Four Steps to Completing the Holder Notice Report

The Holder Notice Report is the first in California’s two-report process, due annually before November 1 (before May 1 for life insurance companies). This report tells the State Controller how much reportable property is being held but does not include the remittance of funds. Follow the steps below to submit a Holder Notice Report.

1. Review list of unclaimed properties
   - Before submitting the Holder Notice Report, send due diligence notices to owners of properties valued $50 or more, safekeeping properties, and securities.
   - Do not include properties that are no longer dormant, including those reactivated or reissued due to owner contact during the holder’s due diligence period.

2. Create list of property owners
   - Use reporting software to create the property owner list in standard National Association of Unclaimed Property Administrators (NAUPA II) format when reporting ten or more properties. Visit the Reporting Resources webpage for a link to free reporting software.
   - Burn the list to a disc and submit with the report. Label the disc with the holder name, Federal Employer Identification Number (FEIN), report year, and total properties reported.
   - All holders are encouraged to report in electronic format. If reporting nine properties or less, a holder may choose to report on paper by using the Owner Detail Sheet (UDS-1).
   - Include the following owner account information:
     - First and last name (or company name, if applicable);
     - Social security number (or tax identification number, if applicable);
     - Last known address;
     - Account number on record;
     - Property type and amount;
     - Starting transaction date (date of last contact); and
     - Committee on Uniform Securities Identification Procedures (CUSIP) number (for securities only).

3. Complete Universal Holder Face Sheet (UFS-1)
   - In section A, enter the holder’s information. The “Report As of Date” is not the signature date or the report due date. Enter the cut-off date of the reporting cycle, which should either be the holder’s year-end date or June 30. Life insurance companies always will enter December 31.
   - In section B, enter information for the person(s) responsible for completing the report.
   - In section C, enter information for the person(s) responsible for handling property owner inquiries.
- In section F, enter the total dollars and/or shares listed on the property owner list. Check “yes” if safekeeping properties are being reported.
- In section J, include an original wet signature and signing date. Photocopies or signature stamps are not accepted.
- Watch the UFS-1 Video Tutorial for a detailed walk-through of the UFS-1.

Section B is the person responsible for submitting the report.
Section C is the person responsible for property owner inquiries.
Section F must equal the total amounts reported on the list of property owners.
Section J must include an original wet signature of an authorized person.

“Report As of Date” is the holder’s fiscal year-end (typically June 30 or December 31). Life insurance companies must enter December 31.

---

4. Submit one complete package
   - Save a copy.
   - Mail all components in one package using a secure, trackable method to:

   Office of State Controller Betty T. Yee, Unclaimed Property Division
   10600 White Rock Road, Suite 141, Rancho Cordova, CA 95670

---

We’re Here to Help!
The Outreach and Compliance Unit provides holder education and resources through one-on-one assistance, webinars, and speaking engagements. Visit the events page for up-to-date information or contact us for participation in your next event.

www.sco.ca.gov • www.claimit.ca.gov

All materials and information contained within this guide are for informational purposes only and do not constitute legal advice.