

# NAUPA CLASS CODES AND DORMANCY PERIODS

Class Code	Dormant Period	Class Code	Dormant Period	Class Code	Dormant Period			
ACCOUNT BALANCES DUE		INSURANCE		SECURITIES				
AC01	Checking Accounts	5	IN01	Individual Policy Benefits or Claim Payments	5			
AC02	Savings Accounts	5	IN02	Group Policy Benefits or Claim Benefits	5			
AC03	Matured CD or Savings Cert.	10	IN03	Proceeds Due Beneficiaries	3			
AC04	Christmas Club Funds	5	IN04	Proceeds from Matured Policies	3			
AC05	Money-Deposit to Secure Funds	5	IN05	Endowments or Annuities	3			
AC06	Security Deposits	5	IN06	Premium Refunds	5			
AC07	Unidentified Deposits	5	IN07	Unidentified Remittances	5			
AC08	Suspense Accounts	5	IN08	Other Amounts Due Under Policy Terms	5			
AC09	Individual Retirement Accounts	3	IN09	Agent Credit Balances	5			
AC99	Aggregate Account Balances <\$50		IN99	Aggregate Trust Property <\$50				
UNCASHED CHECKS		TRUST, INVESTMENTS, AND ESCROW ACCOUNTS		SC01 **Dividends		3		
CK01	Cashier's Checks	7	TR01	** Paying Agent Accounts	3	SC02 **Interest (Bond Coupons)	3	
CK02	Certified Checks	7	TR02	**Undelivered/Uncashed Dividends	3	SC03 Principal Payments	3	
CK03	Registered Checks	7	TR03	Funds held in Fiduciary Capacity	5	SC04 **Equity Payments	3	
CK04	Treasurer's Checks	5	TR04	Escrow Accounts	5	SC05 **Profits	3	
CK05	Drafts	5	TR05	Trust Vouchers	5	SC06 Funds Paid to Purchase Shares	3	
CK06	Warrants	5	TR99	Aggregate Trust Property <\$50	5	SC07 Funds For Stocks & Bonds	3	
CK07	Money Orders	7	MINERAL PROCEEDS & MINERAL INTERESTS		SC08 Shares of Stock (Returned by Post Office)	3		
CK08	Traveler's Checks	15	MI01	Net Revenue Interest	5	SC09 Cash for Fractional Shares	3	
CK09	Foreign Exchange Checks	5	MI02	Royalties	5	SC10 Unexchanged Stock & Fractional Shares of Successor Corp	3	
CK10	Expense Checks	5	MI03	Overriding Royalties	5	SC11 Other Cert of Ownership	3	
CK11	Pension Checks	5	MI04	Production Payments	5	SC12 Underlying Shares or Other	3	
CK12	Credit Checks or Memos	5	MI05	Working Interest	5	SC13 Outstanding Certificates	3	
CK13	Vendor Checks	5	MI06	Bonuses	5	SC14 Surrendered Stocks or Bonds	3	
CK14	Checks Written Off to Income	5	MI07	Delay Rentals	5	SC15 Debentures	3	
CK15	Other Outstanding Official Checks	5	MI08	Shut-In Royalties	5	SC16 US Govt Securities	3	
CK16	CD Interest Checks	5	MI09	Minimum Royalties	5	SC17 Mutual Fund Shares	3	
CK99	Aggregate Uncashed Checks < \$50		MI99	Aggregate Mineral Interests < \$50		SC18 Warrants (Rights)	3	
SAFE DEPOSIT BOXES & SAFEKEEPING		MISCELLANEOUS CHECKS & INTANGIBLE PERSONAL PROPERTY		SC19 Matured Bond Principal		3		
SD01	*Safe Deposit Box Contents	2	MS01	Wages, Payroll, Salary	1	SC20 Dividend Reinvestment Plans	3	
SD02	*Safekeeping/Loan Collateral	5	MS02	Commissions	1	SC99 Credit Balances	3	
SD03	*Other Tangible Property	5	MS03	Workers' Compensation Benefits	5	Aggregate Security Related Cash < \$50	3	
SD99	Aggregate Safe Deposit Boxes & Safekeeping Items <\$50		MS04	Payment for Goods & Services	5	UTILITIES		
COURT DEPOSITS		MS05	Customer Overpayments	^3/5	UT01	Utility Deposits	1	
CT01	Escrow Funds	1	MS06	Unidentified Remittances	^3/5	UT02	Membership Fees	1
CT02	Condemnation Awards	1	MS07	Unrefunded Overcharges	^3/5	UT03	Refunds or Rebates	1
CT03	Missing Heirs' Funds	1	MS08	Accounts Payable	5	UT04	Capital Credit Distributions	3
CT04	Suspense Accounts	1	MS09	Credit Balances (3 Retail/5 Other)	^3/5	UT99	Aggregate Utility Property < \$50	
CT05	Other Court Deposits	1	MS10	Discounts Due	^3/5	MISCELLANEOUS		
CT06	Real Property Proceeds	#	MS11	Refunds Due	^3/5	ZZZZ	Properties Not Identified Above	5
CT07	Cash Bonds	1	MS12	Unredeemed Gift Certificates	***3	<div>* This property should be reported on Form ASD-127 prior to submitting the property.</div> <div>** Specify Date Range (i.e. the date of the first and last payments) on "Periodic Payments" (i.e. outstanding dividend checks) if multiple payments of same property type are being reported for a single property owner.</div> <div>*** 60% of the unredeemed portion of the face value if an expiration period is displayed on the certificate. Gift certificates with no expiration date, or a statement that the expiration date does not apply in North Carolina, do not escheat.</div> <div>^If as a result of retail business transaction, 3 year dormancy period; otherwise, 5 year dormancy period</div> <div># Multiple Court Deposits</div>		
CT08	Partial Payments	1	MS13	Unclaimed Loan Collateral	5			
CT09	Judgments	1	MS14	Pension & Profit Sharing Plans (IRA, KEOGH)	3			
CT10	Trust Funds	1	MS15	Dissolution or Liquidation	1			
CT99	Aggregate Court Deposits < \$50	1	MS16	Misc Outstanding Checks	5			
DEMUTUALIZATION		MS17	Misc Intangible Prop	5				
DM01	Cash	3	MS18	Suspense Liabilities	5			
DM02	Stock	3	MS19	Layaway Deposits & Payments	3			
DM99	Aggregate Demutualization Property < \$50	3	MS20	Rents	5			
		MS99	Aggregate Misc Checks & Intangible Personal Property <\$50					

\* This property should be reported on Form ASD-127 prior to submitting the property.

\*\* Specify Date Range (i.e. the date of the first and last payments) on "Periodic Payments" (i.e. outstanding dividend checks) if multiple payments of same property type are being reported for a single property owner.

\*\*\* 60% of the unredeemed portion of the face value if an expiration period is displayed on the certificate. Gift certificates with no expiration date, or a statement that the expiration date does not apply in North Carolina, do not escheat.

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# Under Court Supervision

REV 08/2013

Dormancy Chart

**NAUPA CLASS CODES AND DORMANCY PERIODS FOR GOVERNMENTAL HOLDERS ONLY**

Class Code	Dormant Period	Class Code	Dormant Period	Class Code	Dormant Period
<b>ACCOUNT BALANCES DUE</b>		<b>INSURANCE</b>		<b>SECURITIES</b>	
AC01	Checking Accounts	1	IN01	Individual Policy Benefits or Claim Payments	1
AC02	Savings Accounts	1	IN02	Group Policy Benefits or Claim Benefits	1
AC03	Matured CD or Savings Cert.	1	IN03	Proceeds Due Beneficiaries	1
AC04	Christmas Club Funds	1	IN04	Proceeds from Matured Policies	1
AC05	Money-Deposit to Secure Funds	1	IN05	Endowments or Annuities	1
AC06	Security Deposits	1	IN06	Premium Refunds	1
AC07	Unidentified Deposits	1	IN07	Unidentified Remittances	1
AC08	Suspense Accounts	1	IN08	Other Amounts Due Under Policy Terms	1
AC09	Individual Retirement Accounts	1	IN09	Agent Credit Balances	1
AC99	Aggregate Account Balances <\$50	1	IN99	Aggregate Trust Property <\$50	1
<b>UNCASHED CHECKS</b>		<b>TRUST, INVESTMENTS, AND ESCROW ACCOUNTS</b>		<b>SC01 **Dividends</b>	
CK01	Cashier's Checks	1	TR01	** Paying Agent Accounts	1
CK02	Certified Checks	1	TR02	**Undelivered/Uncashed Dividends	1
CK03	Registered Checks	1	TR03	Funds held in Fiduciary Capacity	1
CK04	Treasurer's Checks	1	TR04	Escrow Accounts	1
CK05	Drafts	1	TR05	Trust Vouchers	1
CK06	Warrants	1	TR99	Aggregate Trust Property <\$50	1
CK07	Money Orders	1	<b>MINERAL PROCEEDS &amp; MINERAL INTERESTS</b>		SC11 Other Cert of Ownership
CK08	Traveler's Checks	1	MI01	Net Revenue Interest	1
CK09	Foreign Exchange Checks	1	MI02	Royalties	1
CK10	Expense Checks	1	MI03	Overriding Royalties	1
CK11	Pension Checks	1	MI04	Production Payments	1
CK12	Credit Checks or Memos	1	MI05	Working Interest	1
CK13	Vendor Checks	1	MI06	Bonuses	1
CK14	Checks Written Off to Income	1	MI07	Delay Rentals	1
CK15	Other Outstanding Official Checks	1	MI08	Shut-In Royalties	1
CK16	CD Interest Checks	1	MI09	Minimum Royalties	1
CK99	Aggregate Uncashed Checks < \$50	1	MI99	Aggregate Mineral Interests < \$50	1
<b>SAFE DEPOSIT BOXES &amp; SAFEKEEPING</b>		<b>MISCELLANEOUS CHECKS &amp; INTANGIBLE PERSONAL PROPERTY</b>		<b>SC12 Outstanding Certificates</b>	
SD01	*Safe Deposit Box Contents	1	MS01	Wages, Payroll, Salary	1
SD02	*Safekeeping/Loan Collateral	1	MS02	Commissions	1
SD03	*Other Tangible Property	1	MS03	Workers' Compensation Benefits	1
SD99	Aggregate Safe Deposit Boxes & Safekeeping Items <\$50	1	MS04	Payment for Goods & Services	1
<b>COURT DEPOSITS</b>		MS05	Customer Overpayments	1	SC13 Surrendered Stocks or Bonds
CT01	Escrow Funds	1	MS06	Unidentified Remittances	1
CT02	Condemnation Awards	1	MS07	Unrefunded Overcharges	1
CT03	Missing Heirs' Funds	1	MS08	Accounts Payable	1
CT04	Suspense Accounts	1	MS09	Credit Balances	1
CT05	Other Court Deposits	1	MS10	Discounts Due	1
CT06	Real Property Proceeds	#	MS11	Refunds Due	1
CT07	Cash Bonds	1	MS12	Unredeemed Gift Certificates	***1
CT08	Partial Payments	1	MS13	Unclaimed Loan Collateral	1
CT09	Judgments	1	MS14	Pension & Profit Sharing Plans (IRA, KEOGH)	1
CT10	Trust Funds	1	MS15	Dissolution or Liquidation	1
CT99	Aggregate Court Deposits < \$50	1	MS16	Misc Outstanding Checks	1
<b>DEMUTUALIZATION</b>		MS17	Misc Intangible Prop	1	SC14 Debentures
DM01	Cash	1	MS18	Suspense Liabilities	1
DM02	Stock	1	MS19	Layaway Deposits & Payments	1
DM99	Aggregate Demutualization Property < \$50	1	MS20	Rents	1
		MS99	Aggregate Misc Checks & Intangible Personal Property <\$50	1	SC15 US Govt Securities
					SC16 Mutual Fund Shares
					SC17 Warrants (Rights)
					SC18 Matured Bond Principal
					SC19 Dividend Reinvestment Plans
					SC20 Credit Balances
					SC99 \$50
					SC99 Aggregate Security Related Cash < \$50
					<b>UTILITIES</b>
					UT01 Utility Deposits
					UT02 Membership Fees
					UT03 Refunds or Rebates
					UT04 Capital Credit Distributions
					UT99 Aggregate Utility Property < \$50
					<b>MISCELLANEOUS</b>
					ZZZZ Properties Not Identified Above

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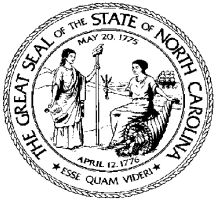
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# Under Court Supervision

REV 08/2013

**Dormancy Chart Governmental**



NORTH CAROLINA  
**DEPARTMENT OF STATE TREASURER**  
UNCLAIMED PROPERTY / ESCHEATS DIVISION

JANET COWELL  
TREASURER

BRENDA D. WILLIAMS  
DEPUTY TREASURER

## REPORTING SECURITIES

October 15, 2014

To ensure securities are properly registered, please follow the "Registration of Stock" or the "Registration of Mutual Funds" instructions below when reporting stocks and/or mutual funds.

### FORMS

Reporting form ASD-159, and its accompanying ASD-215 or ASD-21 or their equivalents, must be completed and submitted to our office. In addition, a copy of the information sent to Custodians must accompany the reporting forms. Do not send these forms to Mellon Bank, Mac & Co. or to Xerox Business Services, LLC.

Reporting forms may be obtained from our website at [Forms and Guides](#), or by contacting our office.

Securities held for the State of North Carolina in its name and/or prior nominee names, should be changed to Raleigh & Co. for stock and closed end mutual funds, or Mac & Co. for open end mutual funds.

### REGISTRATION OF STOCK

#### STOCK DELIVERY

When possible, stock should be delivered via DTC to the department's custodian:

Mellon Security Trust Company (Agent Bank # 26017)  
DTC Participant # 0954  
Reference: Raleigh & Co.  
Account # AUZF0283702

If stock cannot be delivered via DTC or DWAC, stock may be registered in Book Entry Shares/ Direct Registration Shares (DRS). Please ensure that interested party statements are sent to Xerox Business Services, LLC at the address below:

Raleigh & Co.  
Tax ID # 43-2016043  
Xerox Business Services, LLC  
100 Hancock Street, 10<sup>th</sup> Floor  
Quincy, MA 02171

#### EXCEL SPREADSHEET

Two days prior to actual delivery, please email the Excel spreadsheet to Xerox Business Services – [UPCH.Custody@acs-inc.com](mailto:UPCH.Custody@acs-inc.com).

#### DIVIDENDS

Dividends should not be aggregated. Dividends should be listed by owner, regardless of the amount due.

## **STOCK CERTIFICATES**

Physical certificates should only be sent for stocks which cannot be sent via DTC or DWAC. Please email an Excel spreadsheet in advance detailing all certificates being delivered to [UPCH.Custody@acs-inc.com](mailto:UPCH.Custody@acs-inc.com). Physical certificates must be registered in the name of Raleigh & Co.

Raleigh & Co.

Account # AUZF0283702

Tax ID # 43-2016043

BNY Mellon Securities Trust Company

One Wall St. 3<sup>rd</sup> Floor, Receive Window C, New York, NY 10005

Attention: Mike Visone

## **DIVIDEND REINVESTMENT PLANS (DRP)**

Fractional shares should be sold and money applied to each individual owner. Do not total fractions for all owners and sell. Once fractions are sold, whole shares should be delivered per the above instructions.

## **REGISTRATION OF MUTUAL FUNDS**

### **OPEN END MUTUAL FUND**

Accounts held for North Carolina should be registered in the name of Mac & Co. Xerox will provide account numbers for all mutual funds transferred to the state's account. Please contact Margaret Wagner at 617-722-9603 or [Margaret.Wagner@xerox.com](mailto:Margaret.Wagner@xerox.com) to obtain account numbers 48 hours prior to attempting delivery.

If the fund chooses to establish a new account number and register Mutual Funds as indicated below, please provide a detailed list 48 hours in advance at [UPCH.custody@acs-inc.com](mailto:UPCH.custody@acs-inc.com). The list should contain the CUSIP #, name of the fund, share amount, and account number at the fund.

Mac & Co.

Account # AUZF0283702

Tax ID: 23-6019000

State of North Carolina

Mutual Fund Operations

P.O. Box 3198

Pittsburgh, PA 15230-3198

**NOTE:** It is important that the registration reference the account number AUZF0283702, as this identifies the fund as belonging to the State of North Carolina.

### **CLOSED END MUTUAL FUND**

Accounts held for the State of North Carolina should be registered in the nominee name of Raleigh & Co., c/o Xerox Business Services, LLC 100 Hancock Street, 10<sup>th</sup> Floor, Quincy MA 02171.

Funds registered to Mac & Co. or Raleigh & Co., please ensure that interested party statements are sent to Xerox Business Services LLC, 100 Hancock Street, 10<sup>th</sup> Floor, Quincy MA 02171. Attn: Mutual Fund Operations.

One week prior to actual transfer and/or delivery, a detailed list of the Mutual Funds should be faxed to Xerox Business Services, LLC at 617-722-9660 Attention: Custody Department, or emailed to [UPCH.Custody@acs-inc.com](mailto:UPCH.Custody@acs-inc.com).

If you have any questions or if we may be of any assistance, please contact Ursula Gray at 919-508-5935 or e-mail us at: [Ursula.Gray@nctreasurer.com](mailto:Ursula.Gray@nctreasurer.com)