



**JOHN CHIANG**  
**California State Controller**

**Notice to Holders**  
**SECURITIES SUMMARY (SS-1) FORM INSTRUCTIONS**  
**April 2012**

This notice is to inform you of changes to the filing instructions for the Securities Summary (SS-1) form (Rev. 03/11), which is available on our website at [http://www.sco.ca.gov/upd\\_form\\_rptg.html](http://www.sco.ca.gov/upd_form_rptg.html). In an effort to expedite the processing of your reports containing securities, when completing and filing the SS-1 please note the following changes:

- Upon the transfer of your securities (Note: “securities” include mutual funds), email the SS-1 to [calif.statemail@wellsfargoadvisors.com](mailto:calif.statemail@wellsfargoadvisors.com) and [ucpdtcss1@sco.ca.gov](mailto:ucpdtcss1@sco.ca.gov). NOTE: This is a change from our previous instructions which requested the SS-1 be emailed 48 hours prior to transfer.
- When saving the SS-1, please include the Report ID number in the file name. The Report ID number is located on the Holder Remit Reminder Letter (14F Form) you receive from the SCO.
- In the Subject line of your email in which you send the SS-1, please note that you are sending an SS-1 and include the Report ID, Holder Name and your company’s DTC number. NOTE: Mutual Fund companies will not have a DTC number. Below is a sample of a properly formatted Subject line:

Subject: SS-1 Report ID 123456 - XYZ Company – DTC# 1234

- Please prepare and send separate SS-1 files for each Report ID.

The SS-1 was redesigned last year. The new version incorporated several changes requested by Holders and has resulted in making reporting security issues easier. As a reminder, the redesigned SS-1 included the following changes:

- **Every cell on the new SS-1 form has edit capabilities**
  - + Allows for use of copy, cut, and paste functionality within the Microsoft Excel document
- **Formatting changes regarding the following information on the SS-1 form**
  - + These changes allow for more efficient processing of the Holder Remit Report

Report ID	Contact Phone
Holder Name	Contact Email
Holder FEIN	Report Due
Remitter Name	Reporting for Year
Contact Name	

- **Column for Report ID**

- + The Report ID number is located on the Holder Remit Reminder Letter (14F form) you receive from the SCO
- + Include the Report ID (i.e. STATE CA 123456) on the SS-1 form. This accelerates the reconciliation of your remittance to the Holder Remit Report submitted to the California State Controller's Unclaimed Property Division

- **Columns for non-transferable and certificated shares**

- + Issues deemed non-transferable that will not be remitted are to be listed in the column "Non-Transferable Shares"
- + Issues remitted in certificate form are to be listed in the column "Certificate Shares"

Please remember, the CUSIP number and number of shares of securities reported on the SS-1 must match the actual CUSIP number and number of shares of the securities transferred to the State Controller's contracted broker and reported on the Unclaimed Property Holder Remit Report.

Information pertaining to reporting instructions and forms can be found on our website in the Unclaimed Property Holder Handbook at [www.sco.ca.gov](http://www.sco.ca.gov). For any questions involving the remittance of securities please contact us at [updsecrecon@sco.ca.gov](mailto:updsecrecon@sco.ca.gov).