



# NORTH CAROLINA DEPARTMENT OF STATE TREASURER

UNCLAIMED PROPERTY DIVISION

BRADFORD B. BRINER  
STATE TREASURER OF NORTH CAROLINA

ALLEN MARTIN  
DEPUTY TREASURER

## REPORT, REGISTER, AND TRANSFER INSTRUCTIONS FOR SECURITIES

**Each Holder, Broker, Transfer Agent, and Third-Party Reporter should adhere to the requirements below:**

**Securities should only be reported to the North Carolina Department of State Treasurer (DST) if they have value and can be registered to the rightful owner should the owner come forward. Securities not meeting these criteria should be maintained by the holder, in the name of the owner, until such time that they can be transferred or re-registered and reported to DST with the ability to be re-registered to the rightful owner. It is incumbent on the holder to identify worthless issues, shares which are unable to be registered to the owner, and restricted shares.**

The instructions below should be followed to ensure securities are properly reported, registered, and transferred.

1. At least five (5) business days prior to the anticipated delivery of securities, all reportable securities should be listed on the [Summary of Securities to be Reported](#) spreadsheet. This document should be emailed to Wells Fargo Advisors (WFA) at the following address: [nc.statemail@wellsfargoadvisors.com](mailto:nc.statemail@wellsfargoadvisors.com). Holder reports should NOT be finalized or submitted to the DST until an additional five (5) business days have passed since submitting the spreadsheet to WFA.
2. Upon receipt, WFA will email a confirmation of receipt of the 'Summary of Securities to be Reported' spreadsheet.
3. Within five (5) business days of receipt, WFA will email the remitter with any identified security issues that should not be reported or delivered to North Carolina. **Such issues and owner detail must be removed from the holder report** prior to submitting the report to the DST. A listing of non-reportable issues identified by WFA should be emailed to [upreports@nctreasurer.com](mailto:upreports@nctreasurer.com) with the subject **NC Securities Remittance**.
4. For security issues that should be reported, see reporting reminders and registration instructions below.

3200 Atlantic Avenue • Raleigh, North Carolina 27604

Telephone: (919) 814-4200 • Fax: (919) 855-5811

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## REPORTING REMINDERS

- Holder NAUPA files should be uploaded via DST's website at [Upload A Report](#). Electronic holder reports and owner detail should not be sent to WFA or Wells Fargo Clearing Services, LLC
- Dividends earned prior to registering shares to the DST should be reported in the owner's name, regardless of the amount, with a NAUPA Class Code of 'SC01', and included in the total remittance of funds.
- For securities which cannot be transferred in fractional shares, the fractional portion of the share quantity for each individual owner must be liquidated (this cannot be done as an aggregate liquidation). Per N.C.G.S. 116B-60(b1), aggregate reporting of securities is not allowed. The resulting proceeds from the fractional liquidation, along with the whole share quantity (if applicable) should be reported and delivered as follows: The values of the fractional share should be reported with a NAUPA Class Code of 'SC09' and applied to each individual owner. The fractional share proceeds should be included in the total remittance of funds. Whole shares should be reported with the applicable NAUPA Class Code and delivered as instructed below. Do not aggregate the fractional share proceeds.
- If reporting a single NAUPA file for multiple holders/funds, and/or submitting multiple payments for a single NAUPA file, email the following to [upreports@nctreasurer.com](mailto:upreports@nctreasurer.com) with the subject **NC Securities Remittance**:
  - Listing of holder tax id number and corresponding cash total for each report included in the NAUPA file.
  - Listing of name of reported securities and share/unit total for each report included in the NAUPA file.
- If reporting securities that have value and are able to be re-registered but unable to be held by WFA, email account statement(s) to [upreports@nctreasurer.com](mailto:upreports@nctreasurer.com) with the subject **NC Securities Remittance**.
- ACH Payments may be made electronically via [NC Holder Payment Portal](#). Visit [Step 4 - Remit Funds Due](#) for all payment options.
- Delivery confirmation(s) of shares/units delivered, including delivery dates, and confirmation of payment should be emailed to [upreports@nctreasurer.com](mailto:upreports@nctreasurer.com) with the subject **NC Securities Remittance**.

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## REGISTRATION AND DELIVERY OF STOCK

**A security should not be re-registered into the name of the DST until confirmation to do so has been received from WFA (normally within five (5) business days of submission of the ‘Summary of Securities to be Reported’ spreadsheet to WFA).**

### STOCK DELIVERY

When possible, stock, *including foreign stock*, should be delivered via Automated Customer Account Transfer Service (ACATS) to:

Wells Fargo Clearing Services, LLC  
LLC ACATS Participant #0141  
Reference: NC Dept of State Treasurer-UPD  
Account # 6975-1557

If stock cannot be delivered via ACATS, alternate electronic methods such as DTC Free Delivery or DWAC may be used. If stock cannot be delivered electronically, stock may be registered in Book Entry Shares/Direct Registration Shares (DRS). If stock cannot be delivered as set forth above, reach out to WFA for alternate delivery methods, including foreign delivery instructions. Third party interest statements should be mailed to both WFA and the DST at the addresses below:

Wells Fargo Advisors  
Attention: Tim Johnson  
400 Capitol Mall, Suite 1700  
Sacramento, CA 95814

NC Department of State Treasurer  
Unclaimed Property Division  
3200 Atlantic Avenue  
Raleigh, NC 27604-1668

### PHYSICAL STOCK CERTIFICATES

Physical certificates should only be sent for stocks which cannot be sent via ACATS, DTC Free Delivery, DWAC or DRS, and must be registered as stated below:

NC Department of State Treasurer  
Unclaimed Property Division  
3200 Atlantic Avenue  
Raleigh, NC 27604-1668  
Tax ID # 56-1545517

Physical Certificates MUST be mailed to:

Wells Fargo Advisors  
ATTN: Tim Johnson  
400 Capitol Mall, Suite 1700  
Sacramento, CA 95814

## REGISTRATION OF MUTUAL FUNDS

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**Mutual Fund Transfer via ACATS:**

When possible, mutual funds should be transferred via ACATS as stated below:

Wells Fargo Clearing Services, LLC  
ACAT Participant # 0141  
Reference: NC Dept. of State Treasurer  
Account # 6975-1557

***CASH option MUST BE SELECTED for all Dividend and Capital Gains Registration*****Mutual Fund Direct Transfer:**

For mutual fund shares unable to be transferred via ACATS, please contact Tim Johnson at WFA, [nc.statemail@wellsfargoadvisors.com](mailto:nc.statemail@wellsfargoadvisors.com) to obtain a fund account number.

If the DST does not have an existing account in a specific fund, contact Tim Johnson at WFA, [nc.statemail@wellsfargoadvisors.com](mailto:nc.statemail@wellsfargoadvisors.com) to obtain the information needed to open a new account.

**MUTUAL FUNDS THAT CANNOT BE HELD BY WFA**

If WFA cannot hold a specific mutual fund, third party interest statements should be mailed to both WFA and the DST (see addresses on page 3 of this guide). Accounts should be registered as stated below:

NC Department of State Treasurer  
Unclaimed Property Division  
3200 Atlantic Avenue  
Raleigh, North Carolina 27604  
TAX ID #: 56-1545517  
Broker of Record: Tim Johnson  
Rep #00180XE

***CASH option MUST BE SELECTED for all Dividend and Capital Gains Registration*****CLOSED END MUTUAL FUND**

Closed end mutual funds must be transferred using the same instructions as “Registration and Delivery of Stock”.

***CASH option MUST BE SELECTED for all Dividend and Capital Gains Registration***

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## Contact Information

For questions concerning registration or transfer instructions, contact Tim Johnson via email at [Tim.Johnson@wellsfargoadvisors.com](mailto:Tim.Johnson@wellsfargoadvisors.com) or by phone at 916-491-6361.

For questions pertaining to filing the unclaimed property report or associated fund remittance, contact the Unclaimed Property Division at 919-814-4200 option 3.

## Reporting and Remitting Checklist

- Submit 'Summary of Securities to be Reported' spreadsheet to WFA at least five (5) business days prior to the anticipated delivery of shares/units.
- Adjust holder report if you have received a notification from WFA that a security issue is not reportable.
- Review report for accuracy. Verify that shares and/or cash included on your report equal shares delivered and/or cash to be remitted.
- Upload NAUPA file via DST's website at [Upload A Report](#).
- Register and deliver securities as instructed in this Guide to WFA. (CASH option MUST BE SELECTED for all Dividend and Capital Gains Registration).
- Confirm all securities scheduled for transfer were delivered.
- Initiate payment to the DST.
- Email the following (if applicable) to [upreports@nctreasurer.com](mailto:upreports@nctreasurer.com) using the subject **NC Securities Remittance**:
  - Summary of Securities to be Reported
  - Account statement(s) with reports for all securities registered to the DST which are unable to be delivered to WFA
  - Confirmation including date and amount of share/unit transfer
  - Confirmation of payment
  - Listing of non-reportable securities

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