



PENNSYLVANIA
TREASURY
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TIMOTHY A. REESE
STATE TREASURER

Unclaimed Property Compliance: Tools to Assist Holders



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STATE TREASURER

Unclaimed Property Compliance



Have a Question?

 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance



The Road to Compliance

 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

Unclaimed Property – any financial asset that has been left with a “holder” without activity or contact by the rightful owner for a specified period of time



Dormancy Period - the amount of time a property is inactive while in possession of the holder



Holder - a business or organization in possession of unclaimed property



Owner – the individual to whom the property was originally owed



 THE PENNSYLVANIA TREASURY DEPARTMENT
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Unclaimed Property Compliance

Tangible Property – physical property normally turned over from safe deposit boxes, police confiscations, or left behind in hospitals or nursing homes



Intangible Property – monetary assets such as bank accounts, refunds, uncashed checks, securities, and credit balances



Due Diligence – the effort put forth to contact the owner or rightful heir of a property via a letter or email

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Unclaimed Property Compliance



www.naupa.org

 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

A screenshot of the Pennsylvania Treasury Department website. The page has a green header with the title "Unclaimed Property Compliance". Below the header is a navigation bar with the URL "patreasury.gov" and social media icons. The main content area is divided into several sections: "Welcome to the Pennsylvania Treasury" with a sign-up form, "Unclaimed Property" with a search form, "PA 529 Account Login" with login options, and "Latest News". A red arrow points to the "patreasury.gov" link in the navigation bar.

Welcome to the Pennsylvania Treasury

The Pennsylvania Treasury is an independent department of state government and by the state treasurer, who is elected every four years. The department's primary duty is to safeguard and manage the state's public funds. It invests state money to generate income on behalf of the citizens of Pennsylvania, reviews and processes payments for state government agencies, and administers several programs related to state finances, among them the Unclaimed Property Program, the PA 529 College Savings Program, and others.

Enter your email address to receive news and updates!

Email Address [Sign Up](#)

Unclaimed Property

Claim What's Yours

We currently seek the owners of \$2.3 billion in unclaimed property. Remember, we will always help you recover your property free of charge.

Enter your company name or last name (required) and the first few letters of your first name (optional) to search now.

Note: This database does not include cases with a cash value of less than \$5.

Company or Last Name First Name

[Search](#)

Check the status of your claim(s).

Enter your Claim ID to check the status of your claim.

Claim Number or Web Inquiry ID [Submit](#)

PA 529 Account Login

- CHECK YOUR BALANCE
- MAKE CONTRIBUTIONS
- REQUEST STATEMENTS
- CHANGE PASSWORDS AND ACCOUNT INFORMATION

PLEASE HAVE YOUR USER NAME AND PASSWORD READY.

[GSP LOG IN](#)

[IP LOG IN](#)

Latest News

 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

The screenshot shows the Pennsylvania Treasury website (patreasury.gov) with a navigation menu on the left. The 'Unclaimed Property' link is highlighted with a red arrow. The main content area features a 'Welcome to the Pennsylvania Treasury' message, a sign-up form for email updates, and sections for 'Unclaimed Property', 'PA 529 Account Login', and 'Latest News'. The 'Unclaimed Property' section includes a 'Claim What's Yours' heading and a search form for claimants.

 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

This screenshot is similar to the first one but includes a dropdown menu over the 'Unclaimed Property' link in the navigation menu. The dropdown menu lists the following options: 'Unclaimed Property', 'Claim What's Yours', 'Ebay Store', 'FAQs', 'Finder Registration', 'Forms', 'Holder Compliance', 'Holder Login', 'Holder Reporting', 'Law (PDF)', 'Tangible Property', and 'Webinars'. Red arrows point to the 'Holder Compliance' and 'Law (PDF)' options.

 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

The screenshot shows the 'Unclaimed Property' section of the Pennsylvania Treasury Department website. The page is titled 'Unclaimed Property' and includes a navigation menu on the left with 'patreasury.gov'. The main content area is divided into several sections: 'Holder Compliance', 'Voluntary Disclosure Agreement', 'Extension Form', and 'Early Remittance Form'. A red arrow points to the 'Voluntary Disclosure Agreement' link. On the right side, there is a 'Resources' section with a 'Questions?' link and contact information: Phone: 1.800.279.3999, Email: report@treasury.gov. Below the contact information is the NAUPA logo.

 THE PENNSYLVANIA TREASURY DEPARTMENT
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Unclaimed Property Compliance

The document is titled 'Voluntary Disclosure Agreement for Reporting Unclaimed Property' and is issued by the Pennsylvania Treasury Department. It explains the requirements for reporting unclaimed property under the Pennsylvania Disposition of Abandoned and Unclaimed Property Act (DAUPA). The document states that holders are required to file an unclaimed property report each year by April 15. It also mentions that the DAUPA provides for a three-year dormancy period for the majority of property types before such property is deemed reportable. A major exception to the three-year rule is in the case of payroll and commissions for which the dormancy period is two years. A full list of property types and their dormancy periods is available on Treasury's website at www.patreasury.gov.

To be considered for admittance into the Voluntary Compliance Program, a holder must complete and sign the Voluntary Disclosure Agreement (VDA) and meet the following criteria prior to filing a report:

- Holder is voluntarily coming forward because of identified non-reporting or underreporting of unclaimed property that was due and payable in a prior year.
- Holder is currently not under audit or self-audit by Pennsylvania Treasury for past due unclaimed property reporting, and
- Holder has not been granted voluntary compliance or participated in Treasury's Compliance Review Program in the past 10 years. This provision is waived if the property type is new or associated with a merger/acquisition of a new company.

****Please note that a holder report and remittance must not be submitted until after Treasury has provided a formal, signed approval as recognition for admittance into the Voluntary Compliance Program.**

Page 1 of 4

 THE PENNSYLVANIA TREASURY DEPARTMENT
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Unclaimed Property Compliance



To be considered for admittance into the Voluntary Compliance Program, a holder must complete and sign the Voluntary Disclosure Agreement (VDA) and meet the following criteria prior to filing a report:

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Page 1 of 4

Unclaimed Property Compliance

Dormancy Periods For Report Year 2015

Due: 4/15/2016

Dormancy Periods	Property Types	Transactions Occurring Between These Dates Should Appear on the Report
2 years	Wages/Payroll, Commissions	January 1st - December 31st, 2013
3 years	All other unclaimed property types	January 1st - December 31st, 2012
7 years	Money Orders	January 1st - December 31st, 2008
15 years	Travelers Cheques	January 1st - December 31st, 2000

Unclaimed Property Compliance



To be considered for admittance into the Voluntary Compliance Program, a holder must complete and sign the Voluntary Disclosure Agreement (VDA) and meet the following criteria prior to filing a report:

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Page 1 of 4

Unclaimed Property Compliance



Voluntary Disclosure Agreement for Reporting Unclaimed Property

According to the Pennsylvania Disposition of Abandoned and Unclaimed Property Act (DAUPA),
72 P.S. § 1301.1 et. seq., ~~all holders are required to file an unclaimed property report each year by~~
APRIL 15. The term "holder" refers to any person, business, or organization that is in possession of
unclaimed property. The DAUPA provides for a three-year dormancy period for the majority of
property types, before such property is deemed abandoned. A minor exception to this three-year rule is

*****Please note that a holder report and remittance must not be submitted until after Treasury has provided a formal, signed approval as recognition for admittance into the Voluntary Compliance Program.***

~~unclaimed property reporting, and~~

- Holder has not been granted voluntary compliance or participated in Treasury's Compliance Review Program in the ~~past 10 years~~. ~~This provision is waived if the property type is new or associated with a merger/acquisition of a new company.~~

*****Please note that a holder report and remittance must not be submitted until after Treasury has provided a formal, signed approval as recognition for admittance into the Voluntary Compliance Program.***

Page 1 of 4

Unclaimed Property Compliance

Holder hereby agrees:

- To report all past due unclaimed property identified through a complete examination of its books and records for the last ten years. All currently due unclaimed property must be remitted as an annual filing on a separate report.
- To disclose all subsidiaries or related entities, including Employer/Tax Identification Number (EIN), state of domicile, and state of incorporation, including the corporate structure of the holder. Justification must be provided for the omission of subsidiaries or related entities from inclusion in the audit procedures and corresponding remittance of unclaimed property.
- To disclose in writing, a summary including the corporate history, audit and compliance history, the scope of the review (property types and years involved), analysis, findings, and conclusions. Where applicable, exhibits from the analysis and estimation techniques used in the determination of reportable property should also be submitted.
- To disclose any methods of due diligence performed in connection with this Voluntary Disclosure Agreement as well as any due diligence procedures used during the period under review. Note: for an entity seeking participation in this program where the remittance is in excess of \$500,000, due diligence must be performed. Such due diligence may include, but is not limited to, the following: use of 3rd party database search firms to locate lost owners, mailings (certified or otherwise), electronic correspondence, etc.
- To provide an assertion as to the completeness of the records provided and reason for missing/unavailable records.
- To file a report within ninety (90) days of the execution of this agreement directly with the Treasury Department. Any use of a third party to gather records or file a report will be done at the expense of the holder. The report must be filed in the NAUPA II format using approved electronic reporting software, with the reported and retained amount fully reconciling. If known, the report must contain the name, last known address, Social Security number and any other account information that is available and useful in determining rightful ownership of the account.
- To be fully compliant with the Pennsylvania Unclaimed Property Act from this point forward. This includes, but is not limited to, performing an annual review of all financial records for abandoned and unclaimed accounts and filing a complete and accurate unclaimed property report by April 15th each year (filing instructions and software are available at www.patreasury.gov).

Page 2 of 4



THE PENNSYLVANIA TREASURY DEPARTMENT
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- • To disclose in writing, a summary including the corporate history, audit and compliance history, the scope of the review (property types and years involved), analysis, findings, and conclusions. Where applicable, exhibits from the analysis and estimation techniques used in the determination of reportable property should also be submitted.

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- To disclose in writing, a summary including the corporate history, audit and compliance

- To disclose any methods of due diligence performed in connection with this Voluntary Disclosure Agreement as well as any due diligence procedures used during the period under review. Note, for an entity seeking participation in this program where the remittance is in excess of \$500,000, due diligence must be performed. Such due diligence may include, but is not limited to, the following: use of 3rd party database search firms to locate lost owners, mailings (certified or otherwise), electronic correspondence, etc.
- To provide an assertion as to the completeness of the records provided and reason for missing/unavailable records.

Report by April 15th each year (filing instructions and software are available at www.patreasury.gov).

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THE PENNSYLVANIA TREASURY DEPARTMENT
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Unclaimed Property Compliance

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- To disclose all subsidiaries or related entities, including Employer/Tax Identification Number

- To file a report within ninety (90) days of the execution of this agreement directly with the Treasury Department. Any use of a third party to gather records or file a report will be done at the expense of the holder. The report must be filed in the NAUPA II format using approved electronic reporting software, with the reported and remitted amount fully reconciling. If known, the report must contain the name, last known address, Social Security number and any other account information that is available and useful in determining rightful ownership of the account.
- To be fully compliant with the Pennsylvania Unclaimed Property Act from this point forward. This includes, but is not limited to, performing an annual review of all financial records for abandoned and unclaimed accounts and filing a complete and accurate unclaimed property report by April 15th, each year (filing instructions and software are available at www.patreasury.gov).

Page 2 of 4



THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

Treasury Department hereby agrees:

- To waive all applicable penalties and interest, as permitted under § 1301.24 and 1301.25 of the PA Unclaimed Property Law, for the reported property, if the property is reported within the terms of this agreement.
- To relieve the holder of liability from claims on the property upon payment and delivery of the property according to § 1301.14 of the PA Unclaimed Property Law.
- To maintain confidentiality of this voluntary agreement and only disclose such information if compelled to do so by request under the Pennsylvania Right to Know Law.

Under this agreement

- Treasury reserves the right to conduct an examination of the holder regardless of its admittance into the program. Treasury recognizes, however, that the holder has come forward on a voluntary basis to come into compliance with the unclaimed property, and will take this action into consideration when considering an examination of the holder's books and records.
- If any of the representations made by the holder in the agreement are false or misleading, the agreement becomes null and void and the holder becomes subject to penalties and interest from the time the property should have been reported, as permitted in § 1301.14 of the PA Unclaimed Property Law.

Signatures

	
<i>Executive Officer for Holder</i>	<i>Pennsylvania Treasury Department</i>
Printed Name: <input type="text"/>	Printed Name: <input type="text"/>
Title: <input type="text"/>	Title: <input type="text"/>
Date: <input type="text"/>	Date: <input type="text"/>

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Date: <input type="text"/>	Date: <input type="text"/>
----------------------------	----------------------------

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- To relieve the holder of liability from claims on the property upon payment and delivery of the

Signatures

Signature: _____
Executive Officer for Holder

Printed Name: _____

Title: _____

Date: _____

Signature: _____
Pennsylvania Treasury Department

Printed Name: _____

Title: _____

Date: _____

Unclaimed Property Compliance

Preliminary Report Information

Holder Name: _____
EIN: _____
Holder Address: _____
State of Incorporation: _____

Holder Subsidiaries and Related Entities: _____
(Include EIN's, locations, and state of incorporation if different from parent company - please attach a list if additional space is required)

Initial Property Types to be Reviewed: _____
(example: wages, credit balances, refund/advance, accrued amounts, gift certificates, accounts payable, commissions, bonds, stock proceeds, tangible items, etc.)

Contact Information

Holder Contact Name: _____
Contact Phone Number: (_____) _____
Contact E-mail Address: _____
Contact Mailing Address: _____

Remarks/Comments: _____

If applicable:
Holder Representative: _____
Representative Contact Name: _____
Representative Contact Information: _____
(e-mail, address, etc.)

Mailing Information

Treasury Department
Bureau of Assets and Enforcement
Alternative Holder Compliance
Room G-13 Finance Building
Harrisburg, PA 17120

Or by e-mail to: report@pa.treasury.gov (preferred method of correspondence)

Unclaimed Property Compliance

Preliminary Report Information

Preliminary Report Information

Holder Name: _____

EIN: _____

Holder Address: _____

State of Incorporation: _____

Holder Subsidiaries and Related Entities: _____

(Include EIN's, locations, and states of incorporation if different from parent company – please attach a list if additional space is required)

Initial Property Types to be Reviewed: _____

(examples: wages, credit balances, refunds/rebates, escrow accounts, gift certificates, accounts payable, commissions, bonds, stock proceeds, tangible items, etc.)

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THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

Preliminary Report Information

Contact Information

Holder Contact Name: _____

Contact Phone Number: (____) _____

Contact E-mail Address: _____

Contact Mailing Address: _____

Remarks/Comments: _____

If applicable...

Holder Representative: _____

Representative Contact Name: _____

Representative Contact Information: _____

(e-mail, address, etc.)

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THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

Preliminary Report Information

Holder Name: _____
EIN: _____
Holder Address: _____
State of Incorporation: _____

Mailing Information

Treasury Department
Bureau of Audits and Enforcement
Attention: Holder Compliance
Room G-13 Finance Building
Harrisburg, PA 17120

Or by e-mail to: report@patreasury.gov (preferred method of correspondence)

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THE PENNSYLVANIA TREASURY DEPARTMENT
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Unclaimed Property Compliance

The screenshot shows the patreasury.gov website with a navigation menu on the left. The main content area is titled "Unclaimed Property" and contains several sections:

- Holder Compliance**
 - Changes Important to Holders of Unclaimed Property
- Voluntary Disclosure Agreement**
 - The Bureau of Unclaimed Property encourages businesses to voluntarily comply with Pennsylvania's Unclaimed Property Law by filing a report annually by April 15. For businesses that have never filed a report or may have overlooked certain property types, and would like to come into compliance, Treasury offers a Voluntary Disclosure Agreement to bring companies up-to-date with their annual filing while receiving a waiver of penalties and interest. Please note, this agreement must be signed by the business' corporate officer and approved by Treasury prior to filing the report. This agreement is not needed if filing a negative report.
 - Voluntary Disclosure Agreement
- Extension Form**
 - If in the course of compiling your annual report of unclaimed property you find that you will not be able to get your report finished in time for the April 15th deadline, you can request an extension.
 - Extension Request
- Early Remittance Form**
 - What do you need to do when you have property that has not yet reached the dormancy period and you'd like to report early? You'll need to complete the Early Remittance Request form. Please be aware that property must be at least a year old before early remittance will be approved. Also, remember our dormancy period for the majority of unclaimed property is now three years, not five, so this may affect your need for early remittance.
 - Early Remittance Request

On the right side of the page, there is a "Resources" section with a "Questions?" sub-section. It lists the phone number 1.800.379.3999 and the email report@patreasury.gov. Below this is the NAUPA logo. A red arrow points to the "Early Remittance Request" link in the main content area.



THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance


**PENNSYLVANIA
TREASURY
UNCLAIMED PROPERTY**
EARLY REMITTANCE REQUEST

Please submit the following:

What type of property(ies) are you requesting to be submitted early? _____
(PA Treasury will not accept securities before the end of the three year dormancy period)

What is the age of the property(ies)? _____

Has any due diligence been performed on the property(ies)? yes no

Does the property(ies) have names and addresses associated with it? yes no

Reason for Request: _____

Is your company/organization dissolving? yes no

Holder Name: _____
 Contact Name: _____ Title: _____
 Telephone Number: _____ Email: _____
 Mailing Address: _____

Signature: _____ Date of Request: _____

Please Note: This request must be approved prior to submitting the holder report.

Reserved for use of PA Treasury

In evaluating this request, we consider, among other things, timeliness of the request, previous filing history, previous extension requests, previous audits, and the reason for this request.

Early Remittance APPROVED Early Remittance DENIED - Reason: _____
 Date: _____

Please direct any questions relative to this process to report@patreasury.gov

Send forms:
 via fax to 717-772-0265
 via scan mail to report@patreasury.gov
 via USPS mail to Bureau of Audits and Enforcement,
 Also: Holder Compliance,
 Room 0-13 Finance Building, Harrisburg, PA 17120

 **THE PENNSYLVANIA TREASURY DEPARTMENT**
 TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance


**PENNSYLVANIA
TREASURY
UNCLAIMED PROPERTY**
EARLY REMITTANCE REQUEST

Please submit the following:

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(PA Treasury will not accept securities before the end of the three year dormancy period)

➔ What is the age of the property(ies)? _____

➔ Has any due diligence been performed on the property(ies)? yes no

➔ Does the property(ies) have names and addresses associated with it? yes no

➔ Reason for Request: _____

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Unclaimed Property Compliance



EARLY REMITTANCE REQUEST

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Holder Name: _____
Contact Name: _____ Title: _____
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Signature: _____ Date of Request: _____

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THE PENNSYLVANIA TREASURY DEPARTMENT
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Unclaimed Property Compliance



EARLY REMITTANCE REQUEST

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Has any due diligence been performed on the property(ies)? yes no

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Reason for Request: _____

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Holder Name: _____
Contact Name: _____ Title: _____
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Mailing Address: _____
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Please Note-This request must be approved prior to submitting the holder report.

Reserved for use of PA Treasury

In evaluating this request, we considered, among other things, timeliness of the request, previous filing history, previous extension requests, previous audits, and the reason for this request.

Early Remittance APPROVED Early Remittance DENIED - Reason: _____

Date: _____

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THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

patreasury.gov

Unclaimed Property

Holder Compliance

Changes Important to Holders of Unclaimed Property

Voluntary Disclosure Agreement

The Bureau of Unclaimed Property encourages businesses to voluntarily comply with Pennsylvania's Unclaimed Property Law by filing a report annually by April 15. For businesses that have never filed a report or may have overlooked certain property types, and would like to come into compliance, Treasury offers a Voluntary Disclosure Agreement to bring companies up-to-date with their annual filing while receiving a waiver of penalties and interest. Please note: this agreement must be signed by the business' corporate officer and approved by Treasury prior to filing the report. This agreement is not needed if filing a negative report.

Voluntary Disclosure Agreement

Extension Form

If in the course of compiling your annual report of unclaimed property you find that you will not be able to get your report finished in time for the April 15th deadline, you can request an extension.

Extension Request

Early Remittance Form

What do you need to do when you have property that has not yet reached the dormancy period and you'd like to report early? You'll need to complete the Early Remittance Request form. Please be aware that property must be at least a year old before early remittance will be approved. Also, remember our dormancy period for the majority of unclaimed property is now three years, not five, so this may affect your need for early remittance.

Early Remittance Request

Resources

Questions?

Phone: 1.800.379.3999
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N A U P A

THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

**PENNSYLVANIA
TREASURY
UNCLAIMED PROPERTY**

EXTENSION REQUEST

Please Note: This request must be approved prior to submitting the holder report.

We are applying for this extension based on the reason(s) below:
Check all that apply and provide a brief explanation. Extensions will not be granted for two consecutive years.

<input type="checkbox"/> Reorganization/Merger	<input type="checkbox"/> New System
<input type="checkbox"/> Personnel Changes	<input type="checkbox"/> System Problems
<input type="checkbox"/> Transfer Agent Change	<input type="checkbox"/> Other

Explanation (required): _____

Additional Time Requested: 30 days 60 days

Holder Name: _____

EIN: _____

Contact Name: _____ Title: _____

Telephone Number: _____ Email: _____

Mailing Address: _____

Signature: _____ Date of Request: _____

Please Note - If extension is granted, holder agrees to be fully compliant with Pennsylvania's Unclaimed Property Law from this point forward. This includes, but is not limited to, performing an annual review of all financial records for abandoned and unclaimed accounts and filing a complete and accurate unclaimed property report on April 15th each year.

Reserved for use of PA Treasury

In evaluating this request, we considered, among other things, timeliness of the request, previous filing history, previous extension requests, previous audits, and the reason for this request.

Extension APPROVED Extension DENIED - Reason: _____ Report Due Date: _____

Approved/Denied by: _____ Date: _____

Please direct any questions relative to this process to report@treasury.gov

Send form:
via fax to 717-773-0266
via email to report@treasury.gov
via UPS mail to Bureau of Audits and Enforcement,
Attn: Holder Compliance,
Room G-13 Finance Building, Harrisburg, PA 17120

THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance



Please Note-This request must be approved prior to submitting the holder report.

We are applying for this extension based on the reason(s) below:
Check as appropriate and provide a brief explanation. Extensions will not be granted for two consecutive years.

- Reorganization/Merger
- Personnel Changes
- Transfer Agent Change
- New System
- System Problems
- Other

Explanation (required):

Additional Time Requested: 30 days 60 days

Reserved for use of PA Treasury
In evaluating this request, we considered, among other things, timeliness of the request, previous filing history, previous extension requests, previous audits, and the reason for this request.

Extension APPROVED Extension DENIED - Reason: _____ Report Due Date: _____

Approved/Denied by: _____ Date: _____

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THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance



EXTENSION REQUEST

Please Note-This request must be approved prior to submitting the holder report.

We are applying for this extension based on the reason(s) below:

Holder Name: _____
EIN: _____
Contact Name: _____ Title: _____
Telephone Number: _____ Email: _____
Mailing Address: _____
Signature: _____ Date of Request: _____

Please Note - If extension is granted, holder agrees to be fully compliant with Pennsylvania's Unclaimed Property Law from this point forward. This includes, but is not limited to, performing an annual review of all financial records for abandoned and unclaimed accounts and filing a complete and accurate unclaimed property report on April 15th each year.

Approved/Denied by: _____ Date: _____

Please direct any questions relative to this process to report@treasury.gov

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THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance


EXTENSION REQUEST

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We are applying for this extension based on the reason(s) below:
Check as appropriate and provide a brief explanation. Extensions will not be granted for two consecutive years.

<input type="checkbox"/> Reorganization/Merger	<input type="checkbox"/> New System
<input type="checkbox"/> Personnel Changes	<input type="checkbox"/> System Problems
<input type="checkbox"/> Transfer Agent Change	<input type="checkbox"/> Other

Explanation (required): _____

Additional Time Requested: 30 days 60 days

Holder Name: _____
EIN: _____
Contact Name: _____ Title: _____
Telephone Number: _____ Email: _____
Mailing Address: _____
Signature: _____ Date of Request: _____

Please Note - If extension is granted, holder agrees to be fully compliant with Pennsylvania's Unclaimed Property Law from this point forward. This includes, but is not limited to, performing an annual review of all financial records for abandoned and unclaimed accounts and filing a complete and accurate unclaimed property report on April 15th each year.

Reserved for use of PA Treasury

In evaluating this request, we consider ~~approval of the request~~ approval of the request, previous extension requests, payment history, and the reason for this request.

Extension APPROVED Extension DENIED - Reason: _____ Report Due Date: _____
Approved/Denied by: _____ Date: _____

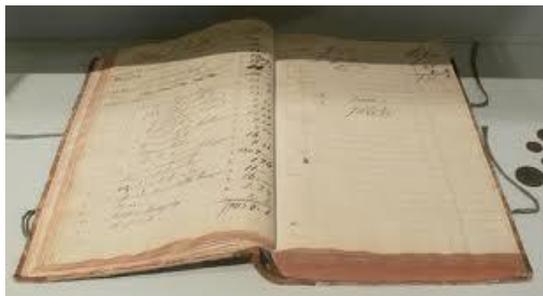
Please direct any questions relative to this process to report@treasury.gov

Send Form:
- by fax to 717-772-0266
- via email report@treasury.gov
via USPS mail to Bureau of Assets and Liabilities, Attn: Holder Compliance, Room G-13 Finance Building, Harrisburg, PA 17120

 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

Internal Policies & Procedures: Keeping An Eye on Your Ledger



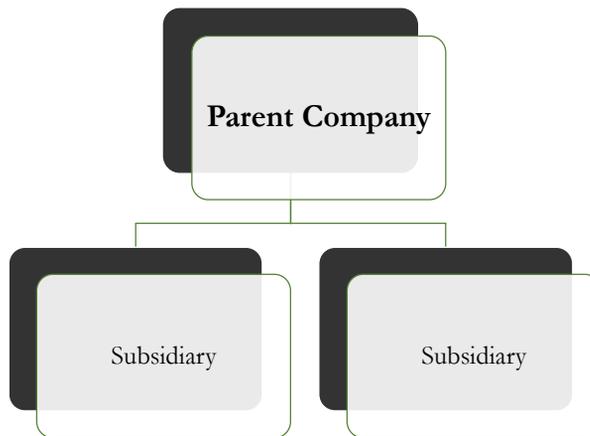
 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance



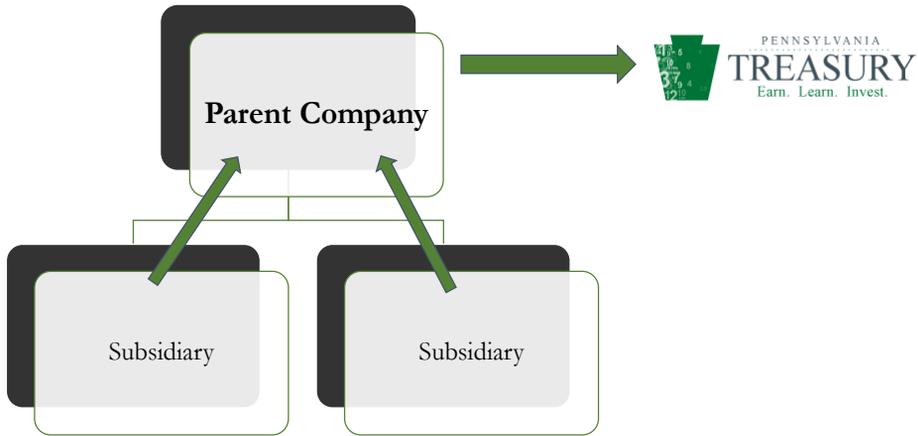
 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance



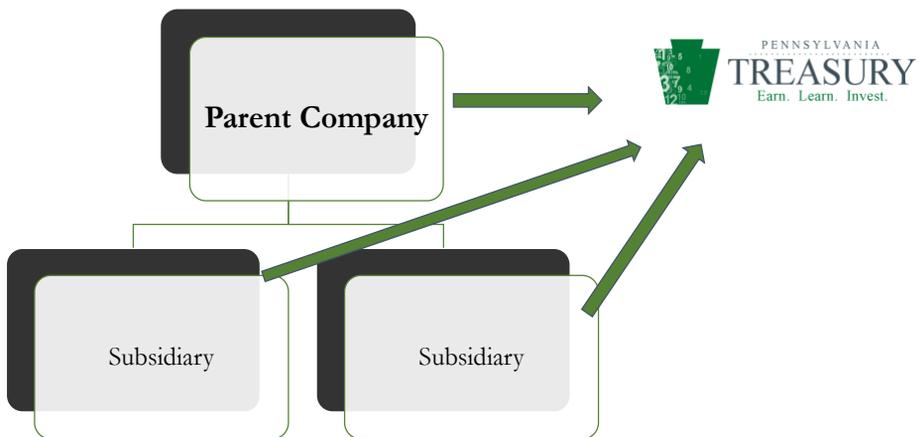
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TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance



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Unclaimed Property Compliance



 THE PENNSYLVANIA TREASURY DEPARTMENT
TIMOTHY A. REESE, STATE TREASURER

Unclaimed Property Compliance

- ✓ Set up a liability account for potential unclaimed property
 - ✓ Establish internal controls and assign tasks
 - ✓ Education on Unclaimed Property laws

Unclaimed Property Compliance

- ✓ Establish a time frame for monitoring outstanding checks, including
 - Accounts payable
 - Payroll
 - Commissions
 - Vendor Payments
 - Refunds/rebates
 - Insurance Payments
 - Medical benefits
 - Stock and dividends
 - Expired gift certificates

Unclaimed Property Compliance

- ✓ Documentation on outstanding checks
 - ✓ Record retention policy
 - ✓ Monitor equity issues
 - ✓ Perform due diligence

Unclaimed Property Compliance

- ✓ Follow Through/Communicate



Unclaimed Property Compliance

Holder Compliance Specialists: 800-379-3999

Vault: 717-705-6682

Securities/Equity Questions: 717-705-8429

www.patreasury.gov



Commonwealth of Pennsylvania
Bureau of Unclaimed Property
P.O. Box 783473
Philadelphia, PA 19178-3473

report@patreasury.gov

 **THE PENNSYLVANIA TREASURY DEPARTMENT**
TIMOTHY A. REESE, STATE TREASURER