WYOMING

2011 UNCLAIMED PROPERTY REPORT CHECKLIST - Page 1

REMINDER: Effective 2006, Negative Reports ($0.00 reports) are no longer required.

Please use this checklist and refer to our website - www.wywindfall.gov - scroll down to “For Holders” - to assure you have reported correctly and in accordance with the law and policies. Thank you.

❒ **The Verification and Checklist (WUP-1) that includes the signature page is required for all reports. An original signature is required on this form.**

- Review the “Verification and Checklist” included with the Reporting Forms (available online) to determine that all applicable property types are being reported.

❒ **Report Filing**:

- We cannot accept .zip or .exe files.
- Reporting 10 or More Properties: You must file your report via electronic means using the NAUPA II format. Reports must be sent via CD or e-mail (upreports@wyo.gov). We no longer accept 3.5” diskettes.
  - Verify that the data can be retrieved from the CD.
  - E-mail the password for encrypted reports to: uppasswords@wyo.gov.
- Reporting Less Than 10 Properties: We prefer that all reports be filed electronically; however, you may file a hard copy report.

❒ **Aggregate Reporting**: Include the names, last known addresses, amounts, and all other account detail. DO NOT provide a separate file or listing. Refer to the “Aggregate Reporting” instructions on our website – www.wywindfall.gov.

❒ **Cashier Checks**: Copies of cashier’s checks, if reported, are required.

❒ **Securities**: We do not accept DTC accounts or dividend reinvestment (DRP) accounts.

- Once an account is deemed unclaimed, the entire account is deemed unclaimed. All associated property is to be turned over at the same time. For example, if dividends are deemed unclaimed and reported, the associated securities are to be reported at the same time. Do not hold the securities for a later filing date.
- Physical stock certificates MUST BE included with the report. If the company (not transfer agent) does not issue physical certificates, the DRS statement must be provided.
- Mutual funds statements MUST BE included with the report.
- A .pdf file or hard copy of the owner information must be provided when reporting securities-related property (stock and mutual funds).
- If you are reporting securities, check the appropriate box on the Verification page (lower section) and also the appropriate box on the Checklist (SC08, SC10, SC11, SC12, SC16, SC19, SC86).

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❒ **Cities/Towns**:

Wyoming cities and towns are being misspelled on reports. Refer to our website - www.wywindfall.gov - for the WY Zip Codes - Cities/Towns link.

❒ **Account Verification:**

- Verify that property has been reported to the state of the owner's last known address.
- Verify the *relationship codes* when filing electronically to assure they are correct. **If you are using a software program, do not default this field until you are assured the correct *relationship code* is displayed, i.e., the default is JtCom but property is JtTen, be sure to change the code.**
- Verify the *owner type*. In all cases, the *owner type* is "OT" when the account includes an owner's name. If the owner's name is unknown, use "UN" in this field. **If you are using a software program, do not default this field until you are assured the correct *owner type* is displayed**.
- Review the original intent of the check to determine the property type code, relationship code, etc. For example, if a cashier's check is issued for closing out a checking account, the account should be coded as AC01 (Checking Account) – NOT CK01 (Cashier's Check).
- Verify that trust and custodian accounts are reported correctly and that relationship designations are included, i.e., Jt Ten, Jt Ten WROS, Ten Ent, Ten Com, Trustee, UTMA, UGMA, etc.

Smith, Mary Cust Smith, Johnny (UGMA)	**NOT**	Smith, Mary Smith, Johnny
Smith, Mary Living Trust (Name) Trustee	**NOT**	Smith Trust

- Verify SSN matches the owner's name. In the past, many times the payee was reported as a physician; however, the reported SSN was for the patient.

  Report valid SSNs or FEINs only in the SSN/FEIN field. Do not populate this field with dashes, zeroes, account numbers, etc.
- Escrow accounts should include the owner's name and last known address - not the address of the escrow agent or bank.
- Payments to courts (listed as the owner), i.e., child support or garnishments, should include the detail regarding the original intent of the payment. For example, if the unclaimed property is for child support payments, the parent's name, social security number and case number are to be provided to ensure the account is properly credited.
- Fees cannot be assessed to an account unless there is an enforceable contract with the owner OR the owner received disclosure of the fee prior to the account becoming dormant or deemed unclaimed.
- If the owner is a business, enter the ENTIRE business name in the last name field – not in separate fields.

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