



## California State Controller Malia M. Cohen Unclaimed Property Division

### Notice Report Checklist

The Notice Report, due to the State Controller's Office (SCO) before November 1 (before May 1 for life insurance companies), consists of two items: a Universal Holder Face Sheet (UFS-1) and a complete list of reportable properties. Do not send funds or tangible property with the Notice Report. Property is due with the [Remit Report](#) June 1 – 15 (December 1 – 15 for life insurance companies).

#### Step 1: Prepare Property Owner Details

- Prepare an encrypted .hde file listing all reportable properties and property owner details in National Association of Unclaimed Property Administrators ([NAUPA II](#)) format. Reporting software and standard NAUPA II format guidelines are available from the National Association of Unclaimed Property Administrators ([NAUPA](#)). The software is free for reports containing fewer than 100 properties and will prepare and encrypt your file in the proper format (encrypted .hde).
- Check that all property on the report has met the [required dormancy period](#).

#### Step 2: Complete the Universal Holder Face Sheet ([UFS-1](#)) ([video tutorial](#))

- In Section A, Holder Information, the "Report As of Date" is your fiscal year-end date or June 30, and should be the same month and day every year. Life insurance companies must use December 31. The date format for the "As of Date" field is MM/DD/YYYY.
- In Section B, Holder Contact Information, enter your business name and the contact information of the person responsible for completing the report. This person may receive questions from our Reporting Unit regarding the report. This information must match the business name and contact person identified in the property owner details file.
- In Section C, Property Owner Contact Information, enter your business name and the contact information for the person responsible for handling inquiries from property owners and heirs. This contact information will be made available to the public. The person listed should be prepared to reactivate the account or refund the property to the owner(s) or heir(s). If Section C is blank, SCO will refer owners to the contact information listed in Section B.
- In Section F, Holder Report Totals, enter the total dollars and total shares reported. Ensure the amount matches the total dollars and shares listed in the property owner details.
- Under "Includes Safe Deposit Box," check "yes" if the report includes safe deposit contents or safe keeping items, or "no" if it does not. In Section J, Verification, include a signature (electronic signatures accepted) and the date signed.

#### Step 3: Save and Submit Report Materials with SCO's [Online Reporting Portal](#)

- Save a copy of the complete property owner details report and all required documents for your records.
- Submit property owner details in an .hde file and all documents using SCO's [online reporting portal](#).

For assistance using the online portal, contact SCO's Reporting Unit.  
[UCPreporting@sco.ca.gov](mailto:UCPreporting@sco.ca.gov) | 916-464-6284.

# Notice Report Tips



## DO

- Submit your report BEFORE November 1 (before May 1 for life insurance companies).
- Submit an encrypted .hde file listing reportable properties via:
  - SCO's [online reporting portal](#). For assistance using the portal, contact the Reporting Unit at [UCPreporting@sco.ca.gov](mailto:UCPreporting@sco.ca.gov) or 916-464-6284.
  - [Free reporting software](#) is available for fewer than 100 properties.
- Include the signed UFS-1 with your Notice Report. Review the [form instructions](#) for completion details.



## DO NOT

- Do not remit any payments or transfer any property with your Notice Report. Remittance is due with the Remit Report June 1 – 15 (December 1 – 15 for life insurance companies).
- The “Report As of Date” is not the date you sign the UFS-1.
  - Use June 30 or your fiscal year end date.
  - Life insurance companies must use December 31.
- Do not report any property that has not met the [required dormancy period](#).

In Section B, include the contact information for the person the Reporting Unit can reach with any questions.

In Section C, include the contact information for owners to use to contact you until the property is remitted. If left blank, SCO will refer owners to the contact listed in Section B.

Ensure the form is signed (electronic signatures accepted) and dated by an authorized person.

State of California—Controller's Office  
**UNIVERSAL HOLDER FACE SHEET** (must be completed and attached with all reports)  
 UFS-1 (Rev. 01/15)  
 Mail to: Office of State Controller Mala M. Cohen, 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**  
 P.N. Branch Number **Report As of Date** Check Number / EFT Debit Ref Number (Remit Report Only)

**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

**Section F—Holder Report Totals**  
 Total Reports/Remitted Dollars Total Reports/Remitted Dollars Includes Safe Deposit Box  Yes  No

\*Any Remittance of \$2,000 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: Incorporation Date: / / NAICS Code: 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

**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, conforming with Section 1520, and Title 2, California Administrative Code, Sections 1150 et seq. The undersigned also certifies 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 \_\_\_\_\_

The “Report As of Date” is June 30 or your fiscal year-end date. Life insurance companies must use December 31.

Use MM/DD/YYYY date format (for example 06/30/2020).

The amounts entered in Section F should match the total dollar amount and total share amount from your property owner details list.

Make a selection for “Includes Safe Deposit Box” and choose “Yes” or “No.”

## Outreach and Compliance Unit (OCU)

(916) 464-6088

[UPDHolderOutreach@sco.ca.gov](mailto:UPDHolderOutreach@sco.ca.gov)

## We're Here to Help!

The OCU educates holders through webinars, speaking engagements, and more. Visit the [Training and Tutorials page](#) to register for webinars or contact us to schedule one-on-one assistance.

[GoReport.sco.ca.gov](http://GoReport.sco.ca.gov) | [claimit.ca.gov](http://claimit.ca.gov)