

**REPORTING
FORMS & INSTRUCTIONS**



UTAH

Holder Report

**State of Utah
Unclaimed Property**

**Holder Reporting
Booklet**

2013

Office of the State Treasurer
Unclaimed Property Division
Richard K. Ellis
State Treasurer

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Richard K. Ellis
State Treasurer

Dear Holders of Unclaimed Property:

As custodian of the state's unclaimed property, the State Treasurer's Office is responsible for collecting, safeguarding, and reuniting unclaimed property with its rightful owners. The office is charged with ensuring compliance with Utah Code: Title 67, Chapter 4a, including holder reporting of unclaimed property to the State Treasurer's Unclaimed Property Division each year. Currently, the state is holding more than \$350 million dollars in unclaimed assets.

We owe you, as a business, a great deal of appreciation for this success as you play a critical role in the process. In short, we could not accomplish this increased success without you, as your support and adherence to Utah's unclaimed property laws play a pivotal role.

Please note that several important changes have been occurred with the State's unclaimed property reporting provisions. As failure to adhere to the provisions can result in interest and penalties being assessed for non-compliance, it is important you take the time to review the Unclaimed Property Holder Reporting Manual instructions and guidelines. Should you need assistance or are unsure of certain requirements, please feel free to contact the Unclaimed Property Division via email: holders@utah.gov or by calling your Utah Unclaimed Property Holder Specialists, Karin Adams at 801-715-3308 or Kathy Rinehart at 801-715-3311.

With Respect,

Richard K. Ellis
Treasurer

STATE OF UTAH UNCLAIMED PROPERTY

QUICK REFERENCE GUIDE

Make Checks Payable To:	Utah State Treasurer Reference your FEIN	
Mail Report w/Remittance To:	Utah Unclaimed Property PO Box 140530 Salt Lake City, UT 84114-0530	Physical Address: 168 N. 1950 West, Suite 102 Salt Lake City, UT 84116

Stock Registration & Delivery and Mutual Funds: See [Page 14-15](#) for Information

Dividend Reinvestment Plans: See [page 16](#) for delivery instructions.

Safe Deposit Boxes: See [page 25-26](#) for safekeeping instructions.

Remit & Report Due Date: November 1st — all businesses and insurance entities
For property presumed abandoned as of June 30.

Reporting Requirements: NAUPA formatted reports with 10 or more properties. Must be submitted electronically; see [page 17-19](#).

9 or fewer properties may be submitted manually. [Forms ST-1 and ST-2 required](#).

Aggregate Reporting: \$50.00 limit is reportable

Due Diligence: Must be performed not more than one hundred twenty (120) days prior to report submission. See [page 12](#) for details.

Reciprocal Reporting: Holders should report property to the state of the owner’s last known address. If property for other states is submitted, it must be in compliance with those states’ laws and procedures and reported electronically in NAUPA format. See [page 23](#) for instructions.

Negative Reports: Not required at this time

Signature Requirements: Holder report must be signed by an authorized employee of the entity .

Penalties & Interest: See [page 6](#) for information.



PENALTIES—INTEREST

As a holder of abandoned property, you must read this booklet in its entirety prior to preparing your report. It is designed to provide holders with the requirements for reporting, remitting and delivering abandoned property to the Utah State Treasurer's Office.



Each year voluntary compliance continues to increase making it more time consuming to add reported detail to our unclaimed property database. It is this agency's responsibility to maintain the integrity of the data received for ease of use for property owners, timely payment of claims and to ensure that holders report and remit all unclaimed property in the manner as set forth by the State of Utah.

UTAH CODE § 67-4a-301

Report of abandoned property -- Notice.

(1) (a) A person holding tangible or intangible property that is considered abandoned and subject to the state's custody as abandoned or unclaimed property under this chapter shall:

(i) file a report concerning the property with the administrator before November 1 of each year as of the preceding June 30 containing the information required by this section; and

(ii) transfer the property identified in the report, including all interest, dividends, increments, and accretions due, payable, or distributable on the property as of November 1 of the year in which the report is required to the administrator as required by Section 67-4a-302.

(b) The administrator may postpone the reporting date if he receives a written request to extend the time of the report from any person required to file a report.

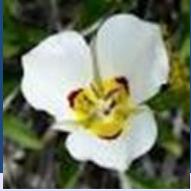
(2) (a) The report shall include:

(i) except with respect to traveler's checks and money orders, the name, if known, and last-known address, if any, of each person appearing from the records of the holder to be the owner of property with a value of \$50 or more that is considered abandoned under requirements of this chapter;

(ii) for unclaimed funds of \$50 or more held or owing under any insurance policy or annuity contract, the full name and last-known address of the insured policy owner or annuitant and of the beneficiary according to the records of the insurance company holding or owing the funds;



*Tip...
Want to avoid unclaimed property? Simply return it to the rightful owner and Voila!...it will no longer be abandoned.*



Interest and Penalties

UTAH CODE § 67-4a-703

Interest and penalties.

Any Person who fails to pay or deliver property within the time required by this chapter shall pay interest to the administrator at the rate of 12% per annum on the property or value of the property from the date the property should have been paid or delivered.

(2) (a) A person who willfully fails to file any report, or perform a duty required by this chapter, or to pay or deliver property to the administrator as required by this chapter shall pay a civil penalty equal to 20% of the value of the property that should have been paid or delivered.

(b) The administrator shall comply with the procedures and requirements of Title 63, Chapter 46b, Administrative Procedures Act, in imposing civil penalties under this section.

(3) (a) It is unlawful for any person to willfully refuse to pay or deliver property to the administrator after written demand by the administrator as required by this chapter.

(b) Any person who violates this Subsection 3 is guilty of a class B misdemeanor.

(4) The administrator may, in appropriate circumstances:

- (a) waive the payment of civil penalties;
- (b) waive the payment of interest; or
- (c) reduce the amount of the interest.

UTAH CODE § 67-4a-701

Examination of records.

(1) (a) The administrator may examine at reasonable times and upon reasonable notice, the records pertaining to abandoned or unclaimed property of any person, including the records of an agent of a business association or financial association, to determine whether the person has complied with the provisions of this chapter.

(b) If an examination of the records of a person results in the disclosure of property reportable and deliverable under this chapter, and the unreported amount is more than \$12,500, the administrator:

(i) may assess the cost of the examination against the holder at the rate of up to \$200 a day for each examiner; and

(ii) may not charge more than \$5,000 or 10% of the value of the property found to be reportable and deliverable.

(2) If a holder fails to maintain the records required by Part 6, Duties of All Hold-

Penalties - Interest



Penalties - Interest

(2) If a holder fails to maintain the records required by Part 6, Duties of All Holders, and the records of the holder available for the periods subject to this act are insufficient to permit the preparation of a report, the administrator may require the holder to report and pay whatever amounts can be reasonably estimated from any available records.

(3) The administrator may require any person who has not filed a report to file a verified report stating whether or not the person is holding any unclaimed property reportable or deliverable under this chapter.



GENERAL INFORMATION

HELP US HELP YOU

The Utah State Treasurer's Office strives to reunite owners with their property. We request specific proof and documentation to ensure property is returned to the rightful owner. This can only be achieved based on the information and property descriptions provided by you in your holder reports. Prior to preparing and remitting holder reports, please make certain all information that provides help in identifying the owners and properties is listed. In doing so, you will help us help you by eliminating the need to direct claimants back to you. The owners' complete names, addresses and social security numbers are essential in verifying the rightful owner during claims processing.



REPORTING REQUIREMENTS

Utah law requires all business associations to annually review their financial records to determine whether they are holding any funds, securities or tangible properties that have been unclaimed for the required dormancy period. If so, they become holders under the act and must file a report and remit the property to the state of the last known address. Dormancy periods vary by property type (*refer to [page 32](#) for the Property Type Codes and Abandonment Periods*).

WHAT IS UNCLAIMED PROPERTY?

Unclaimed property can be any financial asset owed to another business or individual. Property is considered abandoned when there has been no activity and/or contact with an owner for a specific period of time. The property type will determine the abandonment period; however, it is typically three years. When a holder's attempts to locate the rightful owner have been unsuccessful, the assets must be paid to the Utah State Treasurer's Office, which, in turn, holds the assets in perpetuity and is required to advertise the rightful owners' names in an effort to return the assets to them. Once the assets are paid to the state, the holder is released from any liability.

Utah Unclaimed Property law is located in the Utah Code Title 67-4a-101 et seq.



GENERAL INFORMATION (CONT'D)

WHAT MUST BE REPORTED?

Property for which no contact has been received by the holder for in which the owner cannot be otherwise located after the required statutory period of time has lapsed.



REPORTABLE ITEMS, with their respective property codes and dormancy periods, are located in the NAUPA Property Type Codes section of this booklet on page 27.

Examples of reportable items include *wages, payroll or salary checks; utility deposit refunds, checks, money orders, traveler's checks and safe deposit box contents.* (**Refer to our Property Type Codes List on [page 31](#) for more information.**) In addition, Utah domiciled holders must report items to Utah that have no owner name or address as well as all items where the last known address is in a foreign country.

WHO MUST REPORT ABANDONED PROPERTY?

Any entity or person in possession of property, subject to Utah Code §67-4a that belongs to an Utah resident is considered a holder of unclaimed property and is required to report that property to the state. This includes holders of property in other states in possession of property owed to Utah residents. Any entity conducting business within the state of Utah that has branches, divisions or other affiliates is responsible for filing on their behalf, such as those listed below.

BANKING AND FINANCIAL ORGANIZATIONS including banks, trust companies, savings banks, safe deposit companies, private banks, savings and loan associations, credit unions, investment companies, whether state or federally chartered.



BUSINESS ASSOCIATIONS corporations, sole proprietorships, partnerships, retail, cooperatives, transfer agents, fiduciaries, mutual funds, insurance, limited liability, business trust, or other association for business purposes of two or more individuals, whether or not for profit (including all insurance entities).

UTILITIES owned or operated for public use, such as furnishing or delivery of electricity, water, steam, or gas.



GENERAL INFORMATION (CONT'D)



FYI: Information regarding other states and their abandoned property reporting requirements can be accessed through the NAUPA (National Association of Unclaimed Property Administrators) website at www.unclaimed.org.



WHAT IS THE EARLIEST REPORTS CAN BE SUBMITTED?

When holders reports can be submitted is dependent upon the amount of time the owner is given to respond to the Due Diligence Letter. (see due diligence requirements on [page 12](#)) For example, if in the letter, the holder provides 30 days to respond from the date of the letter, the report cannot be submitted until those 30 days have lapsed.

The **earliest** Due Diligence letters can be legally mailed is *not more than 120 days prior* to the holder report due date of November 1st. (Utah Code §67-4a-301(3).

WHEN MUST REPORTS BE FILED?

BUSINESS ENTITIES reports are to be *postmarked by* November 1st of each year for property presumed abandoned as of the previous June 30th.

If there has been contact with owner during the remit year, the property should not be reported to the state.





DUE DILIGENCE REQUIREMENTS

§ 67-4a-301

Holders of abandoned property are **required by law** to send written notice to the apparent owner stating the holder is in possession of property not more than 120 days before filing a report if:



The value of the property is more than \$50 or the holder has in its records an address for the apparent owner that the holder's records appear to be accurate;

NOTE: Holders are still required to submit reports *postmarked by* November 1st.

- ⇒ It is to the holder's benefit to return funds to the owner rather than to Unclaimed Property. Owners who still maintain a business relationship or are still employed become frustrated when property is unnecessarily turned over to the state due to inept record keeping.
- ⇒ Allowing the owner the opportunity to collect the funds from holders re-establishes his or her business relationship and relieves the holder of the liability to report and remit funds to this agency.
- ⇒ All businesses should check their records to determine if owners have additional accounts, as they may be active thereby eliminating the need to remit the property.





Sample Due Diligence Letter

Your Business Name Here

Date

Owner

Address

City, State Zip

Dear Owner Name:

On [date], we issued you a check number [####] in the amount of [\$\$\$\$] for [Give the reason the check was issued, if known]. As of this date, our records indicate that this check has not been cashed. If you are unable to locate this check, please mark the appropriate box below and return this letter so that we may correct the situation. Or please contact us at: _____

[] The check has been lost. Please reissue and send it to the address below.

[] The check was cashed on _____ [date, if known].

[] The replacement check was received and cashed on _____ [date].

Please print:

Your name: _____

Current address: _____

City, State, Zip: _____

Phone number: _____

Signature: _____

Date: _____

You must contact the above business by [date] to avoid having your property sent to the Utah Unclaimed Property Division.

Due Diligence



Securities Registration & Deposit Instructions



All DTC eligible shares MUST be delivered through DTC or DWAC (if not DTC participant) as follows:

DTC # 954

Reference: UTAH & CO

Agent Bank # 26017

Acct # AUZF0324702

Two days prior to actual delivery, we request an excel list of the securities, including cusip numbers, number of shares, issue names, and the delivering party's DTC participant number. Please email the list to upch.custody@xerox.com.

Register and deliver Physical Certificates, ONLY for non-DTC eligible shares as follows:

UTAH & CO

Acct # AUZF0324702

c/o BNY Mellon Securities Trust Company

FEIN # 33-1059625

One Wall Street, 3rd Floor - Receive Window C

New York NY 10005-2500

Attn: Mike Visone

Two days prior to actual delivery, we request an excel list of the securities, including cusip numbers, number of shares, issue names, and the delivering party's DTC participant number. Please email the list to upch.custody@xerox.com.

For Mutual Funds

Please register open end mutual fund accounts held for the State of Utah in the name of MAC & CO. 48 hours prior to delivery, please email your request to upch.custody@xerox.com to obtain a unique account number.

Please send interested party statements for open end and closed end accounts to the following:

Xerox State and Local Solutions

Custody Department

100 Hancock Street, 10th Floor

Quincy MA 02171

A confirmation statement showing the 'State of Utah' as the owner of the shares must accompany your Report of Unclaimed Property, in order for your report to be complete.



Securities and Mutual Funds

For DRP

UTAH & CO

FEIN # 33-1059625

Xerox State and Local Solutions

100 Hancock St 10th Floor

Quincy MA 02171

Two days prior to actual delivery, we request an excel list of the securities, including cusip numbers, number of shares, and issue names, and the delivering party's DTC participant number. Please email the list to upch.custody@xerox.com .

If unable to deliver securities via DTC or DWAC, register BOOK ENTRY or DIRECT REGISTRATION SHARES (DRS) as follows:

UTAH & CO

FEIN # 33-1059625

Xerox State and Local Solutions

100 Hancock St 10th Floor

Quincy MA 02171

A confirmation statement showing UTAH & CO as the owner of the shares must accompany your Report of Unclaimed Property for your report to be considered complete.

Two days prior to actual delivery, we request an excel list of the securities, including cusip numbers, number of shares, issue name, and the delivering party's DTC participant number. Please email the list to upch.custody@xerox.com .

For Foreign Securities

Please contact our securities custodian for instructions:

Xerox State and Local Solutions

Email: UPCH.Custody@xerox.com

For Federal Reserve Securities

Please deliver as follows:

Federal Reserve Bank of Boston



DIVIDEND REINVESTMENT PLAN—(DRP)



Each reported shareowner's records must include the owner name, last transaction date, number of shares, and cash amount remitted; if applicable.

- The state of Utah will only accept whole shares for each individual when the shares are issued. Fractional shares must be liquidated at fair market value when reported.
- Fractional shares must be sold for each individual on all shares when issued.
- Dividends must be paid in cash.

SECURITIES RECOVERED FROM A SAFE DEPOSIT BOX

Follow the instructions for remitting safe deposit box contents on [page 26](#).





HOLDER REPORTING METHODS

Reports can be submitted to the State Treasurer in several ways.

1. Create a NAUPA II formatted file using one of the following FREE software programs.



2. Upload the NAUPA file through <https://www.mine.utah.gov/report.asp>

3. [UPExpress](#) is a universal web site that allows holders of unclaimed property to electronically send reports to multiple states, while allowing you to remit payment at the same time. It eliminates CD's, paper, packaging and postage to make reporting simpler and faster. A service fee will be added to cover the cost of the online submission.



4. Mail the File on CD/DVD

1. Burn the NAUPA file (non-encrypted) to a CD or DVD
2. Mail the CD/DVD to our office

5. Mail a manual paper form. Reminder—If you have 10 or more properties to report, you **MUST** file your report electronically, using one of the 4 methods above.

1. Follow the [Instructions for Completing Forms ST-1 and ST-2](#)
2. Use for completing the ST-1 form—[Property Type Codes](#)
3. Complete the [ST2 Detail Report of Unclaimed Property](#)
4. Complete the [ST1 Report of Unclaimed Property](#)
5. Mail completed report to our [mailing address](#).



HOLDER REPORTING METHODS



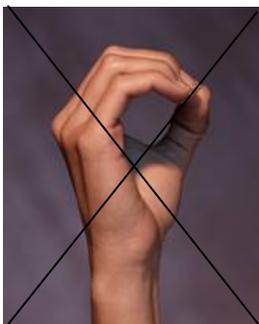
ELECTRONIC REPORTING—Holders reporting ten (10) or more individual records must remit reports electronically utilizing the NAUPA format specifications. A fully completed Report of Unclaimed Property (ST1) form or a software confirmation print-out must be included. Reports not received in this format will be considered late reporting and subject to penalty assessment.

Note: st1

File your report on our website at <https://www.mine.utah> or save the file on a CD ROM or USB drive and mail it in with the ST-1 form or software confirmation print-out and remittance.

- ☉ Names on reports must be formatted as “last, first, middle initial”. Do not use commas, asterisks, dashes, apostrophes, or any punctuation that will hinder name searches.
- ☉ If there is more than one owner, each must be listed individually under the same property.
- ☉ Do not create separate reports for each property type, amount, year, etc., if property is under the same FEIN. All information is to be posted under the same Holder I.D.

HARD COPY REPORTING—Holders reporting 9 or less individual records may remit reports on a fully completed [Report of Unclaimed Property Coversheet \(ST-1\)](#) with a [Report of Unclaimed Property Detail form \(ST-2\)](#). The ST-1 form, or similar form, is required on all holder reports and must be signed by an authorized employee of the entity. Reports not received in this format will be considered late reporting and subject to penalty assessment. Reports that are illegible may be returned to the holder as incomplete. Any report returned to the holder as incomplete will not be treated as filed in compliance with Section 67-4-301 of the Utah Code.



NEGATIVE REPORTING—Utah does not require negative reports.



HOLDER REPORTING METHODS (CONT'D)



VENDOR REPORTS—Holders purchasing electronic reporting software from vendors must make sure the formatting conforms to state requirements and that reports are in NAUPA format.

- ☐ Names must be formatted as “last, first, middle initial”. Do not use commas, asterisks, dashes, or any punctuation that will make name searches difficult.
- ☐ If there is more than one owner, each owner must be listed separately under the same property. **DO NOT LIST JOINT OWNERS NAMES ON THE SAME LINE.**

REIMBURSEMENTS/ADJUSTMENTS

If an owner comes forward to claim property that appears on a report that has been prepared for remittance *but not yet mailed* to the state, the holder must do one of the following:

- ☐ Revise the report (manually or electronically prepared) by deleting the property and adjusting amount and remittance or;
- ☐ If report has been submitted, follow the instructions for completing a Request for Holder Reimbursement NAUPA Form on [page 39](#).

Prior to reimbursing a claimant, please contact this office to inquire whether or not a claim has been filed and/or paid.





PASSWORD PROTECTED FILES



- ⦿ CD ROMS and USB flash drives in NAUPA format that contain the “HDE” file extension are encrypted and do not require password protection.
- ⦿ CD ROMS and USB flash drives in NAUPA format that contain the “HRS” file extension are **not** encrypted and should be sent under protected means (e.g. *WinZip*).
- ⦿ Password protected files need to have clear instructions on how to obtain password.
- ⦿ Any faxes or emails received without the proper identification listed will result in the report not being processed.
- ⦿ Any unclaimed property reports received that remain unreadable files may be considered out of compliance subject to interest and penalties.





REPORTING REQUIREMENTS & CONSIDERATIONS



REQUEST FOR AN EXTENSION

- The administrator may grant an extension beyond the filing due date under certain conditions. If you cannot remit your report before November 1st, you must make a Request for Extension, in writing by October 1st. If your report is received after November 1st, without approval, it will be considered late. The Extension form must be received at least 30 days before the date the property is due. All reports received after the due date must be submitted electronically in NAUPA format regardless of the number of properties being submitted.

AMNESTY/VOLUNTARY COMPLIANCE

- Utah has a formal compliance/amnesty program. The State Treasurer does, however, encourage holders to comply with the law. Holders that voluntarily come forward, and have been granted an “informal voluntary disclosure” will not be subject to penalty.
- Holders of unclaimed property are required to file reports within the time specified for each type of property, there is no grace period.
- Reports and remittances that are received after the required due date are subject to an interest penalty under the provisions of Utah Code § 67-4a-703.

LATE FILING



- If a report is postmarked after the due date November 1st, it must be submitted in NAUPA format electronically regardless of the number of properties and may be subject to interest and penalties.



HOLDER REPORTING REQUIREMENTS & CONSIDERATIONS

RECORD RETENTION



Holders of abandoned property for the State of Utah are required by Utah Code §67-4a-601, to retain abandoned property records for a period of five (5) years after filing the report unless a shorter period is provided by regulation or the administrator.

Business and financial organizations that provide checks, money orders or similar instruments other than third-party bank checks, on which the organization is directly liable, must maintain records while instruments remain outstanding for three years after the holder has filed the report.

AGGREGATE ITEMS

The State of Utah aggregate amount is \$50.00 and is reportable.

REPORTING PROPERTY BEFORE REQUIRED DORMANCY PERIOD

*Holders requesting to remit abandoned property prior to the required dormancy period must put their request in writing to the Unclaimed Property Administrator. Your request must provide the reason for reporting early. An example of early reporting would be business closing, proof of death with an un-locatable heir.



Due diligence requirements still apply when escheating property early.



HOLDER REPORTING REQUIREMENTS & CONSIDERATIONS (CONT'D)



AUDITS

The Utah State Treasurer's Office periodically participates in examinations of holder records to ensure that holders are in compliance with the state's unclaimed property law .

Late reporting, non-reporting, consumer complaints, and improper aging are just a few examples that can trigger an audit.



PROPERTY FROM OTHER STATES/RECIPROCAL AGREEMENTS

The state of Utah currently has informal reciprocal agreements with most states; however, property should be reported to the state of the last known address.

Utah will take incidental property for other states, Holders should report property to the state of the owner's last known address. If property for other states is submitted, it must be in compliance with those states' laws and procedures and reported electronically in NAUPA format

All unclaimed money orders, travelers checks or similar instruments that were purchased in Utah must be reported to Utah if the owner's last known address is unknown.

All unclaimed property held for owners whose last known address is unknown or is in a foreign country must be reported to Utah if the holder is domiciled or incorporated in Utah.





PAYMENT REMITTANCE METHODS



REMITTING PAYMENTS Checks are permitted for payments payable to [Utah State Treasurer](#).

- * Do not make checks payable to the original owner or include the original owner's name in the payee section of the check.
- * Do not send the original instrument that was issued to the owner. This office can only deposit checks made payable to **Utah State Treasurer**.
- * Checks made payable to other individuals or business entities will be returned unprocessed.
- * Do not submit an individual check for each property being reported. **Checks will be returned and reports returned subject to late filing, interest, and penalties.**

WIRE TRANSFER AND ACH FUND TRANSACTIONS

Wire Instructions

Bank: Wells Fargo Bank

ABA: 121000248

Beneficiary: State of Utah-Unclaimed Property Division/UP

Account Number: 4121099162

If submitting a report online, payment confirmation (ACH/EFT/Check) information must be provided for report transmission.





REMITTING SAFE DEPOSIT BOX CONTENTS



Safekeeping Inventory forms must be completed prior to November 1st for each owner on whose behalf you are reporting contents. See pages 34 and 35 for safekeeping forms.

SAFEKEEPING ITEMS MUST BE FILED ON A REPORT SEPARATE FROM INTANGIBLE ITEMS.

Holders must report all inventory on the state of Utah Safekeeping Inventory Form [\(ST-3\)](#), a new form created specifically for submitting tangible items.

♦ DO NOT REPORT EMPTY BOXES.

In addition, Holders reporting ten (**10**) or more individual safekeeping accounts must be submitted electronically in NAUPA format.

Call to schedule an appointment (801) 715-3300 for the delivery of safekeeping contents.

Safekeeping contents should be placed in an impenetrable 9 X 12 inch or larger envelope. An inventory report for each envelope is required. The owner names and box number or other identifying number must be clearly marked on the outside of the envelope. There must be a [\(ST-3\)](#) form attached to each envelope; see pages 34 and 35.

Place the envelopes in alphabetical order by owner last name or business name.

If any of the safekeeping boxes contain firearms (with the exception of antiques), controlled substances or contents that could be deemed illegal, follow your internal policy regarding contraband. Utah will not accept these items. Include with your remittance, a written explanation regarding how the safekeeping in question was handled.

Cash found in safekeeping boxes must be inventoried, counted and remitted to the state.



UTAH 'OWNER RELATIONS' CODES & DEFINITIONS

Code	Description	Definition
AD	Administrator	A person appointed by the court to handle the estate of someone who died without a will, with a will with no nominated executor, or the executor named in the will has died, has been removed from the case, or does not desire to serve.
AF	Attorney For	A person who has been qualified by a state or federal court to provide legal services, including appearing in a court and is authorized to act for another.
AG	Agent For	A person who is authorized to act for another (the agent's principal) through employment, by contract or apparent authority.
AN	Unspecified Joint Relationship (AND)	Unspecified joint relationship including 'AND'.
BF	Beneficiary	Any person or entity (like a charity) who is to receive assets or profits from an estate, a trust, an insurance policy, or any instrument in which there is a distribution.
CF	Custodian For	An individual entrusted with guarding and keeping property or having custody of a person; a person named to manage a child's property under the UFGTMA; a person or entity appointed by a bankruptcy court to take charge of the debtor's property for purposes of administration.
CC	CO-Conservator	A person, official or institution appointed by a court to take over and manage the estate and financial affairs and/or a person's daily life due to physical or mental limitations or old age; a public official charged with the protection of something affecting public welfare and interests.
CN	Conservator	A person, official or institution appointed by a court to take over and manage the estate and financial affairs and/or a person's daily life due to physical or mental limitations or old age; a public official charged with the protection of something affecting public welfare and interests.
EX	Executor/Executrix	The person appointed to administer the estate of person who has died leaving a will that nominates that person.
FB	For Benefit Of	A statement that indicates a beneficiary for a given document; property held for an individual by another or business with the best interest of the individual in mind.
GR	Guardian For	A person or institution named in a will or a temporary guardianship that is responsible for the care of minor children; a person assigned by the court to take care of minor children or incompetent adults.
IN	Insured	The person or entity who will be compensated for loss by an insurer under the terms of a contract called an insurance policy; the person whose life is insured by life insurance, after whose death, the benefits go to others.

UTAH 'OWNER RELATIONS' CODES & DEFINITIONS

Code	Description	Definition
JC	Joint Tenants in Common	A type of account owned by at least two people with no rights of survivorship afforded to any of the account holders. The surviving tenant of the account does not necessarily acquire the rights or assets of the deceased person. Rather, each tenant in the account can stipulate in a written will, how their assets will be disbursed upon their death. Typically, the member ownership in the account is determined on a prorate basis, meaning that if there are two tenants on the account, each will have a 50% claim on the account's value.
JT	Joint Tenants With Rights of Survivorship	A type of account owned by at least two people where all tenants have an equal right to the account's assets and are afforded survivorship rights in the event of the death of another account holder. In this type of account, a surviving member will inherit the total value of the other member's share of account assets upon the death of the other member. All members of the account are afforded the power to conduct investment transactions within the account as well.
OR	Or	Unspecified joint relationship including 'OR' - Either person may claim
PA	Payee	The one named on a check or promissory note to receive payment. Each individual named as 'payee' shall be paid an equal share of the property.
PO	Power of Attorney	A written document signed by a person giving another person the power to act for the signer in designated circumstances and with respect to designated property. General powers of attorney give the authorized party broad discretion; Special powers of attorney are limited in capacity.
RE	Remitter	Used primarily on official checks. The remitter is the person who purchased the official check. This relationship is separate from the holder who turns the property over to the state.
SO	Sole Owner	Used when there is only one owner for the property; that person has all rights to ownership.
TE	Trustee	The individual or entity named as trustee may claim property on behalf of the individual named as owner. The trustee will be required to provide verification that they continue to have the authority to act on behalf of the named owner. Payment will be issued in the name of the owners.
UG	Uniform Gift to Minors Act	Property was gifted to a minor according to the Uniform Gifts to Minor's Act (Uniform Transfers to Minor's Act in some states). Regardless whether the minor has reached the age of majority; they should be coded with the UG relation. The custodian on the account should be coded as CU.

UTAH STATE TREASURER

UNCLAIMED PROPERTY REPORT/REMIT YEAR TABLES

ONE (1) YEAR PROPERTIES

Items that were issued or had a last activity date during the period:	Must be reported and remitted on the report postmarked before:
7/01/2011 thru 6/30/2012	November 1, 2013
7/01/2012 thru 6/30/2013	November 1, 2014
7/01/2013 thru 6/30/2014	November 1, 2015
7/01/2014 thru 6/30/2015	November 1, 2016
7/01/2015 thru 6/30/2016	November 1, 2017

THREE (3) YEAR PROPERTIES

Items that were issued or had a last activity date during the period:	Must be reported and remitted on the report postmarked before:
7/01/2009 thru 6/30/2010	November 1, 2013
7/01/2010 thru 6/30/2011	November 1, 2014
7/01/2011 thru 6/30/2012	November 1, 2015
7/01/2012 thru 6/30/2013	November 1, 2016
7/01/2013 thru 6/30/2014	November 1, 2017

Seven (7) YEAR PROPERTIES

Items that were issued or had a last activity date during the period:	Must be reported and remitted on the report postmarked before:
7/1/2007 thru 6/30/2006	November 1, 2013
7/1/2008 thru 6/30/2007	November 1, 2014
7/1/2009 thru 6/30/2008	November 1, 2015
7/1/2010 thru 6/30/2009	November 1, 2016
7/1/2011 thru 6/30/2010	November 1, 2017

Note: Reports and remittances that are received after the prescribed due date are subject to interest and penalty under the provisions of Utah Code § 67-4a-703.



UTAH UNCLAIMED PROPERTY CHECKLIST



- Filing and paying online, upload report and pay @ www.mine.utah.gov, there is nothing else you need to do
- Filing report online and submitting payment, upload report @ www.mine.utah.gov, print up confirmation and mail in with payment
- If mailing report, is the web receipt, CD ROM or USB flash drive enclosed with your report?
- Were the instructions for remitting securities properly followed?
- Have the securities been liquidated or transferred in the nominee name?
- Are the DTC share notifications attached to the Report?
- Does the CD/ROM or USB flash drive label list the holder information?
- Filing (9 and under properties) has the Report of Unclaimed Property Form ([ST-1](#)) been completely filled out with a TIN/FEIN and a contact person, phone number and email? Is the report of Unclaimed Property Detail form ([ST-1](#)) completely filled out?
 1. Are the Property Type Codes listed?
 2. Is it legible? The ST-1 is a “fill-able” form that can be completed on our website.
 3. Is all available owner information included, i.e., social security numbers?

[Contact Information](#)
[Utah Unclaimed Property Division](#)
[PO Box 140530](#)
Salt Lake City, UT 84114-0530
801-715-3300—voice
801-715-3309—FAX
Website: <http://www.mine.utah.gov>
Email: holders@utah.gov



**State of Utah Office of the State Treasurer
Unclaimed Property
PO Box 140530, Salt Lake City, UT 84114-0530**

HOLDER REQUEST FOR EXTENSION

HOLDER INFORMATION		
Holder Information:	Tax/FEIN Number:	
Mailing Address:		
City:	State:	Zip Code:
Contact Person:	Phone Number: ()	Fax Number: ()
REQUEST INFORMATION		
Select additional time required to complete report: <input type="checkbox"/> 30 Days <input type="checkbox"/> 60 Days <input type="checkbox"/> 90 Days <input type="checkbox"/> Other		
Reason for request: <input type="checkbox"/> Reorganization/Merger <input type="checkbox"/> Personnel Changes <input type="checkbox"/> New Transfer Agent <input type="checkbox"/> System Problems <input type="checkbox"/> New Computer Program		
Other (please explain)		
CERTIFICATION		
<p>I am requesting an extension for reporting year_____. I am aware of Utah's requirement to remit abandoned property by November 1st and am duly authorized to execute this request for an extension.</p> <p>Submit this form to the Utah Unclaimed Property Office at least 30 days prior to the original filing due date. Your report is due by November 1st, therefore this form must be completed and postmarked no later than October 1st. Remittance is due when holder report is submitted.</p>		
Name _____ Title _____		
Phone No. _____ Fax No. _____ Email _____		
Signature _____		
UNCLAIMED PROPERTY USE ONLY		
The Utah Unclaimed Property office will consider the following criteria in evaluating this request:		
	<u>Satisfactory</u>	<u>Unsatisfactory</u>
Previous Filing History (if filed)	<input type="checkbox"/>	<input type="checkbox"/>
Timeliness of Filing	<input type="checkbox"/>	<input type="checkbox"/>
Prior Requests for Extensions (consecutive)	<input type="checkbox"/>	<input type="checkbox"/>
Extension Approved <input type="checkbox"/> Extension Denied <input type="checkbox"/> Report Due on _____		
Reason for denial _____		
_____	_____	_____
Authorized Signature	Title	Date



ST-1 UTAH REPORT OF UNCLAIMED PROPERTY

- Mail address change
- No longer in business

FEDERAL EIN	FROM	TO	REPORT DUE ON OR BEFORE
	07/01/20	06/30/20	11/01/2013

Holder Name: _____

Holder Address: _____

Utah's unclaimed property law requires businesses to review their records and report any unclaimed property they're holding, including money, securities, or other property. Property becomes unclaimed when the owner doesn't claim it after a certain period of time has passed, and attempts to locate the owner have failed.

Use this form to report unclaimed property or use our free, secure Web site to e-file your unclaimed property report at www.mine.utah.gov (click on "Report Property" tab and follow the reporting links). You can also make electronic payments through the site.

1. Contact person name..... • _____
2. Contact person phone..... • _____
3. E-mail address..... • _____
4. State of incorporation..... • _____
5. Number of properties reported (from Form ST-2) • _____
6. Number of stock shares remitted (from Form ST-2) • _____
7. Amount remitted (\$) (from Form ST-2) • _____

I do hereby swear or affirm that this information is true and correct to the best of my knowledge.

Authorized Signature

Date

P.O. Box 140530, Salt Lake City, UT 84114-0530
Voice (801) 715-3300 Toll Free (888) 217-1230 | Fax: (801) 715-3309 www.mine.utah.gov

UTAH STATE TREASURER • UNCLAIMED PROPERTY

PROPERTY TYPE CODES & ABANDONMENT PERIODS

ACCOUNTS BALANCES (3 YRS)

AC01	CHECKING ACCOUNTS
AC02	SAVINGS DEPOSITS
AC03	MATURED CERTIFICATES OF DEPOSIT OR SAVINGS CERTIFICATES
AC04	CHRISTMAS CLUB ACCOUNTS
AC06	SECURITY DEPOSITS
AC07	UNIDENTIFIED DEPOSITS
AC08	SUSPENSE ACCOUNTS
AC99	AGGREGATE(<\$50 OR LESS)

UNCASHED CHECKS (3 YRS UNLESS SPECIFIED IN PARANTHESIS)

CK01	CASHIER'S CHECKS
CK02	CERTIFIED CHECKS
CK03	REGISTERED CHECKS
CK04	TREASURER'S CHECKS
CK05	DRAFTS
CK06	WARRANTS
CK07	BANK MONEY ORDERS (7)
CK08	TRAVELER'S CHECKS (15)
CK10	EXPENSE CHECKS
CK11	PENSION CHECKS
CK12	CREDIT CHECKS OR MEMOS
CK13	VENDOR CHECKS
CK15	ANY OTHER OUTSTANDING OFFICIAL CHECKS OR EXCHANGE ITEMS
CK16	CD INTEREST CHECKS
CK99	AGGREGATE(<\$50 OR LESS)

COURT & GOVERNMENT (1 YR)

CT01	ESCROW FUNDS
CT02	CONDEMNATION AWARDS
CT03	MISSING HEIRS' FUNDS
CT04	SUSPENSE ACCOUNTS
CT05	OTHER TYPES OF DEPOSITS MADE WITH A COURT OR PUBLIC APPEAL
CT07	GARNISHMENTS
CT99	AGGREGATE(<\$50 OR LESS)
GT01	PROPERTY TAX OVERPAYMENT
GT02	EXCESS PROCEEDS FROM MAY TAX SALES
GT03	STATE TAX REFUNDS
GT05	AP/WARRANTS/CHECKS
GT99	AGGREGATE(<\$50 OR LESS)

INSURANCE (3 YEARS*)

IN01	INDIVIDUAL POLICY BENEFITS OR CLAIM PAYMENTS
IN02	GROUP POLICY BENEFITS OR CLAIM PAYMENTS
IN03	PROCEEDS DUE BENEFICIARIES
IN04	PROCEEDS FROM MATURED POLICIES, ENDOWMENTS, ANNUITIES
IN05	PREMIUM REFUNDS
IN06	UNIDENTIFIED REMITTANCES
IN07	OTHER AMOUNTS DUE UNDER POLICY TERMS
IN08	AGENT CREDIT BALANCES
IN99	AGGREGATE(<\$50 OR LESS)

PROCEEDS FROM MINERAL INTERESTS (3 YEARS)

MI01	NET REVENUE INTERESTS
MI02	ROYALTIES
MI03	OVERRIDING ROYALTIES
MI04	PRODUCTION PAYMENTS
MI05	WORKING INTERESTS
MI06	BONUSES
MI07	DELAY RENTALS
MI08	SHUT-IN ROYALTIES
MI09	MINIMUM ROYALTIES
MI99	AGGREGATE(<\$50 OR LESS)

SAFE DEPOSIT BOXES AND SAFEKEEPING (5 YEARS)

SD01	CONTENTS OF SAFE DEPOSIT BOXES
SD02	CONTENTS OF ANY SAFEKEEPING REPOSITORY
SD03	OTHER TANGIBLE PROPERTY

HEALTH SAVINGS PLANS (3 YEARS)

HS01	HEALTH SAVINGS ACCOUNT
HS02	HEALTH SAVINGS ACCOUNT INVESTMENT

CHECKS AND INTANGIBLE PROPERTY HELD IN THE ORDINARY COURSE OF BUSINESS

CODE (DORMANCY PERIODS IN PARENTHESES)

MS01	WAGES, PAYROLL, OR SALARY (1 YEAR)
MS02	COMMISSIONS (1 YEAR)
MS03	WORKER'S COMP BENEFITS (3)
MS04	PAYMENT FOR GOODS AND SERVICES (3)
MS05	CUSTOMER OVERPAYMENTS (3)
MS06	UNIDENTIFIED REMITTANCES (3)
MS07	UNREFUNDED OVERCHARGES (3)
MS08	ACCOUNTS PAYABLE (3)
MS09	CREDIT BAL/ACCTS RECEIVABLE (3)
MS10	DISCOUNTS DUE (3)
MS11	REFUNDS DUE (3)
MS13	UNCLAIMED LOAN COLLATERAL (3)
MS14	SUMS PAYABLE FROM PENSION/PROFIT SHARING (IRA, KEOUGH, E.G.) (3)
MS15	PROPERTY DISRIBUTABLE INVOLUNTARY DISSOLUTION/LIQUIDATION(3)
MS16	OTHER MISC. OUTSTANDING CKS (3)
MS17	OTHER MISC. INTANGIBLE PERSONAL PROPERTY (3)
MS18	SUSPENSE LIABILTTIES (3)
MS99	AGGREGATE(<\$50 OR LESS)

SECURITIES (3 YEARS)

SC01	DIVIDENDS
SC02	INTEREST PAYABLE ON REGISTERED BONDS
SC03	PRINCIPAL PAYMENTS
SC04	EQUITY PAYMENTS
SC05	PROFITS
SC06	FUNDS PAID TOWARD THE PURCHASE OF SHARES, OR INTEREST IN A FINANCIAL OR BUSINESS ENTITY
SC07	BEARER BOND INTEREST AND MATURED PRINCIPLE
SC08	SHARES OF STOCK (RETURNED BY POST OFFICE)
SC09	CASH FOR FRACTIONAL SHARES
SC10	UNEXCHANGED STOCK OF SUCCESSOR CORPORATION
SC12	UNDERLYING SHARES OR OUTSTANDING CERTIFICATES OF OWNERSHIP
SC13	FUNDS FOR LIQUIDATION/REDEMPTION OF UNSURRENDERED STOCKS/BONDS
SC14	DEBENTURES
SC15	U.S. GOVERNMENT SECURITIES
SC16	MUTUAL FUNDS
SC17	WARRANTS(RIGHTS)
SC18	MATURED PRINCIPAL ON REGISTERED BONDS
SC19	DIVIDEND REINVESTED BOND
SC20	CREDIT BALANCES
SC99	AGGREGATE(<\$50 OR LESS)

TRUST, INVESTMENTS, AND ESCROW ACCOUNTS (3 YEARS)

TR01	PAYING AGENT ACCOUNTS
TR02	UNDELIVERED DIVIDENDS OR UNCASHED DIVIDENDS
TR03	FUNDS HELD IN A FIDUCIARY CAPACITY
TR04	ESCROW ACCOUNTS
TR05	TRUST VOUCHERS
TR99	AGGREGATE(<\$50 OR LESS)

UTILITIES

CODE (DORMANCY PERIODS IN PARENTHESES)

UT01	UTILITY DEPOSITS (1)
UT03	REFUNDS OR REBATES (5)
UT99	AGGREGATE(<\$50 OR LESS)

EDUCATIONAL SAVINGS ACCOUNTS (INCLUDES COVERDELL ED SAVINGS ACCOUNTS AND COLLEGE SAVINGS PLANS) (3 YEARS)

CS01	CASH
CS02	MUTUAL FUNDS
CS03	SECURITIES

TRADITIONAL IRA, SEP IRA, SARSEP IRA, AND SIMPLE IRA (3 YEARS)

IR01	CASH
IR02	MUTUAL FUNDS
IR03	SECURITIE

ROTH IRA (3 YEARS)

IR05	CASH
IR06	MUTUAL FUNDS
IR07	SECURITIES



Utah Unclaimed Property

Safe Deposit Box/Safekeeping Report Summary

HOLDER INFORMATION			
Date:	Federal/Tax ID No.:		
Entity Name:		Contact Person:	
Address:		Email:	
City:	State:	Zip:	Title/Department:
State of Incorporation:		Phone No.:	Fax No.:
Date of Incorporation:		Utah Holder ID Number:	
Parent Company Name:		Parent Company Federal/Tax ID No.:	
SUMMARY OF PROPERTY REPORTED AND REMITTED			
Number of safe deposit boxes/safekeeping items reported:			#
VERIFICATION STATEMENT			
<p>Under penalty of perjury, I declare to the best of my knowledge and belief, that the safe deposit box/safekeeping information provided above and in the attached schedules is true and correct, that written notice was sent to owners, i.e., Due Diligence, pursuant to Utah Code § 14-517, has been completed and that I am duly authorized to execute this verification by the institution.</p>			
_____ Name of Authorized Officer		_____ Signature of Authorized Officer	
_____ Title of Authorized Officer		_____ Date	
UCP Receipt Date Stamp			



Voluntary Disclosure Agreement

for Utah Reporting Unclaimed Property

According to the Utah Unclaimed Property Act, §67-4a-301 et. seq., all "holders" are required to file an unclaimed property report each year before November 1. The term "holder" includes any person, business, or organization that is in possession of unclaimed property. Unclaimed property is any property held, issued, or owing by a holder, without activity or contact for at least one year for wages/payroll and commissions, and three years for most other property types. A list of property types and their dormancy periods is available on the Division's Web site: www.mine.utah.gov.

To be considered for admission into the Voluntary Compliance Program, a holder must complete and sign the Voluntary Disclosure Agreement ("VDA") and meet the following criteria:

- Holder is voluntarily coming forward because of identified non-reporting or underreporting of unclaimed property that was due and payable in a prior year
- Holder is currently not under audit or self-audit by the Unclaimed Property Division for past due unclaimed property reporting
- Holder has not been granted voluntary compliance or participated in the Utah Self-Audit Program in the past 10 years. This provision is waived if the property type is new or associated with a merger/acquisition of a new company.

Holder hereby agrees:

To report all unclaimed property identified through a complete audit of its books and records for the last five (5) reportable years. This includes property that was reportable during the years 2007 — 2012 (i.e., property with last activity dates of 2003 — 2009 for most property types and 2010 — 2012 for wages and commissions).

To disclose all subsidiaries or related entities, including Employer/Tax Identification Number (EIN), state of domicile, and state of incorporation, including the corporate structure of the holder. Justification must be provided for the omission of subsidiaries or related entities from inclusion in the audit procedures and corresponding remittance of unclaimed d property.

To disclose, in writing, all business positions, methodologies and estimation techniques (if applicable) used in the determination of reportable property. A complete list of property types reviewed to determine the unclaimed property liability along with a current Chart of Accounts must be provided.

To disclose any methods of due diligence performed in association with the VDA in addition to due diligence procedures utilized throughout the period under review.

•To provide assertion as to the completeness of the records provided and reason for missing/unavailable records.

To file a report within ninety (90) days of the execution of this agreement directly with the Unclaimed Property Division. Any use of a third party to gather records or file a report will be done at the expense of the holder. The report must be filed using electronic reporting software, HRS Pro, or other approved reporting software, with the reported and remitted amount fully reconciling. The report will contain the name, last known address and Social Security Number (if known) and any other account information that is available and useful in determining rightful ownership of the account.

To be fully compliant with the Utah Unclaimed Property Act from this point forward. This includes, but is not limited to, performing an annual review of all financial records for abandoned and unclaimed accounts and filing a complete and accurate unclaimed property report by November 1, each year (filing instructions and software are available on www.mine.utah.gov).

The Utah Unclaimed Property Division hereby agrees:

To waive all applicable penalties and interest, as permitted under §67-4a-701 and §67-4a-703 of the Utah Unclaimed Property Act, for the reported property, if the property is reported within the terms of this agreement.

To relieve the holder of liability from claims on the property upon payment and delivery of the property according to §67-4a-302 of the Utah Unclaimed Property Act.

To relieve the holder of its obligation to report and remit unclaimed property for property reportable prior to 2007.

Under this agreement

The Unclaimed Property Division reserves the right to conduct an examination of the holder regardless of its admission into the program. The Division recognizes, however, that the holder has come forward on a voluntary basis to come into compliance with the unclaimed property, and will take this action into consideration when considering an examination of the holder's books and records.

If any of the representations made by the holder in the agreement are false or misleading, the agreement becomes null and void and the holder becomes subject to penalties and interest from the time the property should have been reported, as permitted in §67-4a-701 and §67-4a-703 of the Utah Unclaimed Property Act.

Please Note - This request must be approved prior to submitting the holder report

Signatures

Executive for Holder

Utah Unclaimed Property Division

Title:

Title:

Date:

Date:

Preliminary Report Information**Holder Name:****EIN:****State of Incorporation:**

Holder Subsidiaries and Related Entities:

(Include EIN's, locations, and states of incorporation if different from parent company)

Initial Property Types to be Reviewed:

*(examples: wages, credit balances, refunds/rebates, escrow accounts, gift certificates, accounts payable, commissions, bonds, stock proceeds, etc.)***Contact Information**

Holder Contact Name:

Contact's Phone Number:

Contact's Email Address:

Mailing Address:

Remarks/Comments:

If applicable...

Holder Representative:

Representative Contact Name:

Representative Contact Information:

(email, address, etc.)

HOLDER REQUEST FOR REIMBURSEMENT

State of _____ Report Year _____ Report Total _____

PART I HOLDER INFORMATION

Holder Name _____ Address _____ City _____ State _____ Zip _____

Tax ID# _____ Contact Name _____ Contact Telephone No. _____ Contact Fax No. _____

PART II CLAIM INFORMATION

Property Code _____ Acct. Reference No. (If Aggregate – Specify) _____ Date Pd. To Owner/Acct. Reactivated * _____ Dollar amount/number of shares _____

Owner's Name (Exactly as on Report) _____ Owner's Address (As Listed on Report) _____

Claimant's Name & Address (If Different than Owner)

***IF AMOUNT WAS REMITTED IN ERROR, ATTACH A SEPARATE SHEET DETAILING THE ERROR**

Total Request for Reimbursement: \$ _____

PART III HOLDER CERTIFICATION

Sworn to and subscribed before me this _____

_____ day of _____ 20 _____

Notary: _____ I, _____ a duly authorized representative of the holder listed above, do hereby certify that the above listed funds, or other property which was listed in the Report filed by the holder, have been paid to the rightful owner(s) or their appointed representative. I agree, upon payment of the above-described property to indemnify the State and hold it harmless from all claims and loss, demands, costs, and other expenses which the State may sustain by reason returning property to the holder and by reason further of its refusal to pay the property to any other person or persons:

My commission expires: _____

Name and Title of Holder Representative (type or print) _____

Signature of Holder Representative _____ Date _____

INSTRUCTIONS FOR HOLDER REQUEST FOR REIMBURSEMENT

A separate Holder Request for Reimbursement should be submitted for each report year and each claimant.

PART I **HOLDER INFORMATION:** Enter the name, address and Federal Tax ID number of the Holder, and the name and telephone number of the Holder's contact person.

PART II **CLAIM INFORMATION:** The information provided on this form **must** be identical to how the property was originally reported.

NAUPA or State Property Code
Account/Reference Number, if any.
Date Paid to Claimant or Date Account Reactivated. **Evidence of payment to the rightful owner (or his/her representative) must be provided.**

Dollar amount/number of shares originally remitted.
Owner(s) name and Address as shown on the report.
Claimant(s) Name and Address, if different than the owner.
Total Reimbursement requested.

PART III **HOLDER CERTIFICATION:** This notarized statement must be completed before the State will process the request for reimbursement and make payment. Proof that the claimant was paid and entitled to the property must be maintained and is subject to audit and review by the State.