

UNIVERSAL HOLDER FACE SHEET (must be completed and attached with all reports)

UFS-1(Rev. 01/15)

Mail to: Office of State Controller Betty T. Yee, Unclaimed Property Division, P.O. Box 942850, Sacramento, CA 94250

Report ID# (Remit Report Only)

Required

Notice Report

Or

Remit Report

Due Before November 1 or

Due Between June 1 and June 15 or

Life Insurance Due Before May 1

Life Insurance Due Between December 1 and December 15

Supplemental Notice Report (Properties not included on the Notice Report cannot be listed on the Remit Report and must be reported on a Supplemental Notice Report)

Section A—Holder Information

FEIN	Branch Number	Report As of Date	Check Number / EFT Debit Ref Number (Remit Report Only)
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Section B—Holder Contact Information

Holder Name

Street Address

P.O. Box Number	City	State	Zip Code	Country
Contact Name (For report completion)	Title	Phone Number	Extension	

E-mail Address

Section C—Property Owner Contact Information

Holder Name

Street Address

P.O. Box Number	City	State	Zip Code	Country
Contact Name	Title	Phone Number	Extension	

E-mail Address

Section D—Holder Agent Contact (If Applicable)

Agent Name

Street Address

P.O. Box Number	City	State	Zip Code	Country
Contact Name (For report completion)	Title	Phone Number	Extension	

E-mail Address

Section E—Holder CEO/CFO

Name

Title

Address

P.O. Box Number	City	State	Zip Code	Country
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Section F—Holder Report Totals

Total Reported/Remitted Dollars

Total Reported/Remitted Shares

Includes Safe Deposit Box
 Yes No

**Any Remittance of \$20,000 or more must be paid by Electronic Funds Transfer (EFT), pursuant to Code of Civil Procedures (CCP) Section 1532.*

Section G—Holder Business Information

Organization Type: _____ NAISC Code: _____
 Incorporation State: _____ Incorporation Date: / / Charter Federal or State Charter Date: / /

Section H—Demutualization Proceeds

This report includes proceeds from the demutualization of an insurance company.

Date of Demutualization _____ CCP Section 1515.5 (a) CCP Section 1515.5 (b) CCP Section 1515.5 (c)

Section I—Transfer Agent (If Applicable)

Agent Name

Street Address

P.O. Box Number	City	State	Zip Code	Country
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Section J—Verification

Section J - **Verification** If made by an individual, shall be verified by the individual; if made by a partnership, by a partner; if made by an unincorporated association or private corporation, by an officer; if made by a public corporation, by its chief fiscal officer or other employee authorized by the holder (CCP Section 1530(e)).

The undersigned, _____ declares, under penalty of perjury, that, to the best of (his) (her) knowledge and belief, the following sheets contain a full, true, and complete report of unclaimed property which is presumed unclaimed under the provisions of Part 3, Title 10, Chapter 7, Code of Civil Procedure, commencing with Section 1500, and Title 2, California Administrative Code, Sections 1150 et seq. **The Undersigned also confirms that all properties not listed on the Remit Report, which were initially included on the Notice Report, were due to contact by the apparent owner, or the property being reactivated or returned to the rightful owner.**

Signature	Title	Date
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Universal Holder Face Sheet Instructions

The Universal Holder Face Sheet (UFS-1) form must be completed and submitted with all reports.

Notice Report: Check this box when submitting a Holder Notice Report. This report is due annually prior to November 1 or prior to May 1 for life insurance companies. If the holder identifies accounts that were not included on the original Holder Notice Report, they must be reported on a separate Supplemental Notice Report and cannot be included on the Holder Remit Report.

Remit Report: Check this box when submitting a Holder Remit Report. This report is due between June 1-15 or between December 1-15 for life insurance companies.

Report ID# (Remit Report Only): Please list the Holder Remit Report ID number located on the upper right-hand corner of the Holder Remit Reminder Letter (14F). If you did not receive a 14F letter, please contact the Reporting Unit at 916-464-6284 for assistance.

Section A - Holder Information: Please provide the Federal Employer Identification Number (FEIN), branch number (if applicable), report "As of" date, and check number/EFT debit reference number (Holder Remit Report only). **The FEIN and report "As of" date are required. Failure to provide this information will result in the report being rejected.**

FEIN: Enter the FEIN number.

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 30th 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 1 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 Holder Remit Report only.

Section B – Holder Contact Information: The holder name is required. The holder is the company reporting the property. Please provide complete contact information for the person in the company responsible for completing the report. This contact information will be used by the State Controller's Office 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 Information: Please provide complete contact information for the person responsible for handling inquiries from owners attempting to claim their property. If you are submitting a disk, the contact information on the UFS-1 should match the contact information on the disk. The contact information on the UFS-1 (paper reports) or the disk (electronic reports) 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 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 – Holder CEO/CFO: Please provide complete contact information for the company’s Chief Financial Officer (CFO) or Chief Executive Officer (CEO), including a valid mailing address.

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). 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 North American Industry Classification System (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 in the Important Considerations section of the Unclaimed Property Holder Handbook, available on the website at www.sco.ca.gov/Files-UPD/guide_rptg_holderhandbook.pdf.

Section I – Transfer Agent (If Applicable): If a holder is using a transfer agent for security-related properties, please list the name and the address of the transfer agent.

Section J – Verification: The signature of an authorized person is required. For reports to be properly verified, the California State Controller’s Office requires a signature on all UFS-1 forms. Reports with UFS-1 forms that do not contain a signature may be subject to interest at a rate of 12% per annum from the date the property should have been reported or remitted as prescribed by [CCP section 1577](#). 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 a signature that lists all reports being submitted. The transmittal letter must contain the signature of a person who meets the criteria under [CCP section 1530\(e\)](#) and the UFS-1 verification language specified in the General Reporting Instructions section of the Unclaimed Property Holder Handbook. Multiple reports submitted by reporting agents that do not meet this criterion may be subject to interest at a rate of 12% per year from the date the property should have been reported or remitted as prescribed by [CCP section 1577](#).