



**NOTICE TO RECIPIENT**

We are contacting you as we have received information that you may be related to the shareholder(s) named on the enclosed Letter of Transmittal. Unclaimed Property Recovery and Reporting ("UPRR") has been retained to locate shareholders or, in the event of the death of the shareholder, someone who can act on their behalf in order to transfer the property to the proper heir.

If you are authorized to act on behalf of the shareholder(s) or are entitled to the property of the decedent, you may return the enclosed Letter of Transmittal with the appropriate documentation (please see reverse side of this form to determine what documentation is applicable).

If you are not authorized to act on behalf of the shareholder(s) of record, please feel free to forward the Letter of Transmittal to the appropriate person. If you have any questions, please call 1-800-859-7145.

Thank you for your assistance in this matter.

**TRANSFER OF OWNERSHIP**  
Unclaimed Property Recovery & Reporting

To transfer the ownership of this account due to the death of one or more of the registered shareholders, the following will be necessary (please refer to the applicable scenario):

1. **If the registered holder is deceased and the estate was subject to probate:**
  - a. Include a photocopy of the decedent's death certificate AND,
  - b. Include a photocopy of the certified court appointment of the decedent's legal representative (Letters of Testamentary, Personal Representative, etc.) AND,
  - c. Letter of Transmittal signed by an authorized representative of the shareholder must be Medallion Signature Guaranteed\*
  
2. **If the registered holder is deceased and the estate was NOT required to go through probate:**
  - a. Include a photocopy of the decedent's death certificate AND,
  - b. Include a letter of instruction\*\* with a Medallion Signature Guarantee\* OR applicable court appointment (Letter of Administration, Small Estate Affidavit, Short Certificate, etc.)
  - c. Letter of Transmittal signed by an authorized representative or proper heir must be Medallion Signature Guaranteed\*
  
3. **If one owner of a Joint Tenant Account is deceased:**
  - a. The surviving owner should complete the Letter of Transmittal AND,
  - b. Include a photocopy of the decedent's death certificate

If you have any questions or require any further assistance, please feel free to call us at 1-800-859-7145, Monday through Friday, 9:00 A.M. to 5:00 P.M. EST.

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\* A Medallion Guarantee may be obtained from a bank, brokerage firm, credit union or trust company participating in the Medallion Guarantee Program

\*\* The letter of instruction should state that the estate was not subject to probate AND indicate the proper heir