

# STATE OF NEW JERSEY

## PROCEDURE FOR BROKERS REPORTING UNCLAIMED PROPERTY TO THE STATE OF NEW JERSEY

1. Regular securities that are DTC eligible should be sent free receipt or DWAC (preferred method over DRS) to the Custodial Agent, US Bank. DTC and DWAC Instructions are included in this Holder Packet or you may call the Administration Section for additional information at (609) 984-2579.
2. To ensure proper credit to your account, a list of the securities must be faxed either to Unclaimed Property at (609) 984-0593 to the attention of Susan Newell, or to US Bank at (866) 284-1939 to the attention of Carol Hopewell or Antoinette Delia. The list may also be e-mailed to [susan.newell@treas.state.nj.us](mailto:susan.newell@treas.state.nj.us). If a list is not provided, US Bank has instructions from Unclaimed Property not to accept the free receipt. Your securities will **DECAY**.
3. The faxed or e-mailed list must match the list that accompanies the Unclaimed Property Report.
4. If a reported security is non-transferable because the stock is in the owner's name, it must be reported as Property Type Code SC30 and the physical certificate included with the report.
5. If a reported security is undeliverable to the State of New Jersey for any reason, the owner record must be coded as Property Type Code SC29.
6. All the delivered and undelivered shares and cash must equal the amount that has been reported on the UP1 (Holder Information Form).
7. **Mutual Fund shares must be liquidated and the cash proceeds remitted and reported for each owner on the UP-2 form (see Mutual Fund instructions on pg 48).**
8. Do not liquidate equity securities (non-mutual fund).
9. Do not sell foreign securities. Please call the Report Section at (609) 984-5214 for reporting instructions.
10. Property Type Codes SC01 (dividends) and SC09 (fractions) must be reported as separate items. Dividends are not to be reported as an aggregate.
11. **Every Security delivered must have a CUSIP number. This is an essential key identifier.**
12. Book entry items are reported as Property Type Code SC08.
13. Underlying shares Property Type Code SC12 should be used only if the owner is in possession of the original certificate.