

DFPI 1004 COLLATERAL TRANSFER INSTRUCTIONS

DFPI-1004 INSTRUCTIONS (Rev. 11-20)



Instructions for Completing Form DFPI 1004, Collateral Transfer

1. CID #

Put the CID number on this line. CID stands for Computer Identification number. If your depository has local agency deposits, a CID has been assigned to your institution.

2. Date

This is the date that the transfer was done.

3. Pool #

There are three classes of securities for deposits: Pool 1, Pool 2, and Pool 3. Please refer to Government Code 53632.5.

4. Depository

This is the name of your financial institution.

5. Agent of Depository

This is the agent that your financial institution deposits money with.

6. Description and Obligor

If the securities are real estate notes (RENS), indicate the name of the borrower.

For all non-REN securities, indicate the name of the obligor and the type of security (bond, note, debenture, warrant, etc.)

7. CUSIP or Loan Number

For RENS, indicate the loan number or serial number assigned by the depository to the security. For non-RENS, indicate the CUSIP number assigned to the security.

8. Rating and Rater

This box must be completed if the security is issued by any state other than California, or the Commonwealth of Puerto Rico, or any local agency thereof.

Indicate the rating (AAA, AA, etc.) and the name of the investment service organization that rated the security (Moody's, S&P, etc.).

9. Par Value or Original Amount (enter numbers only, no commas)

For RENS, indicate the original loan amount.

For non-RENS, indicate the par value or face value of the security.

10. Market Value or Loan Balance (enter numbers only, no commas)

For RENS, indicate the unpaid principal balance of the loan. When withdrawing due to loan payoff, indicate the unpaid principal balance of the loan prior to payoff.

For non-RENS, indicate the present market value of the securities. If withdrawal is due to a call, indicate all proceeds received from the redemption of the asset.

11. Statement of Local Agency Deposits

Two authorized officers of the depository must complete this box anytime a security is withdrawn from the securities pool. This statement must be verified and signed by two authorized officers of the depository, other than those who ordered the withdrawal.

12. Endorsement by Agent of Depository

The agent of depository must complete this section anytime a security is added or withdrawn from the security pool. The agent is required to certify the actual date the security was placed into or removed from the securities pool.