

NAUPA Codes (Effective Report Year 2011)

CODE	DESCRIPTION	YEARS	CODE	DESCRIPTION	YEARS
	Accounts			Health Savings Account	
ACO1	Checking Accounts	3	HS01	Health Savings Account	3
AC02	Savings Account	3	HS02	Health Savings Account Investment	3
AC03	Matured CD & Savings Certificate	3			
AC04	Christmas Club Funds	3		Insurance	
AC05	Money on Deposit to Secure Fund	3			
AC06	Security Deposit	3	IN01	Individual Policy Benef/Claim Pmts	3
AC07	Unidentified Deposits	3	IN02	Group Policy Benefits/Claim Pmts.	3
AC08	Suspense Accounts	3	IN03	Proceeds Due Beneficiaries	3
AC99	Aggregate Acct Balances under \$50	3	IN04	Proceeds Due for Matured Policies, Endowments and/or Annuities	3
			IN05	Premium Refunds	3
	Checks		IN06	Unidentified Remittances	3
			IN07	Other Amts due Under Policy Terms	3
CK01	Cashier's Checks	3	IN08	Agent Credit Balances	3
CK02	Certified Checks	3	IN99	Aggregate Insurance under \$50	3
CK03	Registered Checks	3			
CK04	Treasurer Checks	3		Traditional IRA, SEP IRA, SARSEP IRA, and SIMPLE IRA	
CK05	Drafts	3			
CK06	State Warrants	1	IR01	Traditional IRA – Cash	3
CK07	Money Orders	7	IR02	Traditional IRA – Mutual Funds	3
CK08	Travelers Checks	15	IR03	Traditional IRA – Securities	3
CK09	Foreign Exchange Checks	3			
CK10	Expense Checks	3		Roth IRA	
CK11	Pension Checks	3			
CK12	Credit Checks/Memos	3	IR05	Roth IRA – Cash	3
CK13	Vendor Checks	3	IR06	Roth IRA – Mutual Funds	3
CK14	Checks Written off to Income	3	IR07	Roth IRA – Securities	3
CK15	Outstanding Official Checks	3			
CK16	CD Interest Checks	3		Mineral Proceeds/Interests	
CK99	Aggregate Checks under \$50	3			
			MI01	Net Revenue Interest	3
	Educational Accounts		MI02	Royalties	3
			MI03	Overriding Royalties	3
CS01	EA - Cash	3	MI04	Production Payments	3
CS02	EA - Mutual Funds	3	MI05	Working Interest	3
CS03	EA - Securities	3	MI06	Bonuses	3
			MI07	Delay Rentals	3
	Court Deposits		MI08	Shut-in Royalties	3
			MI09	Minimum Royalties	3
CT01	Escrow Funds	5	MI99	Aggregate proceeds under \$50	3
CT02	Condemnation Awards	5			
CT03	Missing Heirs Funds	5			
CT04	Suspense Account	5			
CT05	Other Court Deposits incl. Child Support	5			
CT99	Aggregate Deposits under \$50	5			

CODE	DESCRIPTION	YEARS	CODE	DESCRIPTION	YEARS
	Misc Property			Safe Deposit Box	
MS01	Wages, Payroll	1	SD01	Safe Deposit Box Contents	3
MS02	Commissions	3	SD02	Other Safekeeping	3
MS03	Workers Compensation	3	SD03	Other Tangible Property	3
MS04	Payment of Goods/Services	3			
MS05	Customer Overpayments	3		Trusts/Investments/Escrows	
MS06	Unidentified Remittances	3			
MS07	Unrefunded Overcharges	3	TR01	Paying Agents Accounts	3
MS08	Accounts Payable	3	TR02	Undelivered or Uncashed Dividends	3
MS09	Credit Balances/Accts Receivable	3	TR03	Funds Held in Fiduciary Capacity	3
MS10	Discounts Due	3	TR04	Escrow Accounts	3
MS11	Refunds Due	3	TR05	Trust Vouchers	3
MS13	Unclaimed Loan Collateral	3	TR99	Aggregate Under \$50	3
MS14	Pension/Profit Sharing	3			
MS15	Dissolution/Liquidation	1			
MS16	Misc Outstanding Checks	3		Utilities	
MS17	Misc Intangible Property	3			
MS18	Suspense Liabilities	3	UT01	Utility Deposits	1
MS99	Aggregate Misc under \$50	3	UT02	Membership Fees	1
			UT03	Refunds or Rebates	1
	Securities/Stock		UT04	Capital Credit Distribution	1
			UT99	Aggregate under \$50	1
SC01	Dividends	3			
SC02	Interest (Bond Coupons)	3			
SC03	Principal Payments	3			
SC04	Equity Payments	3			
SC05	Profits	3			
SC06	Funds Paid to Purchase Shares	3			
SC07	Funds for Stocks/Bonds	3			
SC08	Shares of Stock (Post Office Return)	3			
SC09	Cash for Fractional Shares	3			
SC10	Unexchanged Stock of Successor Corp	3			
SC11	Other Certificate of Ownership	3			
SC12	Underlying Shares/Outstanding Cert.	3			
SC13	Funds for Liquidation	3			
SC14	Debentures	3			
SC15	US Government Securities	3			
SC16	Money Markets/Mutual Funds	3			
SC17	Warrants (Rights)	3			
SC18	Matured Bond Principal	3			
SC19	Dividend Reinvestment Plan (DRP)	3			
SC20	Credit Balances	3			
SC99	Aggregate Securities under \$50	3			

Reporting Table

One year Dormancy Period: (Payroll, Wages & Utilities)		
Items that were issued or had a last activity date during:	Due Diligence to be performed no later than	Date to be Reported
07/01/2013 to 06/30/2014	9/1/2015	11/1/2015
07/01/2014 to 06/30/2015	9/1/2016	11/1/2016
07/01/2015 to 06/30/2016	9/1/2017	11/1/2017
*anything prior to 7/1/2013 should have been reported already		

Three Year Dormancy Period:		
Items that were issued or had a last activity date during:	Due Diligence to be performed no later than	Date to be Reported
07/01/2011 to 06/30/2012	9/1/2015	11/1/2015
07/01/2012 to 06/30/2013	9/1/2016	11/1/2016
07/01/2013 to 06/30/2014	9/1/2017	11/1/2017
*anything prior to 7/1/2011 should have been reported already		

Five Year Dormancy Period: (Court Deposits)		
Items that were issued or had a last activity date during:	Due Diligence to be performed no later than	Date to be Reported
07/01/2009 to 06/30/2010	9/1/2015	11/1/2015
07/01/2010 to 06/30/2011	9/1/2016	11/1/2016
07/01/2011 to 06/30/2012	9/1/2017	11/1/2017
*anything prior to 7/1/2009 should have been reported already		

Seven Year Dormancy Period: (Money Orders CK07)		
Items that were issued or had a last activity date during:	Due Diligence to be performed no later than	Date to be Reported
07/01/2007 to 06/30/2008	9/1/2015	11/1/2015
07/01/2008 to 06/30/2009	9/1/2016	11/1/2016
07/01/2009 to 06/30/2010	9/1/2017	11/1/2017
*anything prior to 7/1/2007 should have been reported already		

Fifteen Year Dormancy Period: (Travelers Checks CK08)		
Items that were issued or had a last activity date during:	Due Diligence to be performed no later than	Date to be Reported
07/01/1999 to 06/30/2000	9/1/2015	11/1/2015
07/01/2000 to 06/30/2001	9/1/2016	11/1/2016
07/01/2001 to 06/30/2002	9/1/2017	11/1/2017
*anything prior to 7/1/1999 should have been reported already		