



## UNCLAIMED PROPERTY

BRENDA D. WILLIAMS  
DEPUTY TREASURER

### REPORTING, REGISTERING AND TRANSFER INSTRUCTIONS FOR SECURITIES

September 4, 2018

**Each Holder, Broker, Transfer Agent and Third Party Reporter should adhere to the requirements below:**

**Securities should only be reported to North Carolina if they have value and can be registered to the rightful owner should they come forward. Securities not meeting this criteria should be maintained by the holder, in the name of the owner, until such time that they can be transferred or re-registered and reported to the North Carolina Department of State Treasurer (DST) with the ability to be re-registered to the rightful owner. It is incumbent on the holder to identify worthless issues, shares which are unable to be registered to the owner, and restricted shares.**

The instructions below should be followed to ensure securities are properly reported, registered, and transferred.

1. At least five (5) business days prior to the anticipated delivery of securities, all reportable securities should be listed on the 'Summary of Securities to be Reported' spreadsheet found in the [Unclaimed Property References](#) section of our website and emailed to Wells Fargo Advisors (WFA) at the following address: [nc.statemail@wellsfargoadvisors.com](mailto:nc.statemail@wellsfargoadvisors.com). Holder reports should NOT be finalized or submitted to the DST until an additional five (5) business days have passed since submitting the spreadsheet to WFA.
2. Upon receipt, WFA will email a confirmation of receipt of the 'Summary of Securities to be Reported' spreadsheet.
3. Within five (5) business days of receipt, WFA will email the remitter with any identified security issues that should not be reported or delivered to North Carolina. **Such issues and owner detail must be removed from the holder report** prior to submitting the report to the DST.
4. For security issues that should be reported, see registration and reporting instructions below.
5. The holder's owner detail report must be submitted in an electronic North Carolina modified NAUPA file format to the DST. Electronic holder reports and owner detail should not be sent to WFA or Wells Fargo Clearing Services, LLC.
  - a) Dividends earned prior to registering shares to the DST should be reported in the owner's name, regardless of the amount, with a NAUPA Class Code of 'SC01', and included in the total remittance of funds.
  - b) For securities which cannot be transferred in fractional shares, individual owner shares should only be reported and delivered in whole shares. Any fractional shares should be liquidated for the individual owners. The values of the fractional share should be reported with a NAUPA Class Code of 'SC09' and applied to each

individual owner. The fractional share proceeds should be included in the total remittance of funds. Once fractions are liquidated, whole shares should be delivered as instructed below. The value for fractional shares must be reported and delivered for each individual owner. Do not aggregate the fractional share proceeds.

- c) If reporting for multiple holders or funds:
  - a. Each holder or fund report and corresponding owner detail must be attached and mailed together.
  - b. Each holder or fund electronic file must be saved in the name of the specific holder or fund on the electronic media submitted.
- d) Attach the following to the holder report: a paper copy of the 'Summary of Securities to be Reported' spreadsheet previously submitted to WFA, email of non-reportable securities (if applicable), delivery confirmation(s) showing date of delivery, and a copy of the account statement for any securities which are unable to be held by WFA, but have value and are able to be re-registered in the name of the DST.
- e) Refer to [Step 4 Submit Your Report and Remit Funds Due](#) for additional detailed holder report and fund remittance instructions.

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## REGISTRATION AND DELIVERY OF STOCK

**A security should not be re-registered into the name of the DST until five (5) business days have passed from the submission of the 'Summary of Securities to be Reported' spreadsheet to WFA.**

### STOCK DELIVERY

When possible, stock, *including foreign stock*, should be delivered via Automated Customer Account Transfer Service (ACATS) to:

Wells Fargo Clearing Services, LLC  
ACATS Participant # 0141  
Reference: NC Dept of State Treasurer - UPD  
Account # 6975-1557

If stock cannot be delivered via ACATS, alternate electronic methods such as DTC Free Delivery or DWAC may be used. If stock cannot be delivered electronically, stock may be registered in Book Entry Shares/Direct Registration Shares (DRS). If stock cannot be delivered as set forth above, reach out to WFA for alternate delivery methods, including foreign delivery instructions. Third party interest statements should be mailed to both WFA and the DST at the addresses below:

Wells Fargo Advisors  
Attention: Tim Johnson  
400 Capitol Mall, Suite 1700  
Sacramento, CA 95814

NC Department of State Treasurer  
Unclaimed Property Division  
3200 Atlantic Avenue  
Raleigh, NC 27604-1668

## PHYSICAL STOCK CERTIFICATES

Physical certificates should only be sent for stocks which cannot be sent via ACATS, DTC Free Delivery, DWAC or DRS, and must be registered as stated below:

NC Department of State Treasurer  
Unclaimed Property Division  
3200 Atlantic Avenue  
Raleigh, NC 27604-1668  
Tax ID # 56-1545517

Physical Certificates **MUST** be mailed to:

Wells Fargo Advisors  
ATTN: Amy Peeples  
1504 Eureka Rd  
3rd Floor, Suite 300  
Roseville, CA 95661-3085

## REGISTRATION OF MUTUAL FUNDS

### **Mutual Fund Transfer via ACATS:**

When possible, mutual funds should be transferred via ACATS as stated below:

Wells Fargo Clearing Services, LLC  
ACAT Participant # 0141  
Reference: NC Dept. of State Treasurer  
Account # 6975-1557

**CASH option MUST BE SELECTED for all Dividend and Capital Gains Registration**

### **Mutual Fund Direct Transfer:**

For mutual fund shares unable to be transferred via ACATS, please contact Tim Johnson at WFA, [nc.statemail@wellsfargoadvisors.com](mailto:nc.statemail@wellsfargoadvisors.com) to obtain a fund account number.

If the DST does not have an existing account in a specific fund, contact Tim Johnson at WFA, [nc.statemail@wellsfargoadvisors.com](mailto:nc.statemail@wellsfargoadvisors.com) to obtain the information needed to open a new account.

## MUTUAL FUNDS THAT CANNOT BE HELD BY WFA

If WFA cannot hold a specific mutual fund, third party interest statements should be mailed to both WFA and the DST (see addresses on page 2 of this guide). Accounts should be registered as stated below:

NC Department of State Treasurer  
Unclaimed Property Division  
3200 Atlantic Avenue  
Raleigh, North Carolina 27604  
TAX ID #: 56-1545517  
Broker of Record: Tim Johnson

**CASH option MUST BE SELECTED for all Dividend and Capital Gains Registration**

**CLOSED END MUTUAL FUND**

Closed end mutual funds must be transferred using the same instructions as “Registration and Delivery of Stock”.

**CASH option MUST BE SELECTED for all Dividend and Capital Gains Registration**

**Contact Information**

For questions concerning registration or transfer instructions, contact Tim Johnson via email at [Tim.Johnson@wellsfargoadvisors.com](mailto:Tim.Johnson@wellsfargoadvisors.com) or by phone at 916-491-6361.

For questions pertaining to filing the unclaimed property report or associated fund remittance, contact the Unclaimed Property Division at 919-814-4200 option 3.

**Reporting and Remitting Checklist**

- Submit ‘Summary of Securities to be Reported’ spreadsheet to WFA at least five (5) business days prior to the anticipated delivery of shares/units.
- Adjust holder report if you have received a notification from WFA that a security issue is not reportable.
- Register and deliver securities as instructed in this Guide to WFA. (CASH option MUST BE SELECTED for all Dividend and Capital Gains Registration).
- Confirm all securities scheduled for transfer were delivered.
- Review report for accuracy. Verify that shares and/or cash included on your report equal shares delivered and/or cash to be remitted.
- Prepare documents to be submitted with the report. Attach a paper copy of the Summary of Securities for all corresponding reports, email of non-reportable securities (if applicable), delivery confirmation(s) showing date of delivery, and include an account statement with reports for all securities registered to the DST which are unable to be delivered to WFA.
- Remit check/wire and report to the DST.

**Reminder:** Do not report securities that have no value or which are restricted from registration to the rightful owner. Maintain these securities in the name of the owner and report at such time that they gain value or can be registered to the rightful owner.