

STATE OF CALIFORNIA – DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
SCHEDULE T | FIDUCIARY AND RELATED SERVICES

DFPI-505 (Rev. 10-20)



2. Name of Institution				2
Main Contact (Name, Title)		Email Address		1. License Number
Phone Number	Ext.	City	Report as of the Close of Business (mm/dd/yyyy)	
3.a. Internet Information: Primary Web Address of Institution				3a
3.b. Internet Information: Does the website <i>currently</i> allow transactional activity for fiduciary and related services?				3b

PART 1

	(Column A) Managed Assets (000s)	(Column B) Non-Managed Assets (000s)	(Column C) Number of Managed Accounts	(Column D) Number of Non-Managed Accounts	
FIDUCIARY AND RELATED ASSETS					
4. Personal trust and agency accounts					4
5. Employee benefit and retirement-related trust and agency accounts:					5
a. Employee benefit - defined contribution					5a
b. Employee benefit - defined benefit					5b
c. Other employee benefit and retirement-related accounts					5c
6. Corporate trust and agency accounts					6
7. Investment management and investment advisory agency accounts					7
8. Foundation and endowment trust and agency accounts					8
9. Other fiduciary accounts					9
10. Total fiduciary accounts (sum of items 4 through 9)					10
11. Custody and safekeeping accounts					11
12. Not applicable					12
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)					13

CERTIFICATION

The undersigned,

Name	Title
Name	Title

of the above named trust company, each declares, for himself/herself alone and not for the other:

I have personal knowledge of the matters contained in this report and I believe that each statement in said report is true. Each of the undersigned, for himself/herself alone and not for the other, certified under penalty of perjury that the foregoing is true and correct.

Executed on:	At:
Signature	Signature

SCHEDULE T | FIDUCIARY AND RELATED SERVICES

	(Column A) Personal Trust and Agency and Investment Management Agency Accounts (000s)	(Column B) Employee Benefit and Retirement- Related Trust and Agency Accounts (000s)	(Column C) All Other Accounts (000s)	
MEMORANDA				
1. Managed assets held in fiduciary accounts:				
a. Noninterest-bearing deposits				M1a
b. Interest-bearing deposits				M1b
c. U.S. Treasury and U.S. Government agency obligations				M1c
d. State, county, and municipal obligations				M1d
e. Money market mutual funds				M1e
f. Equity mutual funds				M1f
g. Other mutual funds				M1g
h. Common trust funds and collective investment funds				M1h
i. Other short-term obligations				M1i
j. Other notes and bonds				M1j
k. Investments in unregistered funds and private equity investments				M1k
l. Other common and preferred stocks				M1l
m. Real estate mortgages				M1m
n. Real estate				M1n
o. Miscellaneous assets				M1o
p. Total managed assets held in fiduciary accounts (for each column, sum of Memorandum items 1a through 1o)				M1p
		(Column A) Managed Assets (000s)	(Column B) Number of Managed Assets	
q. Investments of managed fiduciary accounts in advised or sponsored mutual funds				M1q

SCHEDULE T | FIDUCIARY AND RELATED SERVICES

Memoranda (continued)

	(Column A) Number of Issues	(Column B) Principal Amount Outstanding (000s)	
2. Corporate trust and agency accounts:			
a. Corporate and municipal trusteeships			M2a
(1) Issues reported in Memoranda 2a that are in default			M2a1
b. Transfer agent, registrar, paying agent, and other corporate agency			M2b

	(Column A) Number of Funds	(Column B) Market Value of Fund Assets (000s)	
3. Collective investment funds and common trust funds:			
a. Domestic equity			M3a
b. International/Global equity			M3b
c. Stock/Bond blend			M3c
d. Taxable bond			M3d
e. Municipal bond			M3e
f. Short term investments/Money market			M3f
g. Specialty/Other			M3g
h. Total collective investment funds (sum of Memorandum items 3a through 3g)			M3h

P. TRUST BUSINESS FOR WHICH SECURITIES ARE ON DEPOSIT WITH THE STATE TREASURER	(Column A) Court Trusts (000s)	(Column B) Private Trusts (000s)	
P.1. Trust business for which securities are on deposit with the State Treasurer			P1
P.2. Less: Real estate			P2
P.3. Trust business on which security is required			P3
P.4. Amount of security required by Sections 1570 and 1571 of the California Financial Code			P4
P.5. Market value of securities on deposit with the State Treasurer			P5
P.6. Excess or (deficiency)			P6

SCHEDULE T | FIDUCIARY AND RELATED SERVICES

PART 2 - INCOME

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts		14
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution		15a
b. Employee benefit-defined benefit		15b
c. Other employee benefit and retirement-related accounts.		15c
16. Corporate trust and agency accounts		16
17. Investment management and investment advisory agency accounts.		17
18. Foundation and endowment trust and agency accounts		18
19. Other fiduciary accounts		19
20. Custody and safekeeping accounts		20
21. Other fiduciary and related services income		21
22. Total gross fiduciary and related services income (sum of items 14 through 21)		22
23. Less: Expenses		23
24. Less: Net losses from fiduciary and related services (M4e: Col. A + Col B - Col C)		24
25. Plus: Intracompany income credits for fiduciary and related services		25
26. Net fiduciary and related services income		26

MEMORANDA	(Column A) Gross Losses Managed Accounts (000s)	(Column B) Gross Losses Non-Managed Accounts (000s)	(Column C) Recoveries (000s)	
4. Fiduciary settlements, surcharges, and other losses				
a. Personal trust and agency accounts				M4a
b. Employee benefit and retirement-related trust and agency accounts				M4b
c. Investment management and investment advisory agency accounts				M4c
d. Other fiduciary accounts and related services				M4d
e. Total fiduciary settlements, surcharges, and other losses (sum of Memorandum items 4a through 4d) (sum of columns A and B minus column C must equal Schedule T, item 24)				M4e