

## **Universal Holder Face Sheet (UFS-1) Form Summary Instructions**

The UFS-1 form must be completed and submitted with **all** reports.  
*Please see the Unclaimed Property Holder Handbook pages 54-56 for full instructions.*

**Notice Report or Remit Report:** Check the box for the appropriate report cycle. An original UFS-1 form is required with both the Notice Report and Remit Report.

**Section A – Holder Information:** The FEIN and Report As of Date are required. Failure to provide this information will result in the report being rejected.

**FEIN:** Your Company's Federal Employer Identification Number (Tax ID).

**Branch Number:** Enter the branch number, if applicable.

**Report As of Date:** The As of Date is the cut-off date of your reporting cycle (either June 30<sup>th</sup> or the holder's fiscal year end). If the fiscal year end date falls between January 1 and June 30, the report is due before November of the same year. If the fiscal year end date falls between July 1 and December 31, the report is due before November 1 of the following year. This date is not the signature date or report due date.

The Report "as of" date for life insurance companies and insurance corporation demutualization or reorganization proceeds is December 31 [CCP section 1530 (d)].

**Check Number / EFT Debit Ref Number:** Applies to Remit Report only.

**Section B – Report Completion Contact (Holder Contact I on the NAUPA II Standard):** The Holder Name is required. The holder is the company reporting the property. Please provide complete contact information of the person in the company responsible for completing the report. This contact information will be used by the SCO to contact the holder with questions regarding the report. Failure to provide this information will result in the report being rejected.

**Section C – Property Owner Contact (Holder Contact II on the NAUPA II Standard):** Please provide complete contact information of the person responsible for handling inquiries from owners attempting to claim their property. This contact information will be printed on notices to property owners. If this section is left blank, the contact information provided in Section B will be printed on notices to property owners. During the notice period the contact person listed in Section C (Holder Contact II) should expect phone calls from owners claiming their property.

**Section D – Holder Agent Contact (If Applicable):** If the report is completed by a reporting agent (third-party vendor), enter the agent's name and contact information. If filing electronically please ensure the contact information is correct on the disk.

**Section E – Prior Holder Name:** If the present holder is the successor to a previous holder, list the current holder's name. If the present holder has had a name change, list the holder's previous name.

**Section F – Holder Report Totals:** The total dollar amount (or share amount) is required. Please fill in the total dollar amount reported (Notice cycle) or remitted (Remit cycle). If applicable, fill in the total shares reported for each cycle (fill in zero (0) if no shares are remitted). Shares refer *only* to securities, such as stock and mutual funds. Check yes or no to indicate whether or not the report includes safe deposit box contents or safe keeping items (property types SD01, SD02, SD03). Do not enclose safe deposit properties when reporting (Notice or Remit).

**Section G – Holder Business Information:** Enter the holder's type of organization, state and date of incorporation, four digit NAICS code and charter type and date.

**Section H – Demutualization Proceeds:** Applies only if the report contains unclaimed proceeds from the demutualization of an insurance company. More information can be found on page 55 of the Unclaimed Property Holder Handbook, available on the website at: [www.sco.ca.gov](http://www.sco.ca.gov)

**Section I – Verification:** An original signature of an authorized person is required. Failure to provide a complete UFS-1 with original signature will result in the report being rejected and may be subject to interest from the date the property should have been reported or remitted. The UFS-1 form includes an affirmation stating that all accounts not included on the Holder Remit Report, which were included on the Holder Notice Report, are absent only due to reactivation or reunification of property with the owner.

Reporting Agents submitting multiple reports at one time will be allowed to submit a transmittal letter with an original signature that lists all reports being submitted, provided the letter contains an original signature and the UFS-1 verification language specified on page 56 of the Unclaimed Property Holder Handbook. The UFS-1s can then be submitted with stamped signatures.