

DFS-UP-128

**STATE OF FLORIDA
ANNUAL REPORT OF PROPERTY PRESUMED ABANDONED
FOR SECURITIES THAT CANNOT BE LIQUIDATED**

MAIL TO:

State of Florida
Department of Financial Services
Bureau of Unclaimed Property
P.O Box 6350
Tallahassee, FL 32314-6350
(850) 413-5522

PURSUANT TO THE FLORIDA DISPOSITION OF UNCLAIMED PROPERTY
CHAPTER 717, FLORIDA STATUTES

Covering UNCLAIMED ITEMS as of December 31,

UPID Number (From DFS-UP-111 Cover Sheet) _____

Federal Tax Identification Number (FEIN) _____

NUMBER OF SHARES REPORTED	NAME and LAST KNOWN ADDRESS (Street, City & State) date of birth of owner(s) including all joint/alternate owners, beneficiaries, and relationship LAST NAME FIRST	SSN/FEIN OF OWNER	PROPERTY TYPE CODE	DATE OF LAST TRANS- ACTION	ACCOUNT NUMBER	ISSUE OF STOCK AND CUSIP NUMBER

_____ PAGE TOTAL

DFS-UP-128 FOR SECURITIES

This form is used to list the ‘Securities’ related property (**preferred stock, bonds, debentures, or mutual funds**) due for owners. The remittance for these items is due at the same time as you submit your unclaimed property report.

REMINDER: The Department forms cannot be used if your unclaimed property report includes 25 or more owners.

DFS-UP-128 FORM DETAIL

- A. Column “NUMBER OF SHARES REPORTED” - Enter the sum of the shares, by issue, due the owner. Multiple issues for the same owner will require separate entries on the form.
- B. Column “NAME AND LAST KNOWN ADDRESS” – Enter the last name, first name and full middle name, if available. Corporate or other titles must be entered exactly as adopted, except the word “the” must be omitted when it is the first word in the name. If the owner name is not known, insert “Unknown” as the owner name. List the last known address, including zip code of the owner as it last appeared in the holder’s records. Include the address, even when the address is incomplete or erroneous. If no address is available, insert “Address Unknown” beneath the name. If the property has more than one owner, the names and addresses of the alternate owners must be listed beneath the original owner’s name. If there is no alternate owner for this account, then the wording “No Alternate Owner” must be entered after each account.
 - 1. The relationship between the owners must also be shown (A list of valid relationship codes can be found in the [RELATIONSHIP CODE TABLE](#)). Enter the date of birth, if available. Reports that do not meet this requirement will be returned to the holder to supply the omitted information and are subject to potential fines and interest penalties.
- C. Column “SSN/FEIN OF OWNER” – Enter the social security number of the individual or FEIN for the business of the reported owner of the property. Social security numbers must be reported for securities holdings. If the alternate owner’s SSN is available, it must also be reported. If no social security number is available, insert “Unknown” in this column. Common abbreviations are SSN, FEID, EIN, and TIN. The SSN/FEIN number is required information that must be included on the report.
- D. Column “PROPERTY TYPE CODE” - Enter the property type code of each item. The property type codes are listed in the [FLORIDA PROPERTY CODE AND DORMANCY TABLE](#). Select the 4-character code that best describes the property being reported. The valid codes for securities are SC08, SC10, SC11, SC14, SC15, SC16, SC17, SC19 and DM02. The property type code is required information that must be included on the report.
- E. Column “DATE OF LAST TRANSACTION” - Enter the date the property became payable, redeemable or returnable. This is the date a dividend became payable, the date of last communication with the owner, or the date that statements and mailings are being returned as undeliverable. The date of last transaction is required information that must be included on the report.

The Date of Last Transaction is not the date of the holder’s due diligence letter. Make sure that all reported accounts have reached the end of their statutory dormancy period.

- F. Column “ACCOUNT NUMBER” - Enter the identifying number of each item such as check number, account number, employee number, etc. This number is not the holder number or FEIN. The account number is required information that must be included on the report.
- G. Column “ISSUE OF STOCK AND CUSIP NUMBER” - The issue name as shown on the certificate including series designation and the CUSIP number for each issue. The stock issue name and CUSIP number is required information that must be included on the report.

ALL of the columns on the form must be completed. Any incomplete forms will be recorded as non-compliant and will be returned to the holder to correct. Information not known must be marked as “Unknown”.