



# UNCLAIMED PROPERTY

MAGNETIC TAPE REPORTING SPECIFICATION 2007

Susan  
Combs

Texas Comptroller  
of Public Accounts



**Unclaimed Property  
Magnetic Tape Reporting  
Specifications**

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**Susan Combs  
Texas Comptroller**



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# General Information

The following specifications are general requirements for tape reporting and do not describe how to comply with Texas abandoned property laws. For information regarding statutory requirements, refer to the Unclaimed Property Reporting Instructions (Publication 96-478). For telephone assistance, contact the Holder Reporting Section at (512) 936-6246 or 1-800-531-5441, extension 6-6246.

The National Association of Unclaimed Property Administrators (NAUPA) developed this record layout. This version was approved by NAUPA on July 14, 2002. It will be effective in Texas for the November 2004 reporting cycle.

The NAUPA fields are comprehensive in nature, with some being read by all states and some being read by only one state. All NAUPA fields are included in this document, with the notation “field not read by Texas” where applicable.

## Code Structure, Density, Blocking and Labeling

- Cartridge: 3480 type cartridges, no compression
- Reels: Nine-track magnetic tape, density of 1600 or 6250 BPI
- Data Format: EBCDIC
- 625 bytes per record
- 14 records/8750 bytes per block
- IBM™ standard label
- All numeric fields must be right-justified, zero filled
- All alphanumeric fields must be left-justified, space filled
- No packed numeric fields

## External Labeling and Delivery

Each tape must be accompanied by a Holder Report and Payment Form (53-119). Each tape should have an external label that includes the holder name, return address, record length and block size.

Holder Name: \_\_\_\_\_

Return Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Record Length: \_\_\_\_\_ Block Size: \_\_\_\_\_ Tape Label: SL or NL?

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## Record Types and Descriptions

The format is based on six record types:

- **HOLDER:** Contains information about the holder responsible for the report
- **PROPERTY:** Contains information about each property and the primary owner of each property
- **PROPADD:** Contains information about additional owners, if any, of same properties
- **SECURITIES:** Contains information about securities, if any, of same properties
- **TANGIBLE:** Contains information about tangible property, if any, of same properties
- **SUMINFO:** Contains summary information about each holder report

All six record types are 625-bytes each. The first byte of each record must contain a TR-CODE that denotes the type of record, and the subsequent 624 bytes are used to store the fields for that particular record. The TR-CODE, always a number between 1 and 9, indicates the type of record as follows:

If TR-CODE = 1, then it is a HOLDER record  
= 2, then it is a PROPERTY record  
= 3, then it is a PROPADD record  
= 5, then it is a SECURITY record  
= 6, then it is a TANGIBLE record  
= 9, then it is a SUMINFO record

Record types 4, 7, and 8 are reserved for future use.

**REMEMBER:** All six record types must be 625 bytes in length. The first byte of each record will contain a TR-CODE as explained above. The remaining 624 bytes contain the various fields in the data set. All fields are a fixed length. Since all records **MUST** be 625 bytes, excess space in a field or record must contain filler (space fill if alpha field, zero fill if numeric field). This is the template upon which all records must be based.

Refer to the description & comments column in the record layout for each record type, where the specifications will state if a field is mandatory, required, optional or not required. If the field is marked "M" for "mandatory", data must be supplied or the report could be rejected. If the field is marked "R" for "required", information must be provided if known. Required information is usually required by statute or rule. If the field is marked "O" for "optional", the information is desired and will be used if supplied. If the field is marked "N" for "not required", the information will not be used by the Comptroller's office.

## Filing Multiple Reports on One Tape

Since the PROPERTY, PROPADD, SECURITIES, and SUMINFO records contain no fields linking them with a specific holder record, using a single magnetic tape for multiple holder reports requires careful handling. If multiple holder reports are put on a single tape, holders must adhere to the following instructions:

The HOLDER record for the first holder report must be the first record on the tape or cartridge and the SUM-INFO record must be the last record in that holder report. All types of records located between the HOLDER and SUMINFO records will be assumed to belong to that HOLDER record.



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The HOLDER record for the second holder report should be the first record after the SUMINFO record for the previous holder report. The Holder Report Number should be 02 if the second report is for the same holder. If the second report is for a different holder, the Holder Report Number should be 01. The same criteria will hold true for the next holder report, and so on.



# HOLDER Record

## FIELD DEFINITIONS

There must be one HOLDER record for each report. The information in the HOLDER record relates to the institution reporting the property.

NOTE: Fields 2-14 in the HOLDER record refer to the entity that is statutorily responsible for the property report. Reporting services should not enter their own name, tax ID number, etc.

### 1. TR-CODE

The field should contain “1” to indicate it is a HOLDER record.

### 2. HOLDER-TAXID

FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN) -Enter the nine-digit tax ID number assigned to your organization by the Federal Government.

### 3. HOLDER-TAXID-EXT

If your business files only one report, default to “0001.” If any other departments or branches of your organization file unclaimed property reports using the same tax ID number listed on your report, contact the state to receive a FEIN Suffix Number.

### 4. HOLDER-RPT-YEAR

Enter the four-digit year in which the property is being reported (CCYY).

### 5. HOLDER-RPT-TYPE

The field should be populated with “R” to indicate this is a report for which cash, stock and/or tangible property is being remitted. All Texas reports should be submitted with an R in this field.

### 6. HOLDER-RPT-NUMBER

If this is the first report filed for the report year, enter “01.” Increase by one for each additional report filed under the same tax identification number and extension.

### 7. HOLDER-RPT-FORMAT

This field is not read by Texas.

### 8. HOLDER-SIC-CODE

Enter your four-digit Standard Industrial Classification (SIC) code. The SIC code indicates the primary business activity of your organization.

### 9. HOLDER-INCORPORATED-STATE

Enter the two-character postal abbreviation of the state in which your organization is incorporated, chartered or licensed to do business.

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## 10. HOLDER-INCORPORATED-DATE

HOLDER-INC-DATE-CCYY (four-digit year)

HOLDER-INC-DATE-MM (two-digit month)

HOLDER-INC-DATE-DD (two-digit day)

Enter the date on which your organization was incorporated, chartered or licensed to do business (MMDDCCYY).

## 11. HOLDER-NAME

Enter the name of the company or institution for which you are reporting.

## 12. HOLDER-CITY

Enter the name of the city in which the corporate headquarters is located, or the primary place of business for the holder in field 11.

## 13. HOLDER-COUNTY

 This field is not read by Texas.

## 14. HOLDER-STATE

Enter the state in which the corporate headquarters is located, or the state of the primary place of business for the holder in field 11. Use the valid two-character postal abbreviation of the state.

## 15. HOLDER-CONTACT1

Enter the name, address, phone number and extension, if applicable, of the person responsible for the report. The person should also be able to answer questions concerning the contents of the report.

(a) NAME

Enter the contact's name in the order of first, middle, last.

(b) ADDR1

(c) ADDR2

(d) ADDR3

Enter the contact's mailing address.

(e) CITY

Enter the contact's city. Do not use commas. If the address is outside the United States, list the province, etc.

(f) STATE

Enter the contact's state. Use the two-character state abbreviation.

(g) ZIP

Enter the contact's five or nine-character zip. If you use only the first five positions, space fill the remaining 4 positions (i.e., DO NOT use zeros to fill the remaining positions).

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(h) COUNTRY

Enter the contact's country. Use the three-letter abbreviations provided in Appendix D.

(i) TELEPHONE

(1) TEL-AC

Enter the contact's area code.

(2) TEL-NBR

Enter the contact's seven-digit telephone number.

(3) TEL-EXTENSION

Enter the contact's extension. Space fill if not applicable. DO NOT zero fill.

(j) EMAIL

Enter the contact's email address.

**16. HOLDER-CONTACT2**

Enter the name, address, phone number and extension, if applicable, of the person responsible for claims. This person may be contacted by the Comptroller's office or potential owners with questions about reported owner data (e.g., requests for additional information during the claims process).

(a) NAME

Enter the contact's name in the order of first, middle, last.

(b) ADDR1

(c) ADDR2

(d) ADDR3

Enter the contact's mailing address.

(e) CITY

Enter the contact's city. Do not use commas. If the address is outside the United States, list the province, etc.

(f) STATE

Enter the contact's state. Use the two-character state abbreviation.

(g) ZIP

Enter the contact's five or nine-character zip. If you use only the first five positions, space fill the remaining 4 positions (i.e., DO NOT use zeros to fill the remaining positions).

(h) COUNTRY

Enter the contact's country. Use the three-letter abbreviations provided in Appendix D.

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(i) TELEPHONE

(1) TEL-AC

Enter the contact's area code.

(2) TEL-NBR

Enter the contact's seven-digit telephone number.

(3) TEL-EXTENSION

Enter the contact's extension if applicable.

(j) EMAIL

Enter the email address for Contact 2.

**17. HOLDER-FAX**

(1) TEL-AC

Enter the area code of contact's FAX number.

(2) TEL-NBR

Enter the contact's seven-digit FAX number.

**18. NAICS CODE** This field is not read by Texas.

**19. FILLER**

Space fill.

# PROPERTY Record

## FIELD DEFINITIONS

The PROPERTY record contains information about the property and about the owner of the Property.

### 1. TR-CODE

The field should contain “2” to indicate it is a PROPERTY record.

### 2. PROP-SEQUENCE-NUMBER

The sequence number for each record should be unique. The first property record on a report should be “000001” for the PROP-SEQUENCE-NUMBER. Increment the number by one as other property records are added.

3. **PROP-OWNER-TYPE** This field is not read by Texas.

4. **PROP-NAME-ID** This field is not read by Texas.

### 5. PROP-OWNER-NAME-LAST

Enter the owner’s last name or the company/business name.

**If the owner/owners are unknown, enter “UNKNOWN.” If the owner record is an aggregate, space fill the field. See Field 45 for more information on aggregate records.**

If the owner is a business, enter the business name exactly as adopted, except where the first word is “The”. “The” should be placed at the end or omitted (e.g., Smith Company or Smith Company The). Punctuation should never be used under any circumstances (periods, commas, apostrophes, etc.).

Company names containing initials should be entered with spaces between the initials (e.g., J J Reynolds vs. JJ Reynolds). Do not abbreviate the first word of the company name (e.g., American vs. Amer, National vs. Natl). Do not use numeric characters in the name field unless absolutely necessary. The word “first” should never be abbreviated as “1st.” Exceptions can be made when a number is part of the company logo or registered trademark such as A1 Inc.

### 6. PROP-OWNER-NAME-FIRST

Enter the owner’s first name.

### 7. PROP-OWNER-NAME-MIDDLE

Enter the owner’s middle name.

### 8. PROP-OWNER-NAME-PREFIX

Enter a name prefix if applicable, such as M/M (for Mr. or Mrs.).

### 9. PROP-OWNER-NAME-SUFFIX

Enter the owner’s name suffix if applicable (Jr, Sr, III).

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**10. PROP-OWNER-NAME-TITLE**

Enter the owner's title (MD, Capt, Rev). The field may also be used to provide an Owner Title Abbreviation Code that designates ownership, such as guardian or trustee. Refer to Appendix B.

**11. PROP-OWNER**

- (a) ADDRESS1
- (b) ADDRESS2
- (c) ADDRESS3

Enter the owner's last-known address. The last-known address must be provided even if the mail has been returned by the post office. If the owner's street address is unknown, space fill the field. DO NOT fill with "unknown" or "address unknown."

**12. PROP-OWNER-CITY**

Enter the city of the owner's last-known address. If the address is not in the United States, list the province, etc. If the owner's city is unknown, space fill. DO NOT fill with "unknown" or "city unknown."

**13. PROP-OWNER-COUNTY** This field is not read by Texas.

**14. PROP-OWNER-STATE**

Enter the standard two-character state postal abbreviation of the owner's last-known address. If the last-known address is not in the United States, space fill.

**15. PROP-OWNER-ZIP**

Enter the owner's five- or nine-character zip code. If 5 digits are used, space fill the remaining 4 digits. Do not include dashes in the data.

**16. PROP-OWNER-COUNTRY**

Enter the country of the owner's last-known address. Refer to Appendix D for a listing of country abbreviations.

**17. PROP-OWNER-TAXID**

Enter the owner's social security number (SSN) or the company's federal employer identification number (FEIN). When establishing ownership, the SSN/FEIN is very important.

**18. PROP-OWNER-TAXID-EXT** This field is not read by Texas.

**19. PROP-OWNER-DATE-OF-BIRTH**

- (a) PROP-OWNER-DOB-CCYY (four digit year)
- (b) PROP-OWNER-DOB-MM (two digit month)
- (c) PROP-OWNER-DOB-DD (two digit day)

Enter the owner's date of birth. "MM" equals the numerical month, "DD" equals the day, "CC" equals the century, and "YY" equals the year.



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## 20. PROP-STARTING-TRANSACTION-DATE

- (a) PROP-ST-TRANS-DATE-CCYY (four-digit year)
- (b) PROP-ST-TRANS-DATE-MM (two-digit month)
- (c) PROP-ST-TRANS-DATE-DD (two-digit day)

The “date of last transaction” is the date of last contact with the owner, on which the last deposit/withdrawal occurred, the date mail was returned or the date on which the property became payable, redeemable or returnable (e.g., issue date of a check).

Most holders will complete the “Date of Last Transaction” field. “CCYY” is the year, “MM” is the month, and “DD” represents the day.

If your records reflect only a month and/or year, enter the available information and use 01 (e.g., 06/01/88 or 01/01/88).

If you are reporting like property types with periodic payments such as dividends, oil and gas royalties or commission checks, total all amounts due the owner during the applicable time period and combine the payments on one property record. Enter the beginning and ending dates on which the amounts were payable.

## 21. PROP-ENDING-TRANSACTION-DATE

- (a) PROP-EN-TRANS-DATE-CCYY (four digits)
- (b) PROP-EN-TRANS-DATE-MM (two digits)
- (c) PROP-EN-TRANS-DATE-DD (two digits)

Refer to number 20. Enter the date of the last periodic payment.

## 22. PROP-PROPERTY-TYPE

The property type code distinguishes one property type from another. All codes are four characters. Refer to Appendix A for the appropriate code. The property type code on an aggregate record should always end in 99.

**23. PROP-AMOUNT-REPORTED** This field is not read by Texas.

**24. PROP-DEDUCTION-TYPE** This field is not read by Texas.

**25. PROP-DEDUCTION-AMOUNT** This field is not read by Texas.

**26. PROP-AMOUNT-ADVERTISED** This field is not read by Texas.

**27. PROP-ADDITION-TYPE** This field is not read by Texas.

**28. PROP-ADDITION-AMOUNT** This field is not read by Texas.

**29. PROP-DELETION-TYPE** This field is not read by Texas.

**30. PROP-DELETION-AMOUNT** This field is not read by Texas.

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**31. PROP-AMOUNT-REMITTED**

Enter the net amount due each owner. The amount entered is the amount to be paid to the state. DO NOT list a negative amount. Owners with negative amounts should not be included on the tape.

Example:       \$253.00 = 0000025300  
                  \$253.73 = 0000025373

**32. PROP-INTEREST-FLAG** This field is not read by Texas.

**33. PROP-INTEREST-RATE** This field is not read by Texas.

**34. PROP-STOCK-ISSUE-NAME**

Enter the name of the security issue that is due the owner. DO NOT enter more than one issue per owner record. (For example, brokers must provide one property record for each issue held in an owner's account.) If the issue name is longer than the allowed field, please use field 3 of the SECURITIES record type to include the entire security name.

**35. PROP-STOCK-CUSIP**

Enter the CUSIP number of the security issue named in number 34 (i.e., the security you will be remitting to the state).

**36. PROP-NUMBER-OF-SHARES** This field is not read by Texas.

**37. PROP-ADD-SHARES** This field is not read by Texas.

**38. PROP-DEL-SHARES** This field is not read by Texas.

**39. PROP-REM-SHARES**

Enter the number of shares remitted for the owner (i.e., total number of shares of the same issue being remitted for the owner). The number of shares is a 12-digit field with four decimal places assumed. The decimal point must not be entered.

Example:       543 = 000005430000  
                  543.73 = 000005437300  
                  1,543.7334 = 000015437334

**40. PROP-UNEXCHANGED-ISSUE-NAME**

Enter the name of the security issue still in the possession of the owner.

**41. PROP-UNEXCHANGED-CUSIP**

Enter the CUSIP number of the security issue still in the possession of the owner.

**42. PROP-UNEXCHANGED-SHARES**

Enter the number of shares still in the possession of the owner. The number of shares is a 12-digit field with four decimal places assumed. The decimal point must not be entered.

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Example:       543 = 000005430000  
              543.73 = 000005437300  
              1,543.7334 = 000015437334

#### **43. PROP-ACCT-NUMBER**

Enter the account number.

Substitute policy number if reporting insurance-related property.

Substitute owner number if reporting mineral proceeds.

Substitute certificate number if reporting a matured certificate of deposit.

Substitute cause number if reporting property relating to a court judgment.

Substitute GF number if title company reporting escrow accounts.

Substitute original policy number if reporting demutualization cash or stock.

Substitute box number if reporting safe deposit box contents.

#### **44. PROP-CHECK-NUMBER**

Enter the check number if applicable.

#### **45. PROP-DESCRIPTION**

Any additional information that will assist in identifying the owner of the property should be listed in the PROP-DESCRIPTION field. Examples are lease name, name of a cashier check purchaser, insurance policy beneficiary, etc.

This field should also be used for details on aggregate amounts. List the number of properties that were combined for the aggregate entry and the four position Property Type Code in the PROP-DESCRIPTION field (e.g., 15-AC01, 10-AC02, 45-CK01, etc.). The Property Type Code used on an aggregate record should always end in "99" (e.g., AC99 record with "15 AC01" entered in the property description field indicates 15 Checking Accounts were combined on the aggregate record. Additional aggregate records are required for each additional property type.) You may not combine different property types into one aggregate record.

#### **46. PROP-RELATIONSHIP-CODE**

This field may be substituted for Field 10, PROP-OWNER-NAME-TITLE. The PROP-RELATIONSHIP-CODE need only be completed if there is a second owner to the property, and is used to indicate the relationship of the first owner to the second. Refer to Appendix C for relationship codes.

**47. PROP-OWNER-TYPE-CODE** This field is not read by Texas.

#### **48. FILLER**

Space fill.



# PROPADD Record

## FIELD DEFINITIONS

The PROPADD record contains information about additional owners of property recorded in the PROPERTY record. If there is more than one owner of a piece of property, each additional owner of the property must be entered on a PROPADD record.

### 1. TR-CODE

The field should contain “3” to indicate it is a PROPADD record.

### 2. PADD-SEQUENCE-NUMBER

The field must contain the same PROP-SEQUENCE-NUMBER as the corresponding primary PROPERTY record.

### 3. PADD-OWNER-TYPE This field is not read by Texas.

### 4. PADD-OWNER-NAME-LAST

Enter the additional owner’s last name or the company/business name. Follow the same entry standards as required for the property record.

### 5. PADD-OWNER-NAME-FIRST

Enter the additional owner’s first name.

### 6. PADD-OWNER-NAME-MIDDLE

Enter the additional owner’s middle name.

### 7. PADD-OWNER-NAME-PREFIX

Enter the additional owner’s prefix if applicable (e.g., M/M for Mr. and Mrs.).

### 8. PADD-OWNER-NAME-SUFFIX

Enter the additional owner’s suffix if applicable (e.g., Jr, Sr, III).

### 9. PADD-OWNER-NAME-TITLE

Enter the additional owner’s title such as Dr, Pvt, Rev. The field may also be used to provide an Owner Title Abbreviation Code that designates ownership, such as guardian or trustee. Refer to Appendix B.

### 10. PADD-OWNER

- (a) ADDRESS1
- (b) ADDRESS2
- (c) ADDRESS3

Enter the additional owner’s last-known address.

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**11. PADD-OWNER-CITY**

Enter the city of the additional owner's last-known address.

**12. PADD-OWNER-COUNTY** This field is not read by Texas.

**13. PADD-OWNER-STATE**

If the additional owner's last-known address is not in the United States, space fill.

**14. PADD-OWNER-ZIP**

Enter the additional owner's five or nine-digit zip code. Do not include dashes in the field.

**15. PADD-OWNER-COUNTRY**

Enter the country of the additional owner's last-known address. Refer to Appendix D for a listing of country abbreviations.

**16. PADD-OWNER-TAXID**

Enter the additional owner's social security number (SSN) or the company's federal employer identification number (FEIN).

**17. PADD-OWNER-TAXID-EXT** This field is not read by Texas.

**18. PADD-OWNER-DATE-OF-BIRTH**

(a) PADD-OWNER-DOB-CCYY (four digit year)

(b) PADD-OWNER-DOB-MM (two digit month)

(c) PADD-OWNER-DOB-DD (two digit day)

Enter the additional owner's date of birth. "MM" equals the numerical month, "DD" equals the day, "CC" equals the century, and "YY" equals the year.

**19. PADD-RELATIONSHIP-CODE**

This field may be substituted for Field 9, PADD-OWNER-NAME-TITLE. The PADD-RELATIONSHIP-CODE is used to indicate the relationship of the additional owner to the primary owner. Refer to Appendix C for relationship codes.

**20. PADD-SEQ-NUMBER** This field is not read by Texas.

**21. PADD-OWNER-TYPE-CODE** This field is not read by Texas.

**22. PADD-NAME-ID** This field is not read by Texas.

**23. FILLER**

Space fill

# SECURITIES Record

## FIELD DEFINITIONS

This record should only be created if reporting securities-related property (i.e., property type codes begin with “SC”). One SECURITIES record should be created for each securities-related property and must follow the applicable PROPERTY record. If there is more than one owner to the property, the SECURITIES record must follow the last PROPADD record of the applicable property.

### 1. TR-CODE

The field should contain “5” to indicate it is a SECURITIES record.

### 2. PROP-SEQUENCE-NUMBER

The field must contain the same PROP-SEQUENCE-NUMBER as the corresponding PROPERTY record of the primary owner.

### 3. SECR-SUBISSUE-NAME

Use this field to enter the issue name of the remitted shares. The data should be the same as that in the PROP-STOCK-ISSUE-NAME field of the PROPERTY record. This field can be used for more detailed information on the security, such as bond issue and maturity dates, interest coupon numbers, etc.

### 4. SECR-ORIGINAL-SHRS-HELD

Enter the number of original shares held by the owner at the time of last activity. The information is used to help determine the proof required of a claimant. NOTE: If you are reporting SC10 shares, the number in this field will usually be the same as the number you provide on the PROPERTY record in the PROP-UNEXCHANGED-SHARES field.

### 5. SECR-ORIGINAL-REG-NAME

This field should be used to enter the owner name(s) exactly as shown on the certificate or registration.

### 6. SECR-DELIVERY-METHOD

Indicate the method used to deliver the reported securities to the State. The only valid values for this field are DTC, PHYSICAL, ACCOUNT, and UNT.

### 7. SECR-CERTIFICATE

Enter the original certificate number (if applicable) of the owner’s underlying, unexchanged, or RPO shares.

### 8. SECR-SYMBOL

Enter the symbol of the issue if the security is publicly traded on a stock exchange.

### 9. SECR-DEPOSIT-ACCOUNT

Enter the state account number that the remitted security is deposited to, if applicable. Texas prefers DTC delivery.

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**10. SECR-MUTL-FAMILY**

If the security is a mutual fund, enter the fund “Family” name. The specific fund name should be entered in the PROP-STOCK-ISSUE-NAME on the PROPERTY record.

**11. FILLER**

Space fill.



# TANGIBLE Record

## FIELD DEFINITIONS

This record is not read by Texas.



# SUMINFO Record

## FIELD DEFINITIONS

There must be one SUMINFO record for each holder report. It contains summary information that will be used for balancing purposes.

### 1. TR-CODE

The field should contain “9” to indicate it is a SUMINFO record.

### 2. SUMM-NBR-OF-RECORDS

Enter the total number of records reported including the HOLDER, PROPERTY, PROPADD, SECURITIES, and SUMINFO records. The number of records is a 6-digit field. The quantity recorded is always a whole number (i.e., no decimal positions).

### 3. SUMM-NBR-OF-PROPERTIES

Enter the total number of PROPERTY records. The number of property records is a 6-digit field and may only be recorded as a whole number (i.e., no decimal positions).

4. **SUMM-AMOUNT-REPORTED** This field is not read by Texas.

5. **SUMM-DEDUCTION-AMOUNT** This field is not read by Texas.

6. **SUMM-AMOUNT-ADVERTISED** This field is not read by Texas.

7. **SUMM-ADDITION-AMOUNT** This field is not read by Texas.

8. **SUMM-DELETION-AMOUNT** This field is not read by Texas.

### 9. SUMM-AMOUNT-REMITTED

Enter the sum of the amount in the PROP-AMOUNT-REMITTED field on each PROPERTY record. The amount remitted is a 12-digit field with two decimal places assumed. The decimal point must not be entered.

Example: \$1,150,125.26 = 000115012526

10. **SUMM-NBR-SHARES** This field is not read by Texas.

11. **SUMM-SHARES-ADD** This field is not read by Texas.

12. **SUMM-SHARES-DEL** This field is not read by Texas.

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**13. SUMM-SHARES-REMITTED**

Enter the sum of the amount in the PROP-REM-SHARES field on each PROPERTY record. The number of shares is a 14-digit field with four decimal places assumed. The decimal point must not be entered.

Example: 124256.5984 = 00001242565984

**14. SUMM-NEGATIVE-REPORT** This field is not read by Texas.

**15. SUMM-SOFTWARE-VERSION**

Enter the version number of the software that created the NAUPA file.

**16. SUMM-CREATOR**

Enter the company that wrote the software that created the file.

**17. SUMM-CREATOR-CONTACT**

Enter the name and contact information for the file creator.

**18. FILLER**

Space fill.

## RECORD NAME: HOLDER

Field Number	Field Name	Number of Positions	Positions		Type Class	Mandatory, Required, Optional, Not Required	Acceptable Values (V)/ Comments/Edits
			From	Thru			
1	TR-CODE	1	1	1	N	M	(V)=1
2	HOLDER-TAXID	9	2	10	N	M	
3	HOLDER-TAXID-EXT	4	11	14	N	R	See Definitions
4	HOLDER-RPT-YEAR	4	15	18	C	M	
5	HOLDER-RPT-TYPE	1	19	19	C	M	
6	HOLDER-RPT-NUMBER	2	20	21	C	M	(V)=01-99
7	HOLDER-RPT-FORMAT	1	22	22	C	N	
8	HOLDER-SIC-CODE	4	23	26	N	R	(V)=0111-9999
9	HOLDER-INCORPORATED-STATE	2	27	28	C	R	
10(a)	HOLDER-INC-DATE-CCYY	4	29	32	N	R	(V)=1000-9999
10(b)	HOLDER-INC-DATE-MM	2	33	34	N	R	(V)=01-12
10(c)	HOLDER-INC-DATE-DD	2	35	36	N	R	(V)=01-31
11	HOLDER-NAME	40	37	76	C	M	(V)=A-Z/0-9/SPACE/&
12	HOLDER-CITY	30	77	106	C	R	(V)=A-Z/0-9/SPACE
13	HOLDER-COUNTY	20	107	126	C	N	
14	HOLDER-STATE	2	127	128	C	R	
15(a)	HOLDER-CONTACT1-NAME	40	129	168	C	M	
15(b)	HOLDER-CONTACT1-ADDR1	30	169	198	C	M	
15(c)	HOLDER-CONTACT1-ADDR2	30	199	228	C	M	
15(d)	HOLDER-CONTACT1-ADDR3	30	229	258	C	M	
15(e)	HOLDER-CONTACT1-CITY	30	259	288	C	M	(V)=A-Z/0-9/SPACE
15(f)	HOLDER-CONTACT1-STATE	2	289	290	C	M	
15(g)	HOLDER-CONTACT1-ZIP	9	291	299	C	M	LEFT JUSTIFY SPACE FILL
15(h)	HOLDER-CONTACT1-COUNTRY	3	300	302	C	M	APPENDIX D
15(i)(1)	HOLDER-CONTACT1-TEL-AC	3	303	305	N	M	
15(i)(2)	HOLDER-CONTACT1-TEL-NBR	7	306	312	N	M	
15(i)(3)	HOLDER-CONTACT1-TEL-EXTENSION	4	313	316	C	O	SPACE FILL
15(j)	HOLDER-CONTACT1-EMAIL	50	317	366	C	O	SPACE FILL
16(a)	HOLDER-CONTACT2-NAME	40	367	406	C	O	
16(b)	HOLDER-CONTACT2-ADDR1	30	407	436	C	O	
16(c)	HOLDER-CONTACT2-ADDR2	30	437	466	C	O	
16(d)	HOLDER-CONTACT2-ADDR3	30	467	496	C	O	
16(e)	HOLDER-CONTACT2-CITY	30	497	526	C	O	(V)=A-Z/0-9/SPACE
16(f)	HOLDER-CONTACT2-STATE	2	527	528	C	O	
16(g)	HOLDER-CONTACT2-ZIP	9	529	537	C	O	LEFT JUSTIFY SPACE FILL
16(h)	HOLDER-CONTACT2-COUNTRY	3	538	540	C	O	APPENDIX D
16(i)(1)	HOLDER-CONTACT2-TEL-AC	3	541	543	N	O	
16(i)(2)	HOLDER-CONTACT2-TEL-NBR	7	544	550	N	O	
16(i)(3)	HOLDER-CONTACT2-TEL-EXTENSION	4	551	554	C	O	SPACE FILL
16(j)	HOLDER-CONTACT2-EMAIL	50	555	604	C	O	SPACE FILL
17(1)	HOLDER-FAX-AC	3	605	607	N	O	
17(2)	HOLDER-FAX-NBR	7	608	614	N	O	
18	HOLDER-NAICS-CODE	6	615	620	C	R	
19	FILLER	5	621	625	C	M	SPACE FILL

## RECORD NAME: PROPERTY

Field Number	Field Name	Number of Positions	Positions		Type Class	Mandatory, Required, Optional, Not Required	Acceptable Values (V)/ Comments/Edits
			From	Thru			
1	TR-CODE	1	1	1	N	M	(V)=2
2	PROP-SEQUENCE-NUMBER	6	2	7	N	M	(V)=000001-999999
3	PROP-OWNER-TYPE	1	8	8	C	N	
4	PROP-NAME-ID	1	9	9	C	N	
5	PROP-OWNER-NAME-LAST	40	10	49	C	M	(V)=A-Z/0-9/SPACE/&
6	PROP-OWNER-NAME-FIRST	30	50	79	C	R	(V)=A-Z/0-9/SPACE/&
7	PROP-OWNER-NAME-MIDDLE	10	80	89	C	R	(V)=A-Z/0-9/SPACE/&
8	PROP-OWNER-NAME-PREFIX	10	90	99	C	R	(V)=A-Z/0-9/SPACE/&
9	PROP-OWNER-NAME-SUFFIX	10	100	109	C	R	(V)=A-Z/0-9/SPACE/&
10	PROP-OWNER-NAME-TITLE	6	110	115	C	R	(V)=A-Z/0-9/SPACE/& APPENDIX B
11(a)	PROP-OWNER-ADDRESS1	30	116	145	C	R	(V)=A-Z/0-9/SPACE/&
11(b)	PROP-OWNER-ADDRESS2	30	146	175	C	R	(V)=A-Z/0-9/SPACE/&
11(c)	PROP-OWNER-ADDRESS3	30	176	205	C	R	(V)=A-Z/0-9/SPACE/&
12	PROP-OWNER-CITY	30	206	235	C	R	(V)=A-Z/0-9/SPACE
13	PROP-OWNER-COUNTY	20	236	255	C	N	
14	PROP-OWNER-STATE	2	256	257	C	R	
15	PROP-OWNER-ZIP	9	258	266	C	R	
16	PROP-OWNER-COUNTRY	3	267	269	C	R	APPENDIX D
17	PROP-OWNER-TAXID	9	270	278	N	R	
18	PROP-OWNER-TAXID-EXT	2	279	280	C	N	
19(a)	PROP-OWNER-DOB-CCYY	4	281	284	N	N	(V)=1000-9999
19(b)	PROP-OWNER-DOB-MM	2	285	286	N	N	(V)=01-12
19(c)	PROP-OWNER-DOB-DD	2	287	288	N	N	(V)=01-31
20(a)	PROP-ST-TRANS-DATE-CCYY	4	289	292	N	O	(V)=1000-9999
20(b)	PROP-ST-TRANS-DATE-MM	2	293	294	N	O	(V)=01-12
20(c)	PROP-ST-TRANS-DATE-DD	2	295	296	N	O	(V)=01-31
21(a)	PROP-EN-TRANS-DATE-CCYY	4	297	300	N	O	(V)=1000-9999
21(b)	PROP-EN-TRANS-DATE-MM	2	301	302	N	O	(V)=01-12
21(c)	PROP-EN-TRANS-DATE-DD	2	303	304	N	O	(V)=01-31
22	PROP-PROPERTY-TYPE	4	305	308	C	R	APPENDIX A
23	PROP-AMOUNT-REPORTED	10	309	318	N	N	
24	PROP-DEDUCTION-TYPE	2	319	320	C	N	
25	PROP-DEDUCTION-AMOUNT	10	321	330	N	N	
26	PROP-AMOUNT-ADVERTISED	10	331	340	N	N	
27	PROP-ADDITION-TYPE	2	341	342	C	N	
28	PROP-ADDITION-AMOUNT	10	343	352	N	N	
29	PROP-DELETION-TYPE	2	353	354	C	N	
30	PROP-DELETION-AMOUNT	10	355	364	N	N	
31	PROP-AMOUNT-REMITTED	10	365	374	N	M	IF CASH
32	PROP-INTEREST-FLAG	1	375	375	C	N	
33	PROP-INTEREST-RATE	7	376	382	N	N	
34	PROP-STOCK-ISSUE-NAME	25	383	407	C	R	IF SECURITY
35	PROP-STOCK-CUSIP	9	408	416	C	R	IF SECURITY
36	PROP-NUMBER-OF-SHARES	12	417	428	N	N	
37	PROP-ADD-SHARES	12	429	440	N	N	

## RECORD NAME: PROPERTY (continued)

Field Number	Field Name	Number of Positions	Positions		Type Class	Mandatory, Required, Optional, Not Required	Acceptable Values (V)/ Comments/Edits
			From	Thru			
38	PROP-DEL-SHARES	12	441	452	N	N	
39	PROP-REM-SHARES	12	453	464	N	R	IF SECURITY
40	PROP-UNEXCHANGED-ISSUE-NAME	25	465	489	C	R	IF UNEXCH
41	PROP-UNEXCHANGED-CUSIP	9	490	498	C	R	IF UNEXCH
42	PROP-UNEXCHANGED-SHARES	12	499	510	N	R	IF UNEXCH
43	PROP-ACCT-NUMBER	20	511	530	C	O	
44	PROP-CHECK-NUMBER	20	531	550	C	O	
45	PROP-DESCRIPTION	50	551	600	C	O	
46	PROP-RELATIONSHIP-CODE	2	601	602	C	O	
47	PROP-OWNER-TYPE-CODE	2	603	604	C	O	
48	FILLER	21	605	625	C	M	

## RECORD NAME: PROPADD

Field Number	Field Name	Number of Positions	Positions		Type Class	Mandatory, Required, Optional, Not Required	Acceptable Values (V)/ Comments/Edits
			From	Thru			
1	TR-CODE	1	1	1	N	M	(V)=3
2	PROP-SEQUENCE-NUMBER	6	2	7	N	M	(V)=PROP SEQUENCE NO
3	PADD-OWNER-TYPE	1	8	8	C	N	
4	PADD-OWNER-NAME-LAST	40	9	48	C	M	(V)=A-Z/0-9/SPACE/&
5	PADD-OWNER-NAME-FIRST	30	49	78	C	R	(V)=A-Z/0-9/SPACE/&
6	PADD-OWNER-NAME-MIDDLE	10	79	88	C	R	(V)=A-Z/0-9/SPACE/&
7	PADD-OWNER-NAME-PREFIX	10	89	98	C	R	(V)=A-Z/0-9/SPACE/&
8	PADD-OWNER-NAME-SUFFIX	10	99	108	C	R	(V)=A-Z/0-9/SPACE/&
9	PADD-OWNER-NAME-TITLE	6	109	114	C	R	(V)=A-Z/0-9/SPACE/& APPENDIX B
10(a)	PADD-OWNER-ADDRESS1	30	115	144	C	R	(V)=A-Z/0-9/SPACE/&
10(b)	PADD-OWNER-ADDRESS2	30	145	174	C	R	(V)=A-Z/0-9/SPACE/&
10(c)	PADD-OWNER-ADDRESS3	30	175	204	C	R	(V)=A-Z/0-9/SPACE/&
11	PADD-OWNER-CITY	30	205	234	C	R	(V)=A-Z/0-9/SPACE
12	PADD-OWNER-COUNTY	20	235	254	C	N	
13	PADD-OWNER-STATE	2	255	256	C	R	
14	PADD-OWNER-ZIP	9	257	265	C	R	
15	PADD-OWNER-COUNTRY	3	266	268	C	R	APPENDIX D
16	PADD-OWNER-TAXID	9	269	277	N	R	SPACE FILL
17	PADD-OWNER-TAXID-EXT	2	278	279	C	N	
18(a)	PADD-OWNER-DOB-CCYY	4	280	283	N	N	(V)=1000-9999
18(b)	PADD-OWNER-DOB-MM	2	284	285	N	N	(V)=01-12
18(c)	PADD-OWNER-DOB-DD	2	286	287	N	N	(V)=01-31
19	PADD-RELATIONSHIP-CODE	2	288	289	C	M	APPENDIX C
20	PADD-SEQ-NUMBER	3	290	292	N	N	
21	PADD-OWNER-TYPE-CODE	2	293	294	C	M	SPACE FILL
22	PADD-NAME-ID	1	295	295	C	M	SPACE FILL
23	FILLER	330	296	625	C	M	SPACE FILL

## RECORD NAME: SECURITIES

Field Number	Field Name	Number of Positions	Positions		Type Class	Mandatory, Required, Optional, Not Required	Acceptable Values (V)/ Comments/Edits
			From	Thru			
1	TR-CODE	1	1	1	N	M	(V)=5
2	PROP-SEQUENCE-NUMBER	6	2	7	N	M	(V)=PROP-SEQUENCE-NUMBER
3	SECR-SUBISSUE-NAME	150	8	157	C	O	
4	SECR-ORIGINAL-SHRS-HELD	12	158	169	N	O	
5	SECR-ORIGINAL-REG-NAME	70	170	239	C	O	Owner name exactly as registered
6	SECR-DELIVERY-METHOD	10	240	249	C	M	See Appendix for codes
7	SECR-CERTIFICATE	20	250	269	C	O	Original Certificate Number
8	SECR-SYMBOL	10	270	279	C	O	
9	SECR-DEPOSIT-ACCOUNT	20	280	299	C	O	
10	SECR-MUTL-FAMILY	50	300	349	C	O	
11	FILLER	276	350	625	C	M	Space fill

## RECORD NAME: TANGIBLE

This record is not read by Texas.

## RECORD NAME: SUMINFO

Field Number	Field Name	Number of Positions	Positions		Type Class	Mandatory, Required, Optional, Not Required	Acceptable Values (V)/ Comments/Edits
			From	Thru			
1	TR-CODE	1	1	1	N	M	(V)=9
2	SUMM-NBR-OF-RECORDS	6	2	7	N	M	
3	SUMM-NBR-OF-PROPERTIES	6	8	13	N	M	
4	SUMM-AMOUNT-REPORTED	12	14	25	N	N	
5	SUMM-DEDUCTION-AMOUNT	12	26	37	N	N	
6	SUMM-AMOUNT-ADVERTISED	12	38	49	N	N	
7	SUMM-ADDITION-AMOUNT	12	50	61	N	N	
8	SUMM-DELETION-AMOUNT	12	62	73	N	N	
9	SUMM-AMOUNT-REMITTED	12	74	85	N	M	
10	SUMM-NBR-OF-SHARES	14	86	99	N	N	
11	SUMM-ADD-SHARES	14	100	113	N	N	
12	SUMM-DEL-SHARES	14	114	127	N	N	
13	SUMM-REM-SHARES	14	128	141	N	M	
14	SUMM-NEGATIVE-REPORT	1	142	142	C	O	SPACE FILL
15	SUMM-SOFTWARE-VERSION	20	143	162	C	M	
16	SUMM-CREATOR	20	163	182	C	M	
17	SUMM-CREATOR-CONTACT	70	183	252	C	M	
18	FILLER	373	253	625	C	M	SPACE FILL



# Appendix A

## Property Type Codes

### FINANCIAL INSTITUTION ACCOUNTS Property Type (AC)

---

- AC01. Checking accounts (5)
- AC02. Savings accounts (5)
- AC03. Matured certificates of deposit (5)
- AC04. Code deleted
- AC05. Code deleted
- AC06. Code deleted
- AC07. Unidentified deposits (3)
- AC08. Code deleted
- AC99. Aggregate account balances less than \$50

### TRUST, INVESTMENTS, AND ESCROW ACCOUNTS Property Type (TR)

---

- TR01. Paying agent accounts (3)
- TR02. Undelivered dividends or uncashed dividends (3)
- TR03. Funds held in a fiduciary capacity (3)
- TR04. Escrow accounts (3)
- TR05. Trust vouchers (3)
- TR06. Pre-need funeral plans (3)
- TR99. Aggregate trust property less than \$50

### SAFE DEPOSIT BOXES AND SAFEKEEPING Property Type (SD)

---

- SD01. Contents of safe deposit boxes held by depositories (5)
- SD02. Safekeeping property(3)
- SD03. Other tangible property (3)
- SD04. Tangible unclaimed loan collateral (3)

### INSURANCE\* Property Type (IN)

---

- IN01. Individual policy benefits or claim payments (3)
- IN02. Group policy benefits or claim payments (3)
- IN03. Death benefits due beneficiaries (3)
- IN04. Proceeds from matured policies, endowments, or annuities (3)
- IN05. Premium refunds on individual policies (3)
- IN06. Unidentified remittances (3)
- IN07. Other amounts due under policy terms (3)
- IN08. Agent credit balances (3)
- IN99. Aggregate insurance property less than \$50

### CHECKS Property Type (CK)

---

- CK01. Cashier's checks (3)
- CK02. Certified checks (3)
- CK03. Registered checks (3)
- CK04. Code deleted
- CK05. Drafts (3)
- CK06. Warrants (3)
- CK07. Money orders (7)
- CK08. Traveler's checks (15)
- CK09. Foreign exchange checks (3)
- CK10. Expense checks (3)
- CK11. Pension checks (3)
- CK12. Credit checks or memos (3)
- CK13. Vendor checks (3)
- CK14. Code deleted
- CK15. Any other outstanding official checks or exchange items (3)
- CK16. CD Interest checks (3)
- CK99. Aggregate uncashed checks less than \$50

### UTILITIES Property Type (UT)

---

- UT01. Utility deposits (3)
- UT02. Membership fees (3)
- UT03. Refunds or rebates (3)
- UT04. Capital credit distributions (3)
- UT99. Aggregate utility property less than \$50

### COURTS/LEGAL Property Type (CT)

---

- CT01. Escrow funds (3)
- CT02. Condemnation awards (3)
- CT03. Missing heirs' funds (3)
- CT04. Suspense accounts (3)
- CT05. Any other types of deposits made with a court or public authority (3)
- CT99. Aggregate court deposits less than \$50

\* See Securities for Demutualization Proceeds

---

**PROCEEDS FROM MINERAL INTERESTS****Property Type (MI)**

---

- MI01. Net revenue interests (3)
- MI02. Royalties (3)
- MI03. Overriding royalties (3)
- MI04. Production payments (3)
- MI05. Working interests (3)
- MI06. Bonuses (3)
- MI07. Delay rentals (3)
- MI08. Shut-in royalties (3)
- MI09. Minimum royalties (3)

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**GENERAL BUSINESS,  
MISCELLANEOUS CHECKS, AND  
INTANGIBLE PERSONAL PROPERTY**  
**Property Type (MS)**

---

- MS01. Wages, payroll, or salary (1)
- MS02. Commissions (3)
- MS03. Worker's compensation benefits (3)
- MS04. Payment for goods and services (3)
- MS05. Customer overpayments (3)
- MS06. Unidentified remittances (3)
- MS07. Unrefunded overcharges (3)
- MS08. Accounts payable (3)
- MS09. Accounts receivable credit balances (3)
- MS10. Discounts due (3)
- MS11. Refunds/rebates due (3)
- MS12. Unredeemed gift certificates (3)
- MS13. Cash loan collateral (3)
- MS14. Sums payable under pension and profit sharing plans (IRA, KEOGH, e.g.) (3)
- MS15. Property distributable in the course of involuntary dissolution or liquidation (3)
- MS16. Any other miscellaneous outstanding checks (3)
- MS17. Code deleted
- MS18. Code deleted
- MS99. Aggregate miscellaneous property less than \$50

**SECURITIES****Property Type (SC)**

---

- SC01. Dividends (3)
- SC02. Interest payable on registered bonds (3)
- SC03. Code deleted
- SC04. Code deleted
- SC05. Code deleted
- SC06. Funds paid toward the purchase of shares or interest in a financial or business organization (3)
- SC07. Bearer bond interest and matured principal (3)
- SC08. Undelivered (RPO) shares (3)
- SC09. Cash for fractional shares (3)
- SC10. Unexchanged stock of successor corporation (3)
- SC11. Any other certificates of ownership (3)
- SC12. Underlying shares (3)
- SC13. Funds for liquidation/redemption of unsurrendered stocks or bonds (3)
- SC14. Debentures (3)
- SC15. U.S. Government securities (3)
- SC16. Book-entry mutual fund shares (3)
- SC17. Warrants or rights (3)
- SC18. Matured principal on registered bonds (3)
- SC19. Dividend reinvestment plans (3)
- SC20. Credit balances (3)
- SC85. Demutualization cash (1)
- SC86. Demutualization shares (1)
- SC99. Aggregate securities-related cash less than \$50

# Appendix B

## Owner Title Abbreviation Codes

Administrator/Administratrix .....	ADM
Custodian .....	CUST
Deceased .....	DECD
Estate .....	EST
Executor/Executrix .....	EXEC
For the Account of .....	FAO
For the Benefit of .....	FBO
Guardian .....	GDN
In Trust for .....	ITF
Joint Tenancy .....	JT
Life Estate .....	LIFEST
Minor .....	MNR
Tenants in Common .....	TIC
Trust .....	TR
Trustee .....	TTEE
Uniform Gift to Minors Act .....	UGMA
Under the Will of .....	UWO



# Appendix C

## Relationship Codes

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**CODE / DESCRIPTION**

---

AD – ADMINISTRATOR  
AF – ATTORNEY FOR\*  
AG – AGENT FOR\*  
AN – AND\*  
BF – BENEFICIARY  
OR – OR\*  
AO – AND/OR\*  
CC – CO-CONSERVATOR\*  
CF – CUSTODIAN FOR  
CN – CONSERVATOR\*  
FB – FOR BENEFIT OF  
IN – INSURED\*  
TE – AS TRUSTEE FOR  
EX – EXECUTOR or EXECUTRIX  
JT – JOINT TENANTS WITH RIGHTS OF SURVIVORSHIP  
JC – JOINT TENANTS IN COMMON  
PA – PAYEE\*  
PO – POWER OF ATTORNEY\*  
RE – REMITTER\*  
UG – UNIFORM GIFT MINORS ACT “UGMA”  
GR – GUARDIAN FOR

\* Not read by Texas.



# Appendix D

## Country Code Table

CODE	DESCRIPTION	CODE	DESCRIPTION	CODE	DESCRIPTION
Afghanistan	AFG	Colombia	COL	Grenadines ( <i>The</i> ) ( <i>See Saint Vincent &amp; the Grenadines</i> )	
Arland Islands	ALA	Comoros	COM	Guadeloupe	GLP
Albania	ALB	Congo	COG	Guam	GUM
Algeria	DZA	Cook Islands	COK	Guatemala	GTM
American Samoa	ASM	Corsica ( <i>See France</i> )		Guinea	GIN
Andorra	AND	Costa Rica	CRI	Guinea-Bissau	GNB
Anegada ( <i>See British Virgin Islands</i> )		Cote D'Ivoire	CIV	Guyana	GUY
Angola	AGO	Crete ( <i>See Greece</i> )		Haiti	HTI
Anguilla	AIA	Croatia	HRV	Herzegovina ( <i>See Bosnia &amp; Herzegovina</i> )	
Antigua and Barbuda	ATG	Cuba	CUB	Holy See	VAT
Argentina	ARG	Cyprus	CYP	Honduras	HND
Armenia	ARM	Czech Republic	CZE	Hong Kong ( <i>Special Administrative Region of China</i> )	HKG
Aruba	ABW	Democratic Peoples Republic of Korea ( <i>North</i> )	PRK	Hungary	HUN
Australia	AUS	Democratic Republic of the Congo	COD	Iceland	ISL
Austria	AUT	Denmark	DNK	India	IND
Azerbaijan	AZE	Djibouti	DJI	Indonesia	IDN
Bahamas	BHS	Dominica	DMA	Iran ( <i>Islamic Republic of</i> )	IRN
Bahrain	BHR	Dominican Republic	DOM	Iraq	IRQ
Bangladesh	BGD	East Germany ( <i>See Germany</i> )		Ireland	IRL
Barbados	BRB	East Timor ( <i>See Timor-Leste</i> )		Isle of Man ( <i>See United Kingdom</i> )	
Barbuda ( <i>See Antigua &amp; Barbuda</i> )		Ecuador	ECU	Isle of Wright ( <i>See United Kingdom</i> )	
Belarus	BLR	Egypt	EGY	Israel	ISR
Belgium	BEL	El Salvador	SLV	Italy	ITA
Belize	BLZ	Equatorial Guinea	GNQ	Jamaica	JAM
Benin	BEN	Eritrea	ERI	Jan Mayen Islands ( <i>See Svalbard &amp; Jan Mayen Islands</i> )	
Bermuda	BMU	Estonia	EST	Japan	JPN
Bhutan	BTN	Ethiopia	ETH	Jordan	JOR
Bolivia	BOL	Faeroe Islands	FRO	Jost Van Dyke ( <i>See British Virgin Islands</i> )	
Bosnia and Herzegovina	BIH	Falkland Islands ( <i>Malvinas</i> )	FLK	Kazakhstan	KAZ
Botswana	BWA	Fiji	FJI	Kenya	KEN
Brazil	BRA	Finland	FIN	Kiribati	KIR
British Virgin Islands*	VGB	France	FRA	Korea ( <i>See Democratic Peoples Republic or Republic of Korea</i> )	
British West Indies**		French Guiana	GUF	Kuwait	KWT
Brunei Darussalam	BRN	French Polynesia	PYF	Kyrgyzstan	KGZ
Bulgaria	BGR	French West Indies***		Laos ( <i>Lao Peoples Democratic Republic</i> )	LAO
Burkina Faso	BFA	Futuna Island ( <i>See Wallis &amp; Futuna Islands</i> )		Latvia	LVA
Burundi	BDI	Gabon	GAB	Lebanon	LBN
Caicos Islands ( <i>See Turks &amp; Caicos Islands</i> )		Gambia	GMB	Lesotho	LSO
Cambodia	KHM	Georgia	GEO	Liberia	LBR
Cameroon	CMR	Germany	DEU	Libya ( <i>Libyan Arab Jamahiriya</i> )	LBY
Canada	CAN	Ghana	GHA	Liechtenstein	LIE
Canary Islands ( <i>See Spain</i> )		Gibraltar	GIB	Lithuania	LTU
Cape Verde	CPV	Grand Cayman ( <i>See Cayman Islands</i> )		Luxembourg	LUX
Cayman Islands	CYM	Great Britain ( <i>See United Kingdom</i> )			
Central African Republic	CAF	Greece	GRC		
Chad	TCD	Greenland	GRL		
Channel Islands ( <i>See United Kingdom</i> )		Grenada	GRD		
Chile	CHL				
China	CHN				

CODE	DESCRIPTION	CODE	DESCRIPTION	CODE	DESCRIPTION
Macao ( <i>Special Administrative Region of China</i> )	MAC	Paraguay	PRY	Taiwan ( <i>See China</i> )	
Macedonia ( <i>The Former Yugoslav Republic of Macedonia</i> )	MKD	Peru	PER	Tajikistan	TJK
Madagascar	MDG	Philippines	PHL	Tanzania ( <i>See United Republic of Tanzania</i> )	
Malawi	MWI	Pitcairn	PCN	Thailand	THA
Malaysia	MYS	Poland	POL	Timor-Leste	TLS
Maldives	MDV	Portugal	PRT	Tobago ( <i>See Trinidad &amp; Tobago</i> )	
Mali	MLI	Principe ( <i>See Sao Tome &amp; Principe</i> )		Togo	TGO
Malta	MLT	Puerto Rico	PRI	Tokelau	TKL
Malvinas ( <i>See Falkland Islands</i> )		Qatar	QAT	Tonga	TON
Mariana Islands ( <i>See Northern Mariana Islands</i> )		Republic of Korea ( <i>South</i> )	KOR	Tortola ( <i>See British Virgin Islands</i> )	
Marshall Islands	MHL	Republic of Moldova	MDA	Trinidad and Tobago	TTO
Martinique	MTQ	Reunion	REU	Tunisia	TUN
Mauritania	MRT	Romania	ROU	Turkey	TUR
Mauritius	MUS	Russian Federation	RUS	Turkmenistan	TKM
Mayotte	MYT	Rwanda	RWA	Turks and Caicos Islands	TCA
Mexico	MEX	Saint Croix ( <i>See United States Virgin Islands</i> )		Tuvalu	TUV
Micronesia ( <i>Federated States of</i> )	FSM	Saint Helena	SHN	Uganda	UGA
Miquelon ( <i>See Saint Pierre &amp; Miquelon</i> )		Saint John ( <i>See United States Virgin Islands</i> )		Ukraine	UKR
Moldova ( <i>See Republic of Moldova</i> )		Saint Kitts and Nevis	KNA	United Arab Emirates ( <i>UAE</i> )	ARE
Monaco	MCO	Saint Lucia	LCA	United Kingdom	GBR
Mongolia	MNG	Saint Pierre and Miquelon	SPM	United Republic of Tanzania	TZA
Montserrat	MSR	Saint Thomas ( <i>See United States Virgin Islands</i> )		United States	USA
Morocco	MAR	Saint Vincent and the Grenadines	VCT	United States Virgin Islands****	VIR
Mozambique	MOZ	Samoa	WSM	Uruguay	URY
Myanmar	MMR	San Marino	SMR	Uzbekistan	UZB
Namibia	NAM	Sao Tome and Principe	STP	Vanuatu	VUT
Nauru	NRU	Sardinia ( <i>See Italy</i> )		Venezuela	VEN
Nepal	NPL	Saudi Arabia	SAU	Viet Nam	VNM
Netherlands	NLD	Scotland ( <i>See United Kingdom</i> )		Virgin Gorda ( <i>See British Virgin Islands</i> )	
Netherlands Antilles	ANT	Senegal	SEN	Wales ( <i>See United Kingdom</i> )	
Nevis ( <i>See Saint Kitts &amp; Nevis</i> )		Serbia and Montenegro	SCG	Wallis and Futuna Islands	WLF
New Caledonia	NCL	Seychelles	SYC	West Germany ( <i>See Germany</i> )	
New Zealand	NZL	Sierra Leone	SLE	Western Sahara	ESH
Nicaragua	NIC	Singapore	SGP	Yemen	YEM
Niger	NER	Slovakia	SVK	Zambia	ZMB
Nigeria	NGA	Slovenia	SVN	Zimbabwe	ZWE
Niue	NIU	Solomon Islands	SLB		
Norfolk Island	NFK	Somalia	SOM		
North Korea ( <i>See Democratic Peoples Republic</i> )		South Africa	ZAF		
Northern Ireland ( <i>See United Kingdom</i> )		South Korea ( <i>See Republic of Korea</i> )			
Northern Mariana Islands	MNP	Spain	ESP		
Norway	NOR	Sri Lanka	LKA		
Occupied Palestinian Territory	PSE	Sudan	SDN		
Oman	OMN	Suriname	SUR		
Pakistan	PAK	Svalbard and Jan Mayen Islands	SJM		
Palau	PLW	Swaziland	SWZ		
Panama	PAN	Sweden	SWE		
Papua New Guinea	PNG	Switzerland	CHE		
		Syrian Arabl Republic	SYR		

\* British Virgin Islands (VGB) include Anegada, Virgin Gorda, Jost Van Dyke & Tortola

\*\* British West Indies include Anguilla, British Virgin Islands, Caymen Islands, Montserrat, Turks/Caicos - Each island has it's own code.

\*\*\* French West Indies include St Barthelemy, Guadeloupe (GLP), Les Saintes & Martinique (MTQ).

\*\*\*\* US Virgin Islands (VIR) include St. Croix, St John & St Thomas



# Appendix E

## Securities Delivery Codes

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**CODE / DESCRIPTION**

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ACCOUNT.....	Book-Entry Registration
DTC .....	Direct Transfer to Depository Trust Corporation (or Federal Reserve)
PHYSICAL .....	Physical Delivery of Certificate to State Comptroller
UNT .....	Security Nontransferable





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