

STATE OF NEW JERSEY
UNCLAIMED PROPERTY ADMINISTRATION (UPA)
INSTRUCTIONS FOR BROKER REPORTING

ALL Stock Securities should be registered to:

NAME: **Neary Penco** (UPA's Nominee Name)
TAX ID: **23-6660388**
ADDRESS: **NJ Department of Treasury**
Unclaimed Property Administration
PO Box 214
Trenton, NJ 08625-0214
ATTN: Report Section

Instructions:

1. Regular securities that are Depository Trust Company (DTC) eligible should be sent free receipt or Deposit/Withdrawal at Custodian (DWAC) to the Custodial Agent, US Bank. DTC and DWAC Instructions are included in the Holder Packet.
2. Always register securities with the P.O. Box 214, Trenton, NJ 08625-0214 address and not the physical address.
3. To ensure accurate account credit, a list of the securities **must** be e-mailed to either Cheryl Ciaccio or Carol Hopewell at US Bank. When emailing Cheryl or Carol you are required to copy the unclaimedreports@treas.nj.gov email address. The list may also be faxed to US Bank at (866) 528-4866 to the attention of Cheryl or Carol. If a list is not provided, US Bank has instructions from the UPA to deny the free receipt. This could result in your securities decaying.
4. The e-mailed (or faxed) list must match the list that accompanies the Unclaimed Property report.
5. If a reported security is non-transferable because the stock is in the owner's name, it must be reported as Property Type Code SC30 and the physical certificate included with the report.
6. If a reported security is undeliverable to the State of New Jersey for any reason, the owner record must be coded as Property Type Code SC29.
7. All the delivered and undelivered shares and cash must equal the amount that has been reported on the UP1 (Holder Information Form).
8. Mutual Fund shares must be liquidated and the cash proceeds remitted and reported for each owner on the UP-2 form (see Mutual Fund instructions).

- 9. Do not liquidate equity securities (non-mutual fund).
- 10. Do not sell foreign securities.
- 11. Property type codes SC01 (dividends) and SC09 (fractions) must be reported as separate items. Dividends are not to be reported as an aggregate.
- 12. Every security delivered must have a CUSIP number. This is an essential key identifier.
- 13. Book entry items are reported as Property Type Code SC08.
- 14. Underlying shares Property Type Code SC12 should be used only if the owner is in possession of the original certificate.

Note: If you have any questions about any of these instructions, please email the UPA at unclaimedreports@treas.nj.gov.

DTC Delivery Instructions:

BANK NAME: US
Bank PARTICIPATING ID: 2803
INSTITUTIONAL ID: 12278
REFERENCE ACCT#: 56-7750-00
ADDRESS: EX-PA-WBSP
50 South 16th St
Philadelphia, PA 19102

ATTN: Cheryl Ciaccio OR Carol Hopewell
PHONE: (215) 761-9430 OR (215) 761-9337
EMAIL: cheryl.ciaccio@usbank.com carol.hopewell@usbank.com
FAX: (866) 528-4866