

INSTRUCTIONS FOR COMPLETING RHODE ISLAND'S UP1 AND UP2

Every holder must submit a Report of Unclaimed Property form each year (UP1 & UP2). If you do not have any unclaimed property to report you must still file a report (UP1 only). The holder should check the property code list for a guide as to the types of property they should report.

First Filing: If your company is filing for the first time, you must go back in your records ten (10) years.

UP 1 Holder Information

Name of Holder: The company name is to be entered on this line (max 40 characters).

Federal Tax ID #: List the tax ID number for your company (max 9 characters 2-7)

Stock Exchange Code: If your company is listed on a stock exchange, list your code on this line.

Street Address: Enter your mailing address. Use two lines if necessary (each line max 35 characters)

City: Enter the city of your mailing address (max 30 characters)

State: Enter your state's two letter postal abbreviation (max 2 characters)

Zip: Enter your zip code (max 9 characters 5-4)

Holder Type Code: Enter the code that best describes your activity from the SIC list below (max 4 characters 2-2)

State of Incorporation: Enter the two letter postal abbreviation for the state in which your company is incorporated (max 2)

Date of incorporation: Enter the date that your company was incorporated

Previous Holder: If you are not the original holder of any of the property listed on the report form, enter the name of that holder. If your name has changed during the time you held any of the property listed on this report, enter that name (max 40 characters).

Date of Change: Enter the date the change took place (max 6 characters 2-2-2)

Previous Address: Enter the address of previous holder (street 35, state 2, zip 9)

Contact Person information: Enter the name, phone, fax, and address, if different from the holder address, of the person we are to contact if we have a question on the report.

Signature Section: Fill in the state, county, name of person signing the report, number of pages not including UP 1 and total dollars reported and remitted. The report must be signed by a partner if a partnership; an officer if a private corporation; or the chief fiscal officer if a public corporation. All forms must be notarized.

UP 1 Property Codes and Check List:

On the back of the UP 1 form is a check list of property codes and their dormancy periods. RI has adopted the National Standard codes. Under #Accts enter the number of accounts that you are reporting of that type of property along with the dollar amount or number of shares. **Rhode Island's aggregate is \$50.00.**

UP 2 Property Information

The number next to the name of the block is the maximum number of characters you can use. Please type or print legibly. You may use a computer printout if it contains all the information and conforms to the maximum number of characters.

SS#: List the Social Security # of the owner of the property. If the SS# you have on record does not belong to the first party on the account, then put an asterisk next to the co-owner's name.

Last Name or Company: Enter the last name of the owner of the property. If the owner is a company or organization then list the company or organization name.

First, MI, Suffix: Enter the first name of the owner, middle initial and any suffix.

In Care of or Address: Enter the company or name of any one that the account is addressed "in care of". If there is no "in care of", then use this line for the first line of the address.

Address: Use this line if you need a second address line

City, State, Zip, Country: Enter this information. If the country is USA leave the Country field blank.

Property Type Code: Use the code to the left of the property type from the table on the back side of UP 1. This code must be entered or the report will be rejected.

Account/check #: Enter the account number, check number or any other identifying number for the property

Last Activity Date: Enter the date the account was last used or the date of the instrument. This should be the date used to determine the dormancy period for the reporting of the account.

\$ Amount: List the amount you are remitting for this account

Number of Securities: Enter the number of shares or mutual funds you are remitting for this owner

Co-Owner: Enter the co-owner information if a joint account. If there are more than two owners, use the space below the record for additional owners

Page of , Page Total: Please complete this information on each page. Enter the Grand Total on the last page of the report.

Reciprocal States: If you are a RI company, you may file unclaimed property for any of our reciprocal states with the state of RI. If you are a company located in one of our reciprocal states you may file RI unclaimed property with that state.

Electronic Data Reporting: Rhode Island has adopted the National Standard Electronic Data format. Please notify this office if you would like a copy of the standards.

Holder Type Codes

AG-00 AGRICULTURE	MF-08 PRINTING & PUBLISHING	SV-07 HOSPITAL STATE
AG-00 CROPS	MF-09 CHEMICALS	SV-08 HOSPITAL PRIVATE
AG-02 LIVESTOCK	MF-10 PETROLEUM	SV-09 NURSING HOME
AG-03 SERVICES	MF-11 RUBBER & PLASTICS	SV-10 LEGAL SERVICES
AG-04 FORESTRY	MF-12 LEATHER PRODUCTS	SV-11 EDUCATIONAL SERVICES
AG-05 FISHING, HUNTING, TRAPPING	MF-13 STONE, CLAY, GLASS	SV-12 COLLEGE STATE
BK-00 BANKING & FINANCIAL	MF-14 PRIMARY METALS	SV-13 COLLEGE PRIVATE
BR-00 BROKERAGE FIRM	MF-15 FABRICATED METALS	SV-14 SOCIAL SERVICES
CM-00 COMMUNICATIONS	MF-16 INDUSTRIAL MACHINERY	SV-15 MANAGEMENT SERVICES
CO-00 CONSTRUCTION	MF-17 ELECTRONIC	TA-00 TRANSFER AGENT
CO-01 GENERAL CONTRACTORS	MF-18 TRANSPORTATION	TR-00 TRANSPORTATION
CO-02 HEAVY CONSTRUCTION	MF-19 INSTRUMENTS	TR-01 RAILROAD
CO-03 SPECIAL TRADES	MF-20 MISCELLANEOUS MANUFACTURING	TR-02 PASSENGER TRANSIT
CU-00 CREDIT UNIONS	MI-00 MINING	TR-03 TRUCKING & WAREHOUSING
GV-00 GOVERNMENT	MI-01 METAL	TR-04 US POSTAL SERVICE
GV-01 STATE	MI-02 COAL	TR-05 WATER TRANSPORTATION
GV-02 CITY/TOWN	MI-03 OIL & GAS	TR-06 AIR
GV-03 STATE COURTS	MI-04 NON-METALLIC MINERALS	UT-00 UTILITIES
GV-04 PROBATE COURTS	RE-00 REAL ESTATE	UT-01 PIPELINES EXCEPT NATURAL GAS
GV-05 POLICE DEPARTMENTS	RT-00 RETAIL	UT-02 TRANSPORTATION SERVICE
GV-06 PRISON	RT-01 BUILDING & GARDEN SUPPLIES	UT-03 COMMUNICATIONS
HO-00 HOLDING CORP, CONGLOMERATE	RT-02 GENERAL MERCHANDISE STORES	UT-04 ELECTRIC, GAS, SANITARY SERVICE
IH-00 INSURANCE (HEALTH)	RT-03 FOOD STORES	WS-00 WHOLESALE
IL-00 INSURANCE (LIFE)	RT-04 AUTOMOTIVE & SERVICE STATIONS	WS-01 WHOLESALE DURABLE
IO-00 INSURANCE (OTHER)	RT-05 APPAREL & ACCESSORY	WS-02 WHOLESALE NON DURABLE
IV-00 INVESTMENT COMPANY	RT-06 FURNITURE	ZZ-00 OTHER
LC-00 LOAN COMPANY	RT-07 EATING & DRINKING PLACES	
MF-00 MANUFACTURING	RT-08 MISCELLANEOUS RETAIL	
MF-01 FOOD	SV-00 SERVICES	
MF-02 TOBACCO	SV-01 HOTELS & LODGING	
MF-03 TEXTILE	SV-02 PERSONAL SERVICES	
MF-04 APPAREL	SV-03 BUSINESS SERVICES	
MF-05 WOOD PRODUCTS	SV-04 REPAIR SERVICES	
MF-06 FURNITURE	SV-05 AMUSEMENT & RECREATION	
MF-07 PAPER & ALLIED PRODUCTS	SV-06 HEALTH SERVICES	

The State of Rhode Island has Exchange Agreements with the following states: Alabama, Alaska, Arizona, Arkansas, California, Colorado, Connecticut, Florida, Idaho, Illinois, Indiana, Iowa, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Minnesota, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, South Carolina, South Dakota, Tennessee, Texas, Utah, Vermont, Virginia, Washington, West Virginia, Wisconsin, Wyoming and the District of Columbia

State of Rhode Island and Providence Plantations

Treasury Department
Unclaimed Property Division
PO Box 1435
Providence, RI 02901-1435

REPORT OF UNCLAIMED PROPERTY

Report Year 20
HOLDER INFORMATION

Form for Holder Information with fields for Name of Holder, Federal Tax ID #, SIC Code, Street Address, City, St, Zip, Holder Type Code, State of Incorporation, and Date of Incorporation.

Form for Previous Holders with instructions and fields for Previous Holder, Date of Change, Street Address, City, St, and Zip.

Form for Contact Person with fields for Contact Person, Telephone, Fax, Street Address, City, St, and Zip.

Notary section including State of, County of, a sworn statement, Signature, Title, and Commission Expires fields.

NOTE The verification, if made by a partnership, shall be executed by a partner; if made by an unincorporated association or private corporation, by an officer; and if made by a public corporation, by its chief fiscal officer.

Treasury Use only

Treasury Use only section with fields for Report compliance, Holder added/updated, Owner records added, Verification/Lock, Rpt Total, Non-Agg Tot, Agg Total, Received Date, Voucher#, Vo. Date, Stock Rec., Cert #, and Shares #.

UNCLAIMED PROPERTY
NATIONAL STANDARD PROPERTY CODES

PROPERTY CODES		YR	#ACCTS	CASH	#CERTFS	PROPERTY CODES		YR	#ACCTS	CASH	#CERTFS
ACCOUNT BALANCES DUE						SAFE DEPOSIT BOXES & SAFEKEEPING					
AC01	CHECKING ACCOUNTS		3			SD01	SD BOX CONTENTS		3		
AC02	SAVINGS ACCOUNTS		3			SD02	OTHER SAFEKEEPING		3		
AC03	MATURED CD OR SAV CERT		6			SD03	OTHER TANGIBLE PROPERTY		3		
AC04	CHRISTMAS CLUB FUNDS		3			COURT DEPOSITS					
AC05	MONEY ON DEP TO SECURE FUND		3			CT01	ESCROW FUNDS		1		
AC06	SECURITY DEPOSIT		1			CT02	CONDEMNATION AWARDS		1		
AC07	UNIDENTIFIED DEPOSITS		3			CT03	MISSING HEIRS' FUNDS		1		
AC08	SUSPENSE ACCOUNTS		3			CT04	SUSPENSE ACCOUNTS		1		
AC09	AGGREGATE ACCT BAL		3			CT05	OTHER COURT DEPOSITS		1		
UNCASHED CHECKS						CT99	AGGREGATE COURT DEPOSITS		1		
CK01	CASHIER'S CHECKS		3			INSURANCE					
CK02	CERTIFIED CHECKS		3			IN01	INDIVIDUAL POLICY BENEFITS OR CLAIM		3		
CK03	REGISTERED CHECKS		3			IN02	GROUP POLICY BENEFITS OR CLAIM		3		
CK04	TREASURER'S CHECKS		3			IN03	PROCEEDS DUE BENEFICIARIES		3		
CK05	DRAFTS		3			IN04	PROCEEDS FROM MATURED POLICIES		3		
CK06	WARRANTS		3			IN05	PREMIUM REFUNDS		3		
CK07	MONEY ORDERS		5			IN06	UNIDENTIFIED REMITTANCES		3		
CK08	TRAVELER'S CHECKS		15			IN07	OTHER AMOUNTS DUE UNDER POLICY TERMS		3		
CK09	FOREIGN EXCHANGE CHECKS		3			IN08	AGENT CREDIT BALANCES		3		
CK10	EXPENSE CHECKS		3			IN99	AGGREGATE INSURANCE PROPERTY		3		
CK11	PENSION CHECKS		3			SECURITIES					
CK12	CREDIT CHECKS OR MEMO		3			SC01	DIVIDENDS		3		
CK13	VENDOR CHECKS		3			SC02	INTEREST (BOND COUPONS)		3		
CK14	CHECKS WRITTEN OFF TO INCOME		3			SC03	PRINCIPAL PAYMENTS		3		
CK15	OTHER OUTSTANDING OFFICIAL CKS		3			SC04	EQUITY PAYMENTS		3		
CK18	CD INTEREST CHECKS		3			SC05	PROFITS		3		
CK99	AGGREGATE UNCASHED CHECKS		3			SC06	FUNDS PAID TO PURCHASE SHARES		3		
MINERAL PROCEEDS & MINERAL INTEREST						SC07	FUNDS FOR STOCKS & BONDS		3		
MI01	NET REVENUE INTEREST		3			SC08	SHARES OF STOCK (RPO)		5		
MI02	ROYALTIES		3			SC09	CASH FOR FRACTIONAL SHARES		3		
MI03	OVERRIDING ROYALTIES		3			SC10	UNEXCHANGED STOCK OF SUCCESSOR		5		
MI04	PRODUCTION PAYMENTS		3			SC11	OTHER CERT OF OWNERSHIP		5		
MI05	WORKING INTEREST		3			SC12	UNDERLYING SHS OR OUTSTANDING CERT		5		
MI06	BONUSES		3			SC13	FDS FOR LIQUID/REDEMP UNSURRENDED STK		1		
MI07	DELAY RENTALS		3			SC14	DEBENTURES		5		
MI08	SHUT-IN ROYALTIES		3			SC15	US GOVERNMENT SECURITIES		5		
MI09	MINIMUM ROYALTIES		3			SC16	MUTUAL FUND SHARES		5		
MI99	AGGREGATE MINERAL INTERESTS		3			SC17	WARRANTS (RIGHTS)		5		
MISC. CHECKS & INTANGIBLE PERSONAL PROPERTY						SC18	MATURED BOND PRINCIPAL		3		
MS01	WAGES, PAYROLL, SALARY		1			SC19	DIVIDEND REINVESTMENT PLANS		5		
MS02	COMMISSIONS		1			SC20	CREDIT BALANCES		3		
MS03	WORKERS' COMPENSATION BENEFITS		3			SC99	AGGREGATE SECURITY RELATED CASH		3		
MS04	PAYMENT FOR GOODS & SERVICES		3			TRUST, INVESTMENT, AND ESCROW ACCOUNTS					
MS05	CUSTOMER OVERPAYMENTS		3			TR01	PAYING AGENT ACCOUNTS		3		
MS06	UNIDENTIFIED REMITTANCES		3			TR02	UNDELIVERED OR UNCASHED DIVIDENDS		3		
MS07	UNREFUNDED OVERCHARGES		3			TR03	FUNDS HELD IN FIDUCIARY CAPACITY		3		
MS08	ACCOUNT PAYABLE		3			TR04	ESCROW ACCOUNTS		3		
MS09	CREDIT BALANCES/ACCT REC		3			TR05	TRUST VOUCHERS		3		
MS10	DISCOUNT DUE		3			TR99	AGGREGATE TRUST PROPERTY		3		
MS11	REFUNDS DUE		3			UTILITIES					
MS12	UNREDEEMED GIFT CERTFS		NA			UT01	UTILITY DEPOSITS		1		
MS13	UNCLAIMED LOAN COLLATERAL		3			UT02	MEMBERSHIP FEES		3		
MS14	PENSION & PROFIT SHARE PLANS (IRA, KEOGH)		3			UT03	REFUNDS OR REBATES		6mo		
MS15	DISSOLUTION OR LIQUIDATION		3			UT04	CAPITAL CREDIT DISTRIBUTIONS		3		
MS16	MISC OUTSTANDING CHECKS		3			UT99	AGGREGATE UTILITY PROPERTY		3		
MS17	MISC INTANGIBLE PROPERTY		3								
MS18	SUSPENSE LIABILITIES		3			ZZZZ	PROPERTIES NOT IDENTIFIED ABOVE		3		
MS99	AGGREGATE MISC PROPERTY		3								

SS#(9)	LAST NAME(20) OR COMPANY (40)			FIRST(20)		MI(1)	SUFFIX(4)
IN CARE OF (35) OR ADDRESS				ADDRESS(35)			OFFICE USE ONLY
CITY(30)			STATE(2)	ZIP (5-4)	COUNTRY(3)	PROPERTY TYPE CODE(4)	
ACCOUNT/CHECK #(15)		LAST ACTIVITY DATE (2/2/2)		SAMOUNT (9.2)		NUMBER OF SECURITIES (9.3)	
CO-OWNER'S LAST NAME(20)				FIRST (20)		MI (1)	SUFFIX(4)
							ADV
							ENT
							AGG

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PAGE ____ OF ____ PAGE TOTAL \$ _____

IF LAST PAGE, GRAND TOTAL \$ _____