



**UNCLAIMED PROPERTY REPORT STOCK CHECKLIST
TRANSFER AGENTS-RECORDS PROCESSORS**

This checklist is provided to assure you have reported unclaimed property accounts correctly and in accordance with the Uniformed Unclaimed Property Law and policies. You may also wish to refer to our website - www.wywindfall.gov for additional information.

- Register stock correctly (refer to our Reporting Instructions).
- Registration of securities must be completed **BEFORE** submitting your report. Extension requests will not be accepted for delayed registration.
- Shares are to be issued in physical form unless the stock issue company does not allow physical certificates to be issued at which time DRS registration is acceptable. We do not have DTC capability.
- If reporting via CD or electronically, a hard copy or printable PDF file of the owner detail is required to be submitted with your report.
- We do not accept Dividend Reinvestment (DRP) accounts, Employee Investment Plans, etc. Fractional shares are to be sold; and resulting cash in lieu amounts to be reported for the owner. The remaining whole shares are to be registered to our Division and delivered with your report.
- DO NOT** report worthless/non-transferable stock (refer to our Reporting Instructions).
- Identify and report the property type code for shares correctly, i.e., do not report underlying (SC12)/or unexchanged shares (SC10) as RPO'd (SC08) shares; DRP shares (SC19) as underlying shares (SC12).
- Provide the certificate number and stock issue name of the original underlying/or unexchanged stock held by the owner that has become unclaimed.
- Stock merge/acquisition, stock split distribution, stock dividend distribution and stock spinoff distribution detail should be included with report, if applicable.
- Verify that all applicable property type is being reported.
- Report UGMA or UTMA custodial accounts correctly.
- Stock related property cannot be reported in the aggregate.

If you have any questions, please contact our office at 307-777-5590.