

WUP-3

Form Instructions

Please use this form for Unclaimed Stock and other Securities

Federal Tax ID Number: 83-0208667

This form is used to report all classes of stock and undeliverable, unexchanged, underlying, and other presumed unclaimed securities. Unclaimed securities should be listed by stock issue name, including certificate number, and by owner name. Cash dividends and other cash-related items are to be reported on the Form WUP-2. **Registration of securities must be completed prior to submitting report.**

DTC Accounts: We do not have DTC capability. Shares are to be issued in Direct Registration System (DRS) unless the stock issue company only allows physical certificates to be issued, at which time a certificate is acceptable.

Dividend Reinvestment Plans (DRP): **DRP accounts are not accepted.** Stock shares should be issued in physical certificate/DRS form. Any fractional shares involved should be remitted in cash.

Worthless/Non-Transferable Securities: Except in the case of safe deposit box content reporting, **do not report or remit worthless/non transferable stock.** If the stock is worthless/non transferable and cannot be registered, the stock does not have to be reported. If at some point in time the stock becomes transferable or gains value, report and remit the shares to our office at that time. You will not be penalized for late reporting in these situations.

Stock History: Provide merge history information, including the share exchange rate and the rate for cash-in-lieu of fractional shares.

Holder Info: Complete the holder information on the top of the form to include name, Federal Tax ID Number and Report Year.

Column 1: **Stock Company/Mutual Funds Issue Name** - List the name of the stock company/mutual funds for the issued securities.

Certificate No. – Enter the owners original certificate number and original account number for underlying/unexchanged shares or the owners original account number for mutual funds reported.

Column 2: **Social Security No. or Federal Tax ID No.** - Enter a **valid** Social Security Number for each owner of the funds or Federal Tax Identification Number (if business). Do not populate the field if a **valid** number is not available.

Column 3: **Owner Name** - List owners' names. Last name, first name, middle name or initial. Use one block for each owner's name. If there is joint ownership or custodial ownership of the securities, list both names within the same block. If owner name is unavailable, insert "Unknown."

Column 4: **Last Known Address** - Report last known address of the owner as shown on your records, even though mail has been returned from such address. If the address is unknown, insert "Unknown."

Column 5: **Number of Shares** - Indicate the number of shares reported for each owner.

Column 6: **Date of Last Transaction** - Enter the date of last transaction on which the property became payable, redeemable or returnable. For reportable shares from stock dividends and stock splits, provide the date payable. For unexchanged shares of a successor corporation, provide the effective date when shares of the merged/acquired corporation were exchanged. If the security is an underlying share, enter the issue date of the earliest uncashed dividend check as the date of last transaction. **The date of conversion by the holder or issuer shall not be used as the date of last transaction.**

Column 7: **Description of Securities** - Identify the securities being reported by type class, such as common, preferred or registered bond. The full security name must be provided for all reported securities, including mutual funds.

Column 8: **Property Type Code** - Insert the property type code corresponding to the description of funds. Please refer to the current Checklist on our website.

Column 9: **Owner Relation Type Codes** - For each name listed, indicate each owners' relationship to the property. Please refer to the Checklist on our website for current relation type codes.