

SOUTH DAKOTA STOCK AND MUTUAL FUND REPORTING FORM

*** This page must be included if your report includes shares of stock or mutual funds ***

Transfer shares into the state of South Dakota's account at Pershing LLC. All shares must be registered under the name, State of South Dakota, Office of the State Treasurer Unclaimed Property Division.

1. Only remit shares for South Dakota owners.
2. Do not remit fractional shares of stock. Liquidate fractional shares and remit the proceeds.
3. Do not remit worthless or non-transferable securities.
4. Dividends and capital gains must be paid in cash only. No new shares should be reinvested in the State of South Dakota accounts once reported. The number of shares must match the number of shares on your UCP 1 report.

If your report includes more than one security, please email our office for a template holders@sdtreasurer.gov
Please email or fax a copy of this form to holders@sdtreasurer.gov or fax 605-773-3115.

Should you have any questions please contact us 605-773-3378.

Mailing address: State of South Dakota FEIN: 46-6000364
Office of the State Treasurer DTC: 0443
Unclaimed Property Division ACCOUNT NO. 4PW-392338
500 E. Capital Ave Ste 212
Pierre SD 57501

HOLDER INFORMATION

Holder Name: _____ FEIN: _____

Contact Person for Report: _____ Phone: _____

STOCK

Name of Security: _____

CUSIP: _____ SYMBOL: _____ Number of Shares: _____

Date shares will be transferred to State of South Dakota: _____

Form shares will be transferred:

DTC (Direct Transfer) DRS (Direct Registration)

Book Entry (List Account No): _____

Other (Please Explain): _____

MUTUAL FUNDS

Fund Family: _____

Fund Name: _____

CUSIP: _____ SYMBOL: _____ Number of Shares: _____

Will the shares be transferred into the State of South Dakota's Pershing account?

Date shares will be transferred to State of South Dakota: _____

If the shares are not able to be transferred, please include the following information:

Fund Number: _____ Account Number: _____