

Office of the Illinois State Treasurer

Unclaimed Property Division

PO Box 19496

Springfield IL 62794-9496

REPORT OF UNCLAIMED PROPERTY (UPD601)

Failure to complete this report in its entirety will result in an incomplete report which may result in fees and penalties

A MAILING ADDRESS:

Four horizontal lines for mailing address.

C TYPE OF REPORT BEING FILED:

- Four checkboxes: First Time Filing, Supplemental, 20 Annual Report, Other.

B REPORT BEING FILED FOR:

Four horizontal lines for report being filed for.

D MERGER

Name of Merging Company FEIN

Name and Address of Surviving or Parent Company

FEIN of Surviving or Parent Company

E REQUIRED INFORMATION

Table with 5 columns: Contact Person, Contact Phone, Contact Fax, Type of Business, FEIN, State of Inc, Date of Inc, Email, Employees, Annual Sales/Premiums, Total Assets.

DID YOU PERFORM THE DUE DILIGENCE FOR THIS REPORT? [] Yes [] No

Form with fields for Amount of Cash Remitted, Number of Shares, Number of Owners, NTR (Nothing to Report).

PAYMENT INFORMATION

- Three checkboxes: Check, ACH, DTC.

PLEASE ATTACH CHECK AND/OR SECURITY DOCUMENTS MADE PAYABLE TO: ILLINOIS STATE TREASURER

F VERIFICATION I hereby verify, under penalties of perjury, that the facts contained herein are true, and I am duly authorized to execute this verification by the holder and by law.

Signature (if unsigned, report will be returned)

Date

Print Name & Title of Officer Signing Report

Phone

FOR OFFICE USE ONLY

Table with 7 columns: CMP, ACCOUNTING, RELOG, PREV, TECHREV, DE, CLEARED.

Office of the Illinois State Treasurer

Unclaimed Property Division

STEPS TO COMPLETE YOUR REPORT

1. **Who Must Report.** The State of Illinois Uniform Disposition of Unclaimed Property Act (765 ILCS 1025/1-30) requires businesses and organizations to review their records each year to determine if they possess any unclaimed property and file a report with the Treasurer’s Office. Common “holders” of reportable property include financial and banking institutions, insurance companies, business associations, state and local government agencies, retailers, and utility companies.

MAY	WHAT TO REPORT
Business Associations	Property abandoned for 5 years with last activity dates prior to December 31, 20XX.
Utilities	Property abandoned for 5 years with last activity dates prior to December 31, 20XX.
Life Insurance Companies	Property abandoned for 5 years with last activity dates prior to December 31, 20XX.
NOVEMBER	WHAT TO REPORT
Banking Organizations	Property abandoned for 5 years with last activity dates prior to July 1, 20XX.
Financial Organizations	Property abandoned for 5 years with last activity dates prior to July 1, 20XX.
All Insurance Corporations other than Life Insurance	Property abandoned for 5 years with last activity dates prior to July 1, 20XX.
Governmental Entities	Property abandoned for 7 years with last activity dates prior to July 1, 20XX.

2. **Search Your Records.** Your accountant or controller should search your records for any unclaimed property your organization may be holding. See the Property Type Code chart on page 6 for types of reportable funds.
3. **Due Diligence.** Issue due diligence letters to the property’s owners between 60 and 120 days before filing your report. Section 1025/11(e) requires due diligence letters must be issued for all items over \$10.00. If a diligent search has shown that your organization is not holding any unclaimed funds, file a negative report using UPD601 by marking “NTR” in the “Payment Information” section.
4. **Choose a Method of Reporting.**
 - **Reporting Software**
NAUPA electronic reporting is required for holders reporting more than 10 records. The reporting software, HRS Pro, can be found on our website. If the information you have to report is already in Microsoft Excel, detailed instructions for transferring your information can be located in HRS Pro.
 - Submit paper copy of report with file saved on CD or Diskette. We do not accept reports on tape media.
 - Your diskette or CD-ROM must be accompanied by a completed UPD601 form.
 - Send instructions for data files which are password protected to UP_Report@treasurer.state.il.us or provide a contact person and telephone number with the report submission.
 - **Paper Forms**
To report by paper, complete the applicable forms contained in this packet. All forms may be duplicated. Basic information about your organization and summary information about your unclaimed property report should be provided on the UPD601. Owner detail for your report should be provided on UPD602. A computer printout is acceptable for owner detail if all required information is included.
5. **Complete Your Report.** For your convenience, statute allows items under \$25.00 to be combined together into a single “aggregate” amount. Security related property, safety deposit box contents, and all other non-cash items must be listed individually.
6. **Delivery of Report and Remittance.** You can deliver your report and remittance using the delivery instructions on page 2.
7. **If you have any questions,** please call (217)524-0023 between 8:00 AM and 4:30 PM Central Time.

**Office of the Illinois State Treasurer
Unclaimed Property Division**

DELIVERY OF REPORT & REMITTANCE

- A holder must file the unclaimed property report on either the paper forms (UPD601 and UPD602) provided by the Agency or on a computer diskette formatted according to the instructions located on our Web site at www.cashdash.net.
- The Annual Report of Unclaimed Property form (UPD601) must be completed and filed *regardless* of whether you have abandoned property to report.
- The Annual Remittance Detail form (UPD602) is required only if you have property to report.
- *If a professional service is filing your report, you must provide them with forms UPD601 and UPD602 to file your report.* Copies of completed forms should be kept for your files.
- **Inaccurate or incomplete reports are not considered to be in compliance with reporting requirements, and may result in fees and charges as provided for in Section 1025/25.5 of the Act.**

REMITTING CASH: Include a *check* for the total, *payable to: Treasurer of the State of Illinois, Unclaimed Property Division*



ACH PAYMENTS: Automated Clearing House Transfer payments are now available. Instructions for electronic payments can be found at www.treasurer.il.gov. A hard copy of the UPD601 reporting form is still required for reports submitted using ACH.

REMITTING STOCKS OR BONDS: Include all certificates. Certificates should be reissued in the name of “**Springfield & Co.**”, FEIN # 90-0169148.

- **DO NOT enroll the State in dividend reinvestment plans.** Dividend reinvestment plans currently in effect are to be closed and remitted to the State, whole shares are to be certificated and issued to the Treasurer and all fractional shares are to be remitted in cash. Future dividends that accrue are to be remitted in cash.
- You may DTC the shares to our account. Detailed instructions can be found within the Instructions for filing the Annual Report of Unclaimed Property. NOTE: All reports along with a listing of securities MUST be in the possession of the Unclaimed Property Division before you will be allowed to DTC the securities.

REMITTING MUTUAL FUNDS

- All remittable mutual funds shall be registered and delivered to:
Treasurer of the State of Illinois, Unclaimed Property Division
1 West Old State Capitol Plaza, Suite 400
Springfield, IL 62701-1390
FEIN 36-3716228
- Remittable mutual funds shall be transferred to an account for each fund within the family of funds.
- **DO NOT enroll the State in dividend reinvestment plans. All dividends and other income accruing on mutual fund shares are to be paid in cash.**
- No debits may be made to an account without written authorization from the office of the Treasurer.
- Monthly account statements sent to the above-listed address are mandatory.

For any owner account reported that is less than one share, or does not meet a minimum balance requirement, liquidate the shares and remit the cash value of the account.

HOW TO REACH US BY MAIL

If by: Regular Mail (U.S. Postal Service)
Send to: Illinois State Treasurer’s Office
Unclaimed Property Division
PO Box 19496
Springfield, IL 62794-9496

If by: Express Mail Service
Send to: Illinois State Treasurer’s Office
Unclaimed Property Division
1 West Old State Capitol Plaza, Suite 400
Springfield, IL 62701-1390

**Office of the Illinois State Treasurer
Unclaimed Property Division**

**INSTRUCTIONS FOR FILING THE ANNUAL REPORT AND ANNUAL REMITTANCE DETAIL
OF UNCLAIMED PROPERTY USING FORMS UPD601 & UPD602**

REPORT OF UNCLAIMED PROPERTY—UPD601:

IMPORTANT: This cover page must be remitted with all unclaimed property reports. You may use your own form, however it must contain the same information as the UPD601 and it must be signed by an authorized employee of your company.

1. **Enter your organization's basic information**, including name and mailing address. Section A identifies the name and address of the business that is responsible for filing the annual report. Section B shows the name and address of the company for which the report is being filed if different from Section A (branch and subsidiaries).
2. **Indicate which type of report you are filing.** First time Filing: Never filed with the State previously. Supplemental: An additional report filed to supplement a regular report you have already submitted. Annual: Your standard report due each year.
3. **Enter in all other required information** requested on the UPD601, including name, telephone number, fax number, and email address of the contact person who would be able to answer questions concerning the report, FEIN number, state and date of incorporation, and type of business (see page 5). Enter the holder's total assets, annual sales/income and number of employees nationwide.
4. **Answer the due diligence question.** Law requires you to perform due diligence 60 to 120 days before filing your report. Section 1025/11(e) requires that due diligence is performed for those accounts over \$10.00.
5. **Complete the Payment Information.** Check the appropriate box for the payment method used and fill out the total amount of cash, number of owners, and shares included on the report. If your company does not have unclaimed funds to report, mark NTR.
6. **Verification.** Report must be signed by an employee who is authorized to certify that the property remitted to the Illinois State Treasurer Office is true and correct.

REPORT OF UNCLAIMED PROPERTY—UPD602:

The Annual Remittance Detail, form UPD602, may be duplicated as needed. Use this form to report all pertinent information concerning owners and their property.

1. **Holder Name and Holder Number.** Enter your organization's (holder) name and holder number, if available.
2. **Complete Owner Record for each property.** If there is only one owner check 'Single', if a property has multiple owners check 'Joint Owner' and indicate which record it is (e.g. owner 1 of 2 or owner 2 of 2). List owner record 1 first and additional owners immediately afterward.
3. **Relationship Codes** indicate the type of relationship that exists between properties with more than one owner. See the table on page 5 for a listing of possible relationship codes.

4. **Owner Name.** Enter in the last name, first name, and middle name or initial, if available. Be sure to include any information that would aid in the identification of the owner including prefixes (titles) and suffixes (Jr., Sr., MD, etc.).
 - a. Company names should be entered into the last name field. If a name begins with 'The', remove 'The'.
 - b. If a single item has two or more owners, the names and addresses of each must be listed.
 - c. If name is not known, type the word 'Unknown' in this field and provide any available property information.
 - d. If reporting items less than \$25.00 in an aggregate, enter 'Aggregate' in the last name field.
 - e. Omit punctuation.
5. **Owner address.** Each line indicates the kind of address information to be typed on that line. Omit punctuation.
6. **Social Security Number, Company FEIN, and Date of Birth** should be included if the information is available. This can accelerate the claims process and may be the only information a person can document to prove ownership.
7. **Property Type Codes.** This code describes the type of property being remitted. All property must have a property type code. Refer to page 6 for most appropriate code types.
8. **Owner account or check number.** Identify the account, policy, and check, serial or other property identifying number. This number should apply specifically to the owner being reported, not to a general ledger number.
9. **Security Name.** Describe the security related property being remitted.
10. **CUSIP Number.** The CUSIP number of the security being reported is required.
11. **Certificate/MF#.** The certificate or bond number associated with the securities reissued in the name of Springfield & Co., FEIN 90-0169148, or the mutual fund account number associated with the securities registered in the name of the Treasurer of the State of Illinois Unclaimed Property Division, FEIN 36-3716228.
12. **Transfer Date for Security.** The date of issue of a stock/bond certificate or the date of transfer of a mutual fund account into the Treasurer's account.
13. **Number of Shares.** Enter the number of shares for the owner.
 - a. **Do not report fractional shares on certificated stock** – remit cash in lieu of the fractional shares (SC09).
 - b. **Mutual fund shares are to be reported up to the 4th decimal.**
14. **Last Activity Date.** Record the date of last activity for this property.
15. **Cash Amount** is the principal amount available on the date of last activity. If you are reporting security related cash property, please combine items together per each owner.
16. **Interest/Dividends.** The total interest/dividends earned on the principal amount since the date of last activity. Applies only to deposit accounts.
17. **Service Charge.** The lawful charges that may be deducted as defined in 760.60 of applicable rules. When backup withholding has been applied to an account, reflect this by reducing the amount of cash or interest/dividends reported whichever appropriate.
18. **Mailing Charge.** The actual costs of a due diligence mailing as required by Section 11(e) of the Act, and as defined in Section 760.40 of the applicable rules may be deducted.
19. **Amount Remitted.** The total of Cash Amount and Interest/Dividends less Service and Mailing Charges. The total of the amounts remitted for all owners must equal the amount of the check submitted with this report.
20. **Comments.** This line may be used for AKA, DBA, FKA, or other descriptive information not included in the relationship code, prefix, suffix, property code, or account information fields.

TYPE OF BUSINESS

*10 Agriculture/Forestry/Fishing	*40-49 Trade (Wholesale/Retail)	Financial Services (cont'd)
*12 Mining	*40 Other	#71 Securities/Commodities
*17 Construction	*41 Clothing/Home Furnishings	#72 Mutual Funds
*20-29 Manufacturing	*42 Light Industrial	#73 Pension Funds
*20 Other	*43 Heavy Industrial	#74 Holding Companies
*21 Clothing/Home Furnishings	*44 Food/Drug	#75 Real Estate/Title Insurance
*22 Light Industrial	*50-59 Services	#76 Non Life Insurance
*23 Heavy Industrial	*50 Other	*79 Life Insurance
*24 Food/Drug	*51 Health	*80-89 Communications
*30-38 Utilities/Transportation	*52 Education	*80 Other
*30 Other	*53 Professional	*81 Telephone
*31 Oil	*56 Holding Company	*82 Radio
*32 Gas	#60-79 Financial Services	*83 Television/Cable
*33 Electric	#60 Other	*84 Newspaper/Magazine
*34 Water	#61 Banks	#90-95 Public Services
*35 Air Transportation	#62 Trusts	#90 Other
*36 Water Transportation	#63 Credit Unions	#91 Federal
*37 Rail Transportation	#64 Currency Exchanges	#92 State
*38 Highway Transportation	#65 Savings & Loan	#93 County
	#67 Safe Deposit Box	#94 Municipal
	#68 Finance / Mortgage	#95 Education (Public)
		#96 Utility (Government)
		#97 Transportation (Government)

* - Reports Due May 1
- Reports Due November 1

RELATIONSHIP CODES

Reminder - Single owner accounts do not require a relationship code.

Code	Description	Code	Description	Code	Description
A	Joint (and)	I	Administrator	Q	Payee
B	Joint (or)	J	Administrator (and)	R	Insured
C	Custodian	K	Administrator (or)	S	Beneficiary
D	Custodian (and)	L	Executor	T	Other
E	Custodian (or)	M	Executor (and)	U	Owner
F	Trustee	N	Executor (or)	V	Agent
G	Trustee (and)	O	Uniform Gift To Minors Act	W	Authorized Signature
H	Trustee (or)	P	Remitter	X	Sole Owner

RELATIONSHIP CODE EXAMPLES

JOHN AND MARY DOE, JT TEN.....	(Use 'A' for each)
MARY DOE, CUST OF JOHN (UGMA)	(Use 'O' for JOHN, 'C' for MARY)
MARY DOE, CUST OF JOHN.....	(Use 'U' for JOHN, 'C' for MARY)
JOHN & MARY DOE, CUST OF SUE	(Use 'U' for SUE, 'D' for JOHN & for MARY)
MARY DOE, TRUSTEE OF JOHN.....	(Use 'U' for JOHN, 'F' for MARY)
MARY DOE, ADM OF EST OF JOHN	(Use 'U' for JOHN, 'I' for MARY)
MARY DOE, EXEC OF EST OF JOHN.....	(Use 'U' for JOHN, 'L' for MARY)
MARY DOE, GURD OF JOHN.....	(Use 'U' for JOHN, 'T' for MARY)
MARY DOE, NFO OF JOHN.....	(Use 'U' for JOHN, 'T' for MARY)
MARY DOE, ASSG OF JOHN	(Use 'U' for JOHN, 'T' for MARY)
MARY DOE, SUB OF JOHN	(Use 'U' for JOHN, 'T' for MARY)
MARY DOE, FBO OF JOHN.....	(Use 'S' for JOHN, 'T' for MARY)

PROPERTY TYPE CODES

Code	Description	Code	Description	Code	Description
<u>Account Balances</u>		IN04	Proceeds Due From Matured Policies, Endowments, and or Annuities	<u>Securities</u>	
AC01	Checking Accounts			SC01	Dividends
AC02	Savings Accounts			SC02	Interest (Bond Coupons)
AC03	Matured CD or Saving Certificate	IN05	Premium Refunds	SC03	Principal Payments
AC04	Christmas Club Funds	IN06	Unidentified Remittances	SC04	Equity Payments
AC05	Money on Deposit to Secure Fund	IN07	Other Amounts Due Under Policy Terms	SC05	Profits
AC06	Security Deposit	IN08	Agent Credit Balances	SC06	Funds Paid To Purchase Shares
AC07	Unidentified Deposits			SC07	Funds For Stocks & Bonds
AC08	Suspense Accounts			SC08	Shares of Stock (Returned by Post Office)
AC09	Money Market			SC09	Cash For Fractional Shares
<u>Some Uncashed Checks</u>		<u>Mineral Proceeds/Interest</u>		SC10	Unexchanged Stock of Successor Corp
CK01	Cashiers Checks	MI01	Net Revenue Interest	SC11	Other Certificate of Ownership
CK02	Certified Checks	MI02	Royalties	SC12	Underlying Shares or Other Outstanding Certificates
CK03	Registered Checks	MI03	Overriding Royalties	SC13	Funds For Liquidation
CK04	Treasurer's Checks	MI04	Production Payments	SC14	Debentures
CK05	Drafts	MI05	Working Interest	SC15	US Government Securities
CK06	Warrants	MI06	Bonuses	SC16	Mutual Fund Shares
CK07	Money Orders	MI07	Delay Rentals	SC17	Warrants (Rights)
CK08	Traveler's Checks	MI08	Shut-In Royalties	SC18	Matured Bond Principal
CK09	Foreign Exchange Checks	MI09	Minimum Royalties	SC19	Dividend Reinvestment Plans
CK10	Expense Checks			SC20	Credit Balances
CK11	Pension Checks	<u>Misc Property</u>		SC21	Sum of Various Stock Related Cash Items
CK12	Credit Checks or Memos	MS01	Wages, Payroll, Salary	SC22	Cash In Lieu
CK13	Vendor Checks	MS02	Commissions	SC23	Sum of Various Stock Related Stock Items
CK14	Checks Written Off to Income	MS03	Workers' Compensation	SC24	Money Market
CK15	Outstanding Official Checks	MS04	Payment of Goods & Services		
CK16	CD Interest Checks	MS05	Customer Overpayments	<u>Trusts, Investments, Escrows</u>	
<u>Court Deposits</u>		MS06	Unidentified Remittances	TR01	Paying Agents Accounts
CT01	Escrow Funds	MS07	Unrefunded Overcharges	TR02	Undelivered or Uncashed Dividends
CT02	Condemnation Awards	MS08	Accounts Payable	TR03	Funds Held In Fiduciary Capacity
CT03	Missing Heirs' Funds	MS09	Credit Balances & Accounts Receivable	TR04	Escrow Accounts
CT04	Suspense Accounts	MS10	Discounts Due	TR05	Trust Vouchers
CT05	Other Court Deposits	MS11	Refunds Due	TR06	Pre-Need Funeral Plans
<u>Insurance</u>		MS12	Unredeemed Gift Certificates	TR07	Escrow Taxes
IN01	Individual Policy Benefits or Claim Payments	MS13	Unclaimed Loan Collateral	TR08	Escrow Earnest Money
IN02	Group Policy Benefits or Claim Payments	MS14	Pension & Profit Sharing Plans (IRA, KEOGH)		
IN03	Proceeds Due Beneficiaries	MS15	Dissolution/Liquidation	<u>Utilities</u>	
		MS16	Misc Outstanding Checks	UT01	Utility Deposits
		MS17	Misc Intangible Property	UT02	Membership Fees
		MS18	Suspense Liabilities	UT03	Refunds or Rebates
				UT04	Capital Credit Distributions