review the STO's goals, any changes that have occurred within the program and present best practices that the STO may want to consider.

4.4. Deliverables- Other

4.4.1 **Problem Resolution:** Vendor shall provide timely problem resolution solutions regarding the Services provided to the STO.

Acknowledged. Avenu will provide timely problem resolution to the STO as set forth throughout this proposal.

4.4.2 **Disaster Recovery:** Vendor shall provide a disaster recovery plan that will protect the assets and property of the STO in the event of an emergency or other disaster that would affect the operations of the Vendor or the STO. Please provide a description of the Vendor's disaster recovery plan as it affects unclaimed property custodial property, including securities. Copies of any such plans should be submitted with Vendor's bid.

Acknowledged. Avenu's unclaimed securities solution maintains sufficient procedures and redundancy capabilities to ensure continued processing in a disaster.

We have strict policies and procedures regarding backup and disaster recovery. Additional details regarding recovery options and disaster recovery plan are provided further below. Our Business Continuity Plan and other materials pertaining to the backup procedures and disaster recovery plan can be provided upon request. During the past three years there are no records of a systems outage, malfunction, or failure occurred in systems or communications that caused a delay in service to one or more unclaimed custody clients.

A copy of Avenu's Business Continuity Plan which contains *CONFIDENTIAL* information is available upon request.

4.4.3 **Disclosure of Subcontractors:** If the Contractor intends to utilize subcontractors to perform any of the services in this contract, the Contractor must disclose the following:

Subcontractors

Avenu utilizes subcontractors for securities liquidations, worthless research and safekeeping only. All transactions are initiated by Avenu and our subcontractors are instructed accordingly. Since 2003, we have utilized BNY Mellon as our Sub custodian and Raymond James (previously Morgan Keegan) since 2004 as our broker.

Bank of New York Mellon (BNY Mellon)

BNY Mellon is a New York State chartered bank and wholly owned subsidiary of The Bank of New York Mellon Corporation. BNY Mellon is a publicly owned company whose stock ("BK") is traded on the New York Stock Exchange.

The Bank of New York Mellon Corporation ("BNYM Corp"), the parent of BNY Mellon, is incorporated in the State of Delaware. BNYM Corp is a publicly held financial holding company supervised by the Board of Governors of the Federal Reserve System.

BNY Mellon was formed in July 2007, when The Bank of New York Company, Inc. and Mellon Financial Corporation merged to form a new company. The combination of these two holding companies rich in history, vision and performance has created a global financial services growth company unmatched in its commitment to asset management and servicing.

The credit markets recognize BNY Mellon's strong financial position, and it enjoys excellent long-term credit ratings of AAA by Moody's and AA by S&P.

Its debt continues to trade at the best spreads in the industry among the 10 major U.S. banks. BNY Mellon has seen a very large growth in deposits, which is an indication of the strength of the company.

BNY Mellon has an extraordinary range and depth of product and service offerings. Its world class capabilities, including premier pension, not for profit, banking and fund services, are delivered by over 12,000 professionals worldwide. The number of resources utilized by BNY varies from project and task assigned. BNY Mellon as a full team dedicated to Avenu to support the project for Avenu clients – including the STO.

Avenu also has regular management meetings with BNY Mellon to ensure satisfactory performance and achievement of service levels. Supervision and control of this subcontractor relationship is essential.

As a well-capitalized company, BNY Mellon is positioned to handle both the volume and volatility being experienced in the marketplace. BNY Mellon remains one of the strongest financial institutions globally with excellent liquidity, strong earnings versus its peers and ample capital.

Avenu recognizes the importance of the BNY Mellon relationship to ensure proper accounting and control of all or the STO's assets. Avenu reconciles the cash and securities held by BNY Mellon to its own records on a daily basis. Avenu also has regular management meetings with BNY Mellon to ensure satisfactory performance and achievement of service levels. Supervision and control of this subcontractor relationship is essential

Please refer to Section 3.1, Staff Requirements for personnel resumes and Avenu Exhibits, Tab B for company Organizational Charts. Financial statements can be provided upon request.

Raymond James

Raymond James Financial, Inc. (RJF) is a diversified holding company providing financial services to individuals, corporations and municipalities through its subsidiaries. RJF was founded in 1962 with the objective of providing a comprehensive range of investments to investors. A public company since 1983, RJF is listed on the New York Stock Exchange and its shares are owned by more than 20,000 individual and institutional investors.

In total RJF employs over 14,000 people in over 2,600 locations. The number of resources used by Raymond James varies from project and task assigned. Raymond James as a full team dedicated to Avenu to support the project for Avenu clients – including the STO Avenu also has regular management meetings with Raymond James to ensure satisfactory performance and achievement of service levels. Supervision and control of this subcontractor relationship is essential.

Raymond James Financial Inc., and its subsidiaries have 7,400 financial advisors serving more than 1.9 million accounts in locations throughout the United States, Canada and overseas. Raymond James Financial Inc. is now the largest independent securities firm in the United States by market capitalization.

The firm has grown to its present size and organization by adhering to what has been its primary philosophy for 50 years, that of keeping the client's financial well-being foremost. Over this time, Raymond James Financial Inc. has become a respected, multinational company with distinct business units that serve a variety of clients, from individuals and small business owners to municipalities and major corporations.

Raymond James Financial Inc. will provide all trading and brokerage activity for the term of the agreement. Please refer to Section 3.1 Staff Requirements for personnel resumes and Avenu Exhibits, Tab B for company Organizational Charts. Financial statements can be provided upon request.

4.4.4 If the Vendor subcontracts or delegates any of its obligations under a contract awarded pursuant to this RFQ, all of the mandatory requirements shall be met by the Vendor or its subcontractor, as appropriate. The Vendor shall remain fully responsible for complete performance of all of the Vendor's obligations set forth in this RFQ, and for any such third party's compliance with the provisions set forth herein. A proposal that includes Services provided by a Subcontractor is not considered a joint bid.

Avenu Acknowledges this requirement.

4.4.5 **Insurance:** Vendor shall maintain in full force and effect, with insurance companies of recognized responsibility, at its sole expense, insurance covering its work of the type and in amounts reasonably required by the STO or any resulting Contract. Vendor's insurance shall, among other things, insure against loss or damage resulting from Vendor's performance of this Contract. All such insurance policies shall remain in full force in effect for the entire term of the Contract and shall not be canceled or changed except after 30 days written notice to the STO. The certificates of insurance are subject to approval by the STO.

Avenu understands and accepts that we are to maintain in full force and effect, with insurance companies of recognized responsibility, at our sole expense, insurance covering our work and in amounts reasonably required by the STO.

4.4.5.1 **Warranty:** The Vendor shall warrant that it has examined its insurance coverage and has determined that the STO can be named as additional insured on Vendor's commercial general liability insurance without creating an adverse effect on the Vendor's coverage. Such additional insured requirement may be met through a blanket additional insured basis.

Avenu warrants that we have examined our insurance coverage and we have determined that STO can be named as additional insured on our commercial general liability insurance without creating an adverse effect on our coverage.

4.4.6 **Security:** The Vendor shall provide Services and technology that are secure and compatible with the security requirements of the STO as described in Section 1.2. Security measures shall include standard methodologies, such as external security audits, firewalls, anti-virus protections, application and operating system patching methodologies, etc. Describe the Vendor's security methodology as it relates to the safekeeping of property, particularly securities, and include any security methodology for any partners or subcontractors providing proposed services.

Acknowledged. Avenu will adhere to STO's instructions as set forth above. A copy of Avenu's SSAE 16 which is considered *CONFIDENTIAL* and contains additional information related to external security audits and security measures established and controlled by Avenu for our state clients can be provided upon request.

4.4. 7 **Hardware & Software**: Any hardware and software interaction between the parties shall be compatible with the STO system as described in Section 1.2.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

5. Contract Award:

5.1 Contract Award: The Contract is intended to provide Agency with a purchase price for the Contract Services. The Contract shall be awarded to the Vendor that provides the Contract Services meeting the required specifications for the lowest overall total annual cost as shown on the Pricing Pages.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

5.2 Pricing Page: Vendor should complete the Pricing Page by in accordance with the instructions on the pricing page. Vendor should complete the Pricing Page in full as failure to complete the Pricing Page in its entirety may result in Vendor's bid being disqualified.

Vendor should type or electronically enter the information into the Pricing Pages through wvOASIS, if available, or as an electronic document.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

6. Performance:

Vendor and Agency shall agree upon a schedule for performance of Contract Services and Contract Services Deliverables, unless such a schedule is already included herein by Agency. In the event that this Contract is designated as an open-end contract, Vendor shall perform in accordance with the release orders that may be issued against this Contract.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

7. Payment:

Agency shall pay invoices monthly, in arrears, per the categories reflected on the Pricing Page for all Contract Services performed and accepted under this Contract. Vendor shall accept payment in accordance with the payment procedures of the State of West Virginia.

7.1 Vendor must submit invoices either in hard copy or via email. Vendor further understands that the name and address on invoices must match the contract before processing can take place.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

8. Travel:

Vendor shall be responsible for all mileage and travel costs, including travel time, associated with performance of this Contract. Any anticipated mileage or travel costs may be included in the flat fee or hourly rate listed on Vendor's bid, but such costs will not be paid by the Agency separately.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

9. Facilities Access:

Performance of Contract Services may require access cards and/or keys to gain entrance to Agency's facilities. In the event that access cards and/or keys are required:

9.1. Vendor must identify principal service personnel which will be issued access cards and/or keys to perform service.

9.2. Vendor will be responsible for controlling cards and keys and will pay replacement fee, if the cards or keys become lost or stolen.

9.3. Vendor shall notify Agency immediately of any lost, stolen, or missing card or key.

9.4. Anyone performing under this Contract will be subject to Agency's security protocol and procedures.

9.5. Vendor shall inform all staff of Agency's security protocol and procedures.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

10. Vendor Default:

10.1. The following shall be considered a vendor default under this Contract.

10.1.1 Failure to perform Contract Services in accordance with the requirements contained herein.

10.1.2 Failure to comply with other specifications and requirements contained herein.

10.1.3 Failure to comply with any laws, rules, and ordinances applicable to the Contract Services provided under this Contract.

10.1.4 Failure to remedy deficient performance upon request.

10.2 The following remedies shall be available to Agency upon default.

10.2.1 Immediate cancellation of the Contract.

10.2.2 Immediate cancellation of one or more release orders issued under this Contract.

10.2.3 Any other remedies available in law or equity.

Acknowledged. Avenu will adhere to STO's instructions as set forth above.

11. Miscellaneous:

11.1. **Contract Manager:** During its performance of this Contract, Vendor must designate and maintain a primary contract manager responsible for overseeing Vendor's responsibilities under this Contract. The Contract manager must be available during normal business hours to address any customer service or other issues related to this Contract. Vendor should list its Contract manager and his or her contact information below.

Contract Manager: Vilka Markovich

Telephone Number: 617-722-9657

Fax Number: 617-532-8755

Email Address: vilka.markovich@avenuinsights.com

Mandatory Attachments

Avenu has included the following Attachments:

1. PURCHASING AFFIDAVIT
2. CONTACT & CERTIFICATION

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

CONSTRUCTION CONTRACTS: Under W. Va. Code § 5-22-1(i), the contracting public entity shall not award a construction contract to any bidder that is known to be in default on any monetary obligation owed to the state or a political subdivision of the state, including, but not limited to, obligations related to payroll taxes, property taxes, sales and use taxes, fire service fees, or other fines or fees.

ALL CONTRACTS: Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

EXCEPTION: The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Employer default" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (*W. Va. Code* §61-5-3) that: (1) for construction contracts, the vendor is not in default on any monetary obligation owed to the state or a political subdivision of the state, and (2) for all other contracts, that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

WITNESS THE FOLLOWING SIGNATURE:

Vendor's Name: Avenu SLS Holdings, LLC.

Authorized Signature: _____ Date: 1/29/2020

State of Virginia

County of Fairfax, to-wit:

Taken, subscribed, and sworn to before me this 29 day of January, 2020.

My Commission expires April 30, 2023.

APRIL BULLION
NOTARY PUBLIC
REG. #7856008
MY COMMISSION EXPIRES
4/30/2023
COMMONWEALTH OF VIRGINIA

AFFIX SEAL HERE

NOTARY PUBLIC April Bullion

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.

Vilka Markovich
(Printed Name)

Director of Unclaimed Securities
(Printed Title)

100 Hancock Street, 10th Floor, Quincy, MA 02171
(Address)

(617) 722-9657
(Phone Number) / (Fax Number)

vilka.markovich@avenuinsights.com
(email address)

CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

Avenu SLS Holdings, LLC
(Company)

(Authorized Signature) (Representative Name, Title)

Mike Melka, Chief Financial Officer
(Printed Name and Title of Authorized Representative)

01/30/20
(Date)

(571) 313-5155
(Phone Number) (Fax Number)

Avenu Exhibits:

A. CUSTODY CLIENT LIST
B. ORGANIZATIONAL CHARTS
C. DTC PARTICIPANT LIST
D. SAMPLE MONTHLY REPORTS
E. BNY MELLON GLOBAL MARKET LIST
F. NEXEN® USERS MANUAL
G. EXTRANET USERS MANUAL
H. SAMPLES OF ENTITLEMENT CALCULATIONS

A

Custody Client List

Avenu State Client List

Alabama Office of the State Treasurer John McMillian Unclaimed Property Division Chad Wright, CPM Director, Unclaimed Property Division PO Box 302520 Montgomery, AL 36130 334.353-3627(phone) Chad.Wright@treasury.alabama.gov Provided Custody Services: 2016 - present	**Alaska Department of Revenue** Treasury Division Rachel Lewis, Administrator 333 Willoughby Avenue, 11th Floor PO Box 110420 Juneau, AK 99811-0420 907.465.5885 (phone) Rachel.lewis@alaska.gov Provided Custody Services: 2016 - present
Arizona Department of Revenue Unclaimed Property Unit Will Nagel Administrator 1600 W. Monroe Phoenix, AZ 85007 602.716.6033 (phone) wnagel@azdor.gov Provided Custody Services: 1990 - present	**Connecticut Office of the State Treasurer** Unclaimed Property Division Maria Greenslade Assistant Deputy Treasurer 55 Elm Street Hartford, CT 06106 860.702.3125 (phone) maria.greenslade@po.state.ct.us Provided Custody Services: 1994 - present
Colorado Office of the State Treasurer Unclaimed Property Division Bianca Gardelli Unclaimed Property Director 1580 Logan Street, Suite 500 Denver, CO 80203 303.866.6045 (phone) bianca.gardelli@state.co.us Provided Custody Services: 1990 - present	**Delaware Department of Finance** Division of Revenue, Unclaimed Property – Escheat Brenda R. Mayrack Director, Office of Unclaimed Property Carvel Street Office Building, 8th Floor 820 N. French Street Wilmington, DE 19801 302.577.8691 (phone) Brenda.Mayrack@delaware.gov Provided Custody Services: 1995 – present
District of Columbia Office of Finance and Treasury Unclaimed Property Unit Lynn Hall, Manager 1101 4th Street, SW, Suite 800B Washington, DC 20024 202.442.8193 (phone) lynn.hall@dc.gov Provided Custody Services: 1990 - present	**Florida Department of Financial Services** Bureau of Unclaimed Property Phillip Carlton Assistant Bureau Chief Bureau of Unclaimed Property P.O. Box 6350 Tallahassee, FL 32314 850.413.5570 (phone) Phillip.carlton@myflorida.cfo.com Provided Custody Services: 2009 - present

Avenu State Client List

Indiana Attorney General's Office Unclaimed Property Division Patience Senter Holder Supervisor 35 South Park Boulevard Greenwood, IN 46143 317.883.4542 (phone) psenter@atg.in.gov Provided Custody Services: 1990 - present	**Illinois State Treasurer's Office** Unclaimed Property Division Brian C. Durr 1 West Old State Capitol Plaza Springfield, IL 62701 217.558.6955 (phone) bdurr@illinoistreasurer.gov Provided Custody Services: 2003 - present
Iowa Treasurer of State Unclaimed Property Division Karen Austin Chief of Staff 321 E 12th Street 1st Floor Des Moines, Iowa 50319 515.281.7677 (phone) karen.austin@iowa.gov Provided Custody Services: 2019- present	**Kansas State Treasurer's Office** Unclaimed Property Division Kathy Priest Deputy Director 900 SW Jackson, Suite 201 Topeka, KS 66612 785.291.3174 (phone) Kathy@treasurer.ks.gov Provided Custody Services: 2009 - present
Office of Kentucky State Treasurer Allision Ball **Unclaimed Property Division** Katrina Stoner Branch Manager Unclaimed Property Division 1050 US Hwy 127 South, Suite 100 Frankfort, KY 40601 800.465.4722 (phone) Katrina.stoner@ky.gov Provided Custody Services: 2019- present	**Maine State Treasurer's Office** Unclaimed Property Jeff Chetkauskas Ass. Director of Internal Operations 39 State House Station 111 Sewall Street, 3rd FL Augusta, ME 04333-0039 207.624.7476 (phone) Jeff.Chetkauskas@maine.gov Provided Custody Services: 1990 – present
Office of the Missouri State Treasurer Scott Fitzpatrick Missouri Unclaimed Property Division Scott Harper Director of Unclaimed Property P.O. Box 210 Jefferson City, MO 65102 573.751.2082 (phone) 573.526.6027 (fax) Scott.harper@treasurer.mo.gov Provided Custody Services: 2019 - present	**Maryland Office of the Comptroller** Unclaimed Property Division Jason Sobel, Esq. Assistant Manager, Hearing & Appeals 301 West Preston Street, Room 310 Baltimore, MD 21201 410.767.1534 (phone) jsobel@comp.state.md.us Provided Custody Services: 2001-2011 & 2016- present

Avenu State Client List

Michigan Department of Treasury Unclaimed Property Division Terry A. Stanton Manager, Unclaimed Property 7285 Parsons Drive Lansing, MI 48922 517.636.5313 (phone) stantont@michigan.gov Provided Custody Services: 1990 – present	**Montana Department of Revenue** Miscellaneous Tax Unit Tracy Morano Bureau Chief, Unclaimed Property Sam W. Mitchell Building 125 N. Roberts Street, 3rd Floor Helena, MT 59620 406.444.4008 (phone) TMorano@mt.gov Provided Custody Services: 1990 – present
New Mexico Taxation and Revenue Department Unclaimed Property Unit Stephanie Dennis, Supervisor 1200 South St. Francis Drive P.O. Box 25123 Santa Fe, NM 87504-5123 505.827.0762 (phone) stephanie.dennis@state.nm.us Provided Custody Services: 1990 - present	**New Hampshire State Treasury** Abandoned Property Division Thomas P. McAnespie Abandoned Property Director 25 Capitol Street, Room 205 Concord, NH 03301 603.271.1499 (phone) tmcanespie@treasury.state.nh.us Provided Custody Services: 1998 – present
New York Office of the State Comptroller Office of Unclaimed Funds Kelly Kuracina, Assistant Bureau Director Office of the State Comptroller 110 State Street, 8th Floor Albany, NY 12236 518.474.6049 (phone) kkuracina@osc.state.ny.us Provided Custody Services 2016- present	**Nevada Office of the State Treasurer** Unclaimed property Division Linda Tobin Deputy Treasurer 555 East Washington Ave Suite 4200 Las Vegas, NV 89101 702.486.4354 (phone) ltobin@nevadatreasurer.gov Provided Custody Services: 2006 - present
Oregon Department of State Lands Unclaimed Property Division Claudia Ciobanu Trust Property Manager 775 Summer Street NE, Suite 100 Salem, OR 97301 503.986.5248 (phone) Claudia.Ciobanu@state.or.us Provided Custody Services: 2015 – present	**Puerto Rico Office of the Commissioner of Financial Institutions** Unclaimed Property Division Salva D. Valentin Maldonado Edif. Centro Europa, Suite 600 Ponce de Leon #1492 San Juan, PR 00907-4127 787.723.3131 (phone) salvad@ocif.gobierno.pr Provided Custody Services: 2005 – present

Avenu State Client List

Tennessee State Treasury Department Unclaimed Property Division John Gabriel, Director Andrew Jackson Building 10th Floor Nashville, TN 37243-0242 615.253.5354 (phone) john.gabriel@state.tn.us Provided Custody Services: 1990- present	**Utah State Treasurer's Office** Unclaimed Property Division Dennis L. Johnston, PMP, Administrator 168 N 1950 W Suite 102 Salt Lake City, UT 84116 801.715.3321 (phone) dljohnston@utah.gov Provided Custody Services: 1990 – present
Office of the Vermont State Treasurer Unclaimed Property Division Al LaPerle, Coordinator Pavilion Building 109 State Street, 4th Floor Montpelier, VT 05609-6200 802.828.2318 (phone) al.laperle@state.vt.us Provided Custody Services: 2005 – present	**Virginia Department of the Treasurer** Unclaimed Property Division Melinda Barbish, Audit Manager 101 North 14th Street James Monroe Building 3rd Floor Richmond, VA 23219 804.225.2515 (phone) melinda.barbish@trs.virginia.gov Provided Custody Services: 1998 - present
Washington State Department of Revenue Special Programs Division Tom Garden Unclaimed Property Operations Manager Capital Plaza Building P.O Box 47477 Olympia, WA 98504 360.534.1460 (phone) tomg@dor.wa.gov Provided Custody Services: 2013 - present	**West Virginia Office of the State Treasurer** Unclaimed Property Division Christina Merbedone-Byrd, Esq. 1900 Kanawha Boulevard Capital Complex Building #1, Room E-145 Charleston WV, 25305 304.341.1587 (phone) Christinia.Merbedone@wvsto.com Provided Custody Services: 2016 – present
Wisconsin Office of the State Treasurer Unclaimed Property Unit Erin Egan Director, Bureau of Tax Operations 2135 Rimrock Road 6-40 Madison, WI 53713 608.261.5235 (phone) erinb.egan@revenue.wi.gov Provided Custody Services: 1990 - present	

B

Organizational Charts

AVENU INSIGHTS & ANALYTICS

1.24.20

Finance & Revenue Solutions

David Lemoine

Annual Compliance

Janet D 'Agostino

Director, Annual Compliance

HRSPRO
Client Support
M. Normandin
C. Rendon

Annual Reporting
Reconciliation, Delivery and Due Diligence
Sonny Wong
RECONCILIATION
Bill Tobin
Laura Liao
Jhova Fleitas
Jess Bigness
Delivery
Darnielle Dimond
Hong Chen
Tram Le
Client Relations
Tim Runey
Accounts & QA
Dennis Lyons
Aida Pani
ELIIGIBILITY
Ron Lussier
Processing
Andrew Dingledy
Chris Harding
Vivian Gao
Linda Sullivan

Securities Cutody

Vilka Markovich

Director, Unclaimed Securities Custody

Pansy Chan
Mary Iao
Jonida Mino
Peg Wagner
Laura Maci
Loretta Pengo
Tim Woodward
Jimmy Lee
Ted Tran
Vicki Perkins
Fabian Ngyuyen

Claims, Outreach, & MissingMoney

Mark Capprini

Director, Claims, Outreach & MissingMoney.com

Claims Management
QUINCY Staff
Scott Carpenter
Julia Charley
Wan Lee
KENTUCKY Staff
C. Carpenter
April Gill
Christa Walker
Hannah Smith
Jennifer Hall
Tara Barton
Kimberly Sawyers

MissingMoney
David Milby
Program Director & FRS CSM

State Systems

Carolyn Atkinson

Director, Unclaimed Property Systesm & Support

Randy Stroede
Suman Metukupally
Melissa Cearlock
Jay Carter
Denise Ducharme
Dac Nguyen

Development

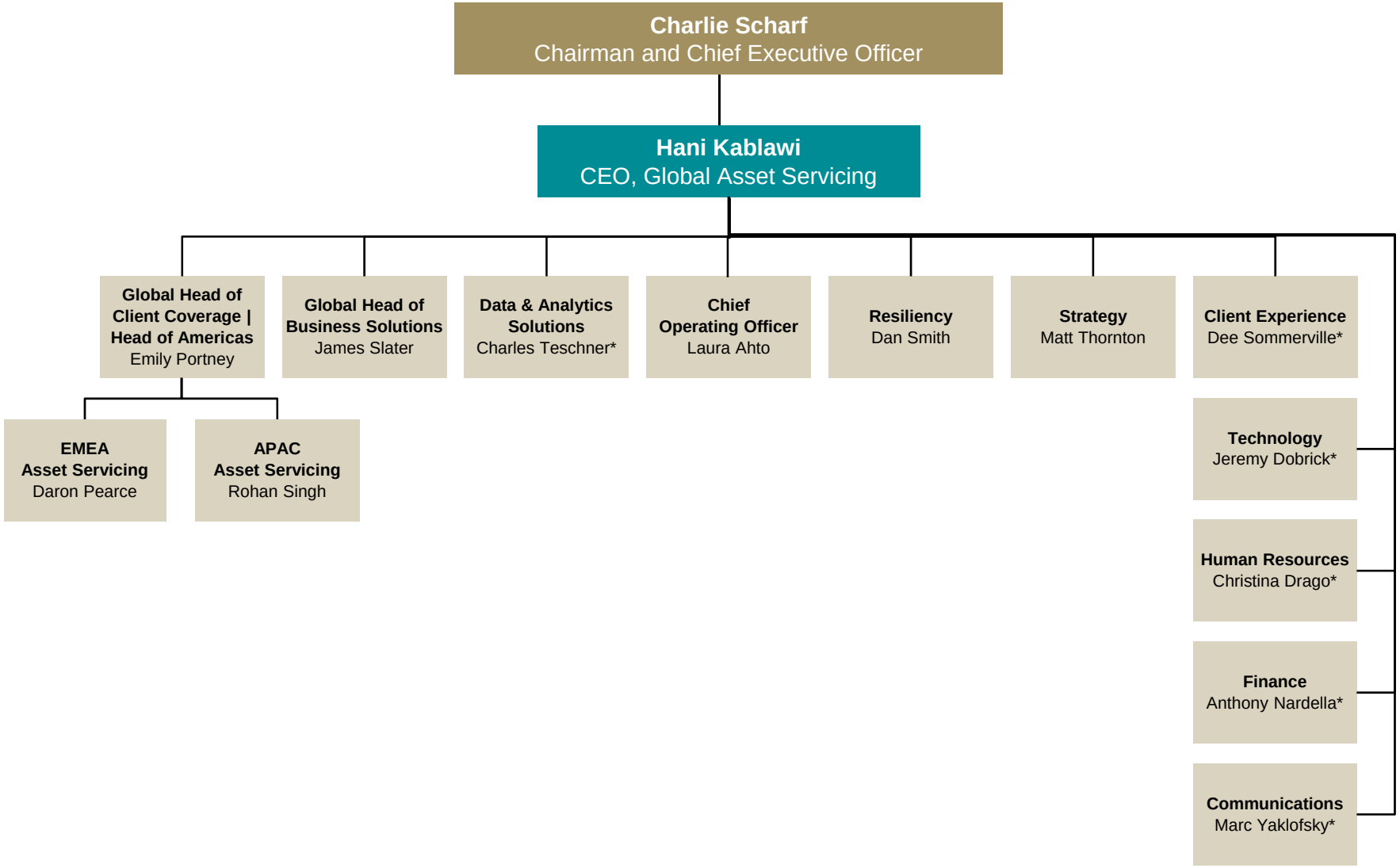
Chris Ludovic

Director, Unclaimed Property Software Development

.NET TEAM
Jeremy Rosine
Jonathan Davis
Richard Waldvogel
Anthony Obriot
Pandu Singeetham
Alan Dotson
QA & Support
Mitra Fathollahi
Charlie Allen

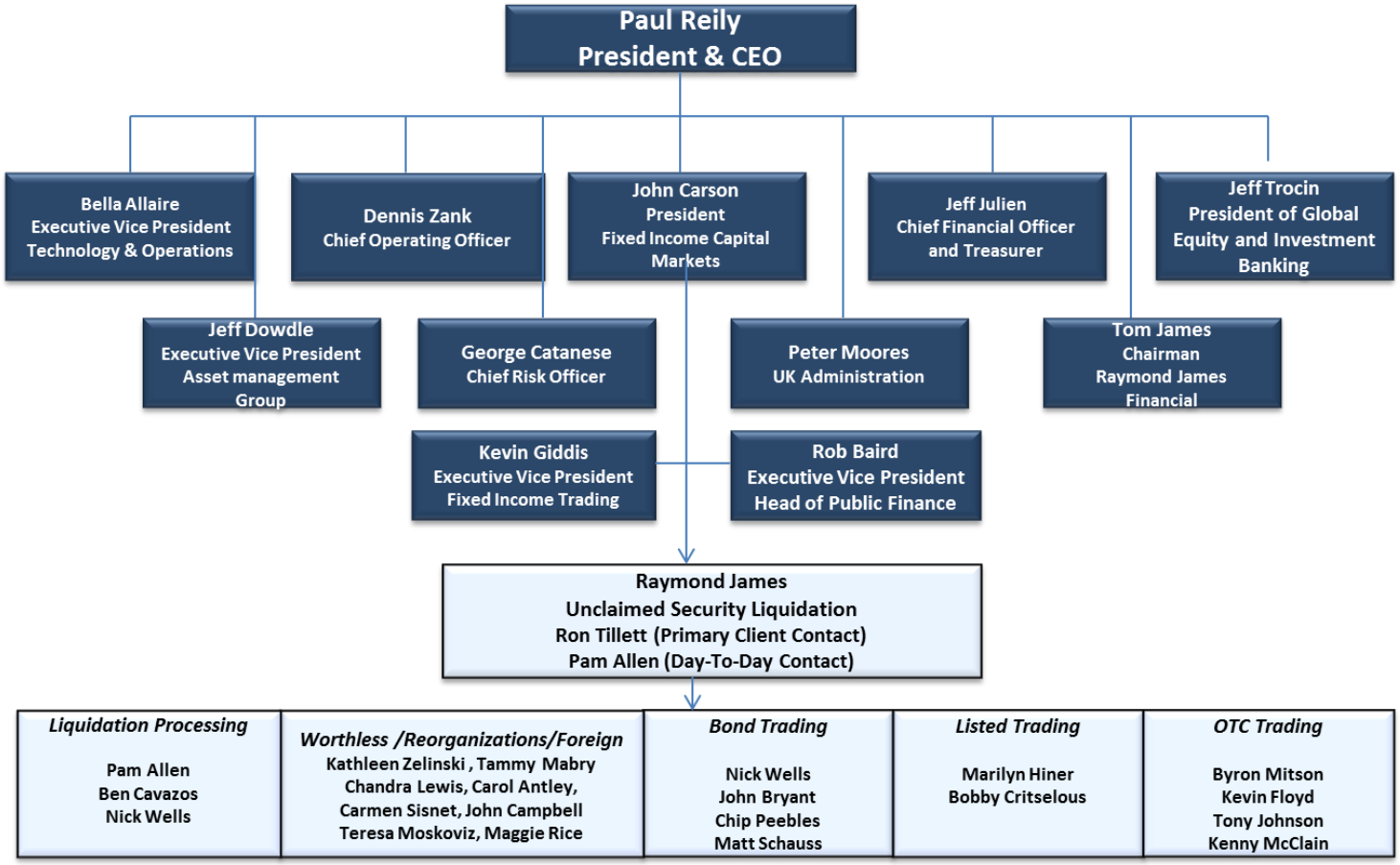
DELPHI TEAM
David Eaton
Dennis Fuller
*Priya Krisnamoorthy
Srinivasa Rao
AS400
Linda Wagner

Asset Servicing Executive Council



* Denotes dual reporting line or functional reporting

RAYMOND JAMES ORGANIZATIONAL CHART



C

DTC Participant List

DTC PARTICPANT REPORT (*Alphabetical Sort*)
Month Ending - December 31, 2019

PARTICIPANT ACCOUNT NAME	NUMBER
ABN AMRO CLEARING CHICAGO LLC	**0695**
ABN AMRO SECURITIES (USA) LLC	**0349**
ABN AMRO SECURITIES (USA) LLC/A/C#2	7571
ABN AMRO SECURITIES (USA) LLC/REPO	7590
ABN AMRO SECURITIES (USA) LLC/ABN AMRO BANK NV REPO	7591
ALPINE SECURITIES CORPORATION	**8072**
AMALGAMATED BANK	**2352**
AMALGAMATED BANK OF CHICAGO	**2567**
AMHERST PIERPONT SECURITIES LLC	**0413**
AMERICAN ENTERPRISE INVESTMENT SERVICES INC.	**0756**
AMERICAN ENTERPRISE INVESTMENT SERVICES INC./CONDUIT	7260
APEX CLEARING CORPORATION	**0158**
APEX CLEARING CORPORATION/APEX CLEARING MATCHBOOK	4439
APEX CLEARING CORPORATION/APEX CLEARING STOCK LOAN	8308
ARCHIPELAGO SECURITIES, L.L.C.	**0436**
ARCOLA SECURITIES, INC.	**0166**
ASCENSUS TRUST COMPANY	**2563**
ASSOCIATED BANK, N.A.	**2257**
ASSOCIATED BANK, N.A./ASSOCIATED TRUST COMPANY/IPA	1620
B. RILEY FBR, INC	**9186**
BANCA IMI SECURITIES CORP.	**0136**
BANK OF AMERICA, NATIONAL ASSOCIATION	**2236**
BANK OF AMERICA, NA/GWIM TRUST OPERATIONS	0955
BANK OF AMERICA/LASALLE BANK NA/IPA, DTC #1581	1581
BANK OF AMERICA NA/CLIENT ASSETS	2251
BANK OF CHINA, NEW YORK BRANCH	**2555**
BANK OF CHINA NEW YORK BRANCH/CLIENT CUSTODY	2656
BANK OF MONTREAL, CHICAGO BRANCH	**2309**
BANKERS' BANK	**2557**
BARCLAYS BANK PLC NEW YORK BRANCH	**7263**
BARCLAYS BANK PLC NEW YORK BRANCH/BARCLAYS BANK PLC-LNBR	8455
BARCLAYS CAPITAL INC.	**5101**
BARCLAYS CAPITAL INC./LE	0229
BB&T SECURITIES, LLC	**0702**
BBVA SECURITIES INC.	**2786**

BETA CAPITAL SECURITIES LLC	**4077**
BETHESDA SECURITIES, LLC	**8860**
BGC FINANCIAL, L.P.	**0537**
BGC FINANCIAL L.P./BGC BROKERS L.P.	5271
BLOOMBERG TRADEBOOK LLC	**7001**
BMO CAPITAL MARKETS CORP.	**0045**
BMO CAPITAL MARKETS CORP./PALOMA	5221
BMOCM/BONDS	5257
BMO HARRIS BANK NA	**2697**
BMO HARRIS BANK NA/TRUST	0992
BMO HARRIS BANK NA/M&I BANK IPA	1530
BMO HARRIS BANK NA/IPA	1582
BMO HARRIS BANK NA/DEALER	2559
BNP PARIBAS SECURITIES CORP.	**0630**
BNP PARIBAS SECURITIES CORP./PRIME BROKERAGE	2154
BNP PARIBAS SECURITIES CORP./PRIME STOCK LENDING	2885
BNP PARIBAS SECURITIES CORP./PRIME ARBITRAGE SLAB	8238
BNP PARIBAS, NEW YORK BRANCH	**1569**
BNP PARIBAS, NEW YORK BRANCH/BNP PARIBAS LONDON ALM	1014
BNP PARIBAS, NEW YORK BRANCH/MERLION/CLIENT ASSETS	1405
BNP PARIBAS, NEW YORK BRANCH/IPA	1601
BNP PARIBAS, NEW YORK BRANCH/BNP PARIBAS PRIME BROKERAGE CUSTODIAN	2147
BNP PARIBAS, NY BRANCH/ BNPP SA	2322
BNP PARIBAS, NEW YORK BRANCH/CUSTODY/CLIENT ASSETS	2787
BNP PARIBAS, NEW YORK BRANCH/BNP PARIBAS PRIME BROKERAGE INTERNATIONAL	2884
BNP PARIBAS NEW YORK BRANCH / BNP PARIBAS SA (METLIFE)	4252
BNP PARIBAS NY BRANCH LONDON BONDS	5153
BNP PARIBAS NY BRANCH/PARIS BONDS	7382
BNP PARIBAS NY BRANCH/USAL	8183
BNP PARIBAS NEW YORK BRANCH/BNP PARIBAS PROPRIETARY ASSETS	8462
BNY MELLON CAPITAL MARKETS, LLC	**2523**
BOKF, NATIONAL ASSOCIATION	**3975**
BROWN BROTHERS HARRIMAN & CO.	**0010**
BROWN BROTHERS HARRIMAN & CO./ETF	0109
BROWN BROTHERS HARRIMAN & CO. /SECURITIES LENDING SPO ACCOUNT II	4048
SECURITIES LENDING SPO ACCOUNT/BBH	5288
BUCKLER SECURITIES LLC	**3961**
CAJA DE VALORES S.A.	**5610**
CALDWELL TRUST COMPANY	**2687**
CANTOR FITZGERALD & CO.	**0696**
CANTOR FITZGERALD & CO. / CANTOR CLEARING SERVICES	0197
CANTOR FITZGERALD/STOCK LOAN	5253
CANTOR FITZGERALD & CO./DEBT CAPITAL MARKETS	7311
CAVALI ICLV S.A.	**2011**

CDS CLEARING AND DEPOSITORY SERVICES INC.	**4800**
BANK OF MONTREAL/US TRANSIT/CDS	3975
BANK OF MONTREAL/US TRANSIT/CDS	4845
BANK OF MONTREAL**	4855
BANK OF MONTREAL/ CHICAGO/CDS**	4817
BANK OF MONTREAL/ IRELAND/CDS**	4819
BANK OF MONTREAL/ LONDON/CDS**	4822
BANK OF NOVA SCOTIA/BNS LONDON/CDS**	4802
BBS SECURITIES INC./CDS**	5085
BMO NESBITT BURNS INC./BMO NB Equity Finance BMIRE/CDS	4947
BMO NESBITT BURNS INC./BMO NB Equity Finance CMLUK/CDS	4809
BMO NESBITT BURNS INC./BMO TRUST COMPANY/CDS**	4712
BMO NESBITT BURNS INC./CDS**	5043
BMO NESBITT BURNS/INSTITUTIONAL/CDS**	4797
CALDWELL SECURITIES LTD./CDS**	5013
CANACCORD GENUITY CORP./CDS**	5046
CDS CLEARING AND DEPOSITORY SERVICES INC.**	5099
CDS CLEARING AND DEPOSITORY SERVICES INC./CDS DEFAULT MANAGEMENT CONTROL ACCOUNT	5068
CIBC WORLD MARKETS INC./CDS**	5030
CORMARK SECURITIES INC./CDS**	5055
CREDENTIAL SECURITIES INC./CDS**	5083
CREDIT SUISSE SECURITIES CANADA INC./CDS**	5019
DESJARDINS SECURITIES INC./CDS**	5028
EDWARD JONES/CDS**	5012
FIDELITY CLEARING CANADA ULC/CDS**	5040
FIDUCIE DESJARDINS INC.**	4818
GMP SECURITIES L.P./CDS**	5016
HAYWOOD SECURITIES INC./CDS**	5058
J.P. MORGAN SECURITIES CANADA INC. **	4808
LAURENTIAN BANK SECURITIES INC./CDS	5001
LEEDE JONES GABLE INC./CDS**	5071
MACKIE RESEARCH CAPITAL CORPORATION/CDS**	5029
MANULIFE SECURITIES INCORPORATED/CDS**	5047
NATIONAL BANK FINANCIAL INC./CDS**	5008
ODLUM BROWN LIMITED/CDS**	5074
PETERS & CO. LIMITED/CDS**	5014
PI FINANCIAL CORP./CDS**	5075
PICTET CANADA L.P./CDS**	5027
QUESTRADE INC./CDS**	5084
RAYMOND JAMES LTD./CDS**	5076
RBC DOMINION SECURITIES INC./CDS**	4801
RBC DOMINION SECURITIES INC./CDS**	5002
ROYAL BANK OF CANADA-ROYAL TRUST 1/CDS**	5044
ROYAL BANK OF CANADA-ROYAL TRUST/CDS**	4707
SCOTIA CAPITAL INC./CDS**	5011
SOCIETE GENERALE CAPITAL CANADA INC./CDS**	5003
TD WATERHOUSE CANADA INC./CDS**	5036
THE BANK OF NOVA SCOTIA/BNS TOR PRINCIPAL GLOSS/CDS	4810
THE BANK OF NOVA SCOTIA/ SCE LTD./CDS**	4814
THE BANK OF NOVA SCOTIA/CDS**	4812
THE BANK OF NOVA SCOTIA/CLIENT A	4816
THE BANK OF NOVA SCOTIA/CLIENT B/CDS**	4838
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BNYMELLON/RE BGC BROKERS LP	2002
THE BANK OF NEW YORK MELLON/HBK GLOBAL SECURITIES LP	2022
THE BANK OF NEW YORK MELLON/FMSBONDS, INC.	2023
BNYMELLON/RE BNYMSANV RE FIRM	2026
THE BANK OF NEW YORK MELLON/HBK MASTER FUND LP	2046
BNYMELLON/RE DBTCA-DB AG LDN PB - CLIENT ACCOUNT	2057
BNYMELLON/RE DBTCA/DB AG LDN PB-DEUTSCHE BANK NY	2059
BNYMELLON/RE BNP PARIBAS TRI-PARTY ACCOUNT	2070
BNYMELLON/RE BNYMSANVAMS RE FIRM LAB	2074
BNYMELLON/RE DBTCA/DB AG LDN PB CHEYNE VALUE FUND LP	2079
BNYMELLON/RE DB AG LON PB POLGON GL OP M/FD	2090
BNYMELLON/RE RABOBANK INTERNATIONAL UNEF	2091
BNYMELLON/RE SUNTRUST BANK	2093
BNYMELLON/RE SUNTRUST BANK PORTFOLIO	2100
BNYMELLON/RE BARCLAYS CAPITAL SECURITIES LTD.	2103
BNYMELLON/RE ALLSTATE MARK TO MARKETS	2106
THE BANK OF NEW YORK MELLON/COMMERCIAL LOANS	2107
BNYMELLON/RE ICBC STANDARD BANK PLC	2109
BNYMELLON/RE NOMURA PB NOMINEES LTD	2131
THE BANK OF NEW YORK MELLON/IVORS	2136
THE BANK OF NEW YORK MELLON/ELLINGTON SPECIAL OPPORTUNITIES FUND, LTD.	2138
BNYMELLON/RE FIRM INVESTMENT ACCOUNT	2151
THE BANK OF NEW YORK MELLON/DEUTSCHE BANK LONDON AG LONDON/GLOBAL MARKET #2	2155
BNYMELLON/RE DBTCA/DB AG LDN PB MULTI SEG CLEARANCE	2156
BNYMELLON/RE DBTCA/DB AG LDN B CHEYNE SPEC'L SIT FD	2160
BNYMELLON/RE D E SHAW HELIANT CAPITAL LLC	2169
THE BANK OF NEW YORK MELLON/CDC MORTGAGE CAPITAL INC.	2176
THE BANK OF NEW YORK MELLON/BARCLAYS BANK PLC	2196
BANK NEW YORK MELLON/FIRM ITC-INVESTMENT DEALER	2206
BNYMELLON/RE RABOBANK INTERNATIONAL LONDON EQUITY FINANCE	2207
BNYMELLON/RE MIDCAP SPDRS	2209
THE BANK OF NEW YORK MELLON/EF SECURITIES LLC	2220
THE BANK OF NEW YORK MELLON/NATIXIS FINANCIAL PRODUCTS INC	2224
THE BANK OF NEW YORK MELLON/E-TRADE BANK	2225
BNYMELLON/RE NATIXIS FIXED INCOME	2243
BNYMELLON/RE NATIXIS	2244
BNY MELLON/NOMURA INT'L PLC REPO	2281
BNYMELLON/RE ING BANK NV LONDON BRANCH	2307
BNYMELLON/RE BOA NA	2308
BNYMELLON/RE BARCLAYS (BGIS)	2313
BNYMELLON/RE BARCLAYS BANK PLC - PLEDGE ACCOUNT	2324
BNY MELLON/ANWORTH MORTGAGE ASSET CORP.	2328

BNYMELLON/RE CHARLES STANLEY AND COMPANY, LIMITED	2336
BNYMELLON/RE ITC - DEALERS CLEARANCE SPECIAL	2339
THE BANK OF NEW YORK MELLON/ELLINGTON MORTGAGE FUND SC, LTD.	2342
BNYMELLON/RE HSBC BANK PLC PARIS BRANCH	2359
BNYMELLON/RE FIRM SECURITIES FINANCE	2361
THE BANK OF NEW YORK MELLON/CRESCENT II FUND L.P.	2362
BNYMELLON/RE HSBC BANK PLC EQD USBR	2363
BNYMELLON/RE BARCLAYS CAP SEC LTD PB SEG 1	2366
BNYMELLON/RE BARCLAYS CAP SEC LTD PB SEG 2	2367
BNYMELLON/RE FIRM TRADE INS	2381
BNYMELLON/DEDICATED PARTICIPANT #77	2407
THE BANK OF NEW YORK MELLON/ELLINGTON MORTGAGE OPPORTUNITIES MASTER FUND LTD.	2417
THE BANK OF NEW YORK MELLON / BOFA SECURITIES INC	2427
BNYMELLON/RE DBTC AMERICAS/DEUTSCHE BANK LONDON PRIME	2428
BNYMELLON/RE CACEIS BANK S.A	2443
THE BANK OF NEW YORK MELLON/FSA	2444
BNYMELLON/RE DBTC AMERICAS/DEUTSCHE BK LONDON PRIME SEG 15/00	2452
BNYMELLON/RE DBTC/DEUTSCHE BK LONDON PRIME SEG 1	2453
BNYMELLON/RE DBTC/DEUTSCHE BK LONDON PRIME SEG 2	2454
BNYMELLON/RE HSBC BANK PLC	2462
BNYMELLON/RE DEUTSCHE BANK AG FRANKFURT	2468
THE BANK OF NEW YORK MELLON/MIZUHO BANK LTD.	2469
BNYMELLON/RE DR CUSTODY ACCOUNT	2472
BNYMELLON/RE MILLENNIUM PARTNERS	2474
THE BANK OF NEW YORK MELLON/ANNALY COMMERCIAL REAL ESTATE GR.	2475
THE BANK OF NEW YORK MELLON/DBAG LONDON GLOBAL MARKETS (CLIENT ACCT)	2478
THE BANK OF NEW YORK MELLON/DBAG FRANKFURT GLOBAL MARKET	2479
THE BANK OF NEW YORK MELLON/DBAG LONDON GLOBAL MARKET	2485
BNYMELLON/RE RABOBANK UTRECHT FIXED INCOME	2486
BNYMELLON/RE DBAG PB UCITS CLIENTS	2488
BNYMELLON/RE RABOBANK INT'L UTRECHT EQUITY FIN	2490
BNYMELLON/RE BOA SECURITIES LTD. (BASL)	2494
BNYMELLON/RE BARCLAYS PAYMENT SOLUTIONS INC	2496
BNYMELLON/RE NOMURA CL SETT NOM LTD	2499
THE BANK OF NEW YORK MELLON/ANNALY MORTGAGE	2502
BNYMELLON/RE DEPOSITARY RECEIPT SERVICES/MERRILL LYNCH REDEM.	2504
BNYMELLON/RE THE PRUDENTIAL INVESTMENT	2510
THE BANK OF NEW YORK MELLON/NOMURA BANK INT'L PLC	2543
BNYMELLON/RE DAVY SECURITIES LIMITED	2553
THE BANK OF NEW YORK MELLON/BAKERGROUP	2565
BNYMELLON/RE ANCHORAGE CAPITAL	2566
BNYMELLON/RE RABOBANK INTERNATIONAL NY	2573
BNYMELLON/RE DEUTSCHE BANK AG LONDON PRIME BROKERAGE	2582
BNYMELLON/RE BANCO SANTANDER SLB	2590
BNYMELLON/RE FIRM INVESTMENT PORTFOLIO	2595
BNYMELLON/RE CACEIS BANK DEUTSCHLAND GMBH	2598
BNYMELLON/RE TRADITION LONDON CLEARING LTD.	2601
BNYMELLON/RE MIZUHO INTERNATIONAL	2621
BNYMELLON/RE AIG	2630
BNYMELLON/RE GOV & CO BANK OF ENGLAND	2634
BNYMELLON/RE BARCLAYS CAPITAL INC.	2641
BNYMELLON/RE GLOBAL PRIME PARTNERS	2648
BNYMELLON/RE JW GIDDENS TRUSTEE LIQ LEHMAN BROS	2657
BNYMELLON/RE RABO CAPITAL SERVICES	2677
THE BANK OF NEW YORK MELLON/ITC-DEALERS CLEARANCE GENERAL	2681
BNYMELLON/RE DE SHAW & CO.	2709
BNYMELLON/RE ICAP LONDON	2711
BNYMELLON/RE NATIONAL BANK OF AUSTRALIA	2714
BNYMELLON/RE D.E. SHAW KALON PORTFOLIOS, L.L.C.	2716
BNYMELLON/RE NOMURA CNS NOM RE: TFS DER	2718

BNYMELLON/RE DBLPB-DBX RISK ARBITAGE 8 FUND	2719
BNYMELLON/RE BARCLAYS BK PLC-BARC LUX SARL A/C 1	2720
BNYMELLON/RE BARCLAYS BK PLC-BARC LUX SARL A/C 2	2721
BNYMELLON/RE DBLPB-CENTAURUS PROXIMA FD	2724
BNYMELLON/RE DBLPB-DBX-ASIAN L/S EQUITY 2 FUND	2726
BNYMELLON/RE SCULPTOR CAPITAL MANAGEMENT	2731
THE BANK OF NEW YORK MELLON/ELLINGTON CREDIT OPPORTUNITIES LTD.	2776
THE BANK OF NEW YORK MELLON/ST. BERNARD OPPORTUNITY FUND 1, LTD.	2784
BNYMELLON/RE MILLENNIUM FIXED INCOME LTD	2785
BNYMELLON/RE BBPLC PB CAYMEN CLIENTS	2802
BNYMELLON/RE BBPLC PB CANADIAN CLIENTS	2825
THE BANK OF NEW YORK MELLON/DEUTSCHE BANK AG	2828
BNYMELLON/RE HSBC BANK PLC	2830
BNYMELLON/RE SMBC NIKKO SECURITIES AMERICA INC	2838
THE BANK OF NEW YORK MELLON/EF MORTGAGE, LLC	2841
THE BANK OF NEW YORK MELLON/EF CMO, LLC	2842
BNYMELLON/RE SMBC NIKKO CAPITAL MARKETS LTD	2843
BNYMELLON/RE BBPLC PB UK CLIENTS	2844
BNYMELLON/RE (AG) DESHAW OCULUS PORT LLC.PLGCOLL AC	2846
BNYMELLON/RE FIRM SMPT ASSETS	2858
BNYMELLON/RE FIRM SECURED FINANCE	2868
THE BANK OF NEW YORK MELLON/CHIMERA INVESTMENT CORPORATION	2874
THE BANK OF NEW YORK MELLON/CHIMERA RMBS WHOLE POOL LLC (F/K/A CIM ASSET HOLDING)	2875
THE BANK OF NEW YORK MELLON/CHIMERA RMBS LLC (F/K/A CIM HOLDING)	2893
THE BANK OF NEW YORK MELLON/CHIMERA SECURITIES HOLDING LLC	2899
THE BANK OF NEW YORK MELLON/CHIMERA SPECIAL HOLDING LLC	2901
THE BANK OF NEW YORK MELLON/BAKER2	2903
THE BANK OF NEW YORK MELLON/CHIMERA TRADING COMPANY LLC	2906
BNYMELLON/RE ANZ MELBOURNE	2908
BNYMELLON/RE BARCLAYS BANK IRELAND TREASURY ACCT	2909
BNYMELLON/DEDICATED PARTICIPANT #59	2912
BNYMELLON/RE HSBC FRANCE	2919
THE BANK OF NEW YORK MELLON/NATIXIS SECURITIES AMERICAS LLC	2920
BNYMELLON/RE BARCLAYS BANK IRELAND	2922
BNYMELLON/RE BNYMSANVFFT RE FIRM	2926
BNYMELLON/RE BARCLAYS BANK PLC	2931
THE BANK OF NEW YORK MELLON/VINNING SPARKS, IBG, L.P.	2940
BNYMELLON/RE BARCLAYS BANK IRELAND PLC F	2947
BNYMELLON/RE MIZUHO SECURITIES EUROPE GMBH	2948
BNYMELLON/RE RBC I&TS	2985
THE BANK OF NEW YORK MELLON/WFC HOLDINGS CORPORATION	3516
BNYMELLON/RE NORDEA DK/SEC FINANCE SE	3593
BNYMELLON/NOMURA FINANCIAL PRODUCTS EUROPE GMBH	3916
BNYMELLON/RE RBC CAPITAL MARKETS (EUROPE) GMBH	3967
BNYMELLON/RE DESHAW US LARGE CAP CORE PORTS L.L.C	3968
BNYMELLON/RE FIRM SAM NA	3970
BNYMELLON/RE BARCLAYS BANK DELAWARE	3972
BNYMELLON/RE SMBC CAPITAL MARKETS FRANKFURT	3973
BNYMELLON/RE FIRM NA	4084
BNYMELLON/RE LME CLEAR	4085
BNYMELLON/DEDICATED PARTICIPANT #76	4086
BNYMELLON/RE BCSL PB SEG AC 5	4087
BNYMELLON/RE ARBEJDSMARKEDETS TILLAEGSPENSION	4088
BNYMELLON/DEDICATED PARTICIPANT #79	4341
BNYMELLON/RE FIRM RE SANV	4556
BNYMELLON/RE ANZ BANKING GROUP LIMITED	6501
BNYMELLON/RE HSBC BANK HONG KONG	7387
BNYMELLON/WFB.NA WELLS FARGO BANK NA PI	8043
BNYMELLON/WF & CO WELLS FARGO & COMPANY	8077
BNYMELLON/RE FIRM BORROW PLUS	8107

THE BANK OF NEW YORK MELLON/EARN SECURITIES LLC	8115
THE BANK OF NEW YORK MELLON/EARN CMO LLC	8116
THE BANK OF NEW YORK MELLON/EARN MORTGAGE LLC	8117
THE BANK OF NEW YORK MELLON/NOMURA FIN. PRODUCTS & SERVICES INC.	8123
BNYMELLON/RE FIRM HOLDING CO.	8132
BNYMELLON/RE BNYMSANVLB RE FIRM	8134
BNYMELLON/RE BBPLC F LRCM REPO	8139
BNYMELLON/WEALTH MANAGEMENT	8275
BNYMELLON/RE BNYMLB RE FIRM SF	8310
BNYMELLON/RE BNYMLB RE FIRM	8311
BNYMELLON/RE CACEIS BANK	8313
BNYMELLON/RE CBD BAADER AG	8314
BNYMELLON/RE CBD STEUBING AG	8317
BNYMELLON/RE WINTERFLOOD SECURITIES LTD	8318
BNYMELLON/RE CACEIS BANK LUXEMBOURG	8320
BNYMELLON/RE GFI SECURITIES LTD	8321
BNYMELLON/RE UIT NSCC CNS CLEARANCE	8355
THE BANK OF NEW YORK MELLON/NOMURA SECURITIES (BERMUDA) LTD.	8387
BNYM/EF CORPORATE HOLDINGS LLC	8412
BNYMELLON/RE BB RE FIRM	8414
BNYMELLON/RE FFT RE FIRM	8417
BNYMELLON/RE NA-BANK CUSTODY	8420
BNYMELLON/RE BNYMIL FIRM	8421
BNYMELLON/RE RABOBANK LONDONBRANCH FIXED INCOME	8423
BNYMELLON/RE CBD ICF BANK AG	8471
BNYMELLON/RE RBC BARBADOS	8472
BNYMELLON/RE RBC CAPITAL MARKETS LLC	8474
BNYMELLON/RE RBCEL FIXED INCOME	8475
BNYMELLON/RE BARCLAYS BANK PLC LONDON	8476
BNYMELLON/RE BBPLC CLIENT COLL SEC LNBR SEG	8478
BNYMELLON/RE RBCLB EQUITY FINANCE	8479
BNYMELLON/RE BARCLAYS OVERSIGHT MANAGEMENT INC	8481
BNYMELLON/RE RBCLB FIXED INCOME	8482
BNYMELLON/RE BGC FINANCIAL LP M/M	8483
BNYMELLON/RE RBCEL EQUITY FINANCE	8487
BNYMELLON/RE COOPERATIEVE RABOBANK U.A.	8488
BNYMELLON/RE GCM CLIENT ACCOUNTS	8489
BNYMELLON/RE RBC BAHAMAS BRANCH	8490
BNYMELLON/RE DESHAW US BMCAE CUSTOM PORT L.L.C	8491
BNYMELLON/DEDICATED PARTICIPANT #80	9110
THE BANK OF NEW YORK MELLON TRUST COMPANY, NATIONAL ASSOCIATION	**2438**
THE BANK OF NOVA SCOTIA, NEW YORK AGENCY	**2347**
BANK OF NOVA SCOTIA, NEW YORK AGENCY/IPA (THE)	1542
THE BANK OF NOVA SCOTIA, NEW YORK AGENCY/RATES DESK	2531
THE CENTRAL DEPOSITORY (PTE) LIMITED	**5700**
THE HUNTINGTON NATIONAL BANK	**2305**
HUNTINGTON NATIONAL BANK/IPA	1562
HUNTINGTON NATIONAL BANK/FBO OHIO POLICE AND PENSION FUND	2219
HUNTINGTON NATIONAL BANK/FBO SCHOOL EMPLOYEE RETIREMENT SYSTEM OF OHIO	2898
THE NASDAQ STOCK MARKET LLC	**0734**
NASDAQ STOCK MARKET LLC/OMNIBUS ACCOUNT	0759
THE NORTHERN TRUST COMPANY	**2669**
NORTHERN TRUST COMPANY/IPA	1560
NORTHERN TRUST COMPANY - SAFEKEEPING	2684

NORTHERN TRUST COMPANY/FUTURE FUND ACCOUNTS	2778
THE TEL-AVIV STOCK EXCHANGE CLEARING HOUSE LTD	**2015**
TIMBER HILL LLC	**0549**
TRADEBOT SYSTEMS, INC.	**0083**
TRADESTATION SECURITIES, INC.	**0271**
TRADESTATION SECURITIES, INC./TRADESTATION SECURITIES, INC.	8035
TRADITION SECURITIES & DERIVATIVES INC.	**0370**
TRUIST BANK	**2971**
TRUIST BANK/CT CF IPA	1518
TRUIST BANK/SUNTRUST BANK RETAIL	2114
TRUIST BANK/SUNTRUST BANK DEALER	2262
TRUIST BANK/IP TRUIST FINANCIAL CORP	2703
TRUIST BANK/IP TRUIST BANK	2705
TRUIST BANK/SUNTRUST SAFEKEEPING	2717
TRUIST BANK/IP BB&T COMMUNITY HOLDINGS	2871
TRUIST BANK/SUPPLY CHAIN FINANCE	4053
TRUIST BANK/BRANCH BANKING AND TRUST COMPANY	5385
TRUST COMPANY OF AMERICA	**5981**
TULLETT PREBON FINANCIAL SERVICES LLC	**0624**
TULLETT PREBON FINANCIAL SERVICES LLC/TULLETT PREBON FINANCIAL SERVICES 1	2189
TULLETT PREBON FINANCIAL SERVICES LLC/TULLETT PREBON FINANCIAL SERVICES	2190
TULLETT PREBON FINANCIAL SERVICES LLC/PREBON FINANCIAL PRODUCTS, INC.	2291
U.S. BANCORP INVESTMENTS, INC.	**0280**
U.S. BANK N.A.	**2803**
U.S. BANK N.A./CP	1510
U.S. BANK N.A./SAFEKEEPING WEST	2234
U.S. BANK N.A./ETF	2580
U.S. BANK, N.A./U.S. BANK MUNICIPAL SECURITIES GROUP	2781
U.S. BANK N.A./THIRD PARTY LENDING	2837
U.S. BANK N.A./TRUST NY MTN	2897
U.S. BANK N.A./QUASAR DISTRIBUTORS, LLC DEALER CLEARING SERVICES	9487
UBS AG, STAMFORD BRANCH	**0979**
UBS AG, STAMFORD BRANCH/IPA ACCOUNT	1540
UBS AG, STAMFORD BRANCH/AC PB CLIENTS-NO UBS LIEN	2003
UBS AG STAMFORD BRANCH/AS CUSTODIAN FOR UBS AG LONDON BRANCH	2507
UBS FINANCIAL SERVICES INC.	**0221**
UBS FINANCIAL SERVICES INC./GOVERNMENT SECURITIES ACCOUNT #2	5170
UBS SECURITIES LLC	**0642**
UBS SECURITIES LLC/CMO	0652
UBS SECURITIES LLC/SECURITIES LENDING	5284
UMB BANK, NATIONAL ASSOCIATION	**2450**
UMB BANK, INVESTMENT DIVISION	2451
UNION BANK & TRUST COMPANY	**2067**
VANGUARD MARKETING CORPORATION	**0062**

VELOCITY CAPITAL LLC	**6019**
VELOX CLEARING LLC	**3856**
VIRTU AMERICAS LLC	**0295**
VIRTU AMERICAS LLC/VIRTU FINANCIAL BD LLC	0063
VIRTU FINANCIAL CAPITAL MARKETS LLC	**0749**
VISION FINANCIAL MARKETS LLC	**0595**
VISION FINANCIAL MARKETS LLC/SECURITIES LENDING	8493
WACHTEL & CO., INC.	**0709**
WEDBUSH SECURITIES INC.	**0103**
WEDBUSH SECURITIES INC./STOCK LOAN	5166
WEDBUSH SECURITIES INC./P3	8199
WEDBUSH SECURITIES INC./P3 STOCK LOAN	8237
WELLS FARGO BANK, NATIONAL ASSOCIATION	**2027**
WELLS FARGO BANK, N.A. ISSUING/PAYING AGENT	1538
WELLS FARGO BANK, N.A./LENDING	2040
WELLS FARGO BANK, N.A./SIG	2072
WELLS FARGO CLEARING SERVICES LLC	**0141**
WELLS FARGO CLEARING SERVICES, LLC/SECURITIES LENDING MATCH BOOK	5237
WELLS FARGO CLEARING SERVICES LLC/SUB ACCOUNT WFA REPO	7360
WELLS FARGO SECURITIES, LLC	**0250**
WELLS FARGO SECURITIES, LLC/SECURITIES FINANCE	2480
WESBANCO BANK, INC.	**2271**
WILLIAM BLAIR & COMPANY, L.L.C.	**0771**
WILSON-DAVIS & CO., INC.	**0283**
WOLVERINE EXECUTION SERVICES, LLC	**7350**
ZIONS DIRECT, INC.	**0065**
ZIONS BANCORPORATION, NATIONAL ASSOCIATION	**2104**
ZIONS BANCORPORATION, NATIONAL ASSOCIATION/CT ISSUE & PAY A/C/IPA	1586
ZIONS BANCORPORATION, NATIONAL ASSOCIATION/WESTERN NATIONAL	2736
ZIONS BANCORPORATION, NATIONAL ASSOCIATION/PORTFOLIO	8233
ZIV INVESTMENT CO.	**8082**

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Sample Monthly Reports

Custody Valuation Report

.PDF Format

Custody Valuation

By Asset Type
Settled Basis - 1/4/2019

Report ID ICUS0017
Reporting Currency USD

ISIN	Description	Ctry Inc	Loc	Ccy	Units Amortized Face	Local Price	Market Value Local	Market Value Reporting Currency
DEBT								
UNITED STATES DOLLAR (Exchange Rate: 1.0000000000)								
US81988XAA19	SHARP DO BRASIL S A I 9.625 30OCT05	BR	DTC	USD	50,000.0000			
	TOTAL BY UNITS - DEBT				50,000.0000			
	TOTAL BY AMORTIZED FACE - DEBT				0.0000			0.00
EQUITIES								
CANADIAN DOLLAR (Exchange Rate: 0.7455450000)								
CA15101Q1081	CELESTICA INC NPV	CA	DTC	CAD	342.0000	15.880000	5,430.96	4,049.03
EURO (Exchange Rate: 1.1123000000)								
US1727371080	CIRCUIT CITY STORES INC USD 0.5	US	DTC	EUR	25.0000			
US5502783039	LUMINENT M COM USD0.001	US	DTC	EUR	100,000.0000			
US86825Q1040	SUPERIOR O COM STK USD0.01	US	DTC	EUR	250.0000	0.028000	7.00	7.79
	TOTAL BY UNITS - EURO				100,275.0000			
	TOTAL BY AMORTIZED FACE - EURO				0.0000		7.00	7.79
SWISS FRANC (Exchange Rate: 1.0326310000)								
CH0244767585	UBS GROUP AG CHF 0.1	CH	DTC	CHF	2,134.0000	13.160000	28,083.44	28,999.83
UNITED STATES DOLLAR (Exchange Rate: 1.0000000000)								
CH0102993182	TE CONNECTIVITY LTD 2.6	CH	DTC	USD	32.0000	62.630000	2,004.16	2,004.16
GB00B5BT0K07	AON PLC USD 0.01	GB	DTC	USD	13.0000	107.790000	1,401.27	1,401.27
IE00BBGT3753	MALLINCKRODT PLC USD 0.2	IE	DTC	USD	3.0000	54.650000	163.95	163.95
IE00BD845X29	ADIENT PLC USD 0.001	IE	DTC	USD	1.0000	44.200000	44.20	44.20
IE00BLS09M33	PENTAIR PLC USD 0.01	IE	DTC	USD	3.0000	54.700000	164.10	164.10
IE00BTN1Y115	MEDTRONIC PLC USD 0.1	IE	DTC	USD	30.0000	82.140000	2,464.20	2,464.20
IE00BY7QL619	JOHNSON CONTROLS INTERNATI USD 0.01	IE	DTC	USD	12.0000	40.880000	490.56	490.56
IE00BY9D5467	ALLERGAN PLC USD 0.0033	IE	DTC	USD	7.0000	195.000000	1,365.00	1,365.00
NL0011031208	MYLAN NV EUR 0.01	NL	DTC	USD	40.0000	35.000000	1,400.00	1,400.00
PR25811P8521	DORAL FINL CORP USD 0.01	PR	DTC	USD	2.0000	0.051950	0.10	0.10
PR2987161011	EUROBANCSH COM STK USD0.01	PR	DTC	USD	270.0000	0.000100	0.03	0.03
PR3186727065	FIRST BANCORP P R USD 0.1	PR	DTC	USD	1,165.0000	4.910000	5,720.15	5,720.15

Disclaimer - The pricing information contained within this report is unaudited and may not reflect the most recent security prices.

Ccy	ISIN	Description	Ctry Inc	Loc		Units Amortized Face	Local Price	Market Value Local	Market Value Reporting Currency
PR	74527K1045	STATE COM USD0.01	PR	NYV	USD	1,016.0000	2.330000	2,367.28	2,367.28
PR	74527N1083	STATE COM USD0.01	PR	NYV	USD	43.0000	2.340000	100.62	100.62
PR	9292518744	W HLDG CO INC USD 1.0	PR	DTC	USD	266.0000	0.038000	10.11	10.11
US	00142F6429	AIM SECTOR INVSC TECH FD A	US	MUT	USD	93.0900	35.890000	3,341.00	3,341.00
US	00142J5781	AIM COUNSE INVESCO AMERICAN FRANC A	US	MUT	USD	3,715.2900	16.510000	61,339.44	61,339.44
US	00206R1023	AT+T INC USD 1.0	US	DTC	USD	31.0000	36.500000	1,131.50	1,131.50
US	006ESC9175	ADELPHIA COMMUN ESCROW NPV	US	DTC	USD	1,300.0000	1.000000	1,300.00	1,300.00
US	02639T2006	AMERICAN GREEN GROUP INC USD 0.001	US	DTC	USD	50.0000	0.000100	0.01	0.01
US	0268741560	AMERICAN INTL GROUP INC WTS 19JAN21	US	DTC	USD	3.0000	18.610000	55.83	55.83
US	03072A5002	AMERIRESOURCE TECHNOLOGI USD 0.0001	US	DTC	USD	1.0000	0.000100		
US	0311621009	AMGEN INC USD 0.0001	US	DTC	USD	257.0000	135.400000	34,797.80	34,797.80
US	05500E1038	AZUR HOLDI COM STK USD0.001	US	DTC	USD	3.0000	0.001400		
US	0605051046	BK OF AMER COM USD0.01	US	DTC	USD	22.0000	16.550000	364.10	364.10
US	08901P2065	BIG BEAR MNG CORP USD 0.001	US	DTC	USD	740.0000	0.004500	3.33	3.33
US	09059Q1031	BIOIMMUNE COM USD0.01	US	DTC	USD	400.0000	0.000100	0.04	0.04
US	09061Y1029	BIONET TECHNOLOGIE COM USD0.001	US	DTC	USD	500.0000	0.000100	0.05	0.05
US	11133T1034	BROADRIDGE FINL SOLUTIONS USD 0.01	US	DTC	USD	1.0000	64.030000	64.03	64.03
US	1264081035	CSX CORP COM USD1	US	DTC	USD	108.0000	30.920000	3,339.36	3,339.36
US	1638511089	CHEMOURS CO USD 0.01	US	DTC	USD	2.0000	17.100000	34.20	34.20
US	1729674242	CITIGROUP INC USD 0.01	US	DTC	USD	104.0000	48.170000	5,009.68	5,009.68
US	1729922161	CIRCA PICTURES + PRODTN CO INTL NPV	US	NYV	USD	3.0000	1.000000	3.00	3.00
US	2423702032	DEAN FOODS CO NEW USD 0.01	US	DTC	USD	16.0000	18.460000	295.36	295.36
US	2539933158	DIGITAL BROADCAST CORPORATION RESTR	US	NYV	USD	1,352.0000	1.000000	1,352.00	1,352.00
US	25454R2076	DIOMED HLDGS INC USD 0.001	US	DTC	USD	92.0000	0.000500	0.05	0.05
US	2546871060	DISNEY WALT CO USD 0.01	US	DTC	USD	6.0000	92.450000	554.70	554.70
US	27579W1036	EAST WEST SHS	US	DTC	USD	30.0000	0.000100		

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ISIN	Description	Ctry Inc	Loc	Ccy	Units Amortized Face	Local Price	Market Value Local	Market Value Reporting Currency
US2926591098	ENERGY CON COM USD0.01	US	DTC	USD	100.0000			
US3159187711	FIDELITY A TECHNOLOGY A	US	MUT	USD	14.1040	38.600000	544.41	544.41
US34459U5048	FONIX CORP DEL USD 0.0001	US	DTC	USD	1.0000	0.000100		
US3696041033	GENERAL ELEC CO USD 0.06	US	DTC	USD	62.0000	28.440000	1,763.28	1,763.28
US3703341046	GENERAL MLS INC USD 0.1	US	DTC	USD	144.0000	60.650000	8,733.60	8,733.60
US4035281025	GUYANA GOLD CORP USD 0.001	US	DTC	USD	100.0000	0.000010		
US4165151048	HARTFORD FINL SVCS GROUP I USD 0.01	US	DTC	USD	157.0000	43.220000	6,785.54	6,785.54
US42724Y1029	HERITAGE MEDIA CORP NEV USD 0.001	US	DTC	USD	7.0000	0.001200	0.01	0.01
US4393382035	HOP-ON INC COM NPV	US	DTC	USD	5,000.0000	0.000100	0.50	0.50
US4581401001	INTEL CORP USD 0.001	US	DTC	USD	544.0000	33.610000	18,283.84	18,283.84
US4812A11834	JPMORGAN TRUST I, NEW YORK SHS -A-	US	MUT	USD	144.0000	13.970000	2,011.68	2,011.68
US52201E1073	LEARNING PRIORITY INC USD 0.001	US	DTC	USD	1.0000	0.190000	0.19	0.19
US5534244091	MPTV INC USD 0.01	US	DTC	USD	13,860.0000	0.000100	1.39	1.39
US6046759915	MIRANT COR SHS	US	DTC	USD	159.0000			
US64111M1036	NETCURRENTS INFORMATION S USD 0.001	US	DTC	USD	579.0000	0.000100	0.06	0.06
US68381K1016	OPPENHEIME USD0.001 CL'A'	US	MUT	USD	0.7950	8.020000	6.38	6.38
US68389X1054	ORACLE CORP USD 0.01	US	DTC	USD	39.0000	38.280000	1,492.92	1,492.92
US7170811035	PFIZER INC USD 0.05	US	DTC	USD	63.0000	30.000000	1,890.00	1,890.00
US73935A1043	POWERSHARE UNITS SERIES 1	US	DTC	USD	70.0000	113.650000	7,955.50	7,955.50
US7469161050	PUTNAM NEW MULTI-CAP GRW A	US	MUT	USD	80.1990	69.080000	5,540.15	5,540.15
US76154Q1067	REVOLUTION COM STK USD0.001	US	DTC	USD	111.0000	0.000700	0.08	0.08
US7667141094	RIM SEMICONDUCTOR CO USD 0.001	US	DTC	USD	300.0000	0.000100	0.03	0.03
US7810862026	RUBBER TECH INTL COM USD0.01	US	DTC	USD	6.0000			
US78403A1060	SCO GROUP INC USD 0.001	US	DTC	USD	12.0000	0.020000	0.24	0.24
US78462F1030	SPDR S+P 500 ETF TRUST	US	DTC	USD	20.0000	208.550000	4,171.00	4,171.00
US78467X1090	SPDR DOW J SER'1' UNITS OF BEN INT	US	DTC	USD	30.0000	178.710000	5,361.30	5,361.30
US7908491035	ST JUDE MED INC USD 0.1	US	DTC	USD	68.0000	77.980000	5,302.64	5,302.64
US79546E1047	SALLY BEAU COM STK USD0.01	US	DTC	USD	44.0000	25.500000	1,122.00	1,122.00

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ISIN	Description	Ctry Inc	Loc	Ccy	Units Amortized Face	Local Price	Market Value Local	Market Value Reporting Currency
US81371U1043	SECURE TEC COM USD0.01	US	DTC	USD	20.0000	0.010000	0.20	0.20
US8284086092	SILVERLINE TECHNOLOGIES LTD NPV ADR	IN	DTC	USD	1.0000	1.600000	1.60	1.60
US8445448090	SOUTHMARK CORP USD 0.01	US	DTC	USD	4.0000	0.001000		
US85207U1051	SPRINT CORP USD 0.01	US	DTC	USD	1.0000	6.130000	6.13	6.13
US85916J4094	STEREOTAXIS INC USD 0.001 DEFAULT	US	DTC	USD	32.0000	0.640000	20.48	20.48
US8627731081	STRATEGIC COM USD0.001	US	DTC	USD	225.0000	0.000100	0.02	0.02
US86800C1045	SUNTECH PO SPONS ADR EA REPR 1 ORD	KY	DTC	USD	70.0000	0.035200	2.46	2.46
US8769932059	TAX FREE PUERTO RICO TARGET RESTR	PR	NYV	USD	2,924.0000	1.000000	2,924.00	2,924.00
US8786951058	TECHNOLOGY USD0.001	US	NYV	USD	440.0000	0.262500	115.50	115.50
US90206R1032	2-INFINITY COM INC USD 0.001	US	DTC	USD	1,000.0000	0.000500	0.50	0.50
US9092143067	UNISYS CORP USD 0.01	US	DTC	USD	40.0000	10.350000	414.00	414.00
US9100471096	UNITED CONTL HLDGS INC USD 0.01	US	DTC	USD	20.0000	57.230000	1,144.60	1,144.60
US92242T1016	VECTRUS INC USD 0.01	US	DTC	USD	16.0000	16.450000	263.20	263.20
US9253261005	VERTIENTES CAMAGUEY SUGAR C USD 6.5	US	NYVS	USD	550.0000	0.010000	5.50	5.50
US9293671007	WW ENERGY COM STK USD0.0001	US	DTC	USD	2.0000			
US94107F1012	WASTECH INC COM USD0.01	US	DTC	USD	500.0000	0.010000	5.00	5.00
	TOTAL BY UNITS - UNITED STATES DOLLAR				39,293.4780			
	TOTAL BY AMORTIZED FACE - UNITED STATES DOLLAR				0.0000		206,551.14	206,551.14
	TOTAL BY UNITS - EQUITIES				142,044.4780			
	TOTAL BY AMORTIZED FACE - EQUITIES				0.0000			239,607.79
	TOTAL BY UNITS - ACCOUNT XXXXXX - AUZF STATE NAME				192,044.4780			
	TOTAL BY AMORTIZED FACE - ACCOUNT XXXXXX- AUZF STATE NAME				0.0000			239,607.79

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List of Assets Report

.XLS

LIST OF ASSETS

Price Date	Location Name	CUSIP CINS	Security Short Description	Units	Local Price	Market Value Local	ISIN	TICKER	QUICK	SEDOL	VALOREN	Moodys Rating	S&P Rating
1/31/2019	BANAMEX MEXICO	P98180188	WAL-MART DE MEXICO SAB DE CV NPV	88.0000	39.990000	3,519.12	MX01WA000038	WALMEX* MM		BW1YVH8	027300437		
1/21/2019	BANAMEX MEXICO	P3143H107	CORP MEXICANA DE AVIACION SA	142.0000	0.000000	0.00	MXP200611319	CMCXF US		94E4336	000443600		
1/31/2019	BNP PARIBAS SEC SVCES	F4040SGW0	FRENCH REPUBLIC GOVERNM 6.0 25OCT25	152.0000	151.340000	230.04	FR0000571150			4403315	000927157	Aa2	NR
1/31/2019	BNY LDN-CREST	G3910J112	GLAXOSMITH ORD GBP0.25	4.0000	16.185000	64.74	GB0009252882	GSK LN		0925288	001102657		
1/31/2019	BNY LDN-CREST	G32655105	EXPERIAN PLC USD 0.10	2.0000	15.730000	31.46	GB00B19NLV48	EXPN BQ		B19NLV4	002650919		
1/31/2019	BNY LDN-CREST	G93882192	VODAFONE GROUP PLC USD 0.2095	78.0000	2.248000	175.34	GB00BH4HKS39	VOD LN		BH4HKS3	023167722		
1/31/2019	BNY LDN-CREST	92343V104	VERIZON COMMUNICATIONS INC USD 0.1	3.0000	48.100000	144.30	US92343V1044	VZ US		2090571	001095642		
1/31/2019	CIBC MELLON GL.SEC.SERV.CO.	00165J109	ALX URANIUM CORP NPV	375.0000	0.080000	30.00	CA00165J1093	AL CN		BZ02KF5	029863172		
1/31/2019	CIBC MELLON GL.SEC.SERV.CO.	00687U707	ADIRA ENER NPV	13.0000	0.030000	0.39	CA00687U7078	ADL CN		BRCYWB3	025608214		
1/31/2019	CIBC MELLON GL.SEC.SERV.CO.	03463E202	ANGEL GOLD CORP NPV	2.0000	0.073437	0.15	CA03463E2024	ANG CN		BH3XG73	023043052		
1/21/2019	CIBC MELLON GL.SEC.SERV.CO.	04271B307	ARPETROL LTD NPV	87.0000	0.540000	46.98	CA04271B3074	RPT CN		BN60CT7	024583908		
1/31/2019	DEPOSITORY TRUST CPNY	040507KY0	ARIZONA HEALTH FACS AUT 5.5 01JAN38	50.0000	105.097000	5,254.85	US040507KY02			9A0X155			AA-
1/21/2019	DEPOSITORY TRUST CPNY	140430AA7	CAPITAL PPTYS INC R I 5.0 26DEC22	11.0000	98.895400	1,057.19	US140430AA77			9A1TXHV	023774423		
1/21/2019	DEPOSITORY TRUST CPNY	306126AF0	FALCONS LAIR UTIL + REC 9.0 15OCT12	11.0000	0.000000	0.00	US306126AF03			9A10NP2			NR
1/31/2019	DEPOSITORY TRUST CPNY	345370CA6	FORD MTR CO DEL 7.45 16JUL31	1.0000	131.394000	13,139.40	US345370CA64			2445643	000830993	Baa2	BBB
1/31/2019	DEPOSITORY TRUST CPNY	369622CC7	GENERAL ELEC CAP C 0.00 01NOV49 FRN	2.0000	98.630000	197.26	US369622CC76			9A1UFT0	000685459	A1	AA-
1/26/2019	DEPOSITORY TRUST CPNY	370424FR9	GENERAL MTRS ACCEP 0.00 15NOV49 FRN	4.0000	96.166000	384.66	US370424FR90			9A0KTBM	001665257	Ba3	BB+
1/21/2019	DEPOSITORY TRUST CPNY	524ESCR44	LEHMAN BRTH ESC 6.875 17JUL37 DFLT	5.0000	0.000000	0.00	US524ESCR449			9A1HKLK			
1/31/2019	DEPOSITORY TRUST CPNY	525ESCBD0	ESC LEHMAN BRTH HO 0.00 19MAY20 FRN	20.0000	5.825000	116.50	US525ESCBD04			9A1HPHZ			
1/31/2019	DEPOSITORY TRUST CPNY	745190AU2	PUERTO RICO COMWLTH HWY 0.0 01JUL17	750.0000	98.460000	73,845.00	US745190AU20			9A1KBR7	011602171	Ca	CC
1/31/2019	DEPOSITORY TRUST CPNY	852060AD4	SPRINT CAP CORP 6.875 15NOV28	160.0000	92.000000	14,720.00	US852060AD48			2327354	000973481	Caa1	B
1/31/2019	DEPOSITORY TRUST CPNY	G8111D103	SHOAL GAMES LTD USD 0.001	250.0000	0.589644	147.41	AIG8111D1036	SGW CN		BV9G3W8	026906960		
1/31/2019	DEPOSITORY TRUST CPNY	001940105	ATS AUTOMATION TOOLING SYS INC NPV	80.0000	11.500000	920.00	CA0019401052	ATA CN		2002587	000163532		
1/31/2019	DEPOSITORY TRUST CPNY	00765F101	ADVANTAGE OIL + GAS LTD NPV	1610.0000	9.050000	14,570.50	CA00765F1018	AAV CN		B66PKS8	010348468		
1/31/2019	DEPOSITORY TRUST CPNY	008474108	AGNICO-EAGLE MINES LIMITED	37.0000	68.120000	2,520.44	CA0084741085	AEM CN		2009823	000676894		
1/31/2019	DEPOSITORY TRUST CPNY	011532108	ALAMOS GOLD INC NEW NPV	7.0000	10.520000	73.64	CA0115321089	1292243D CN		BZ3DNP6	028424443		
1/31/2019	DEPOSITORY TRUST CPNY	04341Y105	ASANKO GOLD INC NPV	5.0000	4.958370	24.79	CA04341Y1051	AKG CN		B7Y5P59	020567630		
1/21/2019	DEPOSITORY TRUST CPNY	045297207	ASPEN GRP COM NPV	28.0000	0.020000	0.56	CA0452972072	ASRPF US		2725033	001194358		
1/31/2019	DEPOSITORY TRUST CPNY	05157J108	AURICO METALS INC NPV	3.0000	1.246293	3.74	CA05157J1084	AMI CN		BYR52G5	028761768		
1/31/2019	DEPOSITORY TRUST CPNY	05337L106	AVALON ADVANCED MATLS INC NPV	19.0000	0.177402	3.37	CA05337L1067	AVL CN		BYYVLJ2	031789471		
1/31/2019	DEPOSITORY TRUST CPNY	05534B760	BCE INC NPV	35.0000	60.940000	2,132.90	CA05534B7604	BCE CN		B188TH2	002614125		
1/31/2019	DEPOSITORY TRUST CPNY	058586108	BALLARD PWR SYS INC NEW NPV	722.0000	2.630000	1,898.86	CA0585861085	BLD CN		2072717	004889034		
1/31/2019	DEPOSITORY TRUST CPNY	98986T108	ZYNGA INC USD 0.000006	53.0000	2.810000	148.93	US98986T1088	ZNGA US		B79PX49	013305605		
1/21/2019	DEPOSITORY TRUST CPNY	DDJ32D101	FRAC FIVE STAR QUALITY CA NPV	6.0000	1.000000	6.00	USDDJ32D1014			9A0YVMJ			
1/31/2019	DEPOSITORY TRUST CPNY	N07045102	ASM INTERNATIONAL NV EUR 0.04	150.0000	42.575000	6,386.25	USN070451026	ASMI US		B3YGV45	010461083		
1/31/2019	DEPOSITORY TRUST CPNY	N07059210	ASML HOLDING NV EUR 0.09	8.0000	105.620000	844.96	USN070592100	ASML US		B908F01	020085930		
1/31/2019	DEPOSITORY TRUST CPNY	G21101137	CHINA GERUI ADVANCED MAT USD 0.0001	2.0000	0.049334	0.10	VGG211011371	CHOP US		BSL0HC5	026032106		
1/31/2019	DEPOSITORY TRUST CPNY	G21174100	CHINA INFORMATION TECHNOLO USD 0.01	25.0000	0.810000	20.25	VGG211741001	CNIT US		B8XZXN1	018896712		
1/27/2019	DEPOSITORY TRUST CPNY	G2157A115	CHINA HELI RESOURCES REN USD 0.0001	1.0000	0.080000	0.08	VGG2157A1158	CRRWF US		B00KDF5	004814535		
1/31/2019	DEPOSITORY TRUST CPNY	G60754101	MICHAEL KORS HOLDINGS LTD NPV	3.0000	50.780000	152.34	VGG607541015	KORS US		B7341C6	014480037		
1/31/2019	DEPOSITORY TRUST CPNY	G67828106	ORIGIN AGR COM USD0.0001	200.0000	2.550000	510.00	VGG678281061	SEED US		B00HRQ5	002334006		
1/21/2019	DEPOSITORY TRUST CPNY	G84385106	CHINA TECHNOLOGY GLOBAL CORP NPV	1000.0000	0.003000	3.00	VGG843851061	CTGLF US		2521491	001086242		
1/31/2019	DEPOSITORY TRUST CPNY	S3141A101	AU MIN AFRICA PTY LTD NPV	40000.0000	0.005500	22.00	ZAU000013799	GRYEF US		BQ145Z2	025204439		
1/31/2019	DEPOSITORY TRUST CPNY	G16252101	BROOKFIELD INFRASTRUCTURE PARTNERS	3.0000	33.830000	101.49	BMG162521014	BIP US		B2NHY98	003426474		
1/31/2019	DEPOSITORY TRUST CPNY	150185106	CEDAR FAIR L P	1.0000	56.850000	56.85	US1501851067	FUN US		2181453	000916705		
1/31/2019	DEPOSITORY TRUST CPNY	226344208	CRESTWOOD EQUITY PARTNERS LP	37.0000	20.000000	740.00	US2263442087	CEQP US		BY7R056	030382127		
1/31/2019	DEPOSITORY TRUST CPNY	23311P100	DCP MIDSTREAM PARTNERS LP	100.0000	33.350000	3,335.00	US23311P1003	DPM US		B0SF374	002317052		
1/31/2019	DEPOSITORY TRUST CPNY	29273R109	ENERGY TRA UNITS LTD PARTNERSHIP	210.0000	34.980000	7,345.80	US29273R1095	ETP UN		2434793	001802526		
1/31/2019	DEPOSITORY TRUST CPNY	29273V100	ENERGY TRANSFER EQUITY L P	528.0000	14.930000	7,883.04	US29273V1008	ETE US		B0WHXD2	002278397		
1/31/2019	DEPOSITORY TRUST CPNY	34958B106	FORTRESS INVT GROUP LLC DEL	109.0000	5.050000	550.45	US34958B1061	FIG US		B1R0FD7	002786071		
1/31/2019	DEPOSITORY TRUST CPNY	451100101	ICAHN ENTERPRISES L P	45.0000	47.880000	2,154.60	US4511001012	IEP US		2023975	003413734		
1/31/2019	DEPOSITORY TRUST CPNY	78028T100	ROYAL HAWAIIAN ORCHARDS L P	400.0000	2.845000	1,138.00	US78028T1007	NNUTU US		B8930Y9	019828934		
1/31/2019	DEPOSITORY TRUST CPNY	85512C105	STAR GAS PARTNERS L P	51.0000	9.500000	484.50	US85512C1053	SGU US		2766399	000245480		
1/31/2019	EUROCLEAR	J24994113	ISUZU MOTORS LTD NPV	120.0000	1299.5000	155,940.00	JP3137200006	7202 JP		6467104	000762142		
1/31/2019	HKK SHANGHAI BANK	G4639H122	HUABAO INTERNATIONAL HOLDIN HKD 0.1	200.0000	2.910000	582.00	BMG4639H1227	336 HK		B00HLY1	010460455		
1/31/2019	HKK SHANGHAI BANK	Y1023R104	BYD CO LTD CNY 1.0	100.0000	51.000000	5,100.00	CNE100000296	1211 HK		6536651	001459145		
1/31/2019	HKK SHANGHAI BANK	Y3R29Z107	HKT TRUST AND HKT SHARE STAPLED	8.0000	10.660000	85.28	HK0000093390	6823 HK		B4TXDZ3	013965383		
1/31/2019	HKK SHANGHAI BANK	Y6802P120	PCCW LTD NPV	200.0000	4.620000	924.00	HK0008011667	8 HK		6574071	001529601		
1/31/2019	HKK SHANGHAI BANK	Y65590104	ORIENTAL PRESS GROUP LTD NPV	1500.0000	0.780000	1,170.00	HK0018000155	18 HK		6661490	000421582		
1/31/2019	HKK SHANGHAI BANK	G2161T100	CITYCHAMP WATCH + JEWELLERY HKD 0.1	3255.0000	2.140000	6,965.70	KYG2161T1004	256 HK		BP3YNS2	024869707		
1/31/2019	HSBC SYDNEY BRANCH	C0105C104	ALACER GOLD CORP NPV IDR	3.0000	2.700000	8.10	AU000000AQG6	AQG AU		B627378	011744841		
1/31/2019	HSBC SYDNEY BRANCH	Q0461Y117	ARAFURA RESOURCES LTD NPV	1.0000	0.066000	0.07	AU000000ARU5	ARU AU		6711726	001713730		
1/31/2019	HSBC SYDNEY BRANCH	Q12957108	BARAKA ENERGY AND RESOURCES LTD NPV	5000.0000	0.001500	7.50	AU000000BKP8	BKP AU		B07SFB2	002167992		
1/31/2019	HSBC SYDNEY BRANCH	Q2516X144	CLINUVEL P NPV	12.0000	8.450000	101.40	AU000000CUV3	CUV AU		6328405	002468187		
1/28/2019	HSBC SYDNEY BRANCH	Q3614C115	ESPERANCE MINERALS LTD NPV	500.0000	0.013500	6.75	AU000000ESM2	ESM AU		B5TMRH7	000640925		
1/27/2019	HSBC SYDNEY BRANCH	Q3654R105	EXCALIBUR NPV	13.0000	0.004000	0.05	AU000000EXM2	EXM AU		6892535	002360705		
1/21/2019	HSBC SYDNEY BRANCH	Q42167116	GONDWANA RESOURCES LTD NPV	6.0000	0.100000	0.60	AU000000GDA4	GDA AU		6145035	000650862		
1/31/2019	HSBC SYDNEY BRANCH	Q4545J104	HAWTHORN RESOURCES LTD NPV	4.0000	0.037000	0.15	AU000000HAW2	HAW AU		6607568	003923265		
1/31/2019	HSBC SYDNEY BRANCH	Q5171P108	KAIROS MINERALS LTD NPV	214.0000	0.040000	8.56	AU000000KAI5	KAI AU		BYMY9W2	032288996		
1/31/2019	HSBC SYDNEY BRANCH	Q5587U105	LODESTAR MINERALS LTD NPV	11.0000	0.011000	0.12	AU000000LSR6	LSR AU		B297WN2	003411978		
1/27/2019	NEW YORK VAULT	062199203	BANK 1440 PHOENIX ARIZ PFD	250.0000	1.000000	250.00	US0621992033			9A1SUJQ			
1/27/2019	NEW YORK VAULT	172992216	CIRCA PICTURES + PRODTN CO INTL NPV	28.0000	1.000000	28.00	US1729922161			9A32FMR			
1/28/2019	NEW YORK VAULT	532457108	LILLY ELI + CO NPV	8.0000	73.840000	590.72	US5324571083	LLY US		2516152	00094755		

Settled Cash Balances Report

AVENU INSIGHTS & ANALYTICS

XXXXXX- AUZF STATE NAME

Settled Cash Balances

All Balances - Consolidate Cash and Sweep - All Accounts 12/01/2018 - 12/31/2018

Report ID ICAS0008

Reporting Currency USD

Date	Count	Beginning Balance Local	Net Activity Local	Ending Balance Local	Exchange Rate Reporting Currency	Beginning Balance Reporting Currency	Net Activity Reporting Currency	Ending Balance Reporting Currency
ARGENTINE PESO (ARS) STATE NAME - XXXXXXXXX								
12/3/2018	0	0.00	0.00	0.00	0.0656922318	0.00	0.00	0.00
12/4/2018	0	0.00	0.00	0.00	0.0658653054	0.00	0.00	0.00
12/5/2018	0	0.00	0.00	0.00	0.0658653054	0.00	0.00	0.00
12/6/2018	0	0.00	0.00	0.00	0.0655845220	0.00	0.00	0.00
12/7/2018	0	0.00	0.00	0.00	0.0656922318	0.00	0.00	0.00
12/10/2018	0	0.00	0.00	0.00	0.0658327847	0.00	0.00	0.00
12/11/2018	0	0.00	0.00	0.00	0.0658870037	0.00	0.00	0.00
12/12/2018	0	0.00	0.00	0.00	0.0659608851	0.00	0.00	0.00
12/13/2018	0	0.00	0.00	0.00	0.0661419406	0.00	0.00	0.00
12/14/2018	0	0.00	0.00	0.00	0.0661922885	0.00	0.00	0.00
12/17/2018	0	0.00	0.00	0.00	0.0657030223	0.00	0.00	0.00
12/18/2018	0	0.00	0.00	0.00	0.0657527040	0.00	0.00	0.00
12/19/2018	0	0.00	0.00	0.00	0.0657732467	0.00	0.00	0.00
12/20/2018	0	0.00	0.00	0.00	0.0658653054	0.00	0.00	0.00
12/21/2018	0	0.00	0.00	0.00	0.0660066006	0.00	0.00	0.00
12/24/2018	0	0.00	0.00	0.00	0.0662142029	0.00	0.00	0.00
12/25/2018	0	0.00	0.00	0.00	0.0658870037	0.00	0.00	0.00
12/26/2018	0	0.00	0.00	0.00	0.0656868379	0.00	0.00	0.00
12/27/2018	0	0.00	0.00	0.00	0.0657408168	0.00	0.00	0.00
12/28/2018	0	0.00	0.00	0.00	0.0656922318	0.00	0.00	0.00
12/31/2018	0	0.00	0.00	0.00	0.0658924306	0.00	0.00	0.00
Period Summary	0	0.00	0.00	0.00		0.00	0.00	0.00
ARGENTINE PESO (ARS) STATE NAME- XXXXXXXXX								
12/3/2018	0	0.00	0.00	0.00	0.0656922318	0.00	0.00	0.00
12/4/2018	0	0.00	0.00	0.00	0.0658653054	0.00	0.00	0.00
12/5/2018	0	0.00	0.00	0.00	0.0658653054	0.00	0.00	0.00

Date	Count	Beginning Balance Local	Net Activity Local	Ending Balance Local	Exchange Rate Reporting Currency	Beginning Balance Reporting Currency	Net Activity Reporting Currency	Ending Balance Reporting Currency
12/31/2018	0	0.00	0.00	0.00	1.0112245929	0.00	0.00	0.00
Period Summary	0	0.00	0.00	0.00		0.00	0.00	0.00
UNITED STATES DOLLAR (USD) STATE NAME- XXXXXXXXX								
12/3/2018	1	3,773.74	149.13	3,922.87	1.0000000000	3,773.74	149.13	3,922.87
12/4/2018	1	3,922.87	290,131.91	294,054.78	1.0000000000	3,922.87	290,131.91	294,054.78
12/5/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/6/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/7/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/10/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/11/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/12/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/13/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/14/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/17/2018	0	294,054.78	0.00	294,054.78	1.0000000000	294,054.78	0.00	294,054.78
12/18/2018	1	294,054.78	27.09	294,081.87	1.0000000000	294,054.78	27.09	294,081.87
12/19/2018	0	294,081.87	0.00	294,081.87	1.0000000000	294,081.87	0.00	294,081.87
12/20/2018	0	294,081.87	0.00	294,081.87	1.0000000000	294,081.87	0.00	294,081.87
12/21/2018	0	294,081.87	0.00	294,081.87	1.0000000000	294,081.87	0.00	294,081.87
12/24/2018	0	294,081.87	0.00	294,081.87	1.0000000000	294,081.87	0.00	294,081.87
12/25/2018	0	294,081.87	0.00	294,081.87	1.0000000000	294,081.87	0.00	294,081.87
12/26/2018	1	294,081.87	-290,156.91	3,924.96	1.0000000000	294,081.87	-290,156.91	3,924.96
12/27/2018	0	3,924.96	0.00	3,924.96	1.0000000000	3,924.96	0.00	3,924.96
12/28/2018	0	3,924.96	0.00	3,924.96	1.0000000000	3,924.96	0.00	3,924.96
12/31/2018	0	3,924.96	0.00	3,924.96	1.0000000000	3,924.96	0.00	3,924.96
Period Summary	4	3,773.74	151.22	3,924.96		3,773.74	151.22	3,924.96
UNITED STATES DOLLAR (USD) STATE NAME - XXXXXXXXX								
12/3/2018	0	0.00	0.00	0.00	1.0000000000	0.00	0.00	0.00

Settled Cash Balances

All Balances - Consolidate Cash and Sweep - All Accounts 12/1/2018 - 12/31/2018

Report ID ICAS0008
Reporting Currency USD

Date	Count	Beginning Balance Local	Net Activity Local	Ending Balance Local	Exchange Rate Reporting Currency	Beginning Balance Reporting Currency	Net Activity Reporting Currency	Ending Balance Reporting Currency
12/4/2018	0	0.00	0.00	0.00	1.0000000000	0.00	0.00	0.00
12/5/2018	0	0.00	0.00	0.00	1.0000000000	0.00	0.00	0.00
12/6/2018	0	0.00	0.00	0.00	1.0000000000	0.00	0.00	0.00
12/7/2018	0	0.00	0.00	0.00	1.0000000000	0.00	0.00	0.00
12/10/2018	0	0.00	0.00	0.00	1.0000000000	0.00	0.00	0.00
12/11/2018	0	0.00	0.00	0.00	1.0000000000	0.00	0.00	0.00
12/12/2018	1	0.00	4.49	4.49	1.0000000000	0.00	4.49	4.49
12/13/2018	0	4.49	0.00	4.49	1.0000000000	4.49	0.00	4.49
12/14/2018	0	4.49	0.00	4.49	1.0000000000	4.49	0.00	4.49
12/17/2018	0	4.49	0.00	4.49	1.0000000000	4.49	0.00	4.49
12/18/2018	0	4.49	0.00	4.49	1.0000000000	4.49	0.00	4.49
12/19/2018	0	4.49	0.00	4.49	1.0000000000	4.49	0.00	4.49
12/20/2018	0	4.49	0.00	4.49	1.0000000000	4.49	0.00	4.49
12/21/2018	1	4.49	55.94	60.43	1.0000000000	4.49	55.94	60.43
12/24/2018	0	60.43	0.00	60.43	1.0000000000	60.43	0.00	60.43
12/25/2018	0	60.43	0.00	60.43	1.0000000000	60.43	0.00	60.43
12/26/2018	0	60.43	0.00	60.43	1.0000000000	60.43	0.00	60.43
12/27/2018	0	60.43	0.00	60.43	1.0000000000	60.43	0.00	60.43
12/28/2018	0	60.43	0.00	60.43	1.0000000000	60.43	0.00	60.43
12/31/2018	0	60.43	0.00	60.43	1.0000000000	60.43	0.00	60.43
Period Summary	2	0.00	60.43	60.43		0.00	60.43	60.43
TOTAL CASH AND SWEEP						3,773.74	211.65	3,985.39

Custody Security Transaction Reports

Free Receive via DTC Report

Free Receive via DTC

AVENU INSIGHTS & ANALYTICS

Custody Security Transactions

By Security

Actual Settle Date 1/4/2019

Report ID ICUS0015

XXXX - STATE OF STATE NAME

Description					
Trading Broker		ISIN	Create Date		
Clearing Broker		Reference Number	Trade/Ex Date	Shares/Par	
Buyer Order Party		Client Reference	Contract Settle/Pay Date	Local Net Amount	
Seller Order Party		Market Reference	Actual Settle Date	Local Price	Status
Cash Offset Number		Settlement Policy	Order Date	Days Late	Local Currency
Comments					

SD	Security Addition	US5024241045	1/2/2019	2.0000	Settled - **ACTUAL SETTLEMENT**
	L-3 COMMUNICATIONS CORP. USD 0.01	1163070283769	1/4/2019		UNITED STATES DOLLAR (USD)
	NATL FINANCIAL SERVICES LLC	26987790.12	1/4/2019		
	NATL FINANCIAL SERVICES LLC		1/4/2019	0	
		Actual	-		

Shares received from holder. Holder Name and Broker name included.

B/C A, REC FROM NFS 1163070125684

SD	Security Addition	US7043261079	1/4/2019		Settled - **ACTUAL SETTLEMENT**
	PAYCHEX INC USD 0.01	1163090208548	1/4/2019		UNITED STATES DOLLAR (USD)
	1.0000 INTERNAL TRANSFER	TRF-FRM 822428	1/4/2019		
	BANK OF NY CUST CLEARANCE		1/4/2019	0	
		Actual			

Shares received from holder via DTC. Xerox Report- Internal Transfer with report ID number for easy reconciliation.

B/C A XFER TO XXXXX 049480516-20161101
1163090108127

AVENU INSIGHTS & ANALYTICS

XXXXXX - STATE OF STATE NAME

Custody Security Transactions

By Security

Actual Settle Date 1/4/2019

Report ID ICUS0015

	Description				
	Trading Broker	ISIN	Create Date		
	Clearing Broker	Reference Number	Trade/Ex Date	Shares/Par	
	Buyer Order Party	Client Reference	Contract Settle/Pay Date	Local Net Amount	
	Seller Order Party	Market Reference	Actual Settle Date	Local Price	Status
	Cash Offset Number	Settlement Policy	Order Date	Days Late	Local Currency
	Comments				
SD	Security Addition	US74348A2446	1/2/2019	6.0000	Settled **- ACTUAL SETTLEMENT**
	PROSHARES ULTRASHORT REAL ESTATE	1163070283867	1/4/2019		UNITED STATES DOLLAR (USD)
	NATL FINANCIAL SERVICES LLC	26987790.16	1/4/2019		
	NATL FINANCIAL SERVICES LLC		1/4/2019	0	
		Actual	-		
	B/C A, REC FROM NFS 1163070125710				
SD	Security Addition	US82920N1046	1/4/2019	19	Settled **- ACTUAL SETTLEMENT**
	SIMULATED ENVIRONMENT CONC INC0.00	1163090141007	1/4/2019		UNITED STATES DOLLAR (USD)
	7.0000 NATL FINANCIAL SERVICES LLC	27012828.9	1/4/2019		
	NATL FINANCIAL SERVICES LLC		1/4/2019	0	
		Actual	-		
	B/C A, REC FROM NFS 26987790.17 1163090090951				
SD	Security Addition	US8533731084	1/4/2019	2,000.0000	Settled **- ACTUAL SETTLEMENT**
	STANDARD E COM USD0.01	1163090140996	1/4/2019		UNITED STATES DOLLAR (USD)
	NATL FINANCIAL SERVICES LLC	27012828.8	1/4/2019		
	NATL FINANCIAL SERVICES LLC		1/4/2019	0	
		Actual	-		

Free Recieve via DTC

AVENU INSIGHTS & ANALYTICS

Custody Security Transactions

By Security

Actual Settle Date 1/4/2019

Report ID ICUS0015

XXXXXX- STATE OF STATE NAME

Description				
Trading Broker	**ISIN**	**Create Date**		
Clearing Broker	**Reference Number**	**Trade/Ex Date**	**Shares/Par**	
Buyer Order Party	**Client Reference**	**Contract Settle/Pay Date**	**Local Net Amount**	
Seller Order Party	**Market Reference**	**Actual Settle Date**	**Local Price**	**Status**
Cash Offset Number	**Settlement Policy**	**Order Date**	**Days Late**	**Local Currency**
Comments				

B/C A, REC FROM NFS 26987790.14
1163090090949

TOTAL SECURITY DEPOSIT (1) 2,000.0000 Shares/Par

TOTAL STANDARD E COM USD0.01 (1) 2,000.0000 Shares/Par

SD	Security Addition	US9840171030	1/2/2019	270.000	Settled **- ACTUAL SETTLEMENT**
	XENIA HOTE COM USD0.01	1163070283852	1/4/2019		UNITED STATES DOLLAR (USD)
	0 NATL FINANCIAL SERVICES LLC	26987790.15	1/4/2019		
	NATL FINANCIAL SERVICES LLC		1/4/2019	0	
		Actual	-		

B/C A, REC FROM NFS 1163070125709

TOTAL XXXXXX- AUZF STATE OF XXX(6) 2,476.0000 Shares/Par

Free Receipt DRS Report

Free Receive – via DRS Report

Free Receive - via DRS

AVENU INSIGHTS & ANALYTICS

Custody Security Transactions

By Security

Actual Settle Date 12/31/2018 - 12/31/2018

Report ID ICUS0015

XXXXXX - STATE OF STATE NAME

	Description / Trading Broker / Clearing Broker / Buyer Order Party / Seller Order Party / Cash Offset Number / Comments	CUSIP/CINS / ISIN / Reference Number / Client Reference / Market Reference / Settlement Policy	Create Date / Trade/Ex Date / Contract Settle/Pay Date / Actual Settle Date / Order Date	Shares/Par / Local Net Amount / Local Price / Days Late	Status / Local Currency
SD	Security Addition **JPMORGAN CHASE + CO USD 1.0** JPMORGAN CHASE BANK JPMORGAN CHASE BANK	46625H100 US46625H1005 1163020203255 JP MORGAN Actual	12/28/2018 12/28/2018 12/28/2018 12/31/2018 -	3.0000 3	Settled **- ACTUAL SETTLEMENT** UNITED STATES DOLLAR (USD)
	B/C A, REC FROM JP MORGAN CHASE /IAS/B/C A, REC FROM JP MORGAN /IAS/CHASE SPRO//B/C A, REC FROM JP MORGAN				
SD	Security Addition **UNION ELEC CO 4.5 CUM PFD** AMEREN SERVICES COMPANY/DRS AMEREN SERVICES COMPANY/DRS	906548508 US9065485081 1163050316378 Actual	12/31/2018 12/31/2018 12/31/2018 12/31/2018 -	2.0000 2	Settled **- ACTUAL SETTLEMENT** UNITED STATES DOLLAR (USD)
	REC VIA DRS PER HOLDER NOTICE AWAITING SECURITIES FROM CPY 1163050130339				

Shares received from Holder/Transfer Agent via DRS

TOTAL XXXXXX- AUZF STATE OF XXX (2) 5.0000 Shares/Par

Some fee information may be missing from this report for up to an hour after a trade has been made.

Free Receive – via DWAC Report

RECEIPT OF DWAC

AVENU INSIGHTS & ANALYTICS

XXXXXX - STATE NAME

Custody Security Transactions

By Security

Actual Settle Date 9/26/2018 - 1/7/2019

Report ID ICUS0015

Description	**CUSIP/CINS**				
Trading Broker	**ISIN**	**Create Date**			
Clearing Broker	**Reference Number**	**Trade/Ex Date**		**Shares/Par**	
Buyer Order Party	**Client Reference**	**Contract Settle/Pay Date**		**Local Net Amount**	
Seller Order Party	**Market Reference**	**Actual Settle Date**		**Local Price**	**Status**
Cash Offset Number	**Settlement Policy**	**Order Date**		**Days Late**	**Local Currency**
Comments					

SD	Security Addition	039483102	9/26/2018	65.0000	Settled **- ACTUAL SETTLEMENT**
	ARCHER DANIELS MIDLAND CO NPV	US0394831020	9/26/2018		UNITED STATES DOLLAR (USD)
	DWAC-DTC DEPOSITS/WITHDRAWALS	1162700208079	9/26/2018		
	DWAC-DTC DEPOSITS/WITHDRAWALS	NRF1609262261400	9/26/2018	0	
			-		
			Actual		

Shares Received from Holder via DWAC

/IAS/B/C A RECEIVE DWAC FRM HICKORY
/IAS/BANK TRUST 1162700121253

TOTAL XXXXXX - STATE NAME (1) 65.0000 Shares/Par

Some fee information may be missing from this report for up to an hour after a trade has been made.

Free Receive - Mutual Funds

Free Receive of Mutual Funds

AVENU INSIGHTS & ANALYTICS

XXXXXX - STATE NAME

Custody Security Transactions

By Security

Actual Settle Date 1/4/2019

Report ID ICUS0015

	Description				
	Trading Broker	**ISIN**	**Create Date**		
	Clearing Broker	**Reference Number**	**Trade/Ex Date**	**Shares/Par**	
	Buyer Order Party	**Client Reference**	**Contract Settle/Pay Date**	**Local Net Amount**	
	Seller Order Party	**Market Reference**	**Actual Settle Date**	**Local Price**	**Status**
	Cash Offset Number	**Settlement Policy**	**Order Date**	**Days Late**	**Local Currency**
	Comments				
SD	Security Addition	IE00BDB6Q211	1/4/2019	17.0000	Settled **- ACTUAL SETTLEMENT**
	WILLIS TOWERS WATSON P USD 0.000305	1163090208540	1/4/2019		UNITED STATES DOLLAR (USD)
	INTERNAL TRANSFER	TRF-FRM XXXXX	1/4/2019		
	BANK OF NY CUST CLEARANCE		1/4/2019	0	
		Actual	-		
	B/C A OR XFER TO XXXXX G96655108-20161101 1163090108126				
SD	Security Addition	US6706788873	1/3/2019	260.	Settled **- DEPOSITED**
	NUVEEN INV DIVID VALUE FD CL A	1163080261452	1/1/2019		UNITED STATES DOLLAR (USD)
	0290 NON BROKER TRADE	27005275.052	1/3/2019		
	NON BROKER TRADE		1/4/2019	1	
		Actual	-		
	B/C MR REC FROM FIRST CASH/CASH AWAITING SECURITY FROM REGISTR				

Mutual Fund Receipt – Includes delivering party, dividend payment option, trade & settle date

TOTAL XXXXXX - STATE(2) 277.0290 Shares/Par

Receipt of Physical

Certificate Report

Receipt of Physical Certificate

AVENU INSIGHTS & ANALYTICS

XXXXXX- STATE NAME

Custody Security Transactions

By Security

Actual Settle Date 1/4/2019

Report ID ICUS0015

Description				
Trading Broker	**ISIN**	**Create Date**		
Clearing Broker	**Reference Number**	**Trade/Ex Date**	**Shares/Par**	
Buyer Order Party	**Client Reference**	**Contract Settle/Pay Date**	**Local Net Amount**	
Seller Order Party	**Market Reference**	**Actual Settle Date**	**Local Price**	**Status**
Cash Offset Number	**Settlement Policy**	**Order Date**	**Days Late**	**Local Currency**
Comments				

SD	Security Addition	US29413C2026	1/3/2019	7.0000	Settled **- ACTUAL SETTLEMENT**
	ENVIROTECHNOLIGIES, INC USD .001	1163090141149	1/3/2019		UNITED STATES DOLLAR (USD)
	CUSTOMER	27012828.26	1/3/2019		
	CUSTOMER		1/4/2019	1	
		Actual	-		

Shares received from holder. Holder name and certificate # included.

REC BY XRX FROM 020620516/111116
26987790.109 ES0757 1163090090979

TOTAL XXXXXX- STATE NAME (1) 7.0000 Shares/Par

Transfer to Claimant Report

Re-Reg

AVENU INSIGHTS & ANALYTICS

XXXXXX - STATE NAME

Custody Security Transactions

By Security

Actual Settle Date 1/4/2019

Report ID ICUS0015

	Description				
	Trading Broker				
	Clearing Broker	**ISIN**	**Create Date**		
	Buyer Order Party	**Reference Number**	**Trade/Ex Date**	**Shares/Par**	
	Seller Order Party	**Client Reference**	**Contract Settle/Pay Date**	**Local Net Amount**	
	Cash Offset Number	**Market Reference**	**Actual Settle Date**	**Local Price**	**Status**
	Comments	**Settlement Policy**	**Order Date**	**Days Late**	**Local Currency**
SW	Security Withdrawal	US8251071051	10/28/2018	-7.0000	Settled **- ACTUAL SETTLEMENT**
	SHORE BANCSHARES INC USD 0.01	1163020153768	10/28/2018		UNITED STATES DOLLAR (USD)
	SHIP TO CUSTOMER-STMT ONLY	172318	10/28/2018		
	SHIP TO CUSTOMER-STMT ONLY		1/4/2019	7	
		Actual	-		
	CL 172318 JOHN SMITH, 999 MAIN ST SAN DEIGO CA 99999 CONDUENT STATE AND LOCAL SOLUTIONS				
SW	Security Withdrawal	US88579Y1010	10/28/2018	-2.0000	Settled **- ACTUAL SETTLEMENT**
	3M CO USD 0.01	1163020154295	10/28/2018		UNITED STATES DOLLAR (USD)
	SHIP TO CUSTOMER-STMT ONLY	177723	10/28/2018		
	SHIP TO CUSTOMER-STMT ONLY		1/4/2019	7	
		Actual	-		
	CL 177723 JANE ANDERSON, 100 HANCOCK STREET, QUINCY MA 02171 CONDUENT STATE AND LOCAL SOLUTIONS				
		TOTAL XXXXXX- STATE NAME (2)		**-9.0000 Shares/Par**	

Shares Re-Issued to Claimant. Claimant name & address omitted in example. Claim number can be added.

Securities Liquidation

&

Electronic Receipt of Shares Report

AVENU INSIGHTS & ANALYTICS

Securities Liquidation - Electronic Receipt

Actual Settle Date	Transaction Type Name	Detail Tran Type Description	CUSIP/CINS		Security Short Description	Shares / Par	Local Price/Rate	Local Principal Amount	Commi	Local Amount	Transaction Description 1
10/31/2018	SECURITY DEPOSIT	Security Addition	Q1627B108		BLINA MINERALS NL NPV	5.0000	-	-		-	INSTRUCTION HAS NOT BEEN MATCHED
10/31/2018	SECURITY DEPOSIT	Security Addition	Q4545J104		HAWTHORN RESOURCES LTD NPV	3.0000	-	-		-	INSTRUCTION HAS NOT BEEN MATCHED
10/31/2018	SECURITY DEPOSIT	Security Addition	Q5587U105		LODESTAR MINERALS LTD NPV	7.0000	-	-		-	INSTRUCTION HAS NOT BEEN MATCHED
10/4/2018	SECURITY DEPOSIT	Security Addition	89353D107		TRANSCANADA CORP NPV	68.0000	-	-		-	REC FROM COMPUTERSHARE
10/13/2018	SECURITY DEPOSIT	Security Addition	56501R106	Electronic Receipt of Shares	MANULIFE FINL CORP NPV	9,725.0000	-	-		-	REC FROM COMPUTERSHARE
10/18/2018	SECURITY DEPOSIT	Security Addition	011532108		ALAMOS GOLD INC NEW NPV	7.0000	-	-		-	REC FROM CAPITAL ONE
10/18/2018	SECURITY DEPOSIT	Security Addition	05157J108		AURICO METALS INC NPV	2.0000	-	-		-	REC FROM CAPITAL ONE
10/18/2018	SECURITY DEPOSIT	Security Addition	380956409		GOLDCORP INC NEW NPV	20.0000	-	-		-	REC FROM CAPITAL ONE
10/18/2018	SECURITY DEPOSIT	Security Addition	390124105		GREAT BASIN GOLD LTD NPV	60.0000	-	-		-	REC FROM CAPITAL ONE
10/18/2018	SECURITY DEPOSIT	Security Addition	39115V101		GREAT PANT NPV	30.0000	-	-		-	REC FROM CAPITAL ONE
10/18/2018	SECURITY DEPOSIT	Security Addition	39945C109		GROUPE CGI INC NPV	1.0000	-	-		-	REC FROM CAPITAL ONE
10/18/2018	SECURITY DEPOSIT	Security Addition	465790509		IVANHOE ENERGY INC NPV	1.0000	-	-		-	REC FROM CAPITAL ONE
10/5/2018	SELL	Sale	89834W104		TRUSTCASH HLDGS INC USD 0.0001	-55,000.0000	0.00	0.01		0.01	5-31-17 SALE
10/6/2018	SELL	Sale	02364W105		AMERICA MO ADR EACH REP 20	-72.0000	11.54	830.88	1.80	820	SPRO// CNDT STATE LOCAL SOLUTIONS
10/6/2018	SELL	Sale	02364W204		AMERICA MOVIL SAB DE CV NPV ADR	-270.00 00	11.36	3,067.23	6.75	3,060.41	SPRO// CNDT STATE LOCAL SOLUTIONS
10/6/2018	SELL	Sale- Mutual Fund order	464287580		ISHARES TR U.S. CONSUMER SERVIC	-190.0000	146.86	27,902.45	4.75	27,897.09	SPRO// CNDT STATE LOCAL SOLUTIONS
10/13/2018	SELL	Sale	847560109		SPECTRA ENERGY CORP USD 0.001	-1,895.0000	41.55	78,742.94	47.38	78,693.84	SPRO// CNDT STATE LOCAL SOLUTIONS
10/14/2018	SELL	Sale	20030N101		COMCAST CORP NEW USD 0.01	-2,209.0000	64.90	143,365.43	55.23	143,307.07	SPRO// CNDT STATE LOCAL SOLUTIONS
10/14/2018	SELL	Sale	773903109		ROCKWELL AUTOMATION INC USD 1.0	-1.0000	114.61	114.61	0.03	114.57	SPRO// CNDT STATE LOCAL SOLUTIONS
10/17/2018	SELL	Sale	00430L103		ACCENTIA BIOPHARMACEUTICA USD	-2,375.0000	0.00	0.01		0.01	SPRO// CNDT STATE LOCAL SOLUTIONS
10/17/2018	SELL	Sale	063554307		BANK OF MCKENNEY PFD	-10.0000	0.00	0.01		0.01	SPRO// CNDT STATE LOCAL SOLUTIONS
10/17/2018	SELL	Sale	66401P100		NORTHCORE TECHNOLOGIES INC NPV	-120.0000	0.00	0.01		0.01	SPRO// CNDT STATE LOCAL SOLUTIONS
10/17/2018	SELL	Sale	88103B106		TERRA INVENTIONS CORP USD 0.001	-1.0000	0.01	0.01		0.01	SPRO//WORTHLESS SEC
10/19/2018	SELL	Sale- Mutual Fund order	315910661		FIDELITY I ADVISOR INTL DISCVY FD C	-1.8430	38.16	70.33		70.33	1162920099377
10/19/2018	SELL	Sale- Mutual Fund order	315920850		FIDELITY A STRATEGIC INCOME FUND CL	-5.9380	12.09	71.79		71.79	1162920115840
10/19/2018	SELL	Sale- Mutual Fund order	316071208		FIDELITY ADVISOR NEW INSIGHTS FUND	-11.1070	27.23	302.44		302.44	1162920101374
10/19/2018	SELL	Sale- Mutual Fund order	31617H607		FIDELITY H GOVT MONEY MKT DAILY	-441.0400	1.00	441.04		441.04	1162920116647
10/19/2018	SELL	Sale- Mutual Fund order	52468C109		LEGG MASON CLRBRG AGR GRW A	-25.7310	191.68	4,932.12		4,932.12	1162920231344
10/19/2018	SELL	Sale- Mutual Fund order	52468E105		LEGG MASON CLRBRG APPR CL A	-1,691.3280	20.70	35,010.49		35,010.49	1162920099274
10/20/2018	SELL	Sale	023475106		AMELOT HLDGS INC USD 0.001	-1.0000	0.01	0.01		0.01	SPRO// CNDT STATE LOCAL SOLUTIONS

Securities Liquidations

Securities Liquidation Report

AVENU INSIGHTS & ANALYTICS

XXXXXX - STATE NAME

Custody Security Transactions

By Security

Actual Settle Date 12/1/2018 - 12/31/2018

Report ID ICUS0015

	Description / Trading Broker / Clearing Broker / Buyer Order Party / Seller Order Party / Cash Offset Number / Comments	CUSIP/CINS / ISIN / Reference Number / Client Reference / Market Reference / Settlement Policy	Create Date / Trade/Ex Date / Contract Settle/Pay Date / Actual Settle Date / Order Date	Shares/Par / Local Net Amount / Local Price / Days Late	Status / Local Currency
S	Sale- Mutual Fund order **PUTNAM PRE SBI NPV** RAYMOND JAMES & ASSOC INC RAYMOND JAMES & ASSOC INC	746853100 US7468531006 1163070106776 GTN1611020006458 Actual	12/2/2018 12/1/2018 12/4/2018 12/4/2018 -	-227.0000 1,090.72 4.8300881000 0	Settled - **ACTUAL SETTLEMENT** UNITED STATES DOLLAR (USD)
	Cash Offset - XXXXX08400 SPRO//RVA 63 1/01/18 1163070076550				
S	Sale **TECHNICOLO NPV ADR** RAYMOND JAMES & ASSOC INC RAYMOND JAMES & ASSOC INC	878520204 US8785202040 1163070106738 GTN1611020006452 Actual	12/2/2018 12/1/2018 12/4/2018 12/4/2018 -	-5.0000 28.81 5.7900000000 0	Settled - **ACTUAL SETTLEMENT** UNITED STATES DOLLAR (USD)
	Cash Offset - XXXXX08400 SPRO//RVA 70 1/01/18 1163070076565				
S	Sale **TEXAS INSTRS INC USD 1.0** 0000 RAYMOND JAMES & ASSOC INC RAYMOND JAMES & ASSOC INC	882508104 US8825081040 1163070106723 GTN1611020006448 Actual	12/2/2018 12/1/2018 12/4/2018 12/4/2018 -	-17. 1,174.07 69.0900000000 0	Settled - **ACTUAL SETTLEMENT** UNITED STATES DOLLAR (USD)

Shares Liquidated includes number of shares, date, price, commission, net proceeds and more.

Some fee information may be missing from this report for up to an hour after a trade has been made.

Description	CUSIP/CINS			
Trading Broker	ISIN	Create Date		
Clearing Broker	Reference Number	Trade/Ex Date	Shares/Par	
Buyer Order Party	Client Reference	Contract Settle/Pay Date	Local Net Amount	
Seller Order Party	Market Reference	Actual Settle Date	Local Price	Status
Cash Offset Number	Settlement Policy	Order Date	Days Late	Local Currency
Comments				

Cash Offset - XXXXX08400

SPRO//CNDT STATE LOCAL SOLUTIONS
UNCLAIMED PROPERTY CLEARING AVERAGE
PRICE TRADE 2255 RVA 71 11/01/16
1163070076560

TOTAL SELL (1)	**-17.0000 Shares/Par**
TOTAL TEXAS INSTRS INC USD 1.0 (1)	**-17.0000 Shares/Par**
TOTAL XXXXXX - STATE NAME	**-249.0000 Shares/Par**
(3)	

Some fee information may be missing from this report for up to an hour after a trade has been made.

Mutual Fund Sales Report

Mutual Fund Sales

AVENU INSIGHTS & ANALYTICS

XXXXXX - STATE NAME

Custody Security Transactions

By Security

Actual Settle Date 12/1/2018 - 12/31/2018

Report ID ICUS0015

Description		**CUSIP/CINS**			
Trading Broker		**ISIN**	**Create Date**		
Clearing Broker		**Reference Number**	**Trade/Ex Date**	**Shares/Par**	
Buyer Order Party		**Client Reference**	**Contract Settle/Pay Date**	**Local Net Amount**	
Seller Order Party		**Market Reference**	**Actual Settle Date**	**Local Price**	**Status**
Cash Offset Number		**Settlement Policy**	**Order Date**	**Days Late**	**Local Currency**
Comments					
S	Sale- Mutual Fund order	001413103	12/2/2018	-107.1730	Settled **- ACTUAL**
	AIM EQUITY INVSC CHRTR FD A	US0014131033	12/1/2018	1,955.91	**SETTLEMENT**
		1163070082128	12/2/2018	18.2500256000	UNITED STATES DOLLAR (USD)
		26968011	12/2/2018	0	
			-		
			Actual		
	Cash Offset - XXXXX08400				
	1163060158808 10-31-18 SALE REQUEST SALE OF SHARE 1163060158808 10-31-18 SALE REQUEST SALE OF SHARE				
S	Sale- Mutual Fund order	001413194	12/2/2018	-60.3620	Settled **- ACTUAL**
	AIM EQUITY INVSC DVSFD INV	US0014131942	12/1/2018	1,129.37	**SETTLEMENT**
		1163070082055	12/2/2018	18.7099499000	UNITED STATES DOLLAR (USD)
		TSR1611018827027	12/2/2018	0	
			-		
			Actual		
	Cash Offset - XXXXX08400				
	1163060195152 10-31-18 SALE REQUEST SALE OF 1163060195152 10-31-18 SALE REQUEST SALE OF SHARES UNEXECUTED DOC 26968011				
		TOTAL XXXXXX - STATE NAME(2)		**-167.5350**	**Shares/Par**

Mutual Fund Sale – Includes price/share, net/gross proceeds and more

Some fee information may be missing from this report for up to an hour after a trade has been made.

Cash Dividends Report

Cash Dividends

AVENU INSIGHTS & ANALYTICS

XXXXXX - STATE NAME

Cash And Security Transactions

Posting Date
12/1/2018 - 12/31/2018

Report ID ICAS0011
Reporting Currency USD

Tran Type	Description / Trading Broker / Clearing Broker / Linked Transaction Description	CUSIP/CINS / ISIN / Reference Number / Client Reference / Event ID / Market Reference / Settlement Policy	Trade / Ex Date / Settle / Pay Date / Cash Post Date / Cash Value Date	Shares/Par/Amount / Local Price/Rate / Local Principal / Local Income	Local Amount	Reporting Equivalent
UNITED STATES DOLLAR (USD) AUZF STATE NAME - XXXXXXXXX						
1/4/2018 - Posted	**Exchange Rate 1.0000000000**					
DIVIDEND						
DV	**Dividend**	G25508105	9/9/2018	4.0000	0.66	0.66
	CRH PLC EUR 0.3	IE0001827041	12/4/2018	0.2051633500		
	Gross 0.82 RecDte: 9/9/2017	PSS1611020000627	12/4/2018			
	Source W/H -0.16		12/4/2018	0.66		
	PSS #: 1611020000627 UNITS/QNTY: 4.0000	0112443205				
	SEDOL #: 0182704 ISIN #: IE0001827041 EVENT ID: 0112443205					
	DESC : CRH PLC DIV SRC RATE: 0.2051633500					
	EX DT: 17SEP08 RECORD DT: 17SEP09 PAY DT: 18JAN04					
	CCY: USD GRSS: 0.8200 WTH: 0.1600					
	AMOR BAL: 0.0000 PRFC: 0.0000 CUFC: 0.0000					
DV	**Dividend**	377407101	10/20/2018	144.0000	14.40	14.40
	GLEN BURNI COM USD1	US3774071019	124/2018	0.1000000000		
	Gross 14.40 RecDte: 10/24/2017	PSS1610196060930	12/4/2018			
	PSS #: 1610196060930 UNITS/QNTY: 144.0000		12/4/2018	14.40		
	SEDOL #: 2690153 ISIN #: US3774071019 EVENT ID: 0115248584	0115248584				
	DESC : GLEN BURNI COM USD1 DIV SRC RATE: 0.1000000000					
	EX DT: 17OCT20 RECORD DT: 17OCT24 PAY DT: 17NOV04					
	CCY: USD GRSS: 14.4000 WTH: 0.0000					
	AMOR BAL: 0.0000 PRFC: 0.0000 CUFC: 0.0000					
DV	**Dividend**	19765N401	8/31/2018	41.7940	1.06	1.06
	COLUMBIA F AMT-FREE CONN INTER MUNI	US19765N4016	8/31/2018			
	Gross 1.06 RecDte: 8/31/2017	PSS1611046018899	12/4/2018			
	PSS #: 1611046018899 UNITS/QNTY: 41.7940		8/31/2018*	1.06		
	SEDOL #: BWK1TF4 ISIN #: US19765N4016 EVENT ID: 0113349658	0113349658				
	DESC : COLUMBIA F AMT-FREE CO DIV SRC RATE: 0.0000000000					
	EX DT: 17AUG31 RECORD DT: 17AUG31 PAY DT: 17AUG31					
	CCY: USD GRSS: 1.0600 WTH: 0.0000					
	AMOR BAL: 0.0000 PRFC: 0.0000 CUFC: 0.0000					
				SUBTOTAL DIVIDEND (3)	16.12	16.12

Cash Dividend includes number of shares, date, payment rate and more

*Back Valued Transaction

Cash Dividends

AVENU INSIGHTS & ANALYTICS

XXXXXX - STATE NAME

Cash And Security Transactions

Posting Date

12/1/2018 - 12/31/2018

Report ID ICAS0011
Reporting Currency USD

Tran Type	Description Trading Broker Clearing Broker Linked Transaction Description	CUSIP/CINS ISIN Reference Number Client Reference Event ID Market Reference Settlement Policy	Trade / Ex Date Settle / Pay Date Cash Post Date Cash Value Date	Shares/Par/Amount Local Price/Rate Local Principal Local Income	Local Amount	Reporting Equivalent

TOTAL XXXXXX 16.12

Corporate Action Activity Report

AVENU INSIGHTS & ANALYTICS

XXXXXX- STATE NAME

Custody Security Transactions

By Security

Actual Settle Date 1/4/2019

Report ID ICUS0015

	Description	ISIN	Create Date	Shares/Par	
	Trading Broker	Reference Number	Trade/Ex Date	Local Net Amount	
	Clearing Broker	Client Reference	Contract Settle/Pay Date	Local Price	Status
	Buyer Order Party	Market Reference	Actual Settle Date	Days Late	Local Currency
	Seller Order Party	Settlement Policy	Order Date		
	Cash Offset Number				
	Comments				

CA	Receipt of Rights SG1DC4000002 **CHARISMA ENERGY SERVIC RITS 22NOV17**	1163054005692	10/31/2018 1/1/2019 1/1/2019 1/4/2019 Actual -	180.0000 3	Settled **- ACTUAL SETTLEMENT** SINGAPORE DOLLAR (SGD)
	C/DECL// SG2B54957198 114485890 C/DECL// SG2B54957198 114485890 ORIG EVENT: SG2B54957198 NEW CODE: RATIO: 000001.000000/000010.000000				
CA	Name Change **ALCOA INC USD 1.0**	US0138175072 1163094004290	1/4/2019 1/1/2019 1/4/2019 1/4/2019 Actual -	-3,705.0000 0	Settled **- ACTUAL SETTLEMENT** UNITED STATES DOLLAR (USD)
	C/DECL// US0138175072 115377487 C/DECL// US0138175072 115377487 ORIG EVENT: US0138175072 NEW CODE: RATIO: 000001.000000/000001.000000				
CA	Spinoff/Demerger **ALCOA CORP USD 0.01** 00 EXCHANGE UNDER REORGANIZATION EXCHANGE UNDER REORGANIZATION	US0138721065 1163054007461	10/31/2018 1/1/2019 1/4/2019 1/4/2019 Actual -	1,235.00 0	Settled **- ACTUAL SETTLEMENT** UNITED STATES DOLLAR (USD)

Corporate Action Activity – Includes rate, type, payable date, event ID and more

Weekly/Monthly Wire

Weekly/Monthly Sale Wire Report - Sample

Actual Settle Date	CUSIP/CINS	Security Short Description	Shares / Par	Local Price/Rate	Local Principal Amount	Commission	Local Income Amount	Miscellaneous Fees	Foreign Exchange Fees	Local Amount	Transaction Type Name	Transaction Description 1		Transaction Description 2
12/29/2018	52469H115	LEGG MASON CLEARBRIDGE DIVIDEND STR	-102.629	$ 22.89	$ 2,349.18	$ (14.37)	$ -	$ -	$ -	$ 2,334.81	SELL	1181780289545		SALE 6-22-18 SALE OF SHARES
12/16/2018	4812C2601	JP MORGAN INVESTOR CONSERVATIV	-496.733	$ 12.68	$ 6,298.57	$ (69.54)	$ -	$ -	$ -	$ 6,229.03	SELL	1181940123132		SALE 7-11-18 SALE OF SHARES
12/16/2018	641224100	NEUBERGER GENESIS FUND	-480.840	$ 62.03	$ 29,826.51	$ (67.32)	$ -	$ -	$ -	$ 29,759.19	SELL	1181940123861		SALE 7-11-18 SALE OF SHARES
12/5/2018	939330106	WASHINGTON MUTUAL INVESTORS FUND	-74.284	$ 44.28	$ 3,289.30	$ (10.40)	$ -	$ -	$ -	$ 3,278.90	SELL	GSP #:1181860157475 UNITS/QNTY:	74.2840	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	939330106	WASHINGTON MUTUAL INVESTORS FUND	-4.621	$ 44.28	$ 204.62	$ (0.65)	$ -	$ -	$ -	$ 203.97	SELL	GSP #:1181860160230 UNITS/QNTY:	4.6210	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	19765P638	COLUMBIA FUNDS SERIES TRUST I -	-1349.665	$ 20.02	$ 27,020.29	$ (188.95)	$ -	$ -	$ -	$ 26,831.34	SELL	GSP #:1181860160890 UNITS/QNTY:	1,349.6650	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	746704105	PUTNAM DIVERSIFIED INCOME TRUST SHS	-19.629	$ 7.04	$ 138.19	$ (2.75)	$ -	$ -	$ -	$ 135.44	SELL	GSP #:1181860161539 UNITS/QNTY:	19.6290	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	746745108	PUTNAM EQUITY INCOME FUND SHS -A-	-86.350	$ 24.44	$ 2,110.39	$ (12.09)	$ -	$ -	$ -	$ 2,098.30	SELL	GSP #:1181860162098 UNITS/QNTY:	86.3500	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	746745108	PUTNAM EQUITY INCOME FUND SHS -A-	-0.357	$ 24.44	$ 8.73	$ (0.05)	$ -	$ -	$ -	$ 8.68	SELL	GSP #:1181860163361 UNITS/QNTY:	0.3570	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	746745108	PUTNAM EQUITY INCOME FUND SHS -A-	-10.882	$ 24.44	$ 265.96	$ (1.52)	$ -	$ -	$ -	$ 264.44	SELL	GSP #:1181860164060 UNITS/QNTY:	10.8820	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	746745108	PUTNAM EQUITY INCOME FUND SHS -A-	-26.048	$ 24.44	$ 636.61	$ (3.65)	$ -	$ -	$ -	$ 632.96	SELL	GSP #:1181860164413 UNITS/QNTY:	26.0480	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	746778109	PUTNAM GLOBAL HEALTH CARE FUND,	-168.471	$ 51.14	$ 8,615.61	$ (23.59)	$ -	$ -	$ -	$ 8,592.02	SELL	GSP #:1181860164670 UNITS/QNTY:	168.4710	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	746778109	PUTNAM GLOBAL HEALTH CARE FUND,	-37.072	$ 51.14	$ 1,895.86	$ (5.19)	$ -	$ -	$ -	$ 1,890.67	SELL	GSP #:1181860165002 UNITS/QNTY:	37.0720	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	74926P803	RBC FUNDS TRUST - RBC ENTERPRISE	-3.596	$ 24.10	$ 86.66	$ (0.50)	$ -	$ -	$ -	$ 86.16	SELL	GSP #:1181860166091 UNITS/QNTY:	3.5960	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	74926P803	RBC FUNDS TRUST - RBC ENTERPRISE	-0.770	$ 24.10	$ 18.56	$ (0.11)	$ -	$ -	$ -	$ 18.45	SELL	GSP #:1181860167612 UNITS/QNTY:	0.7700	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	921935102	VANGUARD W COM USD1	-3.212	$ 40.98	$ 131.63	$ (0.45)	$ -	$ -	$ -	$ 131.18	SELL	GSP #:1181860168018 UNITS/QNTY:	3.2120	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/5/2018	921935102	VANGUARD W COM USD1	-2869.568	$ 40.98	$ 117,594.90	$ (401.74)	$ -	$ -	$ -	$ 117,193.16	SELL	GSP #:1181860168420 UNITS/QNTY:	2,869.5680	TRADE DT:18JUL03 CONT SET DT:18JUL05 CALL/MAT DT:
12/16/2018	125325506	CGM TRUST - CGM FOCUS FUND SHS	-253.119	$ 43.44	$ 10,995.49	$ (35.44)	$ -	$ -	$ -	$ 10,960.05	SELL	SALE 6-22-18 SALE OF SHARES		TRADE DT:18JUN27 CONT SET DT:18JUL16 CALL/MAT DT:
12/17/2018	12601V109	CMTSU LIQ INC USD 0.01	-208.000	$ 0.00	$ 0.64	$ (0.01)	$ -	$ -	$ -	$ 0.63	SELL	SPRO//MXA 17 07/13/18		1181970059381
12/17/2018	37426X204	GET REAL USA INC USD 0.0001	-1.000	$ 0.06	$ 0.06	$ (0.01)	$ -	$ -	$ -	$ 0.05	SELL	SPRO//MXA 18 07/13/18		1181970059378
12/17/2018	65343N108	NEXGEN MNG INC USD 0.00001	-9424.000	$ 0.05	$ 471.20	$ (0.01)	$ -	$ -	$ -	$ 471.19	SELL	SPRO//MXA 19 07/13/18		1181970059350
12/17/2018	949090104	WELBILT INC USD 0.01	-7.000	$ 23.56	$ 164.92	$ (0.98)	$ -	$ -	$ -	$ 163.94	SELL	SPRO//RVA 11 07/13/18		1181970059365
12/17/2018	961684107	WESTWATER RES INC USD 0.001	-1.000	$ 0.38	$ 0.38	$ (0.14)	$ -	$ -	$ -	$ 0.24	SELL	SPRO//RVA 12 07/13/18		1181970059362
12/9/2018	03211P301	AMPLIPHI BIOSCIENCES CORP USD 0.01	-3.000	$ 1.12	$ 3.36	$ (0.42)	$ -	$ -	$ -	$ 2.94	SELL	SPRO//RVA 21 07/05/18		1181860116081
12/9/2018	746909100	PUTNAM MAS SBI NPV	-706.000	$ 4.59	$ 3,240.61	$ (98.84)	$ -	$ -	$ -	$ 3,141.77	SELL	SPRO//RVA 23 07/05/18		1181860116084
12/9/2018	746922103	PUTNAM MUN COM SBI NPV	-3.000	$ 11.66	$ 34.98	$ (0.42)	$ -	$ -	$ -	$ 34.56	SELL	SPRO//RVA 24 07/05/18		1181860116086
12/9/2018	812578102	SEATTLE GE COM USD0.001	-52.000	$ 67.99	$ 3,535.49	$ (7.28)	$ -	$ -	$ -	$ 3,528.21	SELL	SPRO//RVA 25 07/05/18		1181860116088
12/9/2018	949746101	WELLS FARGO + CO NEW USD 1.666	-4.000	$ 55.35	$ 221.41	$ (0.56)	$ -	$ -	$ -	$ 220.85	SELL	SPRO//RVA 26 07/05/18		1181860116091
12/9/2018	925550105	VIAVI SOLUTIONS INC USD 0.001	-10.000	$ 10.06	$ 100.63	$ (1.40)	$ -	$ -	$ -	$ 99.23	SELL	SPRO//RVA 27 07/05/18		1181860116090
12/17/2018	023135106	AMAZON COM INC USD 0.01	-4.000	$ 1,805.43	$ 7,221.72	$ (0.56)	$ -	$ -	$ -	$ 7,221.16	SELL	SPRO//RVA 4 07/13/18		1181970059375
12/17/2018	46138G706	INVESCO EX SOLAR ETF	-1.000	$ 23.28	$ 23.28	$ (0.14)	$ -	$ -	$ -	$ 23.14	SELL	SPRO//RVA 6 07/13/18		1181970059370
12/17/2018	759892201	RENREN INC USD 0.001 ADR	-31.000	$ 2.39	$ 74.09	$ (4.34)	$ -	$ -	$ -	$ 69.75	SELL	SPRO//RVA 7 07/13/18		1181970059372
12/17/2018	87968A104	TELLURIAN INC NEW USD 0.01	-6.000	$ 8.02	$ 48.12	$ (0.84)	$ -	$ -	$ -	$ 47.28	SELL	SPRO//RVA 8 07/13/18		1181970059368
12/17/2018	89854H102	TTEC HLDGS INC USD 0.01	-120.000	$ 35.30	$ 4,236.00	$ (16.80)	$ -	$ -	$ -	$ 4,219.20	SELL	SPRO//RVA 9 07/13/18		1181970059358
12/9/2018	656811106	NORTH AMERN CONSTR GROUP LTD NPV	-9.000	$ 5.80	$ 52.20	$ (1.26)	$ -	$ -	$ -	$ 50.94	SELL	SPRO// CNDT STATE LOCAL SOLUTIONS		UNCLAIMED PROPERTY
12/17/2018	09368L100	BLOCKCHAIN INDS INC USD 0.001	-200.000	$ 4.31	$ 862.00	$ (28.00)	$ -	$	$ -	$ 834.00	SELL	SPRO// CNDT STATE LOCAL SOLUTIONS		UNCLAIMED PROPERTY
12/17/2018	24373L102	DEEP GREEN WASTE + RECYCLING IN NPV	-22.000	$			$ -	$ 0.15	$ 3.30	$ (3.00)	SELL	SPRO// CNDT STATE LOCAL SOLUTIONS		UNCLAIMED PROPERTY
12/17/2018	92846K100	VITA MOBILE SYS INC NPV	-100.000	$ 0.03	$ 3.00	$ (0.01)	$ -	$ -	$ -	$ 2.99	SELL	SPRO// CNDT STATE LOCAL SOLUTIONS		UNCLAIMED PROPERTY
12/17/2018	98420U109	XPRESSPA GROUP INC NPV	-40.000	$ 0.30	$ 12.05	$ (5.60)	$ -	$ -	$ -	$ 6.45	SELL	SPRO// CNDT STATE LOCAL SOLUTIONS		UNCLAIMED PROPERTY
										$ 230,787.50				

AVENU
INSIGHTS & ANALYTICS

Weekly/Other Proceeds Wire Report - Sample Report

Actual Settle Date	CUSIP/CINS	Security Short Description	Shares / Par	Local Price/Rate	Local Principal Amount	Commission	Local Income Amount	Miscellaneous Fees	Foreign Exchange Fees	Local Amount	Transaction Type Name	Transaction Description 1	Transaction Description 2
12/6/2018	31641P302	FIDELITY SYSTEMATIC INVT PLANS	0.941	$ -	$ (40.65)	$ -	$ -	$ -	$ -	$ (40.65)	CORPORATE ACTION	C/DECL// US31641P3029 138894108	C/DECL// US31641P3029 138894108
12/5/2018	353496805	FRANKLIN CUSTODIAN FUNDS - FRANKLIN	0.129	$ -	$ (0.30)	$ -	$ -	$ -	$ -	$ (0.30)	CORPORATE ACTION	C/DECL// US3534968058 149933669	C/DECL// US3534968058 149933669
12/18/2018	353612682	FRANKLIN I BALANCED FD A	0.002	$ -	$ (0.03)	$ -	$ -	$ -	$ -	$ (0.03)	CORPORATE ACTION	C/DECL// US3536126820 150527561	C/DECL// US3536126820 150527561
12/2/2018	354014102	FRANKLIN M COM USD0.01	0.020	$ -	$ (0.02)	$ -	$ -	$ -	$ -	$ (0.02)	CORPORATE ACTION	C/DECL// US3540141021 149655680	C/DECL// US3540141021 149655680
12/2/2018	416645596	THE HARTFORD MUTUAL FUNDS, INC. -	0.150	$ -	$ (3.68)	$ -	$ -	$ -	$ -	$ (3.68)	CORPORATE ACTION	C/DECL// US4166455968 149656027	C/DECL// US4166455968 149656027
12/3/2018	46131G406	INVESCO SE CLASS IB	2.942	$ -	$ (19.80)	$ -	$ -	$ -	$ -	$ (19.80)	CORPORATE ACTION	C/DECL// US46131G4064 149933834	C/DECL// US46131G4064 149933834
12/12/2018	37733W105	GLAXOSMITHKLINE PLC 25P ADR	1.000	$ 0.50	$ -	$ -	$ 0.50	$ -	$ -	$ 0.50	DIVIDEND	PSS #: 1805096075612 UNITS/QNTY: 1.0000	SEDOL #: 2374112 ISIN #: US37733W1053 EVENT ID: 0145628242
12/29/2018	060505104	BK OF AMER COM USD0.01	132.000	$ 0.12	$ -	$ -	$ 15.84	$ -	$ -	$ 15.84	DIVIDEND	PSS #: 1805306079309 UNITS/QNTY: 132.0000	SEDOL #: 2295677 ISIN #: US0605051046 EVENT ID: 0145647639
12/29/2018	713448108	PEPSICO INC USD 0.017	3.000	$ 0.93	$ -	$ -	$ 2.78	$ -	$ -	$ 2.78	DIVIDEND	PSS #: 1805306092757 UNITS/QNTY: 3.0000	SEDOL #: 2681511 ISIN #: US7134481081 EVENT ID: 0146270822
12/29/2018	74251V102	PRINCIPAL COM USD0.01	42.000	$ 0.52	$ -	$ -	$ 21.84	$ -	$ -	$ 21.84	DIVIDEND	PSS #: 1806046016649 UNITS/QNTY: 42.0000	SEDOL #: 2803014 ISIN #: US74251V1026 EVENT ID: 0145664920
12/17/2018	23355L106	DXC TECHNOLOGY CO USD 0.01	62.000	$ 0.19	$ -	$ -	$ 11.78	$ -	$ -	$ 11.78	DIVIDEND	PSS #: 1806046111071 UNITS/QNTY: 62.0000	SEDOL #: BYXD7B3 ISIN #: US23355L1061 EVENT ID: 0147286359
12/5/2018	745867101	PULTE GROUP INC	541.000	$ 0.09	$ -	$ -	$ 48.69	$ -	$ -	$ 48.69	DIVIDEND	PSS #: 1806056056935 UNITS/QNTY: 541.0000	SEDOL #: 2708841 ISIN #: US7458671010 EVENT ID: 0146764669
12/2/2018	320517105	FIRST HORIZON NATL CORP USD 0.625	5.000	$ 0.12	$ -	$ -	$ 0.60	$ -	$ -	$ 0.60	DIVIDEND	PSS #: 1806066085307 UNITS/QNTY: 5.0000	SEDOL #: 2341484 ISIN #: US3205171057 EVENT ID: 0145621265
12/2/2018	124857202	CBS CORPOR CLASS B COM STK USD 0.0	159.000	$ 0.18	$ -	$ -	$ 28.62	$ -	$ -	$ 28.62	DIVIDEND	PSS #: 1806066137254 UNITS/QNTY: 159.0000	SEDOL #: B0SRLH6 ISIN #: US1248572026 EVENT ID: 0147350873
12/5/2018			24.810	$ 1.31	$ -	$ -	$ -	$ -	$ -	$ (18.88)	FOREIGN EXCHANGE	PSS1805230005012	EXCH RATE : 1.31425510000 THEIRS TRADE DT :29JUN18
12/5/2018			-18.880	$ 1.31	$ 24.81	$ -	$ -	$ -	$ -	$ 24.81	FOREIGN EXCHANGE	PSS1805230005012	EXCH RATE : 1.31425510000 OURS TRADE DT :29JUN18
12/16/2018	312903SA6	FEDERAL HOME LN MTG 6.5195 15JUL21	20000.000	$ 0.00	$ -	$ -	$ 0.16	$ -	$ -	$ 0.16	INTEREST	PSS #: 1806146213965 UNITS/QNTY: 20,000.0000	SEDOL #: ISIN #: US312903SA62 EVENT ID: 0147010204
12/16/2018	06050XA94	BANK AMER CORP SUB INT 6.05 15FEB38	150000.000	$ 0.01	$ -	$ -	$ 756.25	$ -	$ -	$ 756.25	INTEREST	PSS #: 1806296109021 UNITS/QNTY: 150,000.0000	SEDOL #: B2PZHY6 ISIN #: US06050XA944 EVENT ID: 0146928328
12/16/2018	36207UKJ6	GNMA I + II - SI 442297 7.0 15JAN27	25000.000	$ 0.00	$ -	$ -	$ 0.51	$ -	$ -	$ 0.51	INTEREST	PSS #: 1806296354572 UNITS/QNTY: 25,000.0000	SEDOL #: ISIN #: US36207UKJ69 EVENT ID: 0146674276
12/16/2018	36203LBX9	GNMA I + II - SI 352054 6.5 15OCT23	25000.000	$ 0.00	$ -	$ -	$ 0.62	$ -	$ -	$ 0.62	INTEREST	PSS #: 1806296580764 UNITS/QNTY: 25,000.0000	SEDOL #: ISIN #: US36203LBX91 EVENT ID: 0146695674
12/12/2018	26842F103	E-DIRECT INC NPV	1344.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	INTERNAL MOVEMENT	1181920119206	
12/12/2018	26842F103	E-DIRECT INC NPV	-1344.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	INTERNAL MOVEMENT	DTC ARF # 20171009DTC 9002	AWAITING SECURITY FROM REGISTR
12/5/2018	918231101	VHGI HLDGS INC USD 0.0001	100000.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	INTERNAL MOVEMENT	DTC ARF # 20171009DTC 9010	1181860102907
12/5/2018	918231101	VHGI HLDGS INC USD 0.0001	-100000.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	INTERNAL MOVEMENT	DTC ARF # 20171009DTC 9010	AWAITING SECURITY FROM REGISTR
			0.000	$ -	$ -	$ -	$ 0.34	$ -	$ -	$ 0.34	OTHER	CR INTEREST-ACCOUNT 9124838400	
			0.000	$ -	$ -	$ -	$ 0.01	$ -	$ -	$ 0.01	OTHER	CR INTEREST-ACCOUNT 9124838401	
12/16/2018	312903SA6	FEDERAL HOME LN MTG 6.5195 15JUL21	20000.000	$ -	$ 2.65	$ -	$ -	$ -	$ -	$ 2.65	PAY DOWN	PSS #: 1806146214035 UNITS/QNTY: 20,000.0000	SEDOL #: ISIN #: US312903SA62 EVENT ID: 0147010204
12/16/2018	36207UKJ6	GNMA I + II - SI 442297 7.0 15JAN27	25000.000	$ -	$ 0.88	$ -	$ -	$ -	$ -	$ 0.88	PAY DOWN	PSS #: 1807096182918 UNITS/QNTY: 25,000.0000	SEDOL #: ISIN #: US36207UKJ69 EVENT ID: 0146674276
12/16/2018	36203LBX9	GNMA I + II - SI 352054 6.5 15OCT23	25000.000	$ -	$ 1.56	$ -	$ -	$ -	$ -	$ 1.56	PAY DOWN	PSS #: 1807096230584 UNITS/QNTY: 25,000.0000	SEDOL #: ISIN #: US36203LBX91 EVENT ID: 0146695674
12/29/2018	G1151C101	ACCENTURE PLC USD 0.000023	21.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	SECURITY DEPOSIT	B/C A REC FROM MORGAN STANLEY	AWAITING SECURITIES FROM CPY
12/29/2018	G51502105	JOHNSON CONTROLS INTERNATI USD 0.01	56.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	SECURITY DEPOSIT	B/C A REC FROM MORGAN STANLEY	AWAITING SECURITIES FROM CPY
12/29/2018	N72482123	QIAGEN NV EUR 0.01	296.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	SECURITY DEPOSIT	B/C A REC FROM MORGAN STANLEY	AWAITING SECURITIES FROM CPY
12/5/2018	896887106	TROILUS GOLD CORP NPV	-2.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	SECURITY WITHDRAWAL	6/29/18 SALE, PROCEEDS POST	SEPERATE
12/9/2018	4812A4385	JP MORGAN STRG INCM CL A	-1150.501	$ -	$ -	$ -	$ -	$ -	$ -	$ -	SECURITY WITHDRAWAL	CL 1018837, LUCINDA J MAR 27	9TH ST RENTON MA 98056 W-9 NOT
12/29/2018	140193103	CAP INC BU SBI NPV	-167.149	$ -	$ -	$ -	$ -	$ -	$ -	$ -	SECURITY WITHDRAWAL	CL 11881, CAROL LIMIAS 32	6TH AVE NW SEATTLE WA 98117 W-9
12/12/2018	22160K105	COSTCO WHOLESALE CORP NEW USD 0.005	-1100.000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	SECURITY WITHDRAWAL	FERN TRUCANO DTC 164	A/C 5680562
										$ 835.08			

AVENU INSIGHTS & ANALYTICS

Position – Unable to Trade Report

Position - Unable to Trade Report

AC #	Security Description	Days	Units	CUSIP	Location	Comments
xxxxxx	ACT TELECONFERENCING INC	381.00	810.000	000955104	NYC	private company - no market
xxxxxx	ADEX MINING INC	786.00	540.000	006903207	NYC	chilled for deposit has value cannot sell
xxxxxx	ALL STATE PROPERTIES HOLDINGS	1,660.00	1.000	016663205	NYCR	RESTRICTED - RAYMOND JAMES CANNOT SELL THEM
xxxxxx	ALTAIR NANOTECHNOLOGIES INC NPV	88.00	223.0000	021373303	DTC	RESTRICTED FROM TRADING PER BROKER
xxxxxx	ANDALAY SOLAR INC USD 0.001	94.00	75.0000	033355108	DTC	RESTRICTED - RAYMOND JAMES CANNOT SELL THEM
xxxxxx	ARETE INDS INC NPV	101.00	3.0000	040098303	DTC	RESTRICTED - RAYMOND JAMES CANNOT SELL THEM
xxxxxx	ATLANTIC WIND & SOLAR INC	324.00	72.000	049127103	DTC	restricted from trading per raymond james
xxxxxx	ATLANTIC WIND & SOLAR INC	324.00	18.000	049127103	DTC	restricted from trading per raymond james
xxxxxx	ATLANTIC WIND & SOLAR INC	324.00	32.000	049127103	DTC	restricted from trading per raymond james
xxxxxx	ATLANTIC WIND & SOLAR INC	324.00	1.000	049127103	DTC	restricted from trading per raymond james
xxxxxx	AURORA GOLD CORP USD 0.001	94.00	30.0000	051642205	DTC	RESTRICTED - RAYMOND JAMES CANNOT SELL THEM
xxxxxx	AVITAR INC NEW USD 0.01		1.0000	053801304	DTC	restricted from trading per raymond james
xxxxxx	B-FAST CORP	381.00	570.000	055413108	DTC	restricted from trading per raymond james
xxxxxx	BETTWORK INDS INC USD 0.001	94.00	1.0000	087766101	DTC	restricted from trading per raymond james
xxxxxx	BIG BUCK B COM USD0.01	86.00	24.0000	089072300	DTC	restricted from trading per raymond james
xxxxxx	BIOSYNERGY INC NPV	72.00	4,000.0000	090917105	DTC	restricted from trading per raymond james
xxxxxx	BRIGHTROCK GOLD CORP USD 0.001	99.00	1.0000	109476101	DTC	restricted from trading per raymond james
xxxxxx	CGE ENERGY INC USD 0.01	99.00	140.0000	125286104	DTC	restricted from trading per raymond james
xxxxxx	CAMPBELL R COM NPV	1,526.00	10.0000	134422609	YCA	cant be sold has no value on foreign marekt
xxxxxx	CANNABIS SCIENCE INC	304.00	170.000	137648101	DTC	this security is restricted from trading
xxxxxx	CARDIOVASCULAR BIOTHERAPEUTICS	157.00	780.000	141607101	NYC	no quotes for this security - will most likely sell as worthless delisted
xxxxxx	CLEARSTORY SYSTEMS INC	414.00	1,000.000	185066107	DTC	restricted from trading per raymond james
xxxxxx	COMMONWEALTH EDISON CO LEGENDED CON	2,151.00	1,965.00	202795720	DTCR	cant be sold. No market. Subsidiary of Exelon.
xxxxxx	CONECTISYS CORP	99.00	20.000	206827305	DTC	restricted from trading per raymond james
xxxxxx	CROSSWIND RENEWABLE ENERG USD 0.001	99.00	1.0000	227692100	DTC	restricted from trading per raymond james
xxxxxx	CYBER DIGITAL INC	319.00	600.000	232441105	DTC	restricted from trading per raymond james
xxxxxx	EVEROCK INC	414.00	55,754.000	300398401	DTC	restricted from trading per raymond james
xxxxxx	EVEROCK INC	451.00	2,500.000	300398401	DTC	restricted from trading per raymond james
xxxxxx	FEDERAL CASTERS CORP	157.00	400.000	313200107	NYC	cant deposit to DTC and this has value cannot sell
xxxxxx	FEDERAL SCREW WKS USD 1.0		43.0000	313819104	DTC	restricted from selling per raymond james
xxxxxx	FIRST INDEPENDENCE CORP DETROIT MICH	3,299.00	451.000	320539208	NYC	CANT SELL NO MARKET worthless
xxxxxx	FLAMEMASTE COM USD0.01	101.00	112.0000	338490204	DTC	restricted from trading per raymond james
xxxxxx	GT LEGEND AUTOMOTIVE HLDG USD 0.001	71.00	3.0000	362369100	DTC	restricted from trading per raymond james
xxxxxx	GENERAL FINANCE + DEVELOPM RESTR		3.0000	368992855	NYV	this is a worthless security
xxxxxx	GLOBAL NET COM NPV	80.00	50.0000	379382104	DTC	restricted from trading per raymond james
xxxxxx	GOLD DYNAM USD 0.001	94.00	1,900.0000	380584102	DTC	restricted from trading per raymond james
xxxxxx	GOLD ROCK HLDGS INC USD 0.001	80.00	1.0000	380709303	DTC	restricted from trading per raymond james
xxxxxx	GOLDSANDS DEV CO USD 0.001	71.00	1,100.0000	381454107	DTC	restricted from trading per raymond james
xxxxxx	GREAT BASIN ENERGIES INC USD 0.01	72.00	2,000.0000	390123107	DTC	restricted from trading per raymond james
xxxxxx	GREAT BASIN GOLD LTD NPV	88.00	214.0000	390124105	DTC	restricted from trading per raymond james
xxxxxx	GREEN STAR PRODS INC USD 0.001	71.00	5,000.0000	393411103	DTC	restricted from trading per raymond james
xxxxxx	HAT TRICK BEVERAGE INC	319.00	50,000.000	418756102	DTC	has been designated as restricted from selling
xxxxxx	HEMP INC	324.00	3.000	423703206	DTC	restricted from trading per raymond james
xxxxxx	HEMP INC	413.00	101.000	423703206	DTC	restricted from trading per raymond james
xxxxxx	HIRU CORP	456.00	60,000.000	433570108	DTC	RESTRICTED FROM SELLING PER RAYMOND JDAMES
xxxxxx	HOP-ON INC	456.00	400,000.000	439338203	DTC	RESTRICTED FROM SELLING PER RAYMOND JAMES
xxxxxx	HORIZON GROUP PROPERTIES, L.P RESTR		119.0000	440994911	NYV	this is a private company and can't sell
xxxxxx	HOP-ON INC COM NPV	456.00	400,000.0000	439338203	DTC	RESTRICTED FROM SELLING PER RAYMOND JAMES
xxxxxx	HYSTER-YALE MATLS HANDLING USD 0.01		1.0000	449172204	NYVT	can this be deposited/sold? Worthless
xxxxxx	ICOA INC USD 0.0001	786.00	1.0000	449292309	DTC	has value - cannot sell restricted
xxxxxx	IVANHOE ENERGY INC NPV	71.00	4.0000	465790509	DTC	RESTRICTED FROM SELLING PER RAYMOND JAMES
xxxxxx	JAYHAWK ENERGY INC USD 0.001	80.00	125.0000	472100106	DTC	RESTRICTED FROM SELLING PER RAYMOND JAMES
xxxxxx	JUNIPER GROUP INC USD 0.001		7,500.0000	481905875	DTC	RESTRICTED FROM SELLING PER RAYMOND JAMES
xxxxxx	KENILWORTH SYS CORP USD 0.01	86.00	1.0000	489084202	DTC	restricted from trading
xxxxxx	LBO CAP CORP USD 0.0001	72.00	42,000.0000	501792303	DTC	restricted from trading per raymond james
xxxxxx	LONE STAR GOLD INC USD 0.001	94.00	47.0000	542281100	DTC	RESTRICTED FROM SELLING PER RAYMOND JAMES
xxxxxx	LOUD TECHN COM STK NPV	87.00	50.0000	545731200	DTC	restricted from trading per raymond james
xxxxxx	MANATI INDS INC USD 0.01	101.00	200.0000	562020107	DTC	RESTRICTED FROM SELLING PER RAYMOND JAMES

Unsettled Trade Report

	Description / Trading Broker / Clearing Broker / Buyer Order Party / Seller Order Party / Trade Matching Status	ISIN / Reference Number / Client Reference / Depository Reference / Market Reference / Settlement Policy	Trade Date / Contract Settle Date / Order Date	Shares/Par / Local Net Amt / Local Price	Status / Local Currency / Comments
SD	Security Addition	CA0559341031	10/20/2018	166.0000	Failing - SETTLEMENT FAILURE
	BPI ENERGY HOLDINGS INC	1163010205943	10/20/2018		UNITED STATES DOLLAR (USD)
	FIRST CLEARING, LLC	26931837.6			26876390.338 B/C A, REC FROM FIRST CLEARING AWAITING SECURITIES FROM CPY 1163010101840
	FIRST CLEARING, LLC				
	AWSH	Actual			
	AWAITING SECURITIES FROM CPY				
SD	Security Addition	CA1344226099	10/20/2018	20.0000	Failing - SETTLEMENT FAILURE
	CAMPBELL R COM NPV	1163010206055	10/20/2018		UNITED STATES DOLLAR (USD)
	FIRST CLEARING, LLC	26931837.19			26876390.352 B/C A, REC FROM FIRST CLEARING AWAITING SECURITIES FROM CPY 1163010101883
	FIRST CLEARING, LLC				
	AWSH	Actual			
	AWAITING SECURITIES FROM CPY				
SD	Security Addition	CA6565685089	12/8/2018	1.0000	Pending - VERIFIED
	NORTEL NETWORKS CORP NEW NPV	1163090300390	12/8/2018		UNITED STATES DOLLAR (USD)
	OPTIONSXPRESS, INC.	27016545.129			B/C A RECEIVE FROM OPTIONXPRESS
	OPTIONSXPRESS, INC.				
		Actual			
SD	Security Addition	CA67000B1040	10/28/2018	13.0000	Failing - VERIFIED
	NOVANTA INC NPV	1162990284984	10/28/2018		UNITED STATES DOLLAR (USD)
	NATL FINANCIAL SERVICES LLC	26925435.589			B/C A, REC FROM FIDELITY AWAITING SECURITIES FROM CPY 1162990130269
	NATL FINANCIAL SERVICES LLC				
	AWSH	Actual			
	AWAITING SECURITIES FROM CPY				

	Description Trading Broker Clearing Broker Buyer Order Party Seller Order Party Trade Matching Status	ISIN Reference Number Client Reference Depository Reference Market Reference Settlement Policy	Trade Date Contract Settle Date Order Date	Shares/Par Local Net Amt Local Price	Status Local Currency Comments
SD	Security Addition	CA6821382018	10/20/2018	40.0000	Failing - SETTLEMENT FAILURE
	OMEGA WORLD INC NPV	1163010206087	10/20/2018		UNITED STATES DOLLAR (USD)
	FIRST CLEARING, LLC FIRST CLEARING, LLC	26931837.25			26876390.409 B/C A, REC FROM FIRST CLEARING AWAITING SECURITIES FROM CPY 1163010101911
	AWSH	Actual			
	AWAITING SECURITIES FROM CPY				
SD	Security Addition	CA89366N1592	12/18/2018	3.0000	Failing - VERIFIED
	TRANSEASTERN PWR TR WTS 28OCT18	1162000020443	12/18/2018		CANADIAN DOLLAR (CAD)
	CUSTOMER REQUEST CUSTOMER REQUEST	CMSGSP-66-007909			IN CONVERSION FROM CMS CMSACCOUNT=AUZF0XXXXXX CMSSECURITY=89366N159 CM SREG=BOST CMSLOC=NYCR AWAITING SECURITIES FROM CPY 1162000008880
	AWSH	Actual			
	AWAITING SECURITIES FROM CPY				
SD	Security Addition	DE0005402614	10/20/2018	100.0000	Failing - VERIFIED
	CARGOLIFTER AG NPV	1162930227867	10/20/2018		EURO (EUR)
	FIRST CLEARING, LLC FIRST CLEARING, LLC	26876390.576			B/C A, REC FROM FIRST CLEARING AWAITING SECURITIES FROM CPY 1162930107377
	AWSH	Actual			
	AWAITING SECURITIES FROM CPY				
SD	Security Addition	FR0010540740	10/4/2018	4.0000	Pending - VERIFIED
	EURO DISNEY SCA EUR 1.0	1163120396551	10/9/2018		EURO (EUR)
	EUROCLEAR BANK S A N V (MGTCBEBEXXX) 93999 EUROCLEAR UNPUBLISHED ACCOUNT	E-1163120396551			A matching instruction from your counterparty could not be found B/C A REC'D FROM EDWARD JONES DOC 27014844 INSTRUCTION HAS NOT BEEN MATCHED
	CMIS **A matching instruction from your counterparty could not be** INSTRUCTION HAS NOT BEEN MATCHED	Actual			

	Description / Trading Broker / Clearing Broker / Buyer Order Party / Seller Order Party / Trade Matching Status	ISIN / Reference Number / Client Reference / Depository Reference / Market Reference / Settlement Policy	Trade Date / Contract Settle Date / Order Date	Shares/Par / Local Net Amt / Local Price	Status / Local Currency / Comments
SD	Security Addition	USM15CNT9972	1/8/2019	300.0000	Pending - VERIFIED
	CONTRA BACKWEB TECHNOLOGIES NPV	1163090300360	1/8/2019		UNITED STATES DOLLAR (USD)
	OPTIONSXPRESS, INC.	27016545.121			B/C A RECEIVE FROM OPTIONXPRESS
	OPTIONSXPRESS, INC.				
		Actual			
			TOTAL SECURITY DEPOSIT (7)	**499.0720**	**Shares/Par**
SW	Security Withdrawal	USM15CNT9972	10/25/2018	-600.0000	Failing - VERIFIED
	CONTRA BACKWEB TECHNOLOGIES NPV	1163000246904	10/25/2018		UNITED STATES DOLLAR (USD)
	RAYMOND, JAMES & ASSOC., INC.				B/C C SALE OF SHARES DOC 26935128
	RAYMOND, JAMES & ASSOC., INC.				
		Actual			
		TOTAL XXXXXX - STATE NAME(242)		**4,325,418.3410**	**Shares/Par**
			REPORT TOTAL (242)	**4,325,418.3410**	**Shares/Par**

Data Transfer Automation

Custody Transaction (Cash & Security)
Position File

Reporting Account Number	Reporting Account Name	Base Currency Code	CMS Reference Number	Client Reference Number	Transaction Type	Mellon Security ID	Security Xref Type
XXXXXXXXXXX2	STATE OF SAMPLE	USD	1160610596543		33	256746108	MEL
XXXXXXXXXXX3	STATE OF SAMPLE	USD	1160550137073		03	723484101	MEL
XXXXXXXXXXX4	STATE OF SAMPLE	USD	1160560143912		03	054536107	MEL
XXXXXXXXXXX5	STATE OF SAMPLE	USD	1160560141513		03	59156R108	MEL
XXXXXXXXXXX6	STATE OF SAMPLE	USD	1160620245467		04	35086T109	MEL
XXXXXXXXXXX7	STATE OF SAMPLE	USD	1160600247865		04	87929J103	MEL
XXXXXXXXXXX8	STATE OF SAMPLE	USD	1160620058455		04	723682100	MEL
XXXXXXXXXXX9	STATE OF SAMPLE	USD	1160619901378	DTC671903004	04	023135106	MEL
XXXXXXXXXXX10	STATE OF SAMPLE	USD	1160619902821	DTC671903008	04	369604103	MEL
XXXXXXXXXXX11	STATE OF SAMPLE	USD	1160619903506	DTC671903007	04	571903202	MEL
XXXXXXXXXXX12	STATE OF SAMPLE	USD	1160619903631	DTC671903009	04	59156R108	MEL
XXXXXXXXXXX13	STATE OF SAMPLE	USD	1160619904467	DTC671903010	04	848574109	MEL
XXXXXXXXXXX14	STATE OF SAMPLE	USD	1160619904798	DTC671903011	04	902973304	MEL
XXXXXXXXXXX15	STATE OF SAMPLE	USD	1160619900877	DTC671903005	04	G0408V102	MEL
XXXXXXXXXXX16	STATE OF SAMPLE	USD	1160619900882	DTC671903002	04	G1151C101	MEL
XXXXXXXXXXX17	STATE OF SAMPLE	USD	1160620059382		04	01877C309	MEL
XXXXXXXXXXX18	STATE OF SAMPLE	USD	1160620058769		04	746772102	MEL
XXXXXXXXXXX19	STATE OF SAMPLE	USD	1160630463379		32	552737108	MEL
XXXXXXXXXXX20	STATE OF SAMPLE	USD	1160600521242		32	616969200	MEL
XXXXXXXXXXX21	STATE OF SAMPLE	USD	1160610514882		32	316146109	MEL
XXXXXXXXXXX22	STATE OF SAMPLE	USD	1160620582618		32	693391716	MEL
XXXXXXXXXXX23	STATE OF SAMPLE	USD	1160620582685		32	74254T245	MEL
XXXXXXXXXXX24	STATE OF SAMPLE	USD	1160620582697		32	74254V372	MEL
XXXXXXXXXXX25	STATE OF SAMPLE	USD	1160620585272		32	94985D210	MEL
XXXXXXXXXXX26	STATE OF SAMPLE	USD	1160600519611		32	21924U300	MEL
XXXXXXXXXXX27	STATE OF SAMPLE	USD	1160600523150		32	65340G205	MEL
XXXXXXXXXXX28	STATE OF SAMPLE	USD	1160430004477		32	577081102	MEL
XXXXXXXXXXX29	STATE OF SAMPLE	USD	1160480012246		32	20825C104	MEL
XXXXXXXXXXX30	STATE OF SAMPLE	USD	1160630463382		32	278865100	MEL
XXXXXXXXXXX31	STATE OF SAMPLE	USD	1160620211979		01	35086T109	MEL
XXXXXXXXXXX32	STATE OF SAMPLE	USD	1152380001450		4	EX3414730	MEL
XXXXXXXXXXX33	STATE OF SAMPLE	USD	1160620009478		17	EX3414730	MEL
XXXXXXXXXXX34	STATE OF SAMPLE	USD	1160620009478		17	EX3414730	MEL

Xref Security ID	Security Description 1	Security Description 2	Trade Date	Actual Settle Date	Contractual Settle Date	Completion Date	Trading Broker Code
256746108	DOLLAR TREE INC		3/1/2018	3/1/2018	3/1/2018	3/1/2018	
723484101	PINNACLE WEST CAPITAL CORP		2/24/2018	3/1/2018	2/24/2018	3/1/2018	00009999
054536107	AXA SA	ADR	2/25/2018	3/2/2018	2/25/2018	3/2/2018	00009999
59156R108	METLIFE INC		2/25/2018	3/2/2018	2/25/2018	3/2/2018	00009999
35086T109	FOUR CORNERS PROPERTY TRUST IN		3/2/2018	3/2/2018	3/2/2018	3/2/2018	00009999
87929J103	TELECOMMUNICATION SYSTEMS INC		2/29/2018	2/29/2018	2/29/2018	2/29/2018	00009999
723682100	PIONEER FUND-CLASS A		3/2/2018	3/3/2018	3/3/2018	3/3/2018	00009999
023135106	AMAZON.COM INC		3/1/2018	3/4/2018	3/4/2018	3/4/2018	00000725
369604103	GENERAL ELECTRIC CO		3/1/2018	3/4/2018	3/4/2018	3/4/2018	00000725
571903202	MARRIOTT INTERNATIONAL INC/MD		3/1/2018	3/4/2018	3/4/2018	3/4/2018	00000725
59156R108	METLIFE INC		3/1/2018	3/4/2018	3/4/2018	3/4/2018	00000725
848574109	SPIRIT AEROSYSTEMS HOLDINGS IN		3/1/2018	3/4/2018	3/4/2018	3/4/2018	00000725
902973304	US BANCORP		3/1/2018	3/4/2018	3/4/2018	3/4/2018	00000725
G0408V102	AON PLC		3/1/2018	3/4/2018	3/4/2018	3/4/2018	00000725
G1151C101	ACCENTURE PLC		3/1/2018	3/4/2018	3/4/2018	3/4/2018	00000725
01877C309	AB LARGE CAP GROWTH-C		3/2/2018	3/3/2018	3/3/2018	3/3/2018	00009999
746772102	PUTNAM GLOBAL EQUITY FUND-A		3/2/2018	3/3/2018	3/3/2018	3/3/2018	00009999
552737108	MFS MULTIMARKET INC TRUST		3/3/2018	3/3/2018	3/3/2018	3/3/2018	
616969200	MORGAN STANLEY US GOVT SEC-B		2/25/2018	2/29/2018	2/25/2018	2/29/2018	
316146109	FIDELITY INVESTMENT GR BOND		3/1/2018	3/1/2018	3/1/2018	3/1/2018	
693391716	PIMCO HIGH YIELD FUND-D		2/29/2018	3/2/2018	2/29/2018	3/2/2018	
74254T245	PRINCIPAL CORE PLUS BOND-A		2/29/2018	3/2/2018	2/29/2018	3/2/2018	
74254V372	PRINCIPAL GOVT & HI QUALIT-A		2/29/2018	3/2/2018	2/29/2018	3/2/2018	
94985D210	WF HIGH YIELD BOND-A		2/29/2018	3/2/2018	2/29/2018	3/2/2018	
21924U300	CORNERSTONE TOTAL RETURN FND		2/29/2018	2/29/2018	2/29/2018	2/29/2018	
65340G205	NEXPOINT CREDIT STRATEGIES		2/29/2018	2/29/2018	2/29/2018	2/29/2018	
577081102	MATTEL INC		2/12/2018	3/4/2018	3/4/2018	3/4/2018	
20825C104	CONOCOPHILLIPS		2/11/2018	3/1/2018	3/1/2018	3/1/2018	
278865100	ECOLAB INC		3/3/2018	3/3/2018	3/3/2018	3/3/2018	
35086T109	FOUR CORNERS PROPERTY TRUST IN		3/2/2018	3/2/2018	3/2/2018	3/2/2018	00009999
EX3414730	CSR PLC		8/27/2018	8/12/2018	8/27/2018	8/27/2018	00009999
EX3414730	CSR PLC		3/2/2018	3/3/2018	3/3/2018	3/3/2018	00001012
EX3414730	CSR PLC		3/2/2018	3/3/2018	3/3/2018	3/3/2018	00001012

Trading Broker Description	Clearing Broker Code	Clearing Broker Description	Local Currency Code
			USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
RAYMOND JAMES & ASSOC INC, ST PETERSBURG	00000725	RAYMOND JAMES & ASSOC INC, ST PETERSBURG	USD
RAYMOND JAMES & ASSOC INC, ST PETERSBURG	00000725	RAYMOND JAMES & ASSOC INC, ST PETERSBURG	USD
RAYMOND JAMES & ASSOC INC, ST PETERSBURG	00000725	RAYMOND JAMES & ASSOC INC, ST PETERSBURG	USD
RAYMOND JAMES & ASSOC INC, ST PETERSBURG	00000725	RAYMOND JAMES & ASSOC INC, ST PETERSBURG	USD
RAYMOND JAMES & ASSOC INC, ST PETERSBURG	00000725	RAYMOND JAMES & ASSOC INC, ST PETERSBURG	USD
RAYMOND JAMES & ASSOC INC, ST PETERSBURG	00000725	RAYMOND JAMES & ASSOC INC, ST PETERSBURG	USD
RAYMOND JAMES & ASSOC INC, ST PETERSBURG	00000725	RAYMOND JAMES & ASSOC INC, ST PETERSBURG	USD
RAYMOND JAMES & ASSOC INC, ST PETERSBURG	00000725	RAYMOND JAMES & ASSOC INC, ST PETERSBURG	USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
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NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	USD
NON-BROKER TRADE, BOSTON	00009999	NON-BROKER TRADE, BOSTON	GBP
FX- BANK OF NEW YORK MELLON, NEW YORK	00001468	FX- BANK OF NEW YORK MELLON, LONDON	GBP
FX- BANK OF NEW YORK MELLON, NEW YORK	00001468	FX- BANK OF NEW YORK MELLON, LONDON	USD

Local Currency Name	Reversal Indicator	Reg Code	Create Date	Units	Trade Price	Principal	Commission Expense	Interest	Miscellaneous Expense
U.S. DOLLAR			3/1/2018	0.000	0.000000	-3.56	0.00	0.00	0.00
U.S. DOLLAR		STRT	2/24/2018	-1.000	0.000000	0.00	0.00	0.00	0.00
U.S. DOLLAR		STRT	2/25/2018	-25.000	0.000000	0.00	0.00	0.00	0.00
U.S. DOLLAR		STRT	2/25/2018	-32.000	0.000000	0.00	0.00	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-0.998	16.242485	16.21	0.00	0.00	0.00
U.S. DOLLAR		DTC	2/29/2018	-252.000	5.000000	1,260.00	0.00	0.00	0.00
U.S. DOLLAR		MAC	3/2/2018	-57.595	31.049918	1,788.32	-19.01	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-19.000	574.120100	10,908.28	-6.27	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-13.000	29.872500	388.34	-4.29	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-4.000	68.830000	275.32	-1.32	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-10.000	41.572500	415.73	-3.30	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-630.000	45.811000	28,860.93	-207.90	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-7.000	39.670000	277.69	-2.31	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-215.000	95.970900	20,633.74	-70.95	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	-59.000	103.050000	6,079.95	-19.47	0.00	0.00
U.S. DOLLAR		MAC	3/2/2018	-31.328	28.310138	886.90	-10.34	0.00	0.00
U.S. DOLLAR		MAC	3/2/2018	-440.139	11.570004	5,092.41	-145.25	0.00	0.00
U.S. DOLLAR			3/3/2018	-1.682	3.686548	6.20	-0.55	0.00	0.00
U.S. DOLLAR			2/29/2018	0.000	0.000000	0.00	0.00	24.22	0.00
U.S. DOLLAR			3/1/2018	0.000	0.000000	0.00	0.00	4.16	0.00
U.S. DOLLAR			3/2/2018	0.000	0.000000	0.00	0.00	0.88	0.00
U.S. DOLLAR			3/2/2018	0.000	0.000000	0.00	0.00	1.13	0.00
U.S. DOLLAR			3/2/2018	0.000	0.000000	0.00	0.00	1.16	0.00
U.S. DOLLAR			3/2/2018	0.000	0.000000	0.00	0.00	0.04	0.00
U.S. DOLLAR			2/29/2018	0.000	0.000000	0.00	0.00	1.40	0.00
U.S. DOLLAR			2/29/2018	0.000	0.000000	0.00	0.00	6.48	0.00
U.S. DOLLAR			2/11/2018	0.000	0.000000	0.00	0.00	0.38	0.00
U.S. DOLLAR			2/16/2018	0.000	0.000000	0.00	0.00	27.00	0.00
U.S. DOLLAR			3/3/2018	0.000	0.000000	2.21	0.00	0.00	0.00
U.S. DOLLAR		DTC	3/2/2018	8.998	0.000000	0.00	0.00	0.00	0.00
POUND STERLING			8/12/2018	-4.000	9.000000	36.00	0.00	0.00	0.00
POUND STERLING			3/2/2018	0.000	0.000000	-36.00	0.00	0.00	0.00
U.S. DOLLAR			3/2/2018	0.000	0.000000	50.41	0.00	0.00	0.00

FX Fee	Net Amount	Transaction Description	Trade Description 1	Trade Description 2
0.00	-3.56000	CASH WITHDRAWAL	DELIVER PROCEEDS AS RESULT	OF CHANGE IN CIL RATE
0.00	0.00000	DELIVER FREE	CL32741 JOE DAY	PO BOX 558
0.00	0.00000	DELIVER FREE	CL32158 DOUG JOHNSON	113 GRANT CIR
0.00	0.00000	DELIVER FREE	CL 31609 DAHL-ARNIE J	BUFFINGTON PO BOX 532390
0.00	16.21000	DELIVER VS PAY	DELIVER SHRS AS A RESULT	OF CIL FOR FRACTIONS
0.00	1,260.00000	DELIVER VS PAY	DELIVER SHARES AS A RESULT OF	CASH MERGER
0.00	1,769.31000	DELIVER VS PAY	REFER PROPERTY ID 3308597	UNEXECUTED SALE
0.00	10,902.01000	DELIVER VS PAY		
0.00	384.05000	DELIVER VS PAY		
0.00	274.00000	DELIVER VS PAY		
0.00	412.43000	DELIVER VS PAY		
0.00	28,653.03000	DELIVER VS PAY		
0.00	275.38000	DELIVER VS PAY		
0.00	20,562.79000	DELIVER VS PAY		
0.00	6,060.48000	DELIVER VS PAY		
0.00	876.56000	DELIVER VS PAY	REFER PROPERTY ID 33045	UNEXECUTED SALE
0.00	4,947.16000	DELIVER VS PAY	REFER PROPERTY ID 10817	UNEXECUTED SALE
0.00	5.65000	FOREIGN HOLDER RELEASE	REPS SALE OF 1.681799 SHARES	SALE OF 1.681799 SHARES
0.00	24.22000	FOREIGN HOLDER RELEASE	CASH DIVIDEND PAID	02/25/2018
0.00	4.16000	FOREIGN HOLDER RELEASE	CASH DIVIDEND PAID	03/01/2018
0.00	0.88000	FOREIGN HOLDER RELEASE	CASH DIVIDEND PAID	02/29/2018
0.00	1.13000	FOREIGN HOLDER RELEASE	CASH DIVIDEND PAID	02/29/2018
0.00	1.16000	FOREIGN HOLDER RELEASE	CASH DIVIDEND PAID	02/29/2018
0.00	0.04000	FOREIGN HOLDER RELEASE	CASH DIVIDEND PAID	02/29/2018
0.00	1.40000	FOREIGN HOLDER RELEASE	PAID AS A RESULT OF A CASH	ELECTION ON A DRIP
0.00	6.48000	FOREIGN HOLDER RELEASE	PAID AS A RESULT OF A CASH	ELECTION ON A DRIP
0.00	0.38000	FOREIGN HOLDER RELEASE	REC DIV. ON 1.000	SHRS PAY 03/04/18 RATE
0.00	27.00000	FOREIGN HOLDER RELEASE	REC DIV. ON 108.000	SHRS PAY 03/01/18 RATE
0.00	2.21000	FOREIGN HOLDER RELEASE	REPS SALE OF 0.203334 SHARES	SALE OF 0.203334 SHARES
0.00	0.00000	FREE RECEIPT	RECEIVE SHRS AS A RESULT	OF A STOCK ELECTION ON
0.00	36.00000	DELIVER VS PAY	REDEMPTION / TENDER ---	
0.00	-36.00000	FX CONTRACTS	FX TRADE	
0.00	50.41000	FX CONTRACTS	FX TRADE	

Trade Description 4	From Date	To Date	Transaction Code	Report ID	Fail Reason Description
	2/29/2018	3/4/2018	CW	ICUS0035	
TX 111111111	2/29/2018	3/4/2018	SW	ICUS0035	PENDING SETTLEMENT CONFIRMATION
TX 111111112	2/29/2018	3/4/2018	SW	ICUS0035	PENDING SETTLEMENT CONFIRMATION
TX 111111113	2/29/2018	3/4/2018	SW	ICUS0035	PENDING SETTLEMENT CONFIRMATION
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
	2/29/2018	3/4/2018	CD	ICUS0035	
AN OPTIONAL DIVIDEND	2/29/2018	3/4/2018	SD	ICUS0035	
	2/29/2018	3/4/2018	SELL	ICUS0035	
2/29/2018		3/4/2018	CW	ICUS0035	
2/29/2018		3/4/2018	CD	ICUS0035	

Position File

Reporting Account Number	Reporting Account Name	Security Xref Type	Mellon Security ID	Security Description 1	Security Description 2	Security Description 3	Security Description 4	Security Description 5	Coupon Rate	Maturity Date	Original Face	Shares/Par	Location Code
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	001419209	AIM TAX-EXEMPT FDS INC TAX EXEMPT	CASH FD CL A				0.000		0.000	3.900	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00142C599	AIM INVT SECS MONEY MKT FD INVS CL					0.000		0.000	3.780	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00142C771	AIM INVT SECS FDS INC	CASH RESERVE SHS				0.000		0.000	3.250	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	147548101	CASH MGMT TR AMER SH BEN INT					0.000		0.000	201.060	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	354014102	FRANKLIN MONEY FD					0.000		0.000	0.090	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	616980108	MORGAN STANLEY LIQUID FUND ASSET	FUND				0.000		0.000	16,578.400	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	683953103	OPPENHEIMER CASH RESVS SH BEN INT					0.000		0.000	74.710	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	768913105	RIVERSOURCE MONEY MKT SER INC CASH	MGMT FD CL A				0.000		0.000	4.610	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	283712206	EL PASO REFINERY LP PFD UNIT	PAR CONV $3				0.000		0.000	8.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	402571202	GULF USA CORP PFD SER A CONV $0.20					0.000		0.000	5.000	NYC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	402571301	GULF USA CORP PFD SER B CONV	$1.30				0.000		0.000	5.000	NYC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	460491889	INTERNATIONAL THOROUGHBRED BREEDERS	INC PFD SER A CONV $5 NEW				0.000		0.000	5.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	82668L609	SIGNET GROUP PLC SPONSORED ADR	REPSTG PREF CONV				0.000		0.000	3.000	NYC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	EF4320877	EURO DISNEY S.C.A. FF5				EDL FP EQUITY	0.000		0.000	10.000	ECA
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	LMB1W5991	GPO SITUR SA NPV B SHS					0.000		0.000	500.000	ECA
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	D1668R123	DAIMLER AG ORDINARY				DAI US EQUITY	0.000		0.000	68.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	G06055100	ATLANTIC CENTRAL ENTERPRISES	LIMITED SHS				0.000		0.000	50.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	G24182100	COOPER INDUSTRIES LTD	CL A			CBE US EQUITY	0.000		0.000	12.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	H8817H100	TRANSOCEAN LTD ZUG NAMEN-AKT					0.000		0.000	10.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	H8817H100	TRANSOCEAN LTD ZUG NAMEN-AKT					0.000		0.000	4.000	TRN
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	M6778Q105	LUMENIS LTD SHS					0.000		0.000	15.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	M82382108	SCAILEX CORPORATION LTD COM					0.000		0.000	1,000.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	N20935206	CNH GLOBAL NV				CNH US EQUITY	0.000		0.000	2.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	N74108106	RETAIL HOLDINGS NV SHS					0.000		0.000	3.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	Y68991994	CONTRA PHILEX MINING CORP CL B					0.000		0.000	885.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	001055102	AFLAC INC COM				AFL US EQUITY	0.000		0.000	345.000	TRN
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	001413194	AIM EQUITY FDS DIVERSIFIED	DIVIDEND FD INV CL				0.000		0.000	4.725	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	001413251	AIM EQUITY FDS LARGE CAP GROWTH	FD INVS CL				0.000		0.000	85.727	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	001413749	AIM EQUITY FDS LARGE CAP GROWTH FD	CL A				0.000		0.000	593.885	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00142F634	AIM SECTOR FDS TECHNOLOGY FD CL B					0.000		0.000	6.716	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00206R102	AT & T INC COM				T US EQUITY	0.000		0.000	410.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00206R102	AT & T INC COM				T US EQUITY	0.000		0.000	23.000	TRN
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	002440105	AVX CORP ACQ BY KYOCERA CORP	EFF 01/18/1990 CUSIP #501556203				0.000		0.000	21.000	NYC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	002486108	AAAMALL NET INC COM					0.000		0.000	5,300.000	NYC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00252R303	AAMAXAN TRANS GROUP INC COM PAR	$.001				0.000		0.000	2.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	002824100	ABBOTT LABS				ABT US EQUITY	0.000		0.000	46.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00371N407	ABLE LABRATORIES INC					0.000		0.000	49.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	004308102	ACCEPTANCE INS COS INC					0.000		0.000	1.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	004325205	ACCLAIM ENTMT INC PAR $0.02					0.000		0.000	25.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00508Y102	ACUITY BRANDS INC				AYI US EQUITY	0.000		0.000	3.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	007604101	AEGIS INDS INC					0.000		0.000	20.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	008015307	AEROSONIC CORP DEL PAR $0.40					0.000		0.000	100.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	008041204	AEROTELESIS INC					0.000		0.000	80.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00806A103	AEROTYME COMMUNICATIONS INC					0.000		0.000	150.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00826M103	AFFINITY TECHNOLOGY GROUP INC					0.000		0.000	45.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00827A108	AFFILIATED RES CORP					0.000		0.000	41,484.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	008882888	AIM INTL FDS ASIAN PACIFIC	GROWTH FD CL A				0.000		0.000	0.573	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	008920100	AIRTRAX INC					0.000		0.000	334.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00922R105	AIR TRANS SVCS GROUP INC COM					0.000		0.000	4.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	00950F205	AIRTECH INTERNATIONAL GROUP INC COM	NEW				0.000		0.000	173,110.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	010722106	ALADDIN INTL INC COMMON					0.000		0.000	400.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	013904305	ALCATEL LUCENT SPONSORED ADR				ALU US EQUITY	0.000		0.000	12.000	TRN
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	013904305	ALCATEL LUCENT SPONSORED ADR				ALU US EQUITY	0.000		0.000	37.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	015566102	ALGER FDS II ALGER SPECTRA FD CL A					0.000		0.000	0.644	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	016663106	ALL ST PPTYS HLDGS INC COM					0.000		0.000	440.000	NYC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	017361106	ALLEGHENY ENERGY INC				AYE US EQUITY	0.000		0.000	6.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	019222108	ALLIED HEALTHCARE PRODS INC					0.000		0.000	10.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	01951W106	ALLIED SEC INNOVATIONS INC COM					0.000		0.000	1.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	02075P100	ALPHA INTL CORP CDT-CAP STK					0.000		0.000	200,000.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	02209S103	ALTRIA GROUP INC				MO US EQUITY	0.000		0.000	40.000	TRN
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	023014103	AMARILLO MESQUITE GRILL INC					0.000		0.000	200.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	023412208	AMCOLE ENERGY CORP COM NEW					0.000		0.000	119.000	NYC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	02364W204	AMERICA MOVIL SAB DE CV A	SPONSORED ADR REPSTG SER A SHS				0.000		0.000	9.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	025083791	AMERICAN CENTY MUT FDS INC	HERITAGE FD INV				0.000		0.000	0.001	UNI
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	02523D105	AMERICAN CONS HLDG CORP COM					0.000		0.000	21.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	025537101	AMERICAN ELEC PWR INC				AEP US EQUITY	0.000		0.000	401.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	025636101	AMERICAN ENERGY GROUP LTD					0.000		0.000	170.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	025932104	AMERICAN FINL GROUP INC OHIO				AFG US EQUITY	0.000		0.000	32.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	026586107	AMERICAN HLDGS INC DEL					0.000		0.000	422.000	FLR
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	026874107	AMERICAN INTL GROUP INC				AIG US EQUITY	0.000		0.000	538.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	02738P109	AMERICAN MARKETING GROUP INTL INC	CDT-CAP STK				0.000		0.000	3,000.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	027528207	AMERICAN MIDLAND CORP NEW					0.000		0.000	459.000	NYC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	029099108	AMERICAN PREPAID LEGAL SVCS INC					0.000		0.000	105.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	029899101	AMERICAN STS WTR CO				AWR US EQUITY	0.000		0.000	180.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	030188106	AMERICAN TELNET CORP					0.000		0.000	9,200.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	03073E105	AMERISOURCEBERGEN CORP COM				ABC US EQUITY	0.000		0.000	8.000	DTC
XXXXXXXXXXXX	STATE OF SAMPLE	MEL	032511107	ANADARKO PETE CORP				APC US EQUITY	0.000		0.000	8.000	DTC

Position File

Location Name		Acct Base Currency Code	Acct Base Currency Name	Local Currency Code	Local Currency Name	Price Date	Local Price	Exchange Rate	Local Market Value	Base Market Value	As-Of Date	CINS	CUSIP	Ticker	ISIN	SEDOL	Valoren	Sicovam	WPK	Quick
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	2/29/2016	1.000000	1.000000	3.90	3.90	2/29/2018		001419209		US0014192092					
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	1.000000	1.000000	3.78	3.78	2/29/2018		00142C599		US00142C5994	2031428				
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	2/29/2016	1.000000	1.000000	3.25	3.25	2/29/2018		00142C771		US00142C7719					
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	3.590000	1.000000	721.81	721.81	2/29/2018		147548101		US1475481016					
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	2/9/2016	1.000000	1.000000	0.09	0.09	2/29/2018		354014102		US3540141021					
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	6/16/2010	1.000000	1.000000	16,578.40	16,578.40	2/29/2018	616980108	616980108		US6169801080		000930036			
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	9/30/2013	1.000000	1.000000	74.71	74.71	2/29/2018		683953103		US6839531034					
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/22/2013	1.000000	1.000000	4.61	4.61	2/29/2018		768913105		US7689131057					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	8/19/2008	0.000000	1.000000	0.00	0.00	2/29/2018		283712206	EPASZ	US2837122066					
US; MELLON SECURITIES TRUST CORP. N.Y.	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	0.000100	1.000000	0.00	0.00	2/29/2018		402571202		US4025712021					
US; MELLON SECURITIES TRUST CORP. N.Y.	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	9/28/2011	3.063000	1.000000	15.32	15.32	2/29/2018		402571301		US4025713011					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	0.020000	1.000000	0.10	0.10	2/29/2018		460491889	ITGBP	US4604918890					
US; MELLON SECURITIES TRUST CORP. N.Y.	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	11/1/2012	1.000000	1.000000	3.00	3.00	2/29/2018		82668L609		US82668L6092	2809197			880733	
EUROCLEAR BANK S.A.(BRUSSELS)	(GCO)	USD	U.S. DOLLAR	EUR	EURO CURRENCY	3/1/2016	0.120000	0.771873	1.20	1.55	2/29/2018	F26387104			FR0000125874	4320878	000499598	012587	877886	
EUROCLEAR BANK S.A.(BRUSSELS)	(GCO)	USD	U.S. DOLLAR	MXN	MEXICAN PESO	3/1/2016	1.000000	13.269950	500.00	37.68	2/29/2018	P4985F175			MX00SI030018	B1W5991	003053563			
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/22/2013	32.380000	1.000000	2,201.84	2,201.84	2/29/2018			DAI	DE0007100000	2307389				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	0.030000	1.000000	1.50	1.50	2/29/2018		G06055100	ALCN						
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	9/4/2012	28.080000	1.000000	336.96	336.96	2/29/2018		G24182100	CBE	BMG241821005	2949435		925555		
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	6/26/2014	64.370000	1.000000	643.70	643.70	2/29/2018		H8817H100	RIG	CH0048265513	B3KFWW1				
TRANSFER INTERIM LOCATION	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	64.370000	1.000000	257.48	257.48	2/29/2018		H8817H100	RIG	CH0048265513	B3KFWW1				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	1.330000	1.000000	19.95	19.95	2/29/2018		M6778Q105		IL0010824782	2318905				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	6.810000	1.000000	6,810.00	6,810.00	2/29/2018		M82382108	SCIXF	IL0010823537					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	14.640000	1.000000	29.28	29.28	2/29/2018		N20935206	CNH	NL0000298933	2534778	001586509			
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	4.100000	1.000000	12.30	12.30	2/29/2018		N74108106	RHDGF	ANN741081064					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	0.060000	1.000000	53.10	53.10	2/29/2018		Y68991994							
TRANSFER INTERIM LOCATION	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/22/2013	29.230000	1.000000	10,084.35	10,084.35	2/29/2018		001055102	AFL	US0010551028	2026361				000008686
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	1/11/2006	8.220000	1.000000	38.84	38.84	2/29/2018		001413194	LCEI	US0014131942					
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/22/2013	8.010000	1.000000	686.67	686.67	2/29/2018		001413251	LCGI						
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	7.950000	1.000000	4,721.39	4,721.39	2/29/2018		001413749	LCGA	US0014137493					
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	10/6/2006	18.130000	1.000000	121.76	121.76	2/29/2018		00142F634	ITYB	US00142F6346	B1F7D58				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	5/25/2011	25.280000	1.000000	10,364.80	10,364.80	2/29/2018		00206R102	T	US00206R1023	2831811				
TRANSFER INTERIM LOCATION	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/4/2011	25.280000	1.000000	581.44	581.44	2/29/2018		00206R102	T	US00206R1023	2831811				
US; MELLON SECURITIES TRUST CORP. N.Y.	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/21/2014	1.000000	1.000000	21.00	21.00	2/29/2018		002440105		US0024401053					
US; MELLON SECURITIES TRUST CORP. N.Y.	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	11/8/2011	1.000000	1.000000	5,300.00	5,300.00	2/29/2018	002486108	002486108		US0024861082		001132144		578487	
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	0.300000	1.000000	0.60	0.60	2/29/2018		00252R303	AAXT	US00252R3030	2614818				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	11/11/2013	44.370000	1.000000	2,041.02	2,041.02	2/29/2018		002824100	ABT	US0028241000	2002305				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	9/14/2015	0.000000	1.000000	0.00	0.00	2/29/2018		00371N407		US00371N4079	2945897				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	2/12/2009	0.002000	1.000000	0.00	0.00	2/29/2018		004308102		US0043081027					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	0.001000	1.000000	0.03	0.03	2/29/2018		004325205		US0043252057					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	12/22/2008	25.000000	1.000000	75.00	75.00	2/29/2018		00508Y102	AYI	US00508Y1029	2818461				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	1.000000	1.000000	20.00	20.00	2/29/2018	007604101	007604101		US0076041013		000903533		578500	
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	9/28/2012	1.622000	1.000000	162.20	162.20	2/29/2018		008015307	AIM	US0080153077					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/31/2014	0.001000	1.000000	0.08	0.08	2/29/2018		008041204	AOTL	US0080412044					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/12/2011	1.000000	1.000000	150.00	150.00	2/29/2018		00806A103		US00806A1034					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	0.003000	1.000000	0.14	0.14	2/29/2018		00826M103	AFFI	US00826M1036					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	0.000000	1.000000	0.00	0.00	2/29/2018		00827A108	AFFL	US00827A1088					
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/1/2016	15.180000	1.000000	8.70	8.70	2/29/2018		008882888	ASIA	US0088828886					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	0.006000	1.000000	2.00	2.00	2/29/2018		008920100	AITX	US0089201000	2561583				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	0.760000	1.000000	3.04	3.04	2/29/2018		00922R105	ATSG	US00922R1059	2938002				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	2/21/2008	0.000000	1.000000	0.00	0.00	2/29/2018		00950F205		US00950F2056					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/24/2009	1.000000	1.000000	400.00	400.00	2/29/2018		010722106		US0107221063					
TRANSFER INTERIM LOCATION	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	2.300000	1.000000	27.60	27.60	2/29/2018		013904305	ALU	US0139043055	2216593				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	2.300000	1.000000	85.10	85.10	2/29/2018		013904305	ALU	US0139043055	2216593				
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	7.010000	1.000000	4.51	4.51	2/29/2018		015566102	SPEC	US0155661020					
US; MELLON SECURITIES TRUST CORP. N.Y.	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	0.080000	1.000000	35.20	35.20	2/29/2018		016663106	ATPT	US0166631061					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	25.200000	1.000000	151.20	151.20	2/29/2018		017361106	AYE	US0173611064	2024020				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	3.148000	1.000000	31.48	31.48	2/29/2018		019222108	AHPI	US0192221085					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	0.001000	1.000000	0.00	0.00	2/29/2018		01951W106	ASVN	US01951W1062	2269962				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	5/29/2003	1.000000	1.000000	200,000.00	########	2/29/2018		02075P100		US02075P1003					
TRANSFER INTERIM LOCATION	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	16.730000	1.000000	669.20	669.20	2/29/2018		02209S103	MO	US02209S1033	2692632				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	11/26/2009	0.000000	1.000000	0.00	0.00	2/29/2018		023014103	MESQ	US0230141030					
US; MELLON SECURITIES TRUST CORP. N.Y.	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/27/2009	########	1.000000	11,900.00	11,900.00	2/29/2018		023412208		US0234122085					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	30.610000	1.000000	275.49	275.49	2/29/2018		02364W204	AMOV						
TRANSFER AGENT AS UNISSUED SHARES (MUTUAL FUNDS)	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	12.030000	1.000000	0.01	0.01	2/29/2018	025083791	025083791	TWHI	US0250837913		000580815		974377	
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/24/2009	1.000000	1.000000	21.00	21.00	2/29/2018		02523D105		US02523D1054					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	26.770000	1.000000	10,734.77	10,734.77	2/29/2018		025537101	AEP	US0255371017	2026242				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	3/15/2004	0.001000	1.000000	0.17	0.17	2/29/2018		025636101		US0256361017					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	17.690000	1.000000	566.08	566.08	2/29/2018		025932104	AFG	US0259321042	2134532				
FLOOR INTERIM LOCATION	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	0.005000	1.000000	2.11	2.11	2/29/2018		026586107	ADGI	US0265861072	B0188T7				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	1.460000	1.000000	785.48	785.48	2/29/2018		026874107	AIG	US0268741073	2027342				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	2/12/2007	1.000000	1.000000	3,000.00	3,000.00	2/29/2018		02738P109		US02738P1093					
US; MELLON SECURITIES TRUST CORP. N.Y.	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	0.001000	1.000000	0.46	0.46	2/29/2018		027528207	AMCO	US0275282079					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	6/23/2004	1.000000	1.000000	105.00	105.00	2/29/2018		029099108		US0290991084					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	34.610000	1.000000	6,229.80	6,229.80	2/29/2018		029899101	AWR	US0298991011	2267171				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/1/2005	0.000000	1.000000	0.00	0.00	2/29/2018		030188106		US0301881068					
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	34.570000	1.000000	276.56	276.56	2/29/2018		03073E105	ABC	US03073E1055	2795393				
US; DEPOSITORY TRUST COMPANY	(DCO)	USD	U.S. DOLLAR	USD	U.S. DOLLAR	4/21/2009	41.910000	1.000000	335.28	335.28	2/29/2018		032511107	APC	US0325111070	2032380				

Lot Level Valuation Report

LOT LEVEL VALUATION REPORT

Reporting Accou	Security ID	Security Description 1	Locator	Trade Date	Shares/Par
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01195	6/29/2001	0.0160
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01197	9/28/2001	0.0150
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01187	1/2/2002	0.0150
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01190	3/29/2002	0.0150
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01194	6/28/2002	0.0160
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01196	9/27/2002	0.0210
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01188	1/2/2003	0.0180
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01189	3/14/2003	4.2640
AUZF0XXXX002	713448108	PEPSICO INC	20030605L01192	3/31/2003	0.8590
AUZF0XXXX002	713448108	PEPSICO INC	20030721C00015	6/30/2003	0.6640
AUZF0XXXX002	713448108	PEPSICO INC	20030721C00016	6/30/2003	0.0190
AUZF0XXXX002	713448108	PEPSICO INC	20031209C00014	9/30/2003	0.6550
AUZF0XXXX002	713448108	PEPSICO INC	20040130C00033	1/2/2004	0.6410
AUZF0XXXX002	713448108	PEPSICO INC	20040527C00035	3/31/2004	0.5630
AUZF0XXXX002	713448108	PEPSICO INC	20050915C00040	1/3/2005	2.5140
AUZF0XXXX002	713448108	PEPSICO INC	20050915C00039	6/30/2005	0.0450
AUZF0XXXX002	713448108	PEPSICO INC	20060316C00015	1/3/2006	0.0360
AUZF0XXXX002	713448108	PEPSICO INC	20060201C00122	1/3/2006	0.8550
AUZF0XXXX002	713448108	PEPSICO INC	20060428C00030	3/31/2006	0.0370
AUZF0XXXX002	713448108	PEPSICO INC	20101105C00103	11/5/2010	9.0000
AUZF0XXXX002	713448108	PEPSICO INC	20111024C00116	10/21/2011	2.0000
AUZF0XXXX002	713448108	PEPSICO INC	20141020C00043	10/17/2014	6.0000
AUZF0XXXX002	713448108	PEPSICO INC	20151005C00264	10/2/2015	7.0000
AUZF0XXXX002	713448108	PEPSICO INC	20161018S00107	10/17/2016	76.0000
AUZF0XXXX002	713448108	PEPSICO INC	20161101A00077	11/1/2016	61.0000
AUZF0XXXX002	713448108	PEPSICO INC	20171011S00088	10/10/2017	22.0000
AUZF0XXXX002	713448108	PEPSICO INC	20180711S00062	7/10/2018	105.0000
AUZF0XXXX002	00846U101	AGILENT TECHNOLOGIES INC	20151005C00207	10/2/2015	361.0000
AUZF0XXXX002	00846U101	AGILENT TECHNOLOGIES INC	20161006A00010	10/6/2016	10.0000
AUZF0XXXX002	00846U101	AGILENT TECHNOLOGIES INC	20171006S00122	10/5/2017	60.0000
AUZF0XXXX002	00846U101	AGILENT TECHNOLOGIES INC	20171027S00091	10/26/2017	1.0000
AUZF0XXXX002	00847G705	AGENUS INC	20151028C00044	10/28/2015	19.0000
AUZF0XXXX002	00847G705	AGENUS INC	20161027A00036	10/26/2016	18.0000
AUZF0XXXX002	00847G705	AGENUS INC	20180410S00065	4/9/2018	66.0000
AUZF0XXXX002	008882102	INVESCO INTL GRWTH-A	20161110A00047	10/31/2016	145.6250
AUZF0XXXX002	008882102	INVESCO INTL GRWTH-A	20161216A00028	12/13/2016	1.7700
AUZF0XXXX002	008882102	INVESCO INTL GRWTH-A	20171218A00042	12/13/2017	1.3170
AUZF0XXXX002	008882102	INVESCO INTL GRWTH-A	20171218A00043	12/13/2017	2.5010
AUZF0XXXX002	008920100	AIRTRAX INC	20130821C00012	8/12/2013	22,000.0000
AUZF0XXXX002	008920100	AIRTRAX INC	20161012A00034	10/6/2016	30,000.0000

LOT LEVEL VALUATION REPORT

AUZF0XXXX002	008920100	AIRTRAX INC	20170814S00157	8/7/2017	13,000.0000
AUZF0XXXX002	008920100	AIRTRAX INC	20180725S00211	7/24/2018	19,500.0000
AUZF0XXXX002	00910M100	AIR CHINA LTD	20160122C00037	1/22/2016	22.0000
AUZF0XXXX002	00950F205	AIRTECH INTL GRP INC COM NEW	20161012A00035	10/6/2016	41,400.0000
AUZF0XXXX002	00950F205	AIRTECH INTL GRP INC COM NEW	20170808S00131	8/7/2017	4,228.0000
AUZF0XXXX002	00950F205	AIRTECH INTL GRP INC COM NEW	20180726S00108	7/24/2018	140.0000
AUZF0XXXX002	013872106	ALCOA CORP	20161101F00141	10/21/1997	0.1820
AUZF0XXXX002	013872106	ALCOA CORP	20161101F00142	2/11/2000	0.0400
AUZF0XXXX002	013872106	ALCOA CORP	20161101F00143	10/2/2015	1.6670
AUZF0XXXX002	013872106	ALCOA CORP	20161101F00144	10/14/2015	0.1110
AUZF0XXXX002	013872106	ALCOA CORP	20171019S00120	10/18/2017	4.0000
AUZF0XXXX002	141798108	CARIBBEAN AMERN HLTH RESORTS	20161012A00048	10/6/2016	7.0000
AUZF0XXXX002	141798108	CARIBBEAN AMERN HLTH RESORTS	20170814S00067	8/7/2017	1,000.0000
AUZF0XXXX002	141798108	CARIBBEAN AMERN HLTH RESORTS	20180731S00131	7/24/2018	2,400.0000
AUZF0XXXX002	14214L510	CARILLON EAGLE S/C GRW-A	20171120F00036	10/9/2015	10.3470
AUZF0XXXX002	14214L510	CARILLON EAGLE S/C GRW-A	20171120F00037	12/18/2015	0.7370
AUZF0XXXX002	14214L510	CARILLON EAGLE S/C GRW-A	20171120F00039	12/23/2016	0.3340
AUZF0XXXX002	14214L510	CARILLON EAGLE S/C GRW-A	20171120F00038	12/23/2016	0.0060
AUZF0XXXX002	14214L510	CARILLON EAGLE S/C GRW-A	20171227A00021	12/22/2017	0.9240
AUZF0XXXX002	191216100	COCA-COLA CO/THE	20121023C00047	10/22/2012	4.0000
AUZF0XXXX002	191216100	COCA-COLA CO/THE	20151005C00232	10/2/2015	24.0000
AUZF0XXXX002	191216100	COCA-COLA CO/THE	20160414C00016	4/13/2016	82.0000
AUZF0XXXX002	191216100	COCA-COLA CO/THE	20161006A00018	10/6/2016	11.0000
AUZF0XXXX002	191216100	COCA-COLA CO/THE	20171006S00180	10/5/2017	4.0000
AUZF0XXXX002	191216100	COCA-COLA CO/THE	20171011S00030	10/10/2017	2.0000
AUZF0XXXX002	26842F103	E-DIRECT INC	20101019C00038	10/18/2010	2.0000
AUZF0XXXX002	26842F103	E-DIRECT INC	20161012A00058	10/6/2016	4.0000
AUZF0XXXX002	26842F103	E-DIRECT INC	20170814S00101	8/7/2017	2.0000
AUZF0XXXX002	26842F103	E-DIRECT INC	20180727A00016	7/24/2018	2.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20120928C00130	9/28/2012	8.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20121011C00093	10/11/2012	4.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20131003C00207	10/3/2013	1.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20141024C00021	10/23/2014	1.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20150512C00030	5/12/2015	2.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20151019C00027	10/19/2015	10.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20151026C00032	10/23/2015	121.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20161031A00076	10/20/2016	55.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20171005S00199	10/4/2017	24.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20171011S00038	10/10/2017	5.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20171025S00054	10/25/2017	3.0000
AUZF0XXXX002	412822108	HARLEY-DAVIDSON INC	20180117S00064	1/16/2018	5.0000

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BNY Mellon Global Markets List

BNY MELLON
GLOBAL NETWORK MANAGEMENT

GLOBAL CUSTODY NETWORK FOR THE 6-DIGIT CUSTODY ACCOUNT

Subcustodians are selected for the network based on a variety of criteria, such as compliance with worldwide regulatory requirements, competitive pricing, general market reputation, SWIFT message capabilities, financial strength, overall banking relationship with The Bank of New York Mellon, and ability to consistently meet our clients' needs. Each bank must meet a set of stringent performance standards prior to selection, which are reexamined during regular reviews and on-site visits.

Below is our list of Subcustodians and International Central Securities Depositories (ICSD) for the 6-digit Custody Account. All subcustodians/markets may not be applicable. If you have any questions, please contact your Relationship Executive or Account Manager.

Country/Market	Subcustodian	Address
Argentina	Citibank N.A., Argentina	Bartolome Mitre 502/30 (C1036AAJ) Buenos Aires, Argentina
Australia	Citigroup Pty Limited	Level 16, 120 Collins Street Melbourne, VIC 3000 Australia
Australia	National Australia Bank Limited	12th Floor, 500 Bourke Street, Melbourne Victoria 3000, Australia
Australia	The Hongkong and Shanghai Banking Corporation Limited	Level 5, 10 Smith Street Parramatta NSW 2150 Australia
Austria	Citibank Europe plc.	1 North Wall Quay Dublin 1 Ireland
Austria	UniCredit Bank Austria AG	Schottengasse 6-8 1010 Vienna, Austria
Bahrain	HSBC Bank Middle East Limited	4th Floor, Building No 2505, Road No 2832, Al Seef 428, Bahrain
Bangladesh	The Hongkong and Shanghai Banking Corporation Limited	Management Office, Shanta Western Tower, Level 4, 186 Bir Uttam Mir Shawkat Ali Shorok, (Tejgaon Gulshan Link Road) Tejgaon Industrial Area, Dhaka 1208, Bangladesh
Belgium	Citibank Europe Plc, UK branch	Citigroup Centre Canada Square, Canary Wharf London E14 5LB United Kingdom
Belgium	The Bank of New York Mellon SA/NV	Rue Montoyer, 46 1000 Brussels Belgium
Bermuda	HSBC Bank Bermuda Limited	Custody and Clearing Department 6 Front Street Hamilton Bermuda HM11
Botswana	Stanbic Bank Botswana Limited	Plot 50672, Fairgrounds Office Park Gaborone, Botswana

Brazil	Citibank N.A., Brazil	Citibank N.A. , Brazilian Branch Avenida Paulista, 1111 – 13th floor Cerqueira Cesar – Sao Paulo, Brazil CEP: 01311-920
Brazil	Itaú Unibanco S.A.	Praça Alfredo Egydio de Souza Aranha, 100 São Paulo, S.P. - Brazil 04344-902
Bulgaria	Citibank Europe plc, Bulgaria Branch	48 Sitnyakovo Blvd Serdika Offices, 10th floor Sofia 1505, Bulgaria
Canada	CIBC Mellon Trust Company (CIBC Mellon)	1 York Street, Suite 900 Toronto, Ontario, M5J 0B6 Canada
Cayman Islands	The Bank of New York Mellon	225 Liberty Street New York, NY 10286 United States
Channel Islands	The Bank of New York Mellon	225 Liberty Street New York, NY 10286, United States
Chile	Banco de Chile	Estado 260 2nd Floor Santiago, Chile Postal code 8320204
Chile	Itaú Corpbanca S.A.	Presidente Riesco Street 5537 18th Floor Las Condes Santiago, Chile
China	HSBC Bank (China) Company Limited	33 Floor, HSBC Building, Shanghai ifc 8 Century Avenue, Pudong Shanghai, China (200120)
Colombia	Cititrust Colombia S.A. Sociedad Fiduciaria	Carrera 9A No 99-02 Piso 2 Bogota D.C., Colombia
Costa Rica	Banco Nacional de Costa Rica	1st and 3rd Avenue, 4th Street San José, Costa Rica
Croatia	Privredna banka Zagreb d.d.	Radnicka cesta 50 10 000 Zagreb Croatia
Cyprus	BNP Paribas Securities Services	2 Lampsakou street 115 28 Athens Greece
Czech Republic	Citibank Europe plc, organizacni slozka	Bucharova 2641/14 158 02 Prague 5, Czech Republic
Denmark	Skandinaviska Enskilda Banken AB (Publ)	Kungsträdgårdsgatan 8 106 40 Stockholm - Sweden
Egypt	HSBC Bank Egypt S.A.E.	306 Corniche El Nil, Maadi, Cairo, Egypt
Estonia	SEB Pank AS	Tornimäe Str. 2 15010 Tallinn Estonia
Euromarket	Clearstream Banking S.A.	42 Avenue J.F. Kennedy 1855 Luxembourg Grand Duchy of Luxembourg

Euromarket	Euroclear Bank	1 Boulevard du Roi Albert II B-1210 Brussels - Belgium
Finland	Skandinaviska Enskilda Banken AB (Publ)	Kungsträdgårdsgatan 8 106 40 Stockholm - Sweden
France	BNP Paribas Securities Services S.C.A.	Office Address :Les Grands Moulins de Pantin – 9 rue du Débarcadère 93500 Pantin, France Legal address: 3 rue d'Antin, 75002 Paris, France
France	Citibank Europe Plc, UK branch	Citigroup Centre Canada Square, Canary Wharf London E14 5LB United Kingdom
Germany	The Bank of New York Mellon SA/NV, Asset Servicing, Niederlassung Frankfurt am Main	Friedrich-Ebert-Anlage, 49 60327 Frankfurt am Main Germany
Ghana	Stanbic Bank Ghana Limited	Stanbic Heights, Plot No. 215 South Liberation RD, Airport City, Cantonments, Accra, Ghana
Greece	BNP Paribas Securities Services	2 Lampsakou street 115 28 Athens Greece
Hong Kong	Deutsche Bank AG	52/F International Commerce Centre 1 Austin Road West, Kowloon, Hong Kong
Hong Kong	The Hongkong and Shanghai Banking Corporation Limited	1, Queen's Road, Central Hong Kong
Hungary	Citibank Europe plc. Hungarian Branch Office	Szabadság tér 7 1051 Budapest Hungary
Iceland	Landsbankinn hf.	Austurstraeti 11 155 Reykjavik Iceland
India	Deutsche Bank AG	4th Floor, Block I, Nirlon Knowledge Park, W.E. Highway Mumbai - 400 063, India
India	The Hongkong and Shanghai Banking Corporation Limited	11F, Building 3, NESCO - IT Park, NESCO Complex, Western Express Highway, Goregaon (East), Mumbai 400063, India
Indonesia	Deutsche Bank AG	7th Floor, Deutsche Bank Building Jl. Imam Bonjol No.80, Jakarta – 10310, Indonesia
Ireland	The Bank of New York Mellon	225 Liberty Street New York, NY 10286, United States
Israel	Bank Hapoalim B.M.	50 Rothschild Blvd Tel Aviv 61000 Israel
Italy	Citibank N.A. Milan	Via Mercanti 12 20121 Milan Italy

Italy	Intesa Sanpaolo S.p.A.	Piazza San Carlo, 156 10121 Torino Italy
Italy	The Bank of New York Mellon SA/NV	Rue Montoyer, 46 1000 Brussels Belgium
Japan	Mizuho Bank, Ltd.	Shinagawa Intercity Tower A, 2-15-1, Konan, Minato-ku, Tokyo 108-6009, Japan
Japan	The Bank of Tokyo-Mitsubishi UFJ, Ltd.	1-3-2, Nihombashi Hongoku-cho, Chuo-ku, Tokyo 103-0021, Japan
Jordan	Standard Chartered Bank	1 Basinghall Avenue London, EC2V5DD, United Kingdom
Kazakhstan	Citibank Kazakhstan Joint-Stock Company	Park Palace Building A, 41 Kazybek Bi Street, Almaty, A25T0A1 Kazakhstan
Kenya	Stanbic Bank Kenya Limited	First Floor, Stanbic Centre P.O. Box 72833 00200 Chiromo Road, Westlands, Nairobi, Kenya.
Kuwait	HSBC Bank Middle East Limited, Kuwait	Sharq Area, Abdulaziz Al Sager Street, Al Hamra Tower, 37F P.O. Box 1683, Safat 13017, Kuwait
Latvia	AS SEB banka	Meistaru iela 1 Valdlauci Kekavas pagasts, Kekavas novads LV-1076 Latvia
Lithuania	AB SEB bankas	12 Gedimino Av. LT-01103 Vilnius Lithuania
Luxembourg	Euroclear Bank	1 Boulevard du Roi Albert II B-1210 Brussels - Belgium
Malawi	Standard Bank Limited	Standard Bank Centre Africa Unity Avenue. P O Box 30380 Lilongwe 3 Malawi
Malaysia	Deutsche Bank (Malaysia) Berhad	Level 20, Menara IMC No 8 Jalan Sultan Ismail 50250 Kuala Lumpur, Malaysia
Malta	The Bank of New York Mellon SA/NV, Asset Servicing, Niederlassung Frankfurt am Main	Friedrich-Ebert-Anlage, 49 60327 Frankfurt am Main Germany
Mauritius	The Hongkong and Shanghai Banking Corporation Limited	6th Floor, HSBC Centre, 18 Cybercity, Ebene, Mauritius

Mexico	Banco Santander (México), S.A.	Av. Vasco De Quiroga No. 3900 - Piso 20 Col. Lomas de Santa Fe, Del. Alvaro Obregón Edificio Torre Diamante Ciudad de México, 05300 Mexico
Mexico	Citibanamex	Actuario Roberto Medellin 800 Colonia Santa Fe Mexico, D.F. C.P.01210
Morocco	Citibank Maghreb S.A.	Zenith Millenium, Immeuble 1 Sidi Maarouf, B.P. 40 20190 Casablanca Morocco
Namibia	Standard Bank Namibia Limited	2nd Floor, Standard Bank Centre, Town Square Corner of Post Street Mall and Werner List Street Windhoek, Namibia
Netherlands	The Bank of New York Mellon SA/NV	Rue Montoyer, 46 1000 Brussels Belgium
New Zealand	National Australia Bank Limited	12th Floor, 500 Bourke Street, Melbourne Victoria 3000, Australia
New Zealand	The Hongkong and Shanghai Banking Corporation Limited	Level 9, HSBC Building, 1 Queen Street, Auckland 1010,
Nigeria	Stanbic IBTC Bank Plc.	Walter Carrington Crescent Victoria Island Lagos, Nigeria
Norway	Skandinaviska Enskilda Banken AB (Publ)	Kungsträdgårdsgatan 8 106 40 Stockholm - Sweden
Oman	HSBC Bank Oman S.A.O.G.	2nd Floor, Head Office Building, P.O. Box 1727, Al Khuwair, Postal Code 111, Sultanate of Oman
Pakistan	Deutsche Bank AG	242-243, Avari Plaza, Fatima Jinnah Road Karachi – 75330, Pakistan
Panama	Citibank N.A., Panama Branch	Boulevard Punta Pacífica Torre de las Américas, Torre B, Piso 14 Apartado 0834-00555 Panama City, Panama
Peru	Citibank del Peru S.A.	Avenida Canaval y Moreyra, 480, 3rd floor Lima 27, Peru
Philippines	Deutsche Bank AG	23rd Floor, Tower One & Exchange Plaza, Ayala Triangle, Ayala Avenue, 1226 Makati City Philippines
Poland	Bank Polska Kasa Opieki S.A.	53/57 Grzybowska Street 00-950 Warszawa Poland
Portugal	Citibank Europe Plc, Sucursal em Portugal	Rua Barata Salgueiro, 30 - 5th floor 1269-056 Lisbon Portugal
Qatar	HSBC Bank Middle East Limited, Doha	2nd Floor, Ali Bin Ali Tower, Building no: 150, Al Matar Street (Airport Road) P.O. Box 57, Street no. 950, Umm Ghuwalina Area, Doha, Qatar

Romania	Citibank Europe plc Dublin, Romania Branch	145, Calea Victoriei 010072 Bucharest Romania
Russia	AO Citibank	8-10, building 1 Gasheka Street Moscow 125047 Russia
Russia	PJSC ROSBANK	Mashi Poryvaevoy, 34 107078 Moscow Russia
Saudi Arabia	HSBC Saudi Arabia	HSBC Building, 7267 Olaya Road, Al-Murooj Riyadh 12283-2255, Kingdom of Saudi Arabia
Serbia	UniCredit Bank Serbia JSC	Rajiceva Street 27-29, 11000 Belgrade, Serbia
Singapore	DBS Bank Ltd	12 Marina Boulevard Marina Bay Financial Centre Tower 3 Singapore 018982
Singapore	United Overseas Bank Limited	80 Raffles Place UOB Plaza Singapore 048624
Slovak Republic	Citibank Europe plc, pobocka zahranicnej banky	Dvorakovo nabrezie 8 811 02 Bratislava, Slovak Republic
Slovenia	UniCredit Banka Slovenija d.d.	Smartinska 140, 1000 - Ljubljana, Slovenia
South Africa	The Standard Bank of South Africa Limited	9th Floor 5 Simmonds Street Johannesburg 2001, South Africa
South Korea	Deutsche Bank AG	18th Floor, Young-Poong Building 41 Cheonggyecheon-ro, Jongro-ku, Seoul 03188, South Korea
South Korea	The Hongkong and Shanghai Banking Corporation Limited	5th Floor, HSBC Building, 37, Chilpae-ro, Jung-Gu, Seoul, South Korea, 04511
Spain	Banco Bilbao Vizcaya Argentaria, S.A.	Plaza San Nicolás, 4 48005 Bilbao Spain
Spain	Santander Securities Services, S.A.U.	Ciudad Grupo Santander. Avenida de Cantabria s/n Boadilla del Monte 28660 – Madrid, Spain
Sri Lanka	The Hongkong and Shanghai Banking Corporation Limited	24 Sir Baron Jayathilake Mawatha Colombo 01, Sri Lanka
Swaziland	Standard Bank Swaziland Limited	Standard House, Swazi Plaza Mbabane, Swaziland
Sweden	Skandinaviska Enskilda Banken AB (Publ)	Kungsträdgårdsgatan 8 106 40 Stockholm - Sweden
Switzerland	Credit Suisse (Switzerland) Ltd.	Paradeplatz 8 8070 Zurich Switzerland
Switzerland	UBS Switzerland AG	Max-Högger-Strasse 80 8048 Zürich, Switzerland

Taiwan	HSBC Bank (Taiwan) Limited	11F, No. 369, Section 7, Zhongxiao East Road Nangang District, Taipei City 115 Taiwan (ROC)
Tanzania	Stanbic Bank Tanzania Limited	Stanbic House PO Box 72647 Dar es Salaam Tanzania
Thailand	The Hongkong and Shanghai Banking Corporation Limited	Level 5, HSBC Building, 968 Rama IV Road, Bangrak Bangkok 10500, Thailand
Tunisia	Banque Internationale Arabe de Tunisie	70-72, Avenue Habib Bourguiba 1080 Tunis Tunisia
Turkey	Deutsche Bank A.S.	Esentepe Mahallesi Büyükdere Caddesi Tekfen Tower No:209 K:17 Sisli TR-34394-Istanbul, Turkey
U.A.E.	HSBC Bank Middle East Limited, Dubai	Emaar Square, Building 5, Level 4 PO Box 502601 Dubai, United Arab Emirates
U.K.	Depository and Clearing Centre (DCC) Deutsche Bank AG, London Branch	Winchester House 1 Great Winchester Street London EC2N 2DB United Kingdom
U.K.	The Bank of New York Mellon	225 Liberty Street New York, NY 10286, United States
U.S.A.	The Bank of New York Mellon	225 Liberty Street New York, NY 10286 United States
U.S.A. Precious Metals	HSBC Bank, USA, N.A.	452 Fifth Avenue, New York, NY 10018
Uganda	Stanbic Bank Uganda Limited	Plot 17 Hannington Road Short Tower- Crested Towers P.O. Box 7131, Kampala, Uganda
Ukraine	Public Joint Stock Company "Citibank"	16G Dilova Street 03150 Kiev Ukraine
Uruguay	Banco Itaú Uruguay S.A.	Dr. Luis Bonavita 1266 Toree IV, Piso 10 CP 11300 Montevideo, Uruguay
Venezuela	Citibank N.A., Sucursal Venezuela	Av. Casanova, Centro Comercial El Recreo Torre Norte, Piso 19 Sabana Grande, Caracas 1050 D.C. Venezuela
Vietnam	HSBC Bank (Vietnam) Ltd	The Metropolitan, 235 Dong Khoi Street District 1, Ho Chi Minh City, Vietnam
WAEMU	Société Générale de Banques en Côte d'Ivoire	5/7 Avenue Joseph Anoma 01 BP 1355 Abidjan 01 - Ivory Coast
Zambia	Stanbic Bank Zambia Limited	Stanbic House, Plot 2375, Addis Ababa Drive P.O Box 31955 Lusaka, Zambia

Zimbabwe	Stanbic Bank Zimbabwe Limited	59 Samora Machel Avenue, Harare, Zimbabwe

Note: Benin, Burkina-Faso, Guinea Bissau, Ivory Coast, Mali, Niger, Senegal and Togo are members of the West African Economic and Monetary Union (WAEMU).

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BNY MELLON

11 July 2017

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NEXEN® Users Manual

NEXEN®
A Users Manual

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Transactions of Your Unclaimed
Securities Portfolio Online

January 2020

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Preface

NEXEN® is The Bank of New York Mellon's ("BNY Mellon") internet-based product, which is available 24 hours a day, 7 days a week. NEXEN® runs completely via the internet and requires no extra software to be installed by the state. It is secured by a unique user ID and password for each user. Each user is set up only with the state's authorization.

Avenu Insights & Analytics uses NEXEN® to input trades on behalf of the state such as transfer requests, security deposits, liquidations, check deposits, and cash withdrawals. As a result, the state can use NEXEN® to review what Avenu has requested and also monitor the status of all the transactions. States have inquiry only access to NEXEN® to review transactions, balances, positions and for robust reporting capabilities.

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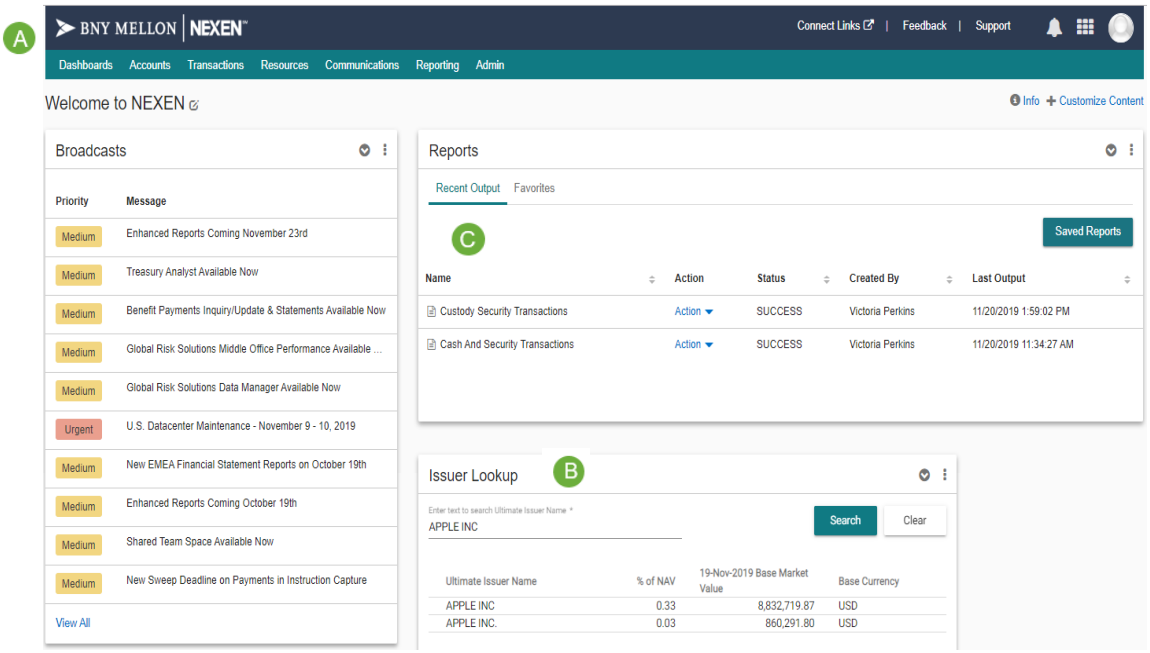
eReporting

States currently have authorized access to eReporting on NEXEN®, which is the same report system that Avenu uses. As an additional tool for performing inquiries, eReporting enhances the state's ability to obtain information about the account. Listed below are some of the reports that are most commonly used.



A Reporting Options

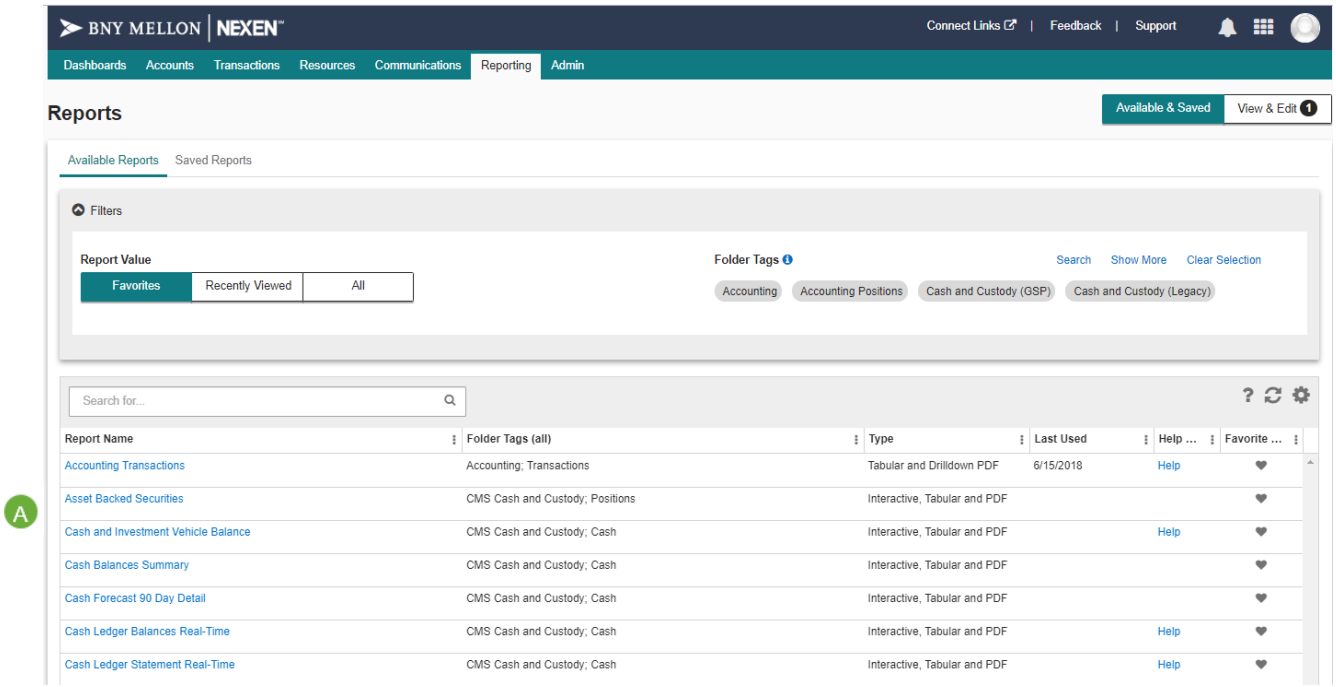
B Market Reference

C Reporting Quick View and Process

NEXEN® Homepage

NEXEN® eReporting

The state has full access to eReporting, where various reports are available. Below is an overview of some of the reports:



A Most Commonly Used Reports

Custody Positions

NEXEN® provides the following reports to track the positions that the state is holding:

Custody Holdings

This report provides the status of any shares that the state is holding, either the entire portfolio at once or individual share positions by security. It shows both pending shares and settled shares. Also, the report provides the location of each position. These features allow the state to have a clear idea as to the availability of the shares. The report runs in real time too.

AVENU INSIGHTS & ANALYTICS

Custody Holdings
By Security - Details By Status
10/31/2019

Report ID ICUS0016

XXXXX - AUZF STATE OF XXXXXXXX

ISIN	Description	Ccy	Ctry Inc	Status	Loc (A)	Reg	Traded Shares/Par Amortized Face	Settled Shares/Par (C)	Pending Receive Shares / Par (B)	Pending Deliver Shares/Par
AN8068571086	SCHLUMBERG COM USD0.01	USD	CW	AVAILABLE	DTC	DTC	10.0000	10.0000		
BMG9001E1286	LIBERTY LATIN AMERICA LTD USD 0.01	USD	BM	AVAILABLE	DTC	DTC	3.0000	3.0000		
CA02153P1053	ALTERRUS SYS INC NPV	USD	CA	AVAILABLE	DTC	DTC	11.0000	11.0000		
CA05534B7604	BCE INC NPV	CAD	CA	AVAILABLE	DTC	DTC	1.0000	1.0000		
CA2210131058	CORVUS GOLD INC NPV	CAD	CA	AVAILABLE	DTC	DTC	50.0000	50.0000		
CA22208A1012	COUGAR OIL NPV	USD	CA	AVAILABLE	DTC	DTC	200.0000	200.0000		
CA3499151080	FORTUNA SILVER MINES INC COMMON	USD	CA	AVAILABLE	DTC	DTC	2.0000	2.0000		
CA6125952078	MONTEREY PETE 1971 LTD NPV	USD	US	AVAILABLE	NYV	NDNC		50.0000		50.0000
CA6565685089	NORTEL NETWORKS CORP NEW NPV	USD	CA	AVAILABLE	DTC	DTC	7.0000	7.0000		
CA77174P3007	ROCHESTER RES LTD NPV	CAD	CA	AVAILABLE	DTC	DTC	250.0000	250.0000		
CA88635W1077	TIDAL RTY CORP NPV	USD	CA	AVAILABLE	DTC	DTC	66.0000	66.0000		
CA9628791027	WHEATON PRECIOUS METALS CORP NPV	CAD	CA	AVAILABLE	DTC	DTC	38.0000	38.0000		
CH0048265513	TRANSOCEAN LTD CHF 0.1	USD	CH	AVAILABLE	DTC	DTC	1.0000	1.0000		
CH0102993182	TE CONNECTIVITY LTD 2.6	USD	CH	AVAILABLE	DTC	DTC	12.0000	12.0000		
CH0114405324	GARMIN LTD CHF 0.1	USD	CH	AVAILABLE	DTC	DTC	200.0000	200.0000		
GB00B8W67662	LIBERTY GLOBAL PLC USD A	USD	GB	AVAILABLE	DTC	DTC	3.0000	3.0000		

A Sorted by security location where securities are held

B Shows pending trades (Delivery and/or Receipt)

C Total share amount for Traded and Settled Positions

Custody Holdings by Location

AVENU INSIGHTS & ANALYTICS

Custody Holdings
By Security - Details By Status
10/31/2019

Report ID ICUS0016

XXXXX - AUZF STATE OF XXXXXXXX

ISIN	Description	Ccy	Ctry Inc	Status	Loc (A)	Reg	Traded Shares/Par Amortized Face	Settled Shares/Par	Pending Receive Shares / Par	Pending Deliver Shares/Par (B)
US0534953056	AVAX TECHNOLOGIES INC USD 0.004	USD	US	AVAILABLE	DTC	DTC	10.0000	10.0000		
US0537741052	AVIS BUDGE COM STK USD0.01	USD	US	AVAILABLE	DTC	DTC	8.0000	8.0000		
US0538071038	AVNET INC USD 1.0	USD	US	AVAILABLE	DTC	DTC	12.0000	12.0000		
US0543031027	AVON PRODU COM USD0.25	USD	US	AVAILABLE	DTC	DTC	170.0000	170.0000		
US0545361075	AXA SA NPV ADR	USD	FR	AVAILABLE	DTC	DTC	249.0000	249.0000		
US05462D1019	AXION INTL HLDGS INC NPV	USD	US	AVAILABLE	DTC	DTC	2.0000	2.0000		
US0547801011	AZKAN TECHNOLOGY INC	USD	US	AVAILABLE	NYV	NDNC		10.0000		10.0000
US05532D1072	BB LIQUIDATING INC USD 0.01	USD	US	AVAILABLE	DTC	DTC	50.0000	50.0000		
US0556221044	BP P L C 25P ADR	USD	GB	AVAILABLE	DTC	DTC	974.0000	974.0000		
US05588K1043	BNY MELLON COM	USD	US	AVAILABLE	MUT	MAC	420.2320		420.2320	
US05588W1080	BNY MELLON COM USD0.001	USD	US	AVAILABLE	DTC	DTC	10.0000	10.0000		
US0576901096	BALD EAGLE ENERGY INC USD 0.001	USD	US	AVAILABLE	DTC	DTC	300.0000	300.0000		
US0579001027	BALBOA EXP COM USD0.01	USD	US	AVAILABLE	NYV	NDNC		4,100.0000		4,100.0000
US05946K1016	BANCO BILBAO VIZCAYA A EUR 0.49 ADR	USD	ES	AVAILABLE	DTC	DTC	1.0000	1.0000		
US0605051046	BK OF AMER COM USD0.01	USD	US	AVAILABLE	DTC	DTC	7,467.0000	7,467.0000		
US06777U1016	BARNES + NOBLE ED INC USD 0.01	USD	US	AVAILABLE	DTC	DTC	31.0000	31.0000		
US0718131099	BAXTER INTL INC USD 1.0	USD	US	AVAILABLE	DTC	DTC	1.0000	1.0000		

A Location is clearly listed out along with share amounts.

B Pending shares

Custody Holdings by Location

AVENU INSIGHTS & ANALYTICS

Custody Holdings
By Security - Details By Status
10/31/2019

Report ID ICUS0016

XXXXX - AUZF STATE OF XXXXXXXX

ISIN	Description	Ccy	Ctry Inc	Status	Loc	Reg	Traded Shares/Par Amortized Face	Settled Shares/Par	Pending Receive Shares / Par	Pending Deliver Shares/Par
US98421M1062	XEROX HLDGS CORP USD 1.0	USD	US	AVAILABLE	DTC	DTC	1.0000	1.0000		
US9884981013	YUM BRANDS INC NPV	USD	US	AVAILABLE	DTC	DTC	1,383.0000	1,383.0000		
US98850P1093	YUM CHINA HLDGS INC USD 0.01	USD	US	AVAILABLE	DTC	DTC	1,136.0000	1,136.0000		
US98954G2030	024 PHARMA INC NPV	USD	US	AVAILABLE	DTC	DTC	1.0000	1.0000		
US98956P1021	ZIMMER BIOMET HLDGS INC USD 0.01	USD	US	AVAILABLE	DTC	DTC	41.0000	41.0000		
US9993162273	REEVES TELECOM LP	USD	US	AVAILABLE	NYV	NDNC		105.0000		105.0000
US999F479695	K-T OIL CORPORATION CL B PFD	USD	US	AVAILABLE	NYV	NDNC		5,896.3100		5,896.3100
US999F479775	K-T OIL CORPORATION CL A PFD	USD	US	AVAILABLE	NYV	NDNC		4,899.5500		4,899.5500
USDEE4374016	FONAR CORP NEW 100,000TH FRAC	USD	US	AVAILABLE	DTC	DTC	31,306.0000	31,306.0000		
VGG1151M1095	ACCELONIC LTD NPV	USD	VG	AVAILABLE	NIB	NIB5	91.0000	91.0000		
	TOTAL BY UNITS - XXXXX - AUZF STATE OF XXXXXX						666,420.4300	2,614,996.1960	7,429.2750	2,136,005.0430
	TOTAL BY AMORTIZED FACE - XXXXX - AUZF STATE OF XXXXXX						0.0000			

B A

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A Total Share amount actually settled

B Total share amount including pending and actually settled shares

Custody Valuation

Like Custody Holdings, the Custody Valuation Report also displays the state's positions. In addition, it reports the share price and market value for each security. Pending and settled shares are separated into two reports. This report runs in real time too.

The following pages are examples of the above reports as seen on NEXEN®.

Custody Valuation - Entire Portfolio

AVENU INSIGHTS & ANALYTICS

Custody Valuation
By Asset Type
Posted Basis - 10/31/2019

Report ID ICUS0017
Reporting Currency USD

XXXXX - AUZF STATE OF XXXXXXXX

A ISIN	Description	Ctry Inc	Loc (B)	Ccy	Units Amortized Face	Local Price	Market Value Local	Market Value Reporting Currency
DEBT								
UNITED STATES DOLLAR (Exchange Rate: 1.0000000000)								
US912833LJ70	UNITED STATES TREAS SEC 0.0 15AUG22	US	FRB	USD	1,000.0000	95.767000	957.67	957.67
A	**TOTAL BY UNITS - DEBT**				1,000.0000			
	TOTAL BY AMORTIZED FACE - DEBT				0.0000			957.67
EQUITIES								
CANADIAN DOLLAR (Exchange Rate: 0.7606320000)								
CA05534B7604	BCE INC NPV	CA	DTC	CAD	1.0000	62.460000	62.46	47.54
CA2210131056	CORVUS GOLD INC NPV	CA	DTC	CAD	50.0000	1.950000	97.50	74.16
CA77174P3007	ROCHESTER RES LTD NPV	CA	DTC	CAD	250.0000	0.035000	8.75	6.66
CA9626791027	WHEATON PRECIOUS METALS CORP NPV	CA	DTC	CAD	38.0000	36.920000	1,402.96	1,067.42
A	**TOTAL BY UNITS - CANADIAN DOLLAR**				339.0000			
	TOTAL BY AMORTIZED FACE - CANADIAN DOLLAR				0.0000		1,571.69	1,195.80
EURO (Exchange Rate: 1.1156500000)								
NL0000235190	AIRBUS SE	NL	ECL	EUR	20.0000	128.420000	2,568.40	2,865.44
NEW ISRAELI SHEKEL (Exchange Rate: 0.2838050000)								
IL0010811169	ELBIT IMAGING LTD NPV	IL	DTC	ILS	1.0000	3.108000	3.11	0.88
PHILIPPINE PESO (Exchange Rate: 0.0197060000)								
PHY689911352	PHILEX MINING CORP PHP 1.0	PH	YPH	PHP	1,137.0000	3.530000	4,013.61	79.09
UNITED STATES DOLLAR (Exchange Rate: 1.0000000000)								
AN8068571086	SCHLUMBERG COM USD0.01	CW	DTC	USD	10.0000	32.690000	326.90	326.90
BMG9001E1286	LIBERTY LATIN AMERICA LTD USD 0.01	BM	DTC	USD	3.0000	18.410000	55.23	55.23
CA02153P1053	ALTERRUS SYS INC NPV	CA	DTC	USD	11.0000	0.000100		
CA22205A1012	COUGAR OIL NPV	CA	DTC	USD	200.0000			
CA3499151060	FORTUNA SILVER MINES INC COMMON	CA	DTC	USD	2.0000	4.200000	8.40	8.40
CA6565685089	NORTEL NETWORKS CORP NEW NPV	CA	DTC	USD	7.0000			
CA88635W1077	TIDAL RTY CORP NPV	CA	DTC	USD	66.0000	0.090000	5.94	5.94
CH0048265513	TRANSOCEAN LTD CHF 0.1	CH	DTC	USD	1.0000	4.750000	4.75	4.75
CH0102993152	TE CONNECTIVITY LTD 2.6	CH	DTC	USD	12.0000	89.500000	1,074.00	1,074.00

Disclaimer - The pricing information contained within this report is unaudited and may not reflect the most recent security prices.

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A Sorted by Asset Type

B Location of shares

Custody Valuation - Entire Portfolio

AVENU INSIGHTS & ANALYTICS

XXXXX - AUZF STATE OF XXXXXXXX

Custody Valuation
By Asset Type
Posted Basis - 10/31/2019

Report ID ICUS0017
Reporting Currency USD

ISIN	Description	Ctry Inc	Loc	Ccy	Units Amortized Face	Local Price	Market Value Local	Market Value Reporting Currency
	TOTAL BY UNITS - UNITED STATES DOLLAR				652,542.4300			
	TOTAL BY AMORTIZED FACE - UNITED STATES DOLLAR				0.0000		6,333,012.60	6,333,012.60
	TOTAL BY UNITS - EQUITIES				654,339.4300			
	TOTAL BY AMORTIZED FACE - EQUITIES				0.0000			6,337,153.51
MISC DEBT								
UNITED STATES DOLLAR (Exchange Rate: 1.0000000000)								
US29273V1005	ENERGY TRANSFER LP	US	DTC	USD	1,051.0000	12.590000	13,609.79	13,609.79
	TOTAL BY UNITS - MISC DEBT				1,051.0000			
	TOTAL BY AMORTIZED FACE - MISC DEBT				0.0000			13,609.79
	TOTAL BY UNITS - ACCOUNT XXXXX - AUZF STATE OF XXXXXXXX				656,420.4300	A		B
	TOTAL BY AMORTIZED FACE - ACCOUNT XXXXX - AUZF STATE OF XXXXXXXX				0.0000			6,351,721.27

Disclaimer - The pricing information contained within this report is unaudited and may not reflect the most recent security prices.

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A Total share amount for the shares that have been settled

B Total market value for the securities that were held as of that date

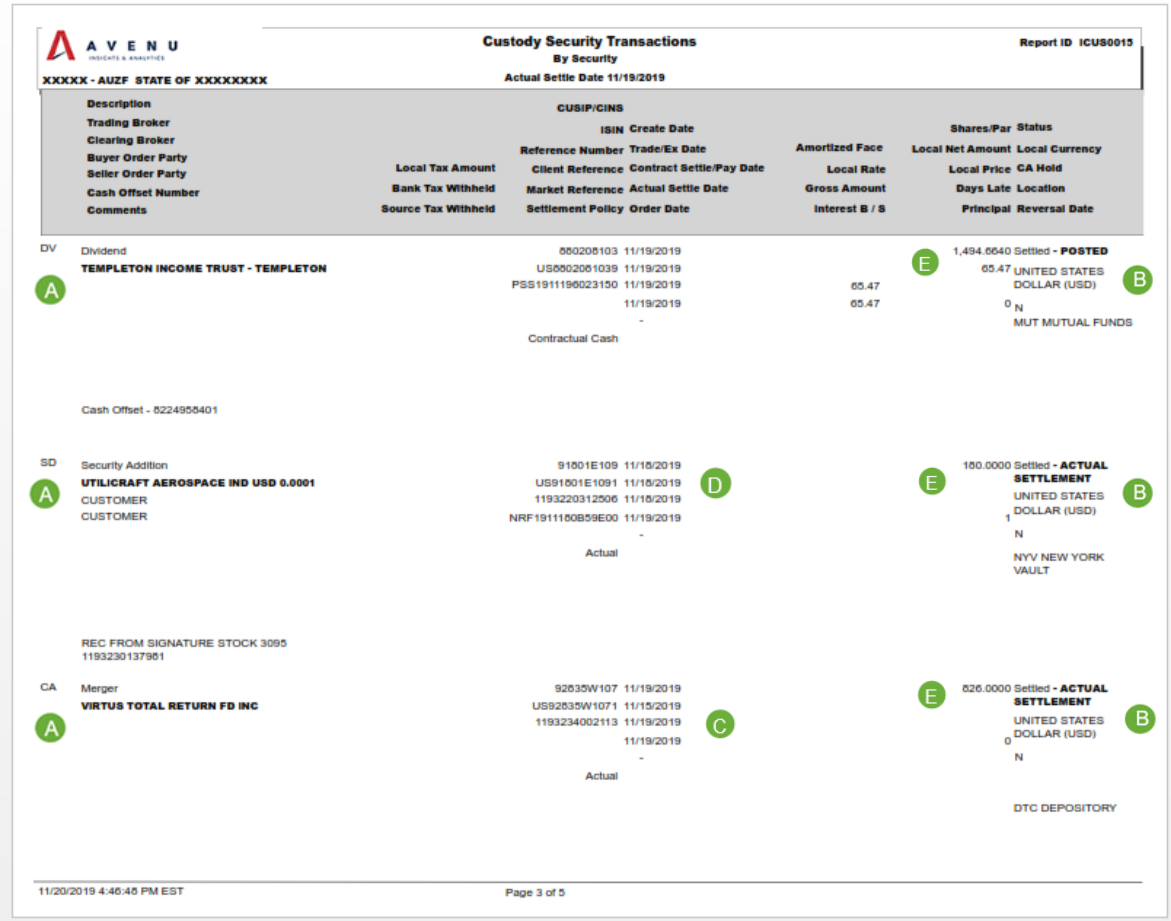
Custody Transactions

NEXEN® is a useful tool for the state in obtaining the status of transfers, deposits sales, and even corporate actions.

Custody Security Transactions

This report gives the state the flexibility of obtaining any transactions that have settled or are pending in the account. The transactions can be obtained as of a specific date, within a specific date range or real time. The data is kept for up to 48 months.

The following pages are examples of the above report as seen on NEXEN®.



AVENU INSIGHTS & ANALYTICS

Custody Security Transactions
By Security
Actual Settle Date 11/19/2019

Report ID ICUS0015

XXXXX - AUZF STATE OF XXXXXXXX

	Description / Trading Broker / Clearing Broker / Buyer Order Party / Seller Order Party / Cash Offset Number / Comments	Local Tax Amount / Bank Tax Withheld / Source Tax Withheld	CUSIP/CINS / ISIN / Reference Number / Client Reference / Market Reference / Settlement Policy	Create Date / Trade/Ex Date / Contract Settle/Pay Date / Actual Settle Date / Order Date	Amortized Face / Local Rate / Gross Amount / Interest B / S	Shares/Par / Local Net Amount / Local Price / Days Late / Principal	Status / Local Currency / CA Hold / Location / Reversal Date
DV	Dividend		880208103	11/19/2019		1,494.6640	Settled - **POSTED**
A	**TEMPLETON INCOME TRUST - TEMPLETON**		US8802081039	11/19/2019		65.47	UNITED STATES DOLLAR (USD)
			PSS1911196023150	11/19/2019	65.47		
				11/19/2019	65.47	0	N
				-			MUT MUTUAL FUNDS
			Contractual Cash				
	Cash Offset - 6224956401						
SD	Security Addition		91801E109	11/15/2019		160.0000	Settled - **ACTUAL SETTLEMENT**
A	**UTILICRAFT AEROSPACE IND USD 0.0001**		US91801E1091	11/15/2019			UNITED STATES DOLLAR (USD)
	CUSTOMER		1193220312506	11/15/2019		1	
	CUSTOMER		NRF1911160B59E00	11/19/2019			N
				-			NYV NEW YORK VAULT
			Actual				
	REC FROM SIGNATURE STOCK 3095 1193230137981						
CA	Merger		92835W107	11/19/2019		626.0000	Settled - **ACTUAL SETTLEMENT**
A	**VIRTUS TOTAL RETURN FD INC**		US92835W1071	11/15/2019			UNITED STATES DOLLAR (USD)
			1193234002113	11/19/2019		0	N
				-			DTC DEPOSITORY
			Actual				

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A Report is sorted by transaction type

B Location of settlement

C Settle date

D Trade date

E Shares settled

Cash

NEXEN® provides various reports for cash:

Settled Cash Statements

The Settled Cash Statement report is a high-level view of trade and settlement date holdings by location for a selected date range (real-time and historical). It shows all assets types, including cash investment vehicles referred to as sweeps. In contrast, the Projected Cash Statement report shows today and up to five future business days.

Settled Cash Balances

The Settled Cash Balances report provides beginning and ending balances, net activity, exchange rate and location information for the point in time date (real time or historical) selected. It shows all cash types, including cash investment vehicles referred to as sweeps and free delivery / receipt transactions.

Cash and Security Transaction

The Cash and Security Transactions report is a high-level view that shows all of the cash and custody activity together. Related cash and custody transactions are grouped together. This report's design allows you to search for information based on cash or custody specific activities. It shows all transaction types, including cash investment vehicles, referred to as sweeps. This report can be run for Real-Time today and historical transactions for the last two years.

Cash Inquiry

The Cash Inquiry report provides a high-level view that displays all of the cash, custody and user-entered net settlement adjustments activity. You can filter for information based on cash or net settlement adjustment specific activities. It shows all transaction types and can be run for Real-Time Today, Previous Day and five future business days.

The following pages are examples of the above reports as seen on NEXEN®.

Settled Cash Statement

AVENU INSIGHTS & ANALYTICS

XXXXX - AUZF STATE OF XXXXXXXX

Settled Cash Statement
All Balances - Consolidate Cash and Sweep - All Accounts
10/31/2019 - 10/31/2019

Report ID ICAS0010
Reporting Currency USD

Tran Type	Description Trading Broker Clearing Broker	ISIN Reference Number Client Reference Event ID Settlement Policy	Trade / Ex Date Settle / Pay Date Cash Post Date Cash Value Date	Shares/Par Amortized Units Local Price/Rate Local Principal Local Income	Local Amount	Reporting Equivalent
	DIVIDEND					
DV	Dividend **TC ENERGY CORP NPV** Gross 1,183.16 RecDte: 9/30/2019 Source W/H -295.79	CA87807B1076 PSS1910176051208 0172807799 Contractual Cash	9/27/2019 10/31/2019 10/31/2019 10/31/2019	2,077.0000 0.5696470000 887.37	887.37	887.37
DV	Dividend **TORONTO DOMINION BK ONT NPV** Gross 51.71 RecDte: 10/10/2019 Source W/H -12.93	CA8911605092 PSS1910176075814 0173903437 Contractual Cash	10/9/2019 10/31/2019 10/31/2019 10/31/2019	92.0000 0.5620520000 38.78	38.78	38.78
DV	Dividend **CONSOLIDATED WATER CO LTD USD 0.6** Gross 8.50 RecDte: 10/1/2019	KYG237731073 PSS1909276067102 0173681230 Contractual Cash	9/30/2019 10/31/2019 10/31/2019 10/31/2019	100.0000 0.0850000000 8.50	8.50	8.50
DV	Dividend **ANNALY CAP COM USD0.01** Gross 187.00 RecDte: 9/30/2019	US0357104092 PSS1909266127529 0174971537 Contractual Cash	9/27/2019 10/31/2019 10/31/2019 10/31/2019	748.0000 0.2500000000 187.00	187.00	187.00
DV	Dividend **ARGAN INC COM STK USD0.15** Gross 1.25 RecDte: 10/23/2019	US04010E1091 PSS1910166063607 0175025160 Contractual Cash	10/22/2019 10/31/2019 10/31/2019 10/31/2019	5.0000 0.2500000000 1.25	1.25	1.25

Disclaimer - Balances may represent monies placed in floating rate NAV funds – prior days' closing balances include any unrealized gain/loss.

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A Details for the transaction: transaction types, security names, security ID's, shares amounts, rate and cash received

Cash Balances

AVENU INSIGHTS & ANALYTICS

XXXXX - AUZF STATE OF XXXXX

Settled Cash Balances
All Balances - Consolidate Cash and Sweep - All Accounts
10/31/2019 - 10/31/2019

Report ID ICAS0008
Reporting Currency USD

Date	Count	Beginning Balance Local	Net Activity Local	Ending Balance Local	Exchange Rate Reporting Currency	Beginning Balance Reporting Currency	Net Activity Reporting Currency	Ending Balance Reporting Currency
SOUTH AFRICAN RAND (ZAR) AUZF STATE OF XXXXX - XXXXXXXXXX								
10/31/2019	0	0.00	0.00	0.00	0.0663856341	0.00	0.00	0.00
Period Summary	0	0.00	0.00	0.00		0.00	0.00	0.00
SOUTH AFRICAN RAND (ZAR) AUZF STATE OF XXXXX - XXXXXXXXXX								
10/31/2019	0	0.00	0.00	0.00	0.0663856341	0.00	0.00	0.00
Period Summary	0	0.00	0.00	0.00		0.00	0.00	0.00
SWEDISH KRONA (SEK) AUZF STATE OF XXXXX - XXXXXXXXXX								
10/31/2019	0	0.00	0.00	0.00	0.1037958128	0.00	0.00	0.00
Period Summary	0	0.00	0.00	0.00		0.00	0.00	0.00
SWEDISH KRONA (SEK) AUZF STATE OF XXXXX - XXXXXXXXXX								
10/31/2019	0	0.00	0.00	0.00	0.1037958128	0.00	0.00	0.00
Period Summary	0	0.00	0.00	0.00		0.00	0.00	0.00
SWISS FRANC (CHF) AUZF STATE OF XXXXX - XXXXXXXXXX								
10/31/2019	0	0.00	0.00	0.00	1.0134279199	0.00	0.00	0.00
Period Summary	0	0.00	0.00	0.00		0.00	0.00	0.00
SWISS FRANC (CHF) AUZF STATE OF XXXXX - XXXXXXXXXX								
10/31/2019	0	0.00	0.00	0.00	1.0134279199	0.00	0.00	0.00
Period Summary	0	0.00	0.00	0.00		0.00	0.00	0.00
UNITED STATES DOLLAR (USD) AUZF STATE OF XXXXX - XXXXXXXXXX								
10/31/2019	0	1,254,266.17	0.00	1,254,266.17	1.0000000000	1,254,266.17	0.00	1,254,266.17
Period Summary	0	1,254,266.17	0.00	1,254,266.17		1,254,266.17	0.00	1,254,266.17
UNITED STATES DOLLAR (USD) AUZF STATE OF XXXXX - XXXXXXXXXX								
10/31/2019	109	1,741,837.13	38,568.03	1,780,405.16	1.0000000000	1,741,837.13	38,568.03	1,780,405.16
Period Summary	109	1,741,837.13	38,568.03	1,780,405.16		1,741,837.13	38,568.03	1,780,405.16
TOTAL CASH AND SWEEP						2,996,215.15	38,568.03	3,034,783.18
						A		B

Disclaimer - Balances may represent monies placed in floating rate NAV funds – Activity columns include any unrealized gain/loss.

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A Details on Beginning Balance

B Details on Ending Balance

Cash & Security Transactions

AVENU INSIGHTS & ANALYTICS

XXXXX - AUZF STATE OF XXXXX

Cash And Security Transactions
Posting Date
11/20/2019 - 11/20/2019

Report ID ICAS0011
Reporting Currency USD

Tran Type	Description / Trading Broker / Clearing Broker / Linked Transaction Description	ISIN / Reference Number / Client Reference / Event ID / Market Reference / Settlement Policy	Trade / Ex Date / Settle / Pay Date / Cash Post Date / Cash Value Date	Shares/Par/Amount / Local Price/Rate / Local Principal / Local Income	Local Amount	Reporting Equivalent
UNITED STATES DOLLAR (USD) AUZF STATE OF XXXXX- XXXXXXXX						
11/20/2019 - Posted	**Exchange Rate 1.0000000000**					
CORPORATE ACTION						
CA	**Merger/Demerger**	US2920523055	11/18/2019	-7.0000	68.18	68.18
	EMPIRE RESORTS INC USD 0.01	1193244003009	11/20/2019	9.7400000000		
	GSP #:1193244003009 UNITS/QNTY: 7.0000		11/20/2019	68.18		
	TRADE DT:19NOV18 CONT SET DT:19NOV20 CALL/MAT DT:	0177057694	11/20/2019			
	SEDOL #: BD97994 ISIN #: US2920523055					
	DESC : EMPIRE RESORTS INC USD 0.01	Actual				
	BROKER : RESULTING FROM A MERGER ADEL DT:					
SELL						
S	**Sale**	US02209S1033	11/18/2019	-2.0000	96.95	96.95
	ALTRIA GRO COM USD0.333333	1193230243924	11/20/2019	48.5050000000		
	RAYMOND JAMES & ASSOC INC	GTN1911194546547	11/20/2019	97.01		
	RAYMOND JAMES & ASSOC INC		11/20/2019			
	GSP #:1193230243924 UNITS/QNTY: 2.0000					
	TRADE DT:19NOV18 CONT SET DT:19NOV20 CALL/MAT DT:					
	SEDOL #: 2692632 ISIN #: US02209S1033	Actual				
	DESC : ALTRIA GRO COM USD0.333333					
	BROKER : RAYMOND JAMES AND ASSOC INC ADEL DT:					
			SUBTOTAL POSTED 11/20/2019		165.13	165.13
UNITED STATES DOLLAR (USD) AUZF STATE OF XXXXX- XXXXXXXX						
11/20/2019 - Posted	**Exchange Rate 1.0000000000**					
CASH DEPOSIT						
CD	**CREDIT**				6.84	6.84
	244199105 JOHN DEERE DIV ON 9.000 SHARES	4000571378845089-10	11/19/2019			
	244199105 JOHN DEERE DIV ON 9.000 SHARES	20NOV194000571	11/20/2019			
			11/19/2019 *			

*Back Valued Transaction

11/21/2019 12:38:27 PM EST Page 1 of 4

AVENU INSIGHTS & ANALYTICS

XXXXX - AUZF STATE OF XXXXX

Cash And Security Transactions
Posting Date
11/20/2019 - 11/20/2019

Report ID ICAS0011
Reporting Currency USD

Tran Type	Description / Trading Broker / Clearing Broker / Linked Transaction Description	ISIN / Reference Number / Client Reference / Event ID / Market Reference / Settlement Policy	Trade / Ex Date / Settle / Pay Date / Cash Post Date / Cash Value Date	Shares/Par/Amount / Local Price/Rate / Local Principal / Local Income	Local Amount	Reporting Equivalent
DIVIDEND						
DV	**Dividend**	US02376R1023	11/5/2019	16.0000	1.60	1.60
	AMERICAN AIRLS GROUP INC USD 0.01	PSS1911046065421	11/20/2019	0.1000000000		
	Gross 1.60 RecDte: 11/6/2019		11/20/2019			
	PSS #: 1911046065421 UNITS/QNTY: 16.0000	0177354003	11/20/2019	1.60		
	SEDOL #: BCV7KT2 ISIN #: US02376R1023 EVENT ID: 0177354003					
	DESC : AMERICAN AIRLS GROUP I DIV SRC RATE: 0.1000000000					
	EX DT: 19NOV05 RECORD DT: 19NOV06 PAY DT: 19NOV20					
	CCY: USD GRSS: 1.6000 WTH: 0.0000					
	AMOR BAL: 0.0000 PRFC: 0.0000 CUFC: 0.0000					

A Transaction Description includes rate and the amount of shares

B Trade Date, Record Date and Payable Date for all dividends and payments

C Corporate Actions or Dividend Reinvestment on Mutual Funds – Information related to shares received, Trade Date, Payable Date

Cash Inquiry

AVENU INSIGHTS & ANALYTICS

XXXXX - AUZ STATE OF XXXXX

Cash Inquiry- Detail
Prior Day 11/20/2019
As of 11/20/2019

Report ID ICAS0021
Reporting Currency USD

		Opening Balance	Reporting Equivalent Opening Balance
Australian Dollar (AUD) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 0.6795500000**		
Opening Balance		0.00	0.00
Australian Dollar (AUD) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 0.6795500000**		
Opening Balance		0.00	0.00
Euro (EUR) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 1.1076000000**		
Opening Balance		0.00	0.00
Euro (EUR) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 1.1076000000**		
Opening Balance		0.00	0.00
Hong Kong Dollar (HKD) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 0.1278608873**		
Opening Balance		0.00	0.00
Hong Kong Dollar (HKD) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 0.1278608873**		
Opening Balance		0.00	0.00
Pound Sterling (GBP) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 1.2923500000**		
Opening Balance		0.00	0.00
Pound Sterling (GBP) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 1.2923500000**		
Opening Balance		0.00	0.00
United States Dollar (USD) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 1.0000000000**		
Opening Balance		0.00	0.00
Failing Transactions			

A

Transaction Type	ISIN	Update Date - Timestamp / Reference Number / Event ID	Value Date	Shares/Par / Amortized Units	Amount	Reporting Equivalent Amount
CORPORATE ACTION						

Disclaimer: The Adjusted Balance information contained within this report does not represent the actual account balance

11/21/2019 1:09:15 PM EST Page 1 of 2

AVENU INSIGHTS & ANALYTICS

XXXXX- AUZ STATE OF XXXXXXXX

Cash Inquiry- Detail
Prior Day 11/20/2019
As of 11/20/2019

Report ID ICAS0021
Reporting Currency USD

NAVIGANT CONSULTING INC USD 0.001	US63935N1072	10/31/2019 03:27 PM 1193044003713 0173197437	10/16/2019	-4.00 0.00	112.00	112.00
		Total CORPORATE ACTION:			112.00	112.00
		Total Failing Transactions			112.00	112.00
		Adjusted Ending Balance with Fail			112.00	112.00
United States Dollar (USD) AUZ STATE OF XXXXX - XXXXXXXX	**Exchange Rate 1.0000000000**					
Opening Balance					**Opening Balance** 1,993.46	**Reporting Equivalent Opening Balance** 1,993.46
Settled Transactions						

Transaction Type	ISIN	Update Date - Timestamp / Reference Number / Event ID	Posted Date / Value Date	Shares/Par / Amortized Units	Amount	Reporting Equivalent Amount
DIVIDEND						
NISOURCE INC USD 0.01	US65473P1057	11/19/2019 07:51 PM PSS1910296045120 0173059065	11/20/2019 11/20/2019	444.00 0.00	88.80	88.80
AMERICAN AIRLS GROUP INC USD 0.01	US02376R1023	11/19/2019 07:51 PM PSS1911046059751 0177354003	11/20/2019 11/20/2019	31.00 0.00	3.10	3.10
		Total DIVIDEND:			91.90	91.90
		Total Settled Transactions			91.90	91.90
		Projected Ending Balance			2,085.36	2,085.36

C

B

A Opening Balance for each currency type

B Ending cash balance

C Cash deposited to the account for the specified transaction type

G

Extranet Manual

AVENU
INSIGHTS & ANALYTICS

The Extranet
A Users Manual

An Online Portal for
Managing Your Unclaimed
Securities Portfolio

January 2019

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Preface

The Extranet is an on-line portal through which authorized staff can coordinate automated transfer requests, respond to voluntary corporate actions, submit research requests along with other capabilities. Via the secure Extranet, authorized users have the ability to transact electronically to initiate transfers, wires, receipt of securities and cash and to inquire about any particular security or deposit.

Avenu has automated the transfer request process through the Extranet for Wagers UPS2000 clients by generating a file on UPS2000 upon final claim approval. Each day, all approved securities (including mutual funds) claims that require re-registration to owners are included on a file (Excel) that is automatically delivered securely to the Extranet or SFTP site. The manual process of entering securities transfers or claims one by one is eliminated. The Extranet includes a quality assurance review as it provides the initiator with the transaction request. This has eliminated nearly all posting errors.

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Navigating the System

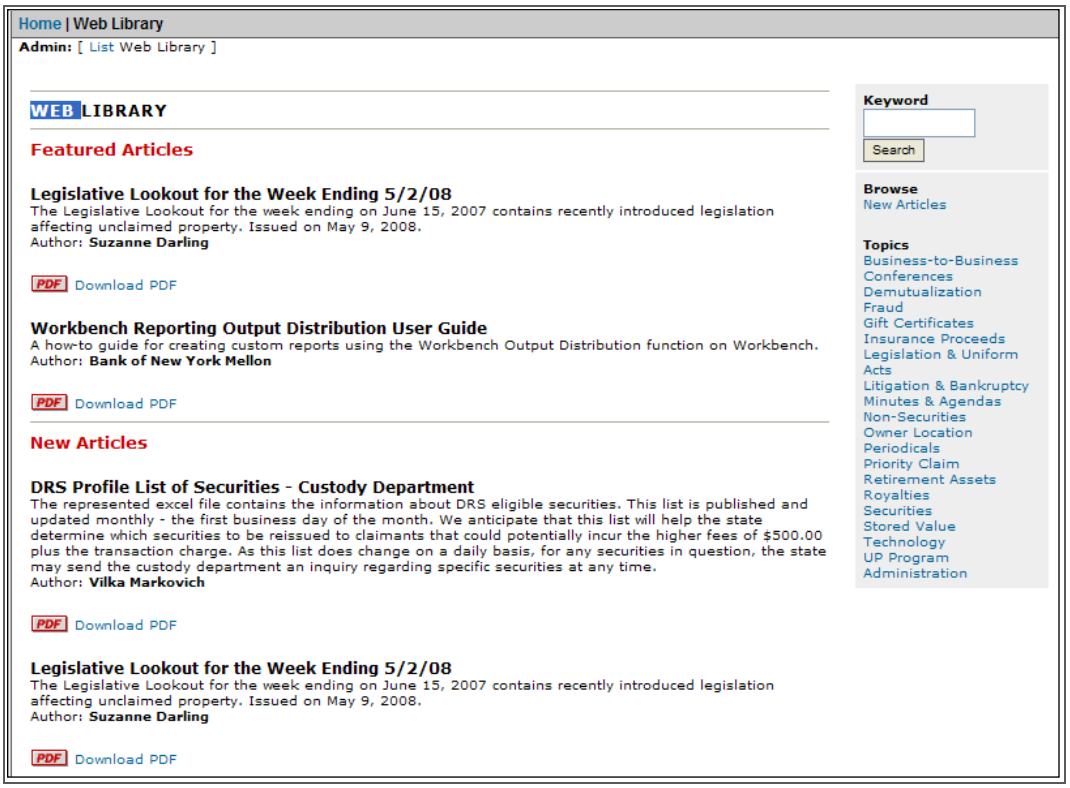
After logging on to the Extranet, the user will be presented with a side navigation system that allows navigation of the Extranet. Access to the different sections within the site will be controlled by a unique user login ID and password as determined by your state administrator.

Web Library:	Allows the user to navigate the E-Library section.
Bankruptcy Briefing:	Allows the user to navigate the Bankruptcy Update section.
FTP Delivery:	Allows the user to navigate the FTP Delivery section.
State Home:	Allows the user to navigate the State Home section.
Corporate Actions:	Allows the user to navigate the Corporate Actions section.
Logout:	Logs the user out and ends the session.

Web Library

Avenu has developed a section of the website devoted to articles and reference information that it feels will be useful to the state/organization. These articles have been written by our team of unclaimed property experts and are updated frequently. A user may search in a variety of ways, to make navigation of the e-library as quick and easy as possible for the user, as the information available continues to grow.

The following screen will be displayed after navigating to Web Library.



From this screen, the user may view Web Library featured items, details, and associated documents. The user has the ability to search the Web Library by keyword in all Categories and Industries, or by using any combination of the two. In some instances, there will be a download associated with an Web Library item. A **Download** link will be displayed that the user may click to download the article/item.

Bankruptcy Update

This section allows the user to see and navigate Bankruptcy Information. Any corporate bankruptcy information that is applicable to the user's state/ organization will appear in this section.

Home

Welcome to the ACS Bankruptcy Briefing!

On these secure pages you can read about developing and ongoing bankruptcy proceedings that could involve a material amount of unclaimed property for your state. Also available here are forms and instructions on how to file a claim on behalf of your state, and the status of cases in which your state has already filed a claim. For more information on these and any bankruptcy matters, please contact Suzanne Darling at (804) 698-5614.

Bankruptcy Toolkit

How to File a Claim

Proof of Claim/Instructions

Status of Current Cases
(Restricted to Litigating States)

General Cinema

Montgomery Ward

Since January 2003, ACS has provided information about the following cases (newest to oldest, by applicable bar date):

Interstate Bakeries, Inc.
Filing Date: September 22, 2004
Bar Date: March 21, 2005

ACS sent information to the states on March 3, 2005

Business Type: Largest wholesale baker and distributer of fresh baked bread and sweet goods in US.

Incorporated in: Delaware
Headquartered in: Missouri

United States Bankruptcy Court, Wester District of Missouri, Kansas City Division
Case number: 04-45814 (JWV)

Interstate Bakeries Proof of Claim
Interstate Bakeries Bar Date Order
Interstate Bakeries List of Debtors
Interstate Bakeries ACS Letter
Interstate Bakeries Fact Sheet
Interstate Bakeries Supporting Documents

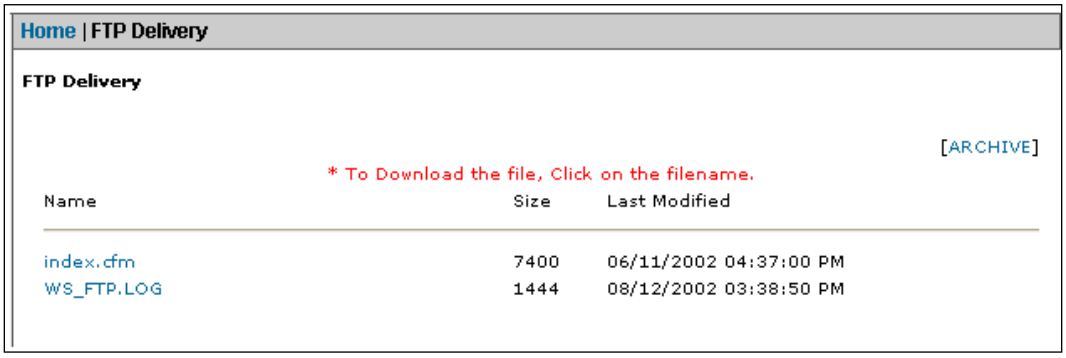
VeriSign Secured
VERIFY

As with each section of the website, only certain access levels may view this link. These levels are assigned and authorized by the State Administrator.

FTP Delivery

Many states have elected to start receiving delivery reports or files electronically. Rather than sending a diskette or sending a file via email, Avenu has developed an FTP capability that the state/organization may utilize to download reports. This reduces the delay in uploading the information to the state database and the possibility of losing diskettes or files.

Once a file is downloaded, it is automatically moved from the Main Directory to the Archive directory. The Main Directory will always be displayed upon entering the FTP Delivery section. If an item is downloaded and moved to Archive in error, a user may retrieve it by selecting the **Archive** link displayed below and downloading it from this location. Files are maintained in Archive for 90 days and then they are automatically deleted.



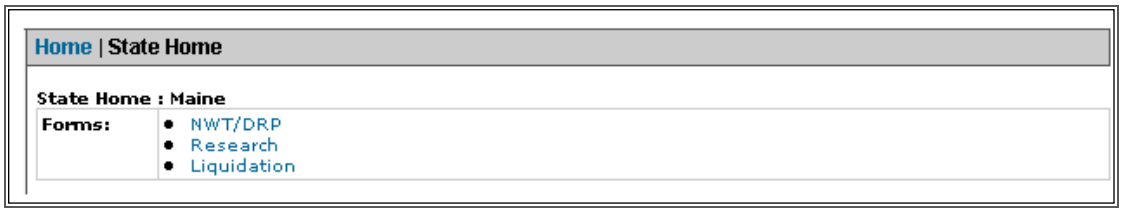
State Home

The State Home section allows an authorized user to submit transfer requests or re-registrations, liquidation instructions and research requests. This allows the user and the vendor to track all requests with a tracking number that is assigned once all of the information has been input to the form and submitted. The user may want to take a screen print of the information submitted with the tracking number or record the tracking number for their records.

A new feature of the State Home section which was developed for a more detailed audit trail allows the state/organization to have a separate user review the information submitted**. Once the information is submitted by one user, an email containing all of the information submitted is sent to a separate user (email address is required).

****This replicates the process of one individual creating a letter and another individual reviewing and signing which provides authorization.**

When the user enters the State Home section of the website, the following screen, or something similar, will be displayed:



A user has the ability to enter new NWT/DRP, Research and Liquidation forms from this location.

The following forms or requests are displayed - NWT/DRP, Research and Liquidation:

NWT Form: Please fill in the fields and click Submit.

Home | State Home | NWT

State Home : NWT

Skyworld Interactive, Inc.

Nominee Name:	
Account Number:	
Tax ID:	
State Address1:	
State Address2:	
State Address3:	
State City:	
State State:	
State Zip:	

Note: All fields except Claim # are required.

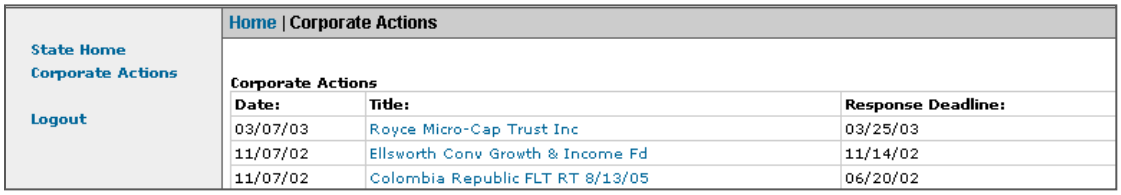
Form Type *	Stock
Submitter ID *	
Registration Name *	
Social Security # *	
Address1 *	
Address2	
City *	
State *	
Zip Code *	
Issue Name *	
CUSIP # *	
Number of Shares *	(eg. 8.000)
Date Reported *	(eg. mm/dd/yyyy)
Claim #	
DTC Number	
Receiving Broker	
Broker Account Number	

SUBMIT

Corporate Actions

The Corporate Actions section allows the user to view and respond to all voluntary corporate actions. Each day, any voluntary corporate actions are loaded to the system with information such as cusip, name of security, deadline for a response, description of the action and options available for the user to choose*.

Upon entering the corporate actions section, the following screen will be displayed:



From this point, the user has the ability to see all voluntary Corporate Actions associated with the user's state/organization.

***Currently, only voluntary corporate actions are available on-line. We will be posting all corporate actions, voluntary and involuntary for the state to review.**

By clicking on a specific Corporate Action, the user will see all information associated with the action such as: the name of the security (title), cusip number, response deadline, posting and expirations dates, the rate, a description of the action (term) and the options available. The following is an example of what will be displayed for the user:

Home | Corporate Actions | Detail

Web Library
Bankruptcy Briefing
FTP Delivery
State Home
Corporate Actions

Logout

Corporate Actions Detail

Date: 06/22/04	**Title:** below market tender offer-fyi
Security Description:	
CUSIP: 584054u102	**Response Deadline:** 06/27/04
Payable Date:	**Expiration Date:** 06/28/04
Rate: see terms	**Terms:** INTERNAL REFERENCE: V24223 US58405U1025 * CORPORATE ACTIONS WILL NOT BE SOLICITING RESPONSES FOR THIS OFFER. SHOULD AN ACCOUNT WISH TO TENDER, THEY MUST MANUALLY FAX A RESPONSE TO US AND FOLLOW UP WITH A PHONE CALL TO ENSURE DELIVERY WAS MADE. * MEDCO HEALTH SOLUTIONS IS OFFERING TO PURCHASE FOR CASH UP TO 10,000 SHARES OF THE OUTSTANDING SHARES OF MEDCO HEALTH SOLUTIONS, INC. FOR $25.00 PER SHARE, NET TO THE SELLER WITHOUT INTEREST OR DISTRIBUTIONS PAYABLE AFTER JANUARY 1, 2003 * SHARES WILL BE ACCEPTED ON A FIRST COME, FIRST BUY BASIS; THEREFORE, RESPONSES TO TENDER WILL BE PROCESSED AS RECEIVED. * THE PURCHASE PRICE HAS BEEN DETERMINED AT THE SOLE DISCRETION OF THE PURCHASER. THE PURCHASE PRICE IS LOWER THAN THE MARKET PRICE. * THIS OFFER EXPIRES AT 5:00 PM ET ON THE EXPIRATION DATE. * 10/22/03 THE INFORMATION AGENT IS VAS INFORMATION SERVICES, ATTN: VOLUNTARY TENDER DEPARTMENT: 941-952-1006. THE OFFER CONTAINED HEREIN SHALL EXPIRE ON 11/7/03 AT 5:00 PM EST, UNLESS THE OFFER IS EXTENDED. IN THE SOLE DISCRETION OF THE PURCHASER, ONCE THE SHARES ARE TENDERED, THE SELLER SHALL NOT HAVE THE RIGHT TO WITHDRAW SUCH SHARES. THE PURCHASER RESERVES THE RIGHT TO TERMINATE OR AMEND THE OFFER AT ANY TIME PRIOR TO PAYMENT AT ITS SOLE DISCRETION. * 11/14/03 THIS OFFER HAS BEEN EXTENDED UNTIL DECEMBER 9, 2003. ALL OTHER TERMS REMAIN THE SAME. * 12/10/03 THIS OFFER HAS BEEN EXTENDED UNTIL JANUARY 12, 2004. THE PRICE HAS ALSO BEEN AMENDED TO $33.69 PER SHARE. ALL OTHER TERMS REMAIN THE SAME. * 1/13/04 THIS OFFER HAS BEEN EXTENDED UNTIL FEBRUARY 12, 2004. ALL OTHER TERMS REMAIN THE SAME. * 02-13-04 THIS OFFER HAS BEEN EXTENDED UNTIL MARCH 16, 2004. ALL OTHER TERMS REMAIN THE SAME. * 3/18/04 THIS OFFER HAS BEEN EXTENDED UNTIL APRIL 19, 2004. THE PRICE HAS BEEN CHANGED TO $31.16 PER SHARE. * 4/20/04 THIS OFFER HAS BEEN EXTENDED UNTIL MAY 19, 2004. ALL OTHER TERMS REMAIN THE SAME. * 5/26/04 THIS OFFER HAS BEEN EXTENDED UNTIL JUNE 29, 2004. ALL OTHER TERMS REMAIN THE SAME.

○ we wish to participate in the tender offer described above on all of our shares/bonds.

○ take no actions,

Submit

The list of options associated with this corporate action will be displayed with a description of what each option is. The user selects the option that the state/organization has elected to take. A confirmation of this option selected will be sent via email to the user. If the user does not respond, the default option will be taken. In the instance where the state/organization always elects the default option, we would recommend that the user access the corporate action and choose the default rather than just allowing the system to assign the default. This indicates that the user has read and understands the actions.

Research Request: Please fill in the field and click Submit.

Home | State Home | Research

State Home : Research

Skyworld Interactive, Inc.

Nominee Name:	
Account Number:	
Tax ID:	
State Address1:	
State Address2:	
State Address3:	
State City:	
State State:	
State Zip:	

Note: All fields except Claim # are required.

Submitter ID *	
CUSIP #	
Security Name	
Escheatment Date	(eg. *mm/dd/yyyy*)
Number of Shares	(eg. *8.000*)
Explanation	

SUBMIT

Liquidation Request (sales): Not to be used for this purpose.

Home | State Home | Liquidation

State Home : Liquidation

Skyworld Interactive, Inc.

Nominee Name:	
Account Number:	
Tax ID:	
State Address1:	
State Address2:	
State Address3:	
State City:	
State State:	
State Zip:	

Note: All fields except Claim # are required.

Form Type *	Dividend Reinvestment Plan(DRP)
Submitter ID *	
Registration Name *	
Social Security #	
Address1	
Address2	
City	
State	
Zip Code	
Issue Name	
CUSIP # *	
Number of Shares *	(eg. 8.000)
Date Reported *	(eg. mm/dd/yyyy)
Claim #	

SUBMIT

Uploads – File Transfer Directions

To Add a File to this Site

- Click the "Browse Button".
- Your Browser will open a "Choose a File" window displaying the contents of your hard drive. Use standard navigation to find and select the file you want to upload.
- The file name will appear in the "File Name" filed. Click the "Open" Button.
- Your Browser will close the "Choose a File" window and fill in the file name and path in the "Upload" field.
- Click the "Upload File" Button.
- The upload application will copy the file from your system to the upload directory and make it available for the Organization you selected.

To Get a File from this Site

- Move your mouse over the name of the file you want to download.
- Right click the file name. Your browser will open up an options box. Select "Save Target As"
- Your browser will open up a Select "Save Target As" window. Use standard navigation to identify the directory in which you want to save the file.
- Make sure that the name in the "File Name" filed is the one you want to use when saving the file.
- Note that the "Organization Name" is appended to the file name. The application performs this function when it originally received the file. If you will be returning this file to the site at a later date, you may want to rename it at some point so that the "Organization Name" is not appended more than once.
- After you have selected your preferred directory and file name click the "Save" button.
- Your Browser may open a "File Download" window to display the status of the download. When complete you will see a "Download Complete" window.
- Click "Close".

H

Samples of Entitlement Calculations

Claimant: **First/Last Name**
CUSIP: 028837102
Original # of shares: 2.5470 4/22/1997
Claim# **763855**

ISSUE NAME	TYPE	RATE	RECORD DATE	PAYMENT DATE	SHARE BALANCE	CASH DIVIDEND	SHARE PRICE	SHARE DIVIDEND
Ending Balance					**7.017**			
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Omitted	0	12/27/2017	12/28/2017	7.017	$ -	$ -	0.000
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Capital Gain	1.15788	12/5/2017	12/6/2017	6.575	$ 7.61	$ 17.19	0.443
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Capital Gain	0.1389	12/28/2016	12/31/2016	6.513	$ 0.90	$ 14.79	0.061
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Dividend	0.388	11/30/2015	11/30/2015	6.343	$ 2.46	$ 14.43	0.171
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Omitted	0	12/31/2010	12/31/2010	6.343	$ -	$ -	0.000
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Omitted	0	12/31/2009	12/31/2009	6.343	$ -	$ -	0.000
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Omitted	0	1/5/2009	1/5/2009	4.913	$ -	$ -	0.000
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Capital Gain	1.5716	12/30/2008	1/5/2009	4.913	$ 7.72	$ 5.40	1.430
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Capital Gain	0.2976	12/26/2007	1/2/2008	4.770	$ 1.42	$ 14.07	0.101
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Dividend	0.1252	12/26/2007	1/2/2008	4.770	$ 0.60	$ 14.07	0.042
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Dividend	0.03995	12/28/2006	12/28/2006	4.122	$ 0.16	$ 12.57	0.013
AMERICAN PENSION INVS TRUST -CUSIP 028837870	Capital Gain	1.93606	12/28/2006	12/28/2006	4.122	$ 7.98	$ 12.57	0.635

10/27/2004 Exchange class shares from CUISP 028837102 / class C to 028837870 / class A rate 1:0.9962.

					4.137			
AMERICAN PENSION INVS TRUST-CUSIP 028837102	Capital Gain	0.543	12/28/2001	12/31/2001	3.921	$ 2.13	$ 9.84	0.216
AMERICAN PENSION INVS TRUST-CUSIP 028837102	Capital Gain	0.3	12/27/2000	12/29/2000	3.829	$ 1.15	$ 12.52	0.092
AMERICAN PENSION INVS TRUST-CUSIP 028837102	Capital Gain	1.4	6/5/2000	6/6/2000	3.505	$ 4.91	$ 15.11	0.325
AMERICAN PENSION INVS TRUST-CUSIP 028837102	Capital Gain	0.22	12/29/1999	12/31/1999	3.457	$ 0.76	$ 15.97	0.048
AMERICAN PENSION INVS TRUST-CUSIP 028837102	Capital Gain	1.52	9/29/1999	10/1/1999	3.093	$ 4.70	$ 12.91	0.364
AMERICAN PENSION INVS TRUST-CUSIP 028837102	Capital Gain	1.046	12/17/1998	12/28/1998	2.864	$ 3.00	$ 13.08	0.229
AMERICAN PENSION INVS TRUST-CUSIP 028837102	Capital Gain	0.22	12/29/1997	1/9/1998	2.816	$ 0.62	$ 12.97	0.048
AMERICAN PENSION INVS TRUST-CUSIP 028837102	Capital Gain	1.35	11/13/1997	11/14/1997	**2.547**	$ 3.44	$ 12.78	0.269

There are No Dividend received from 2002 to 2005

Shares Liquidated 1/1/2018	
Under CUSIP 028837870	**7.017**
Liquidation Price:	**$18.00**
Liquidation Proceeds Received:	**$126.31**
Total Remittance Due:	**$144.31**

Claimant:	**Last/First Name**
CUSIP:	74441R508
Original # of shares:	120.0000
Type:	**759844**

AVENU INSIGHTS & ANALYTICS

ISSUE NAME	TYPE	RATE	RECORD DATE	PAYMENT DATE	SHARE BALANCE	CASH DIVIDEND	SHARE PRICE	SHARE DIVIDEND
Ending Balance					123.140			
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02573	12/31/2019	12/31/2019	123.140	$ 3.17		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02633	11/29/2019	11/29/2019	123.140	$ 3.24		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02637	10/31/2019	10/31/2019	123.140	$ 3.25		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02382	09/30/2019	09/30/2019	123.140	$ 2.93		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02828	08/30/2019	08/30/2019	123.140	$ 3.48		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.0279	06/31/2019	06/31/2019	123.140	$ 3.44		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02528	05/28/2019	05/28/2019	123.140	$ 3.11		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02886	05/31/2019	05/31/2019	123.140	$ 3.55		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02659	04/30/2019	04/30/2019	123.140	$ 3.27		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02687	03/29/2019	03/29/2019	123.140	$ 3.31		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02434	02/28/2019	02/28/2019	123.140	$ 3.00		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02665	01/31/2019	01/31/2019	123.140	$ 3.28		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02485	12/31/2018	31 DEC 18	123.140	$ 3.06		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.00107	12/20/2018	21 DEC 18	123.140	$ 0.13		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02703	11/30/2018	30 NOV 18	123.140	$ 3.33		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02603	10/31/2018	10/31/2018	123.140	$ 3.21		
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02281	9/28/2018	9/28/2018	122.879	$ 2.80	$ 10.75	0.2607
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02816	8/31/2018	8/31/2018	122.560	$ 3.45	$ 10.79	0.3199
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02499	7/31/2018	7/31/2018	122.276	$ 3.06	$ 10.76	0.2841
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02668	6/29/2018	6/29/2018	121.973	$ 3.25	$ 10.76	0.3024
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02552	5/31/2018	5/31/2018	121.686	$ 3.11	$ 10.80	0.2875
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02369	4/30/2018	4/30/2018	121.419	$ 2.88	$ 10.78	0.2669
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02592	3/29/2018	3/29/2018	121.129	$ 3.14	$ 10.82	0.2901
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02253	2/28/2018	2/28/2018	120.878	$ 2.72	$ 10.85	0.2511
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02483	1/31/2018	1/31/2018	120.603	$ 2.99	$ 10.91	0.2744
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02502	12/29/2017	12/29/2017	120.329	$ 3.01	$ 10.98	0.2741
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.00602	12/21/2017	12/22/2017	120.263	$ 0.72	$ 10.97	0.0660
PRUDENTIAL SHORT-TERM CORPORAT	Dividend	0.02411	11/30/2017	11/30/2017	**120.000**	$ 2.89	$ 11.00	0.2630

Shares liquidated:	**123.140**
Dividends Paid in Cash:	**$48.76**
Liq proceeds:	**$1,321.29**
TOTAL:	**$1,370.05**

Claimant:	**Last/First Name**	
CUSIP:	018918664	
Original # of shares:	381.8883	11/18/2010
Type:	**760495**	

ISSUE NAME	TYPE	RATE	RECORD DATE	PAYMENT DATE	SHARE BALANCE	CASH DIVIDEND	SHARE PRICE	SHARE DIVIDEND
Ending Balance					**312.231**			
ALLIANZ FDS A- CUSIP 018918649	NO Dividend				312.231			

Class effectived on 10/5/2018 CUSIP from 018918664 to 018918649, rate : 1 to 0.8175986

ALLIANZ FUDS C- CUSIP 018918664	**381.8883**

Shares liquidated under CUSIP 018918649	**312.231**
Liq proceeds:	**$8,945.42**
Dividends Paid in Cash	**$0.00**
TOTAL:	**$8,945.42**