

**North Carolina Department of State Treasurer**

**REPORT OF UNCLAIMED SECURITIES  
(STOCKS, BONDS & MUTAL FUNDS)**

❖ **LIFE INSURERS ONLY**- Reporting Period January 1, 2011 through December 31, 2011. Due May 1, 2012.

❖ **ALL HOLDERS EXCEPT LIFE INSURERS** - Reporting Period July 1, 2010 through June 30, 2011. Due November 1, 2011

*(Please print or type)*

Name of Holder
Mailing Address (Number and Street or P.O. Box)
City, State, ZipCode

PLEASE COMPLETE	
Period Ending: December 31, 2011 for Life Insurers	Period Ending: June 30, 2011 for all Other Holders
Period Ending: Other	Page of
Holder #:	Federal ID#:
Telephone #: ( )	
Nature of business or product:	

**DO NOT WRITE IN THIS SPACE**  
(Office use only)

Date Certificate(s) sent to BNY Mellon Securities Trust Company, if applicable \_\_\_\_\_.

(1) OWNER(S) NAME(S) (Last) (First) (Middle)	(2) OWNER(S) ADDRESS(ES) (Street, City, State, Zip)	(3) Owner(s) Social Security Number(s)	(4) Issue Name	(5) Ticker Symbol	(6) CUSIP Number	(7) Certificate Number	(8) Number of Shares

**Total This Page**

\_\_\_\_\_  
Name - Print

\_\_\_\_\_  
Signature - Required

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

If this is the last page of report, enter total to be remitted and carry over to back side of ASD-159.

**INSTRUCTIONS FOR COMPLETING THE ASD-215**  
**PLEASE TYPE OR PRINT IN BLACK INK**

THIS FORM SHOULD BE USED FOR SUBMITTING STOCKS, BONDS OR MUTUAL FUNDS

- (1) Owner(s) Name(s) - *(last name, first name, middle name)*.
- (2) Last known address(es) of owner(s) – *(last known address per holder's records)*.
- (3) Owner(s) Social Security Number(s) - *(if known)*.
- (4) The Specific Stock Certificate Name.
- (5) Ticker Symbol.
- (6) CUSIP Number(s).
- (7) Certificate Number(s).
- (8) Number(s) of Share(s) submitted as unclaimed.

**Reporting Securities** – To ensure that securities are properly registered, follow the instructions below when reporting stocks and/or mutual funds. **Reporting forms ASD-159 and an ASD-215 or ASD-21**, which contains owner detail, must be completed and submitted to our office in addition to the information sent to Custodians. **Do not send these forms to Mellon Bank, Mac & Co., or ACS.** Reporting forms may be obtained from either our website or by contacting our office.

**Securities held for the State of North Carolina in its name and/or prior nominee names**, should be changed to Raleigh & Co. for stock, Mac & Co. for open end mutual funds, or Raleigh & Co. for closed end mutual funds.

**REGISTRATION OF STOCK**

**Stock should be sent via DTC** to our custodian, Mellon Security Trust Company (Agent Bank # 26017), DTC Participant # 0954, Reference: Raleigh & Co./Account Number AUZF0283702.

Two days prior to actual delivery, please email the Excel spreadsheet to Affiliated Computer Services – [UPCH.Custody@acs-inc.com](mailto:UPCH.Custody@acs-inc.com).

**Dividends should not be aggregated. Dividends should be listed by owner, regardless of the amount due.**

**Stock registered in Book Entry Shares/ Direct Registration Shares (DRS)** should be registered as follows:

**Raleigh & Co**  
**Tax ID # 43-2016043**  
**Affiliated Computer Services**  
**100 Hancock Street, 10<sup>th</sup> Floor**  
**Quincy, MA 02171**

When Book Entry / DRS shares are registered to Raleigh & Co, please ensure that interested party statements are sent to Affiliated Computer Services, A Xerox Company at the address above.

**Stock not sent via DTC (physical certificates)** must be registered in the name of **Raleigh & Co.**

Raleigh & Co.- Account # AUZF0283702 Tax ID # 43-2016043  
BNY Mellon Securities Trust Company  
One Wall St., 3<sup>rd</sup> Floor, Receive Window C, New York, NY 10005  
Attention: Mike Visone

**Dividend Reinvestment Plans (DRP) fractional shares** should be sold and money applied to each individual owner. Do not total fractions for all owners and sell. Once fractions are sold, whole shares should be delivered per the above instructions.

**REGISTRATION OF MUTUAL FUNDS**

**Open End Mutual Fund** accounts held for the North Carolina should be registered in the name of **Mac & Co.**

**Mac & Co. – Account # AUZF0283702**  
Mutual Fund Operations  
P.O. Box 3198  
Pittsburgh, PA 15230-3198  
Tax ID: 23-6019000

**Note: It is important that the registration reference the account number AUZF0283702. This identifies the fund as belonging to the State of North Carolina.**

**Closed End Mutual Fund** accounts held for the State of North Carolina should be registered in the name of **Raleigh & Co., c/o Affiliated Computer Services, 100 Hancock Street 10<sup>th</sup> Floor, Quincy MA 02171**

When funds are registered to Mac & Co. or Raleigh & Co., please ensure that interested party statements are sent to **Affiliated Computer Services, 100 Hancock St 10<sup>th</sup> Floor Quincy MA 02171**

Two days prior to actual transfer and/or delivery, please email the Excel spreadsheet to Affiliated Computer Services – [UPCH.Custody@acs-inc.com](mailto:UPCH.Custody@acs-inc.com). The list should contain the CUSIP #, name of the fund, share amount, account number at the fund.

**Assistance** - If you have any questions or if we may be of any assistance, please e-mail us at: [unclaimed.property@nctreasurer.com](mailto:unclaimed.property@nctreasurer.com). Visit our website, [www.nccash.com](http://www.nccash.com), to obtain reporting forms and additional information such as Guides To Unclaimed Property, copy of the unclaimed property statute, etc.