



Physical Security Deposit Information

Due to amendment to Rule 206(4)-2 under the Investment Advisors Act of 1940, Moloney Securities will no longer directly receive securities from clients.

Clearing Company Mailing Addresses:

RBC Capital Markets, LLC.

RBC Operations
Attn: M09- Physical Security Processing
510 Marquette Ave.
Minneapolis, MN 55402-1106

If you have a 8 digit account beginning with 716-XXXXXX

Mesirow Financial

Mesirow Financial
Attn: Alan Ho
353 N. Clark St. 7th Floor
Chicago, IL 60654

If you have an 8 digit account number.

Directions for mailing in certificates:

- 1) Make sure to sign either the back of the certificate or the stock power.
- 2) Ensure that you write in either RBC Capital Markets, LLC or Mesirow Financial, depending on which clearing firm holds your account, on the attorney line which is located on the back of the actual certificate. This will prevent fraud in the case that the certificate would happen to be lost in transit.
- 3) Write your full account number legibly on the front/top of the certificate.
- 4) Mail your certificate to the appropriate above address with either tracking provided by USPS or preferably UPS, or FEDEX. Please do not mail your certificates to Moloney Securities as we cannot process them for you.
- 5) It would be a good idea to retain a photo copy of the front and back of your certificate in case the certificate becomes lost in transit.
- 6) Please call Moloney Securities @ 800-628-6002 Option 2 with any questions that you may have regarding the completion of your certificates.