

INSTRUCTIONS FOR REPORTING SECURITIES/STOCKS

The Report of Unclaimed Securities is used to report and remit:

- Common stock
- Stock Warrants
- Preferred Stock
- Dividend Reinvestment Plans (DRPs)
- Any other applicable security type property
- Mutual Funds
- Partnership Units
- Restricted Stock

Any monetary type property, even if it is related to a security (for example, dividends), should be reported on this form and not on the OWNERS OF UNCLAIMED PROPERTY form, page 10.

ATTENTION

Dividend Reinvestment Plan (DRP's):

All fractional shares of DRP's should be terminated prior to delivery to the state of Kentucky. Deliver a certificate for whole shares and a check for cash in lieu of fractional shares with your report.

Worthless/Nontransferable Securities: DO

NOT report worthless or transferable securities to the Kentucky Department of Treasury. If the securities become transferable or gain value, report and remit shares at that time.

Please type or legibly print your report.

- A** HOLDER NAME: Enter the holder's name as it appears on the Holder Report Form.
- B** TAX ID NUMBER: Enter the holder's tax ID number. Use this number on all related correspondence.
- C** PAGE: Enter the page number of the report (for example, 1 of 2).
- D** COLUMN ENTRIES: All shaded areas are for Department use only.
 - 1** Enter the property code. (Refer to the table on page 22.)
 - 2** Enter the CUSIP number for the security being reported. If mutual fund, enter type of fund and fund number.
 - 3** Enter the issue name of the security being reported.

- 4** Enter the owner's account number if reporting mutual funds.
- 5** List the last name, first name, and middle name (if known) of the shareholder being reported, and the complete last known address, even if that address is known to be invalid.
- 6** Enter the shareholder's Social Security number.
- 7** Enter the shareholder's last activity date (for example, the date of the last cashed check or other communication).
- 8** Enter the number of shares being reported for the shareholder.
- 9** Enter amount of dividends.
- E** Number DEPOSITORY TRUST COMPANY (DTC)/ PHYSICAL SHARES: Enter the total number of shares reported in DTC or physical form. Please submit one of the following: stock certificate, statement or receipt.
- F** PAGE TOTAL: Enter the total number of shares reported on the current page.
- G** REPORT TOTAL: Enter the total number of shares reported (last page only).

Remittance of Securities

Stock Certificates:

All stock certificates must be registered with the FEIN 61-0600439 before remitting the securities report to Kentucky Department of Treasury. All detail pages should be included with the holder report files. If you have any questions, feel free to contact the Unclaimed Property Securities staff at (800) 465-4722.

Depository Trust Company (DTC) Deposits:

If you are a broker or holder transferring a position through DTC, please fax a listing to the Kentucky Department of Treasury at (502) 564-4200. The list should include Kentucky Account number 16140246, DTC participant #780, CUSIP, and share amount.

Mutual Fund Accounts:

All mutual fund accounts must be registered as Kentucky Department of Treasury with FEIN 61-0600439. Submission of quarterly statements is requested.

2011 REPORT OF UNCLAIMED SECURITIES

A Holder Name: _____

B FEIN: _____ **C** Page _____ of _____

	1 Property Code	2 CUSIP Number (Mutual Fund #)	3 Issue Name (Mutual Fund Name)	4 Account Number or Bond Number	5 Owner's Name and Last Known Address (Cust. Trustee)	6 Social Security	7 Last Activity Date	8 Remitted Shares	9 Amounts
1									
2									
3									
4									
5									
6									
7									
8									
9									

E Number DTC/Physical Shares

F Page Total

G Report Total (Last Page Only)