



**New York State  
Office of the State Comptroller**

**Handbook for Reporters of Unclaimed Funds  
NYCD Diskette Installation and User Manual  
Office of Unclaimed Funds**

**December 2015**

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## Overview

To eliminate paper reporting and simplify the reporting process, the New York State Comptroller's Office of Unclaimed Funds has developed an electronic reporting system. You can obtain the application on CDROM or you can download a copy from [OSC's Unclaimed Funds Internet Site](#)

Important features are:

- The application's windows are arranged in a manner that leads you through the reporting procedure correctly.
- The application utilizes Microsoft® Access, a relational database. Using a relational database reduces data redundancy. You only need to enter account information once when reporting a multiple owner account.
- Each account usually has two kinds of information: the account information and the owner information. The Account/Owner window shows the account information on the left side of the window and the owner information on the right.
- Copy features allow you to copy an account title from the Owner Name field and to copy the address for multiple owners with the same address.
- The application links all owners to an account if the account has more than one owner.

## Requirements

The Diskette Reporting Package will run on a Windows Platform computer. You'll need about 5 megabytes free disk space to load and run its programs and files. It should run well on any computer with at least 32M of RAM and a Pentium processor.

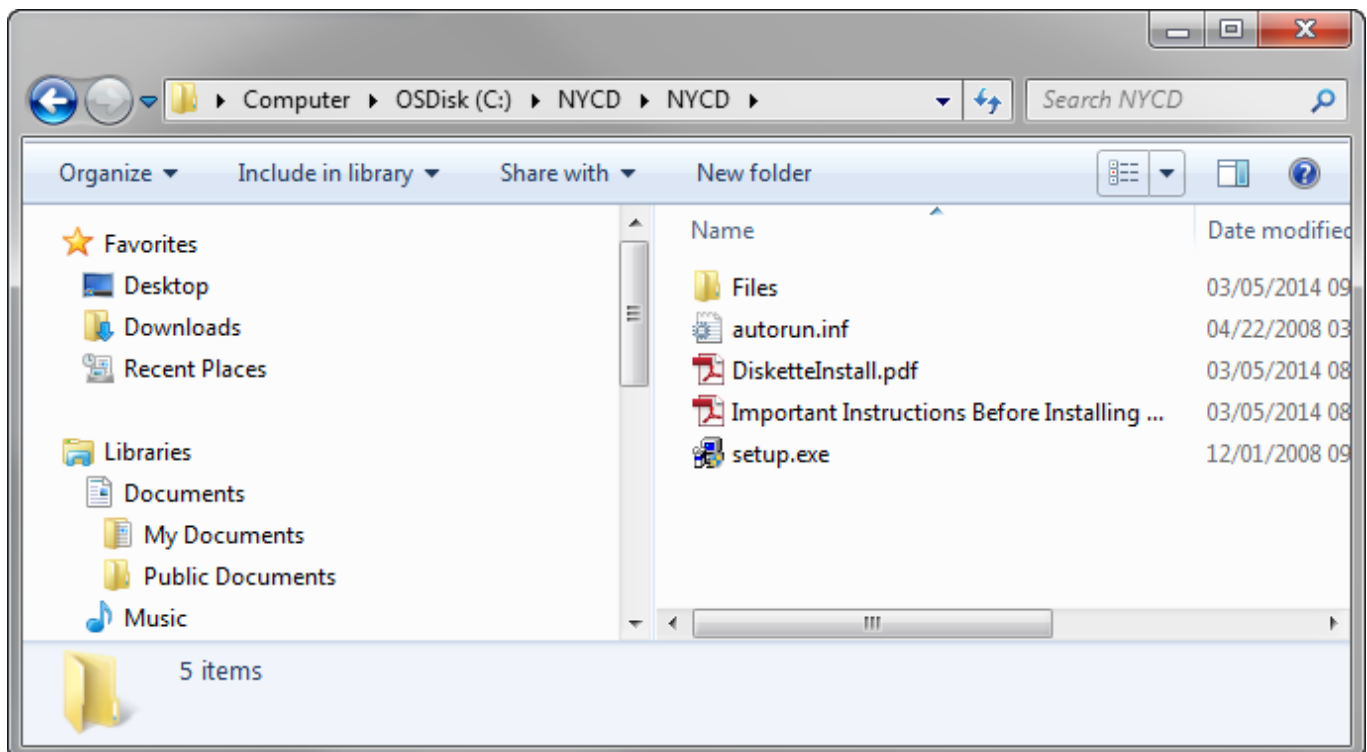
On newer computers please make sure you have **ADMINISTRATOR** rights on your own computer before downloading and installing software. Please **CONTACT** your computer department for assistance if you do not have **ADMINISTRATOR** rights.

## Installing the NYCD application.

Use these instructions to install the NYCD application:

1. Use the following table to determine your first step.

If you...	Then...
Download the NYCD.ZIP file from the Internet...	<ul style="list-style-type: none"><li>▪ Using "Windows Explorer" or " My Computer", navigate to the NYCD.ZIP file you just downloaded, then double-click on it.</li><li>▪ Using "Windows Explorer" or " My Computer", go to the Folder <b>NYCD</b></li><li>▪ <b>First read Important Instructions Before Installing New NYCD.pdf</b></li><li>▪ When previous completed Double Click <b>setup.exe</b></li></ul>
Received the application on CD-ROM...	<ul style="list-style-type: none"><li>▪ Insert the CD-ROM.</li><li>▪ Using "Windows Explorer" or " My Computer", go to the Folder <b>NYCD</b></li><li>▪ <b>First read Important Instructions Before Installing New NYCD.pdf</b></li><li>▪ When previous completed Double Click <b>setup.exe</b></li></ul>

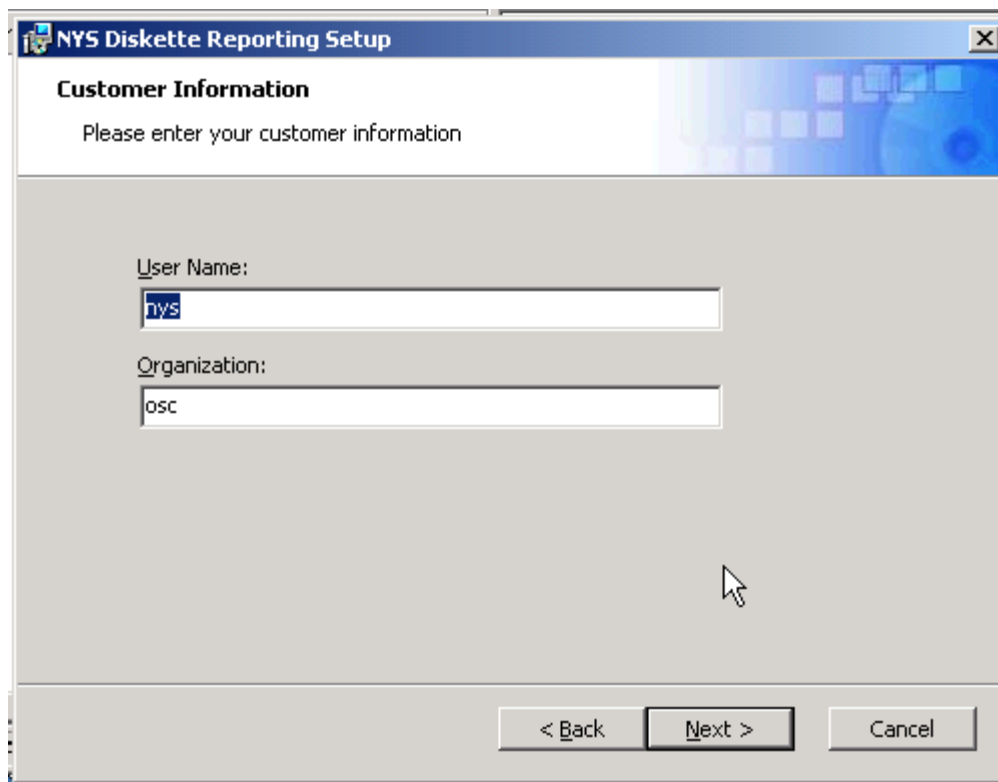


The Welcome window appears.

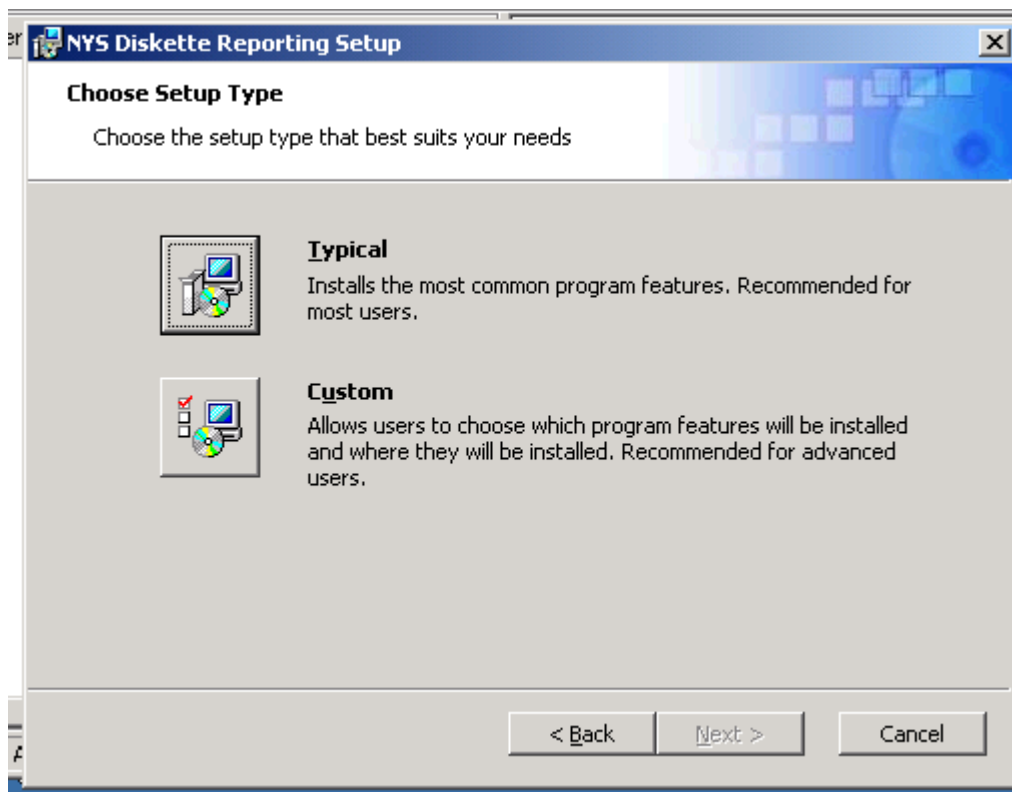


2. Click Next.

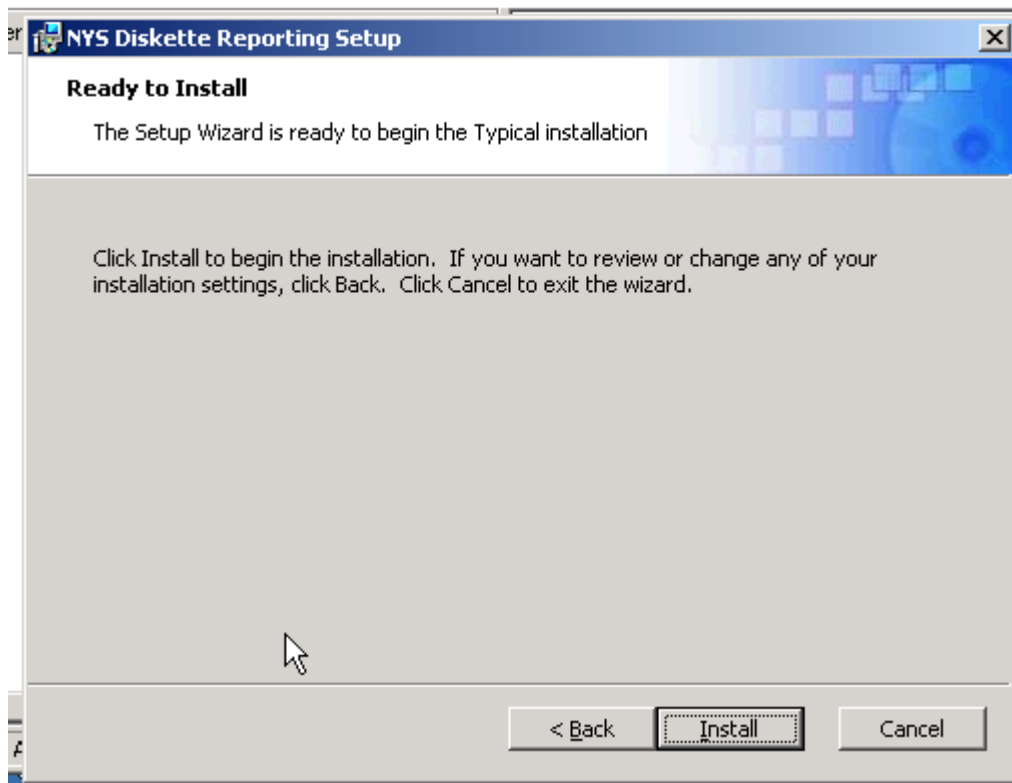
The Customer Information window appears.



3. Click Next

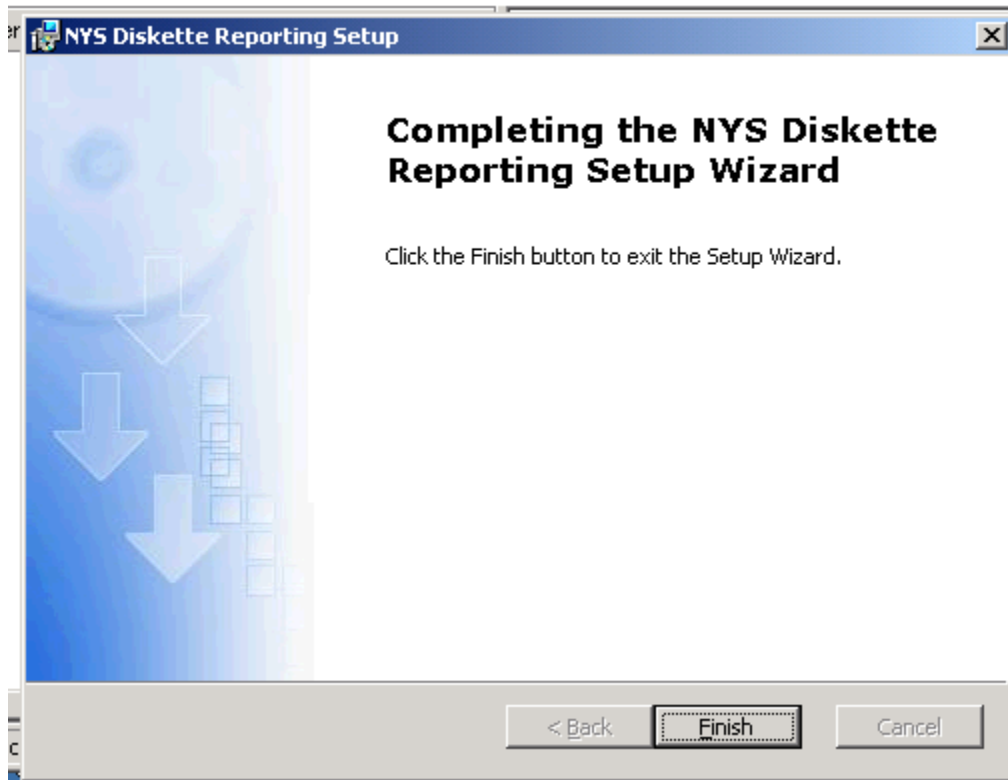


4. Click the Typical button, then Next.



5. Click Install.

The completed window appears.



6. Click Finish.
7. Test Desktop Shortcut





## Introduction

When you initiate the NYCD application, the first window to appear is the Switchboard window. It has three data entry fields:

- Enter Report FEIN
- Enter Report Year
- Enter Report Number

You can populate each by pulling down its drop-down list and selecting a list item. Use them to define which report(s) with which you want to work.

The Switchboard window also contains a number of command buttons. The table below describes their functionality.

**New York State Comptroller  
Diskette Reporting Application**

Enter Report FEIN:

Enter Report Year:

Enter Report Number:

**Clear**

<b>1</b> Enter/Edit Report	<b>5</b> Import Report
<b>2</b> Checks and Balances	<b>6</b> Create Export File
<b>3</b> Print VCL	<b>7</b> Delete Report
<b>4</b> Print Detail Accounts	<b>8</b>

**The Office of the New York State Comptroller** **10**

<b>Clicking this Command Button...</b>	<b>Does this...</b>
Enter/Edit Report (1)	Opens the Verification and Checklist (VCL) window, in which you can provide reporter, report, and contact information. The application calculates amounts.
Checks and Balances (2)	Opens the Check Balance window. The application calculates and displays account cash and share amounts.
Print VCL (3)	Prints the VCL Report for the report you specified.
Print Detail Accounts (4)	Opens the Print Preview of the Account Detail Listing. You can then print the details for the report you specified.
Import Report (5)	Opens the Import window. The application imports the file type you specify. A file can be a NAUPA, NYCD, Magtape, or Upload text file or an Excel spreadsheet.
Create Export Report (6)	The application creates a .txt file suitable for exporting.
Delete Report (7)	The application deletes the report you specify.
Exit icon (8)	Closes the window.
Clear (9)	Clears the screen.
The Office of the State Comptroller (10)	Opens the State Comptroller Website

### Important Key Functions

Key(s)	Function
TAB or RIGHT ARROW	Moves the cursor to the next field.
END	Moves the cursor to the last field in the current record, in navigation mode.
SHIFT+TAB, or LEFT ARROW	Moves the cursor to the previous field.
HOME	Moves the cursor to the first field in the current record, in navigation mode.
DOWN ARROW	Moves the cursor to the current field in the next record.
CTRL+DOWN ARROW	Moves the cursor to the current field in the last record, in navigation mode.
CTRL+END	Moves the cursor to the last field in the last record, in navigation mode.
UP ARROW	Moves the cursor to the current field in the previous record.
CTRL+UP ARROW	Moves the cursor to the current field in the first record, in navigation mode.
CTRL+HOME	Moves the cursor to the first field in the first record, in navigation mode.

## Providing Report Information

Use these instructions to provide report information.

From the Switchboard window:

1. In the Enter Report FEIN field (1): Pull down the list and select the appropriate FEIN. This is the reporting organization's nine-digit, Federal Identification Number.
2. In the Enter Report Year field (2): Pull down the list and select the appropriate year. This is the four-digit report year (YYYY).
3. In the Enter Report Number field (3): Pull down the list and select the appropriate report number. This is a two-digit number.



The image shows the 'New York State Comptroller Diskette Reporting Application' interface. At the top left is the official seal of the New York State Comptroller, featuring two figures flanking a shield with a sun and mountains, and the motto 'EXCELSIOR'. To the right of the seal, the title 'New York State Comptroller Diskette Reporting Application' is displayed in white text on a dark blue background. Below the title, there are three input fields for report information, each with a green number indicating its sequence: 'Enter Report FEIN:' (1), 'Enter Report Year:' (2), and 'Enter Report Number:' (3). Each field is a dropdown menu. To the left of these fields is a 'Clear' button. To the right is a grid of buttons for various functions: 'Enter/Edit Report', 'Import Report', 'Checks and Balances', 'Create Export File', 'Print VCL', 'Delete Report', 'Print Detail Accounts', and a button with a printer icon and a plus sign. At the bottom of the interface, the text 'The Office of the New York State Comptroller' is written in red and underlined.

**New York State Comptroller  
Diskette Reporting Application**

Enter Report FEIN: 1

Enter Report Year: 2

Enter Report Number: 3

Clear

Enter/Edit Report	Import Report
Checks and Balances	Create Export File
Print VCL	Delete Report
Print Detail Accounts	

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## Importing Reports

The application allows you to import the following file layouts:

- New diskette reporting files
- NAUPA file layout
- Import 389
- Import HDT
- Import Excel

Use these instructions to import a report.

**New York State Comptroller  
Diskette Reporting Application**

Enter Report FEIN:

Enter Report Year:

Enter Report Number:

Clear

Enter/Edit Report	Import Report
Checks and Balances	Create Export File
Print VCL	Delete Report
Print Detail Accounts	

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From the Switchboard window:

1. Click Import Report.

The Import Files Form window appears.

Please Read the complete instructions on Importing files before proceeding with this section

Import NYCD Diskette File

Import Naupa File

Import 389 Unclaimed Funds Reporting Layout (Upload)

Import HDT File Layout

Import Diskspecs Excel Spreadsheet


Import Diskette

Import Naupa

Import 389

Import HDT

Import Excel



2. Use the following table to determine your next step.

Do you want to...	Do this...
Import a diskette file?	<ul style="list-style-type: none"><li>Click Import Diskette.</li></ul>
Import a NAUPA file?	<ul style="list-style-type: none"><li>Click Import NAUPA.</li></ul>
Import a 389 file?	<ul style="list-style-type: none"><li>Click Import 389.</li></ul>
Import HDT?	<ul style="list-style-type: none"><li>Click Import HDT</li></ul>
Import Diskspecs Excel	<ul style="list-style-type: none"><li>Import Excel</li></ul>

3. Further instructions are described for each import.

Note: Contact [us](#) if you have questions or need a new import for your organization.

## Entering and Editing Report Information

Use these instructions to enter and edit report information.

From the Switchboard window:

1. In the Reporter FEIN field (1): Type your FEIN.
2. In the Report Year field (2): Type the report year (YYYY). This is the year that you are filing the Report.
3. In the Report Number field (3): Type the report number. If there is only one report type in 01.
4. Click Enter/Edit Report



The image shows the 'New York State Comptroller Diskette Reporting Application' interface. At the top left is the official seal of the New York State Comptroller, featuring two figures flanking a shield with a sun and mountains, and the motto 'EXCELSIOR'. To the right of the seal, the title 'New York State Comptroller Diskette Reporting Application' is displayed in white text on a dark blue background. Below the title, there are three input fields for report information, each with a green number indicating the step: 'Enter Report FEIN:' (1), 'Enter Report Year:' (2), and 'Enter Report Number:' (3). Each field is a white box with a dropdown arrow. To the left of these fields is a 'Clear' button. To the right of the input fields is a grid of buttons. A green arrow points from the 'Enter/Edit Report' button to the 'Enter Report FEIN:' field. The buttons in the grid are: 'Enter/Edit Report', 'Import Report', 'Checks and Balances', 'Create Export File', 'Print VCL', 'Delete Report', 'Print Detail Accounts', and a button with a printer icon and a plus sign. At the bottom of the interface, the text 'The Office of the New York State Comptroller' is written in red.

**New York State Comptroller  
Diskette Reporting Application**

Enter Report FEIN:  1

Enter Report Year:  2

Enter Report Number:  3

Clear

Enter/Edit Report	Import Report
Checks and Balances	Create Export File
Print VCL	Delete Report
Print Detail Accounts	

**The Office of the New York State Comptroller**

The VERIFICATION AND CHECKLIST FOR UNCLAIMED PROPERTY window appears.

**New York State Comptroller  
OFFICE OF UNCLAIMED FUNDS  
110 State Street  
Albany, NY 12236  
VERIFICATION AND CHECKLIST FOR UNCLAIMED  
PROPERTY  
ALL PROPERTY TYPES**

Please correct and/or fill in all information

**Reporting Organization:**

Name:

Area/Division Number:

Select Report Class

Report Year:

Report Number:

Section/Article

Report Type:

**Enter/Edit Accounts**

**Verification for Period Ending:**

Incorporation State:  Date:

Are you authorized to do business in NYS?

Federal Empl. ID No.

FTP Date TimeStamp:

**Contact Information:**

**Enter/Edit Report Contact**

**Enter/Edit Executive Contact**

Total Cash, Shares, Items and Records are  
Calculated from the Account/Property Totals.

Total Cash	\$80,487.12
Total Shares:	0.00000
Total Items:	425
Total Records:	437

4. Use the following table to complete the fields. Enter the following:

In this field...	Do this...
Reporting Organization Name	<ul style="list-style-type: none"> <li>Type the name of the reporting organization.</li> </ul>
Area Division Number	<ul style="list-style-type: none"> <li>Type the area division number. This field is optional.</li> </ul>
Select Report Class	<ul style="list-style-type: none"> <li>Pull down the list and select a class.</li> </ul>
Incorporation Date	<ul style="list-style-type: none"> <li>Type the incorporation date (MM/DD/YYYY).</li> </ul>
Are you authorized to do business in NYS?	<ul style="list-style-type: none"> <li>Pull down the list and select the appropriate code. Y is yes, and N is no.</li> </ul>

5. Click Enter/Edit Report Contact Information (14). Be sure to select the appropriate Contact type. (Report Contact or Executive Contact)



The Contact window for the selected type will appear.

Select Contact:

**Cancel Contact Copy**

Title	Prefix	First Name	Middle Name/Init	Last Name	Suffix
<input type="text"/>	<input type="text"/>	Test	<input type="text"/>	Sample	<input type="text"/>

Send mail to Attention of

Address

City

State

Zipcode


Province

Country

Phone Number

Fax Number

E-mail Address



6. If you want to skip this screen, enter NY for State and click on the Exit button.

## Entering and Editing Report Contact Information

Select Contact: 1

**Cancel Contact Copy** 2

Title 3	Prefix 4	First Name 5	Middle Name/Init 6	Last Name 7	Suffix 8
<input type="text"/>	<input type="text"/>	Test	<input type="text"/>	Sample	<input type="text"/>

Send mail to Attention of  9

Address 10

City 11 State 12 Zipcode 13

Somewhere  NY


Province  14 Country  15

Phone Number  16

Fax Number

E-mail Address  18

1234@email.com

 19

### Editing Existing Report Contact Information

Use these instructions to edit existing report contact information:

From the Report Contact window:

1. In the Select Contact field (1): Pull down the list and select an existing contact. The system displays the record.

Note: If you make an incorrect selection, you can click Cancel Contact Copy (2) to cancel the transaction.

2. Edit the appropriate data entry fields.
3. When you have finished editing contact information: Click the Exit icon.

## Entering New Report Contact Information

Use these instructions to enter new report contact information.

4. Enter the Report Contact screen, by selecting the appropriate Contact type Button:



5. In the Title field (4): Type the contact's title.
6. Use the following table to provide contact name information.

In this field...	Do this...
Prefix (4):	<ul style="list-style-type: none"><li>• Pull down the list and select the appropriate prefix.</li></ul>
First Name (5):	<ul style="list-style-type: none"><li>• Type the contact's first name.</li></ul>
Middle Init/Name (6):	<ul style="list-style-type: none"><li>• Type the contact's middle initial.</li></ul>
Last Name (7):	<ul style="list-style-type: none"><li>• Type the contact's last name.</li></ul>
Suffix (8):	<ul style="list-style-type: none"><li>• Pull down the list and select the appropriate suffix.</li></ul>

7. In the Send to Attention of field (9): Type the name of the person you want to receive mail.
8. Use the following table to provide address information.

In this field...	Do this...
Address (10):	<ul style="list-style-type: none"><li>• Type the contact's street address.</li></ul>
City (11):	<ul style="list-style-type: none"><li>• Type the contact's city.</li></ul>
State (12):	<ul style="list-style-type: none"><li>• Pull down the list and select the appropriate state code.</li></ul>

In this field...	Do this...
Zip (13):	<ul style="list-style-type: none"> <li>Enter a five-digit zip code. You may also include a four-digit supplementary zip code.</li> </ul>

9. Use the following table to provide additional address information

If the contact's address is in...	Then...
The United States	<ul style="list-style-type: none"> <li>Leave the Province and Country fields blank.</li> </ul>
A country other than the United States	<p>In the Province field (14):</p> <ul style="list-style-type: none"> <li>Type the name of the contact's province.</li> </ul> <p>In the Country field (15):</p> <ul style="list-style-type: none"> <li>Type the name of the contact's country.</li> </ul>

10. In the Phone Number field (16): Type the contact's telephone number.

11. In the Fax Number field (17): Type the contact's Fax number.

12. In the E-mail Address field (18): Type the contact's e-mail address.

13. When you have finished providing contact information: Click the Exit icon (19). This will save the record and open the VCL window.

14. On the VCL Screen, click Enter/Edit Accounts (15)

New York State Comptroller  
OFFICE OF UNCLAIMED FUNDS  
110 State Street  
Albany, NY 12236  
VERIFICATION AND CHECKLIST FOR UNCLAIMED  
PROPERTY  
ALL PROPERTY TYPES  
Please correct and/or fill in all information

<b>Reporting Organization:</b>		<b>Verification for Period Ending:</b> 06/30/2015 <b>8</b>	
Name: CREDIT UNION BANK <b>1</b>	Incorporation State: 9 DE <b>9</b>	Date: 05/01/1989 <b>10</b>	
Area/Division Number: <b>2</b>	Are you authorized to do business in NYS? <b>11</b>		
<b>Select Report Class</b>	Federal Empl. ID No. 12345678 <b>12</b>	FTP Date TimeStamp: <b>13</b>	
01 <b>3</b>			
<b>Report Year:</b> 2015 <b>4</b>	<b>Contact Information:</b>		
<b>Report Number:</b> 01 <b>5</b>	<b>Enter/Edit Report Contact</b> <b>14</b>		
<b>Section/Article</b>	<b>Enter/Edit Executive Contact</b>		
III <b>6</b>			
<b>Report Type:</b> F <b>7</b>			
<b>Enter/Edit Accounts</b> <b>15</b>	<b>16</b>		

**Total Cash, Shares, Items and Records are Calculated from the Account/Property Totals.**

Total Cash	\$79,095.68
Total Shares:	0.00000
Total Items:	16024
Total Records:	16024

15. The Account/Owner window appears.

### Entering and Editing Account, Property, and Owner Information

Enter/Edit Account, Property Information		Owner Information	
Sequence Number	<input type="text" value="1"/>	Owner Sequence	<input type="text" value="1"/>
Reporters Account Number	<input type="text" value="000000000000000000"/>	SSN/TIN	<input type="text" value=""/>
Dormancy Date	<input type="text" value="06/30/2009"/>	Company Name	<input type="text" value=""/> OR
Property Type	<input type="text" value="SE"/>	Prefix	<input type="text" value=""/>
Initial Amount	<input type="text" value="\$0.34"/>	First Name	<input type="text" value=""/>
Escheated Amount	<input type="text" value="\$0.34"/>	Middle Init/Name	<input type="text" value=""/>
Security Description	<input type="text" value="REFUNDS DUE AMOUNTS DUE FOR UNDELIVERED GOODS AND"/>	Last Name	<input type="text" value=""/>
Cusip	<input type="text" value=""/>	Suffix	<input type="text" value=""/>
Method of Transfer	<input type="text" value=""/>	Account Title	<input type="text" value=""/>
Escheated Shares	<input type="text" value="0.00000"/>	Address	<input type="text" value=""/>
Removal Indicator	<input type="text" value=""/>	City	<input type="text" value=""/>
Previous Account/Owner	<input type="text" value=""/>	State	<input type="text" value=""/>
Next Account/Owner	<input type="text" value=""/>	Zipcode	<input type="text" value=""/>
Add Account	<input type="text" value=""/>	Province	<input type="text" value=""/>
Find Record	<input type="text" value=""/>	Country	<input type="text" value=""/>
Delete Record	<input type="text" value=""/>	Foreign Zipcode	<input type="text" value=""/>
Last Record	<input type="text" value=""/>	Deceased Owner	<input type="text" value=""/>
Add Additional Owner to this Account	<input type="text" value=""/>	Owner DOB	<input type="text" value=""/>
Add Additional Owner and Copy Address	<input type="text" value=""/>		

### Entering and Editing Account and Property Information

Use these instructions to enter and edit account and property information.

Note that the system automatically enters a number in the Sequence Number field (1).

When you have completed entering all your data Exit (37) the Account/Property/Owner Screen.

#### Account/Owner window:

1. In the Reporters Account Number field (2): Type the identifying data by which the reporting organization refers to the property (Security Certificate Number, Customer Account Number, Insurance Policy Number, Check Number).

2. In the Dormancy Date field (3): Type the date (MM/DD/YYYY) by which you have determined that the account is dormant. This may be the date of issuance, date of exchange, or redemption or LAST date of customer contact.
3. In the Property Type field (4): Pull down the list and select a property type.
4. In the Initial Amount field (5) type the amount shown on the books as of the abandonment date.
5. In the Escheated Amount Field (6) type the amount you are transferring to New York State. This amount may differ from the initial amount due to the addition of interest or the deduction of allowable fees.
6. In the Security Description field (7) type the standard description of the issue, including type of stock, as used by the financial community
7. In the CUSIP field (8) type the nine-digit number CUSIP assigned to the issue being reported, as listed in Standard & Poor's CUSIP Directory.
8. In the Method of Transfer field (9) pull down the list and select the appropriate code. Use the code that reflects the method by which the security was transferred:

<b>P</b>	Physical certificate
<b>D</b>	DTC transfer
<b>A</b>	Account (book entry)
<b>T</b>	Sent for registration transfer, to be delivered at a later date

9. In the Escheated Shares field (10) enter number of shares or denomination being transferred to New York State. For equity issues, enter number of shares; for debt issues, enter dollar equivalent.
10. In the Removal Indicator field (11) pull down the list and select the appropriate code. If you have paid the owner, enter "P" in "Owner Claimed" box. If "Otherwise Reduced to Zero" (amount originally included in error), enter "R".

### **Entering and Editing Owner Information**

Use these instructions to enter and edit owner information.

Note that the system automatically enters a number in the Owner Sequence field (1).

11. From the Account/Owner window, in the SSN/TIN field (12): Type the appropriate number. If the owner is an individual, type the individual's social security number. If the owner is a business entity, type the entity's Employer Identification Number (EIN). If the SSN or EIN is unknown, leave blank.
12. Use the following table to provide name information.

<b>If the owner is...</b>	<b>Then...</b>
A company	<p>In the Company Name field (13):</p> <ul style="list-style-type: none"> <li>Type the corporate or entity name.</li> </ul>
An individual	<p>In the Prefix field (14):</p> <ul style="list-style-type: none"> <li>Pull down the list and select the appropriate prefix.</li> </ul> <p>In the First Name field (15):</p> <ul style="list-style-type: none"> <li>Type the owner's first name.</li> </ul> <p>In the Middle Init/Name field (16):</p> <ul style="list-style-type: none"> <li>Type the owner's middle initial.</li> </ul> <p>In the Last Name field (17):</p> <ul style="list-style-type: none"> <li>Type the owner's last name.</li> </ul> <p>In the Suffix field (18):</p> <ul style="list-style-type: none"> <li>Pull down the list and select the appropriate suffix.</li> </ul>

13. In the Account Title field (19) type the names and relationships of all owners and beneficiaries as reflected on the reporting organization's records. When the account title and name are the same, type the owner's name in the Account Title field or click Copy Owner Name (20) and the system automatically completes the field.

14. Use the following table to provide address information.

<b>In this field...</b>	<b>Do this...</b>
Address (21):	<ul style="list-style-type: none"> <li>Type the owner's last known street address or "care of" data. If unknown, leave blank.</li> </ul>
City (22):	<ul style="list-style-type: none"> <li>Type the owner's last known city of residence.</li> </ul>
State (23):	<ul style="list-style-type: none"> <li>Pull down the list and select the appropriate state code.</li> </ul>
Zip (24):	<ul style="list-style-type: none"> <li>Enter a five-digit zip code. You may also include a four-digit supplementary zip code. If unknown, leave blank.</li> </ul>

15. Use the following table to provide additional address information

<b>If the owner's last known address is in...</b>	<b>Then...</b>
The United States	<ul style="list-style-type: none"> <li>• Leave the Province, Country, and Foreign Zip Code fields blank.</li> </ul>
A country other than the United States	<p>In the Province field (25):</p> <ul style="list-style-type: none"> <li>• Type the name of the owner's province.</li> </ul> <p>In the Country field (26):</p> <ul style="list-style-type: none"> <li>• Type the name of the owner's country.</li> </ul> <p>In the Foreign Zip Code field (27):</p> <ul style="list-style-type: none"> <li>• Type the foreign zip code.</li> </ul>

16. In the Deceased Owner field (28) use the dropdown to select Y if the owner is deceased.

17. Enter Date of Birth if available (28a) using the dropdown calendar.

### **Using Command Buttons**

The Account/Owner window also contains a number of command buttons. The table below describes their functionality.

<b>Clicking this Command Button...</b>	<b>Does this...</b>
Copy Owner Name (20)	Copies owner information to the Account Title field.
Previous Account/Owner (29)	Opens the previous Account/Owner record.
Next Account/Owner (30)	Opens the next Account/Owner record.
Add Account (31)	Opens a blank data entry window in which to enter Account/Property/Owner information.
Find Record (32)	Brings up the Find record box (will search within the field in which the cursor is placed.)
Delete Record (33)	Deletes the current record from the report.
Last Record (34)	Opens the last record in the report.



Clicking this Command Button...	Does this...
Add Additional Owner to this Account (35)	Creates a blank data entry window in which to enter multiple owners to the current account.
Add Additional Owner and Copy Address (36)	Creates a blank owner data entry window in which to enter multiple owners to the current account and copy the address information.
Exit icon (37)	Saves the record and opens the Verification and Checklist window.

### **Additional Notes**

You can only enter account/property information for the first owner. When you exit the application, the system automatically updates all other owner accounts associated with a multiple owner account with this information.

Once you exit the Accounts Edit screen, you will be returned to the VCL screen. If you exit the VCL screen (16) you will be returned to the Switchboard. The screen will blink three times as the program calculates the account owner property information as well as section/article and report totals.

## Using the Checks and Balances Window

From the main Switchboard, select Checks and Balances. The Checks and Balances window displays the calculations for each report you select. These calculations print on your VCL.

If you want to determine individual property type totals, click Property Type Totals, and the Totals window appears. If you want to close the Checks and Balances window, click the Exit icon.



The interface features the New York State Comptroller's seal on the left. To the right, the title "New York State Comptroller Diskette Reporting Application" is displayed. Below the seal, there are three input fields labeled "Enter Report FEIN:", "Enter Report Year:", and "Enter Report Number:", each with a dropdown arrow. A green arrow points from the "Enter Report Year:" field to the "Checks and Balances" button. To the left of these fields is a "Clear" button. To the right is a grid of buttons: "Enter/Edit Report", "Import Report", "Checks and Balances", "Create Export File", "Print VCL", "Delete Report", "Print Detail Accounts", and an Exit icon (a square with a plus sign and a small square). At the bottom, the text "The Office of the New York State Comptroller" is displayed in red.

**1** Enter Report FEIN:

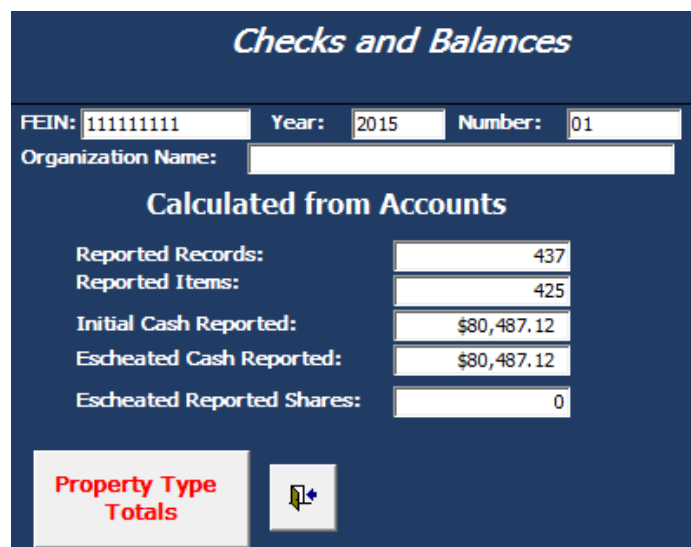
**2** Enter Report Year:

**3** Enter Report Number:

Clear

Enter/Edit Report	Import Report
Checks and Balances	Create Export File
Print VCL	Delete Report
Print Detail Accounts	

The Office of the New York State Comptroller




The "Checks and Balances" window displays the following information:

FEIN:  Year:  Number:

Organization Name:

**Calculated from Accounts**

Reported Records:	437
Reported Items:	425
Initial Cash Reported:	\$80,487.12
Escheated Cash Reported:	\$80,487.12
Escheated Reported Shares:	0

**Property Type Totals** 

## Print VCL (Verification and Checklist)



The image shows the interface of the New York State Comptroller Diskette Reporting Application. At the top left is the official seal of the State of New York Comptroller, featuring two figures holding a shield with a landscape, surrounded by the words "STATE OF NEW YORK" and "COMPTROLLER" with the motto "EXCELSIOR" at the bottom. To the right of the seal, the title "New York State Comptroller Diskette Reporting Application" is displayed in white text on a dark blue background.

Below the header, there are three input fields on the left for "Enter Report FEIN:", "Enter Report Year:", and "Enter Report Number:", each with a dropdown arrow. A "Clear" button is positioned below these fields. To the right of the input fields is a grid of buttons:

Enter/Edit Report	Import Report
Checks and Balances	Create Export File
Print VCL	Delete Report
Print Detail Accounts	

A large green arrow points to the "Print VCL" button. At the bottom of the interface, the text "The Office of the New York State Comptroller" is written in red.

- Click Print VCL
  - You must print the VCL and send it with the report.
  - Note that the signature must be notarized.
  - If you can't print your VCL, you may need to enter the [appropriate contact data](#).

New York State Comptroller  
OFFICE OF UNCLAIMED FUNDS  
110 STATE STREET  
Albany, NY 12236-0001  
VERIFICATION AND CHECKLIST FOR UNCLAIMED  
PROPERTY  
Please complete and correct as necessary

CSC USE ONLY

Report Reference No:

## Reporting Organization:

Verification for Period Ending:

6/30/2004

Organization Name:

XXXXXXXX

Area/Dept #:

City, State, Zip:

FED No:

111111111

Inc. State:

NY

Inc. Date:

11/1/1980

## Contact Information:

Joe

Smith

Address:

900000000000

XXXXXXXXXXXX

XXXXXXXXXXXXXXX

City, State, Zip:

XXXXXX

NY

12222

Phone:

(111) 222-3333

Fax:

(222) 333-4444

E-mail:

joesmith@smith.com

State of New York

County of

County of

Joe Smith

being duly sworn, deposes and says that he/she is the

NY

of the

XXXXXX

by which this report of abandoned property is made pursuant to

§§

of the Abandoned Property Law; and that to the best of his/her knowledge and belief, such report, consisting of computer tapes, diskette, or paper, and of Verification and Checklist, is a true and complete statement of all abandoned property held by or owing by this said organization at the year-end cut off, as of

6/30/2004

excluding such properties heretofore said date claimed to be abandoned.

Sworn to before me this

(Signature)

day of

20

(Notary Public)

TOTALS: Cash

\$0.000.00

Contributions

0

Shares

0

Items

1

Records

1

RESERVED FOR USE OF STATE COMPTROLLER

Amount Received	Date Received	Ack. Number	Tape Number
			Pages
Comments			Check Report Sequence Year
			01 2004

Property Type:

Cash

Certificate

Share

1A

DEMAND DEPOSIT ACCOUNT(S)

\$0.000.00

0

0

## Print Details



# New York State Comptroller Diskette Reporting Application

Enter Report FEIN:

Enter Report Year:

Enter Report Number:

Clear

Enter/Edit Report

Checks and Balances

Print VCL

**Print Detail Accounts**



Import Report

Create Export File

Delete Report

The Office of the New York State Comptroller

- Click **Print Detail Accounts** button to preview your Account Detail Listing.

NYSD

File Edit Window Help

### Account

#### Account Detail Listing

Reporter FEIN: 08185368 Report Year: 2001 Report Number: 01

Account Number: 00 Owner Sequence: 1 Multi\_Rec\_Ind: Deceased Owner Flag:

Reporter's Account Number: Account Title: COUNTY CLERK

Domestic Date: Reclaimed Indicator: Property Type: 111

Cusip: Method of Transfer: Security Description:

Initial Amount: \$25.00 Escheated Amount: \$25.00 Escheated Shares: 0.00000

SSN / TIN: 00-00-0000 Company Name:

Prefix: First Name: Middle Initial Name: Last Name: Suffix:

Address: QUEENS COUNTY 88-11 SUTPHIN BLV

City: JAMAICA State: NY Zipcode:

Province: Foreign Zipcode: Country:

Reporter FEIN: 08185368 Report Year: 2001 Report Number: 01

Account Number: 00 Owner Sequence: 1 Multi\_Rec\_Ind: Deceased Owner Flag:

Reporter's Account Number: Account Title: COUNTY CLERK

Domestic Date: Reclaimed Indicator: Property Type: 111

Cusip: Method of Transfer: Security Description:

Initial Amount: \$25.00 Escheated Amount: \$25.00 Escheated Shares: 0.00000

Page: 1 of 1

## Creating Export Files

You can export a single report or several reports to a text file, which you can then send to the Comptroller's office along with the VCL and any remittances.

Use these instructions to create an export file.

Before you begin...

Prior to creating an export file, you must enter report, contact, account, and owner information.

From the Switchboard window:

1. Use the following table to determine your next step.



The image shows the 'New York State Comptroller Diskette Reporting Application' interface. It features the New York State Comptroller's seal on the left. The main area contains three input fields for 'Enter Report FEIN:', 'Enter Report Year:', and 'Enter Report Number:', each with a dropdown arrow. A 'Clear' button is located below these fields. To the right of the input fields is a grid of buttons: 'Enter/Edit Report', 'Import Report', 'Checks and Balances', 'Create Export File', 'Print VCL', 'Delete Report', 'Print Detail Accounts', and a button with a floppy disk icon and a plus sign. The text 'The Office of the New York State Comptroller' is at the bottom.

Field	Value
Enter Report FEIN:	
Enter Report Year:	
Enter Report Number:	

Buttons:

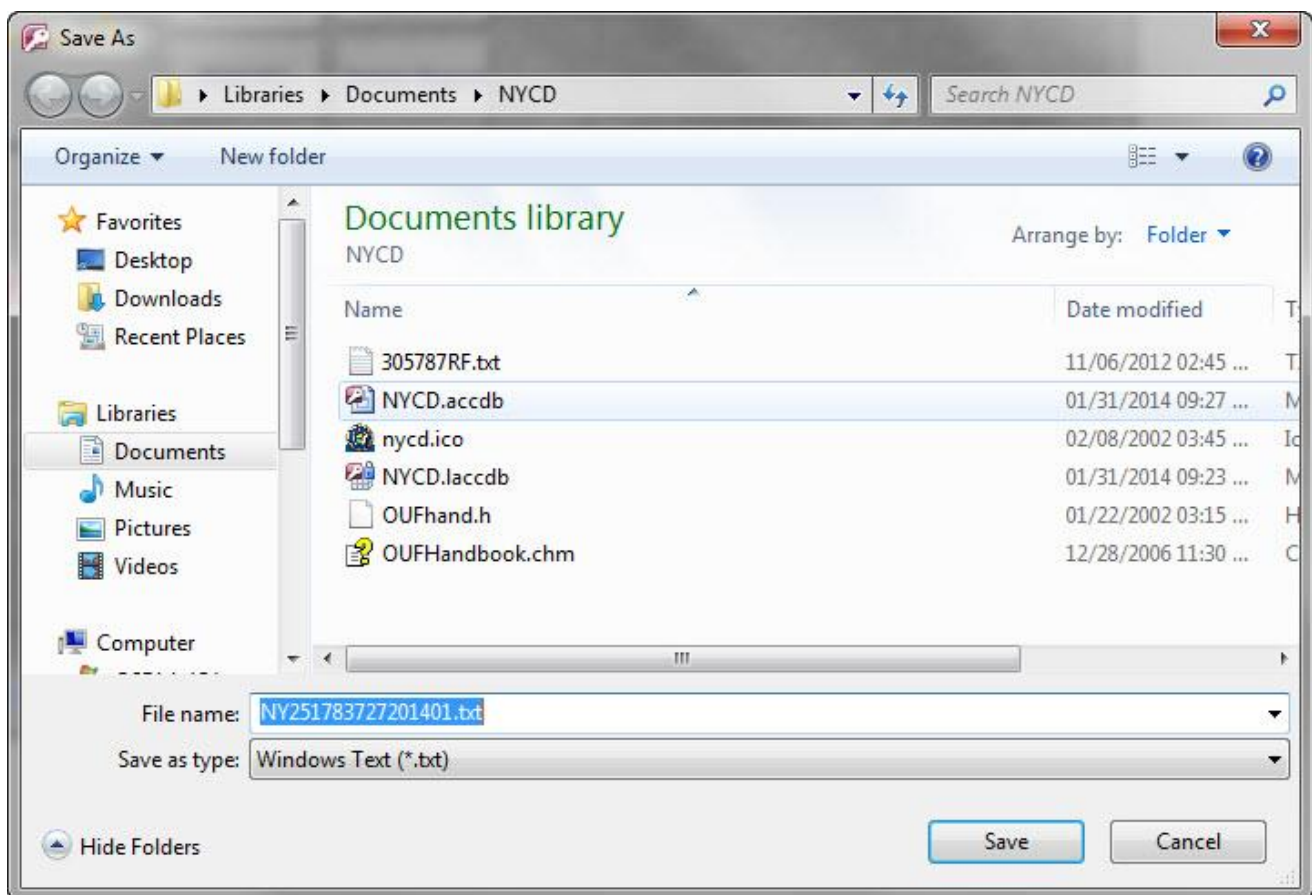
- Enter/Edit Report
- Import Report
- Checks and Balances
- Create Export File
- Print VCL
- Delete Report
- Print Detail Accounts
- Floppy Disk +

[The Office of the New York State Comptroller](#)

Do you want to create an export file for...	Then...
A single report?	<ul style="list-style-type: none"> <li>• In the Reporter FEIN field (1): Type your FEIN.</li> <li>• In the Report Year field (2): Type the report year (YYYY).</li> <li>• In the Report Number field (3): Type the report number.</li> </ul>
Multiple reports within the same reporting year?	<ul style="list-style-type: none"> <li>• In the Reporter FEIN field (1): Type your FEIN.</li> <li>• In the Report Year field (2): Type the report year (YYYY).</li> </ul>
Multiple reports and multiple years?	<ul style="list-style-type: none"> <li>• In the Reporter FEIN field (1): Type your FEIN.</li> </ul>
Multiple FEINs and/or multiple reports for a single reporting year?	<ul style="list-style-type: none"> <li>• In the Report Year field (2): Type the report year (YYYY).</li> </ul>

## 2. Click Create Export File

- The Save As screen appears.
- You can save to any folder on your pc or network drive
- The file name is created for you and there is no need to change this.
- If you do change the filename be sure to add .TXT to the end of the file name you enter otherwise an error will occur.
- After you click save the program will automatically create the file where you save it and return to the Switchboard screen.





## Deleting Reports

**New York State Comptroller  
Diskette Reporting Application**

Enter Report FEIN:  1

Enter Report Year:  2

Enter Report Number:  3

Clear

Enter/Edit Report    Import Report

Checks and Balances    Create Export File

Print VCL    Delete Report

Print Detail Accounts   

[The Office of the New York State Comptroller](#)

Use these instructions to delete reports.

From the Switchboard window:

1. Use the following table to determine your next step.

Do you want to delete...	Then...
A single report?	<ul style="list-style-type: none"><li>• In the Reporter FEIN field (1): Type your FEIN.</li><li>• In the Report Year field (2): Type the report year (YYYY).</li><li>• In the Report Number field (3): Type the report number.</li></ul>
All reports?	<ul style="list-style-type: none"><li>• Click Clear.</li></ul>

2. Click Delete Report. A confirmation window appears.
3. Click OK.

Note: If you want to cancel the request, click Cancel.



## Importing Reports

The application allows you to import the following file layouts:

- New diskette reporting files
- NAUPA file layout
- Import 389
- Import HDT
- Import Excel

Use these instructions to import a report.

From the Switchboard window:

**New York State Comptroller  
Diskette Reporting Application**

Enter Report FEIN:  ▼

Enter Report Year:  ▼

Enter Report Number:  ▼

Clear

Enter/Edit Report	Import Report
Checks and Balances	Create Export File
Print VCL	Delete Report
Print Detail Accounts	

The Office of the New York State Comptroller

1. Click Import Report.

The Import Files Form window appears.

Please Read the complete instructions on Importing files before proceeding with this section

Import NYCD Diskette File

Import Naupa File

Import 389 Unclaimed Funds Reporting Layout (Upload)

Import HDT File Layout

Import Diskspecs Excel Spreadsheet


Import Diskette

Import Naupa

Import 389

Import HDT

Import Excel



2. Use the following table to determine your next step.

Do you want to...		Do this...
Import a diskette file?		<ul style="list-style-type: none"><li>Click Import Diskette.</li></ul>
Import a NAUPA file?		<ul style="list-style-type: none"><li>Click Import NAUPA.</li></ul>
Import a 389 file?		<ul style="list-style-type: none"><li>Click Import 389.</li></ul>
Import HDT?		<ul style="list-style-type: none"><li>Click Import HDT</li></ul>
Import Diskspecs Excel		<ul style="list-style-type: none"><li>Import Excel</li></ul>

3. Further instructions are described for each import.

Note: Contact [us](#) if you have questions or need a new import for your organization.

## Working with NAUPA Files

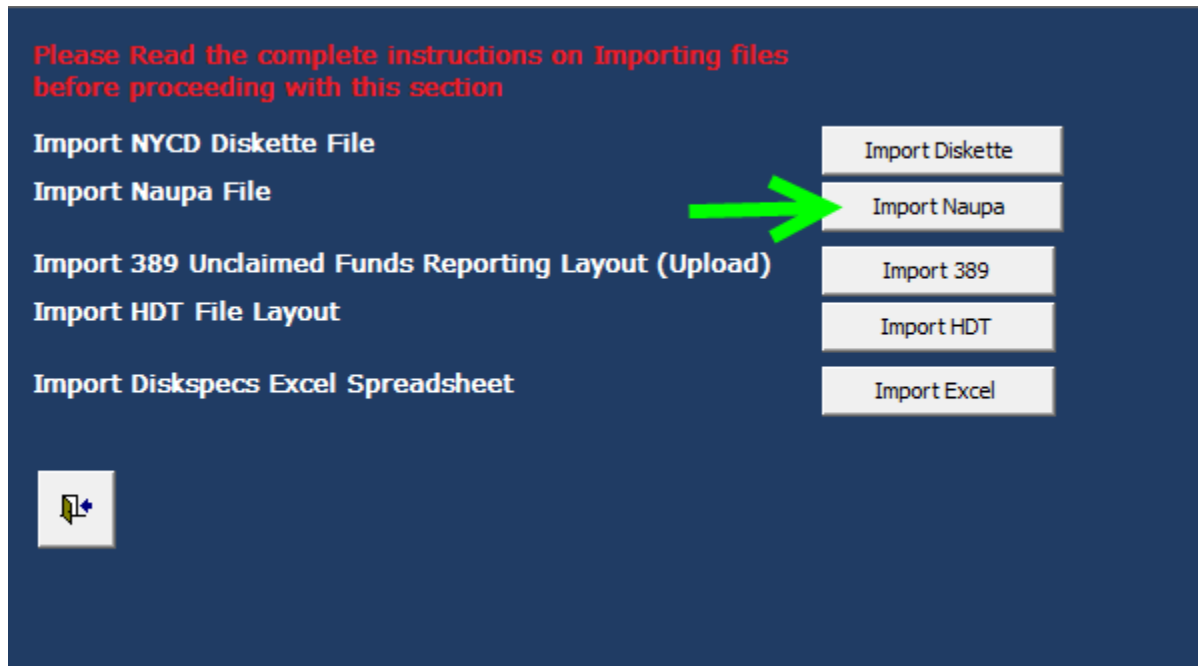
Use these instructions to import and use the fixed-width NAUPA text files.

### Before you begin...

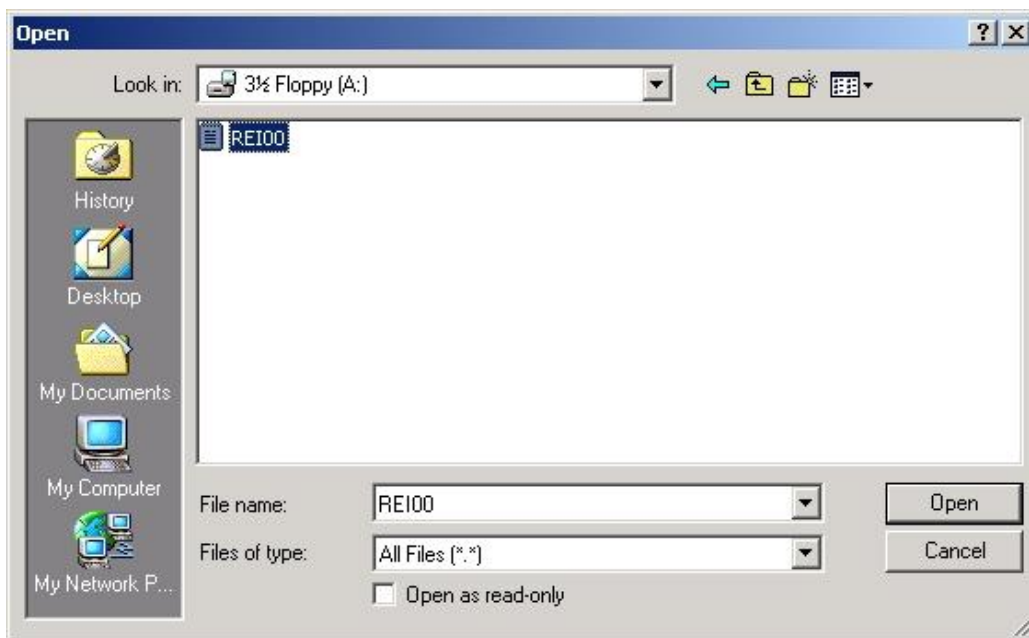
Make sure you know the name of the file you want to import.

1. Click Import Report

Note: You don't need to enter the report's FEIN, year, and number. This information is already in the NAUPA file.



2. Click Import NAUPA.



3. Open the file you want to import.
4. The file will automatically process, when completed Click the Exit icon.
5. From the switchboard, you can Edit the Report, Contact and Accounts.
6. You can view the NAUPA File Format [here](#).

### **Working with New Diskette Reporting Layout**

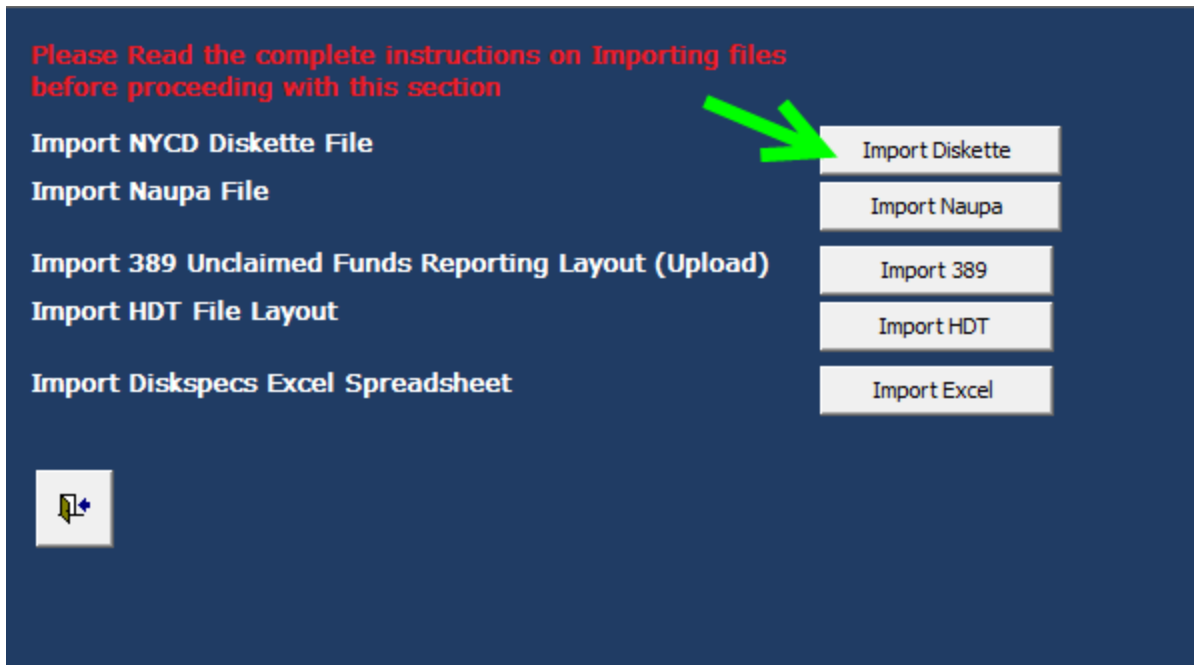
Use these instructions to import and use the new diskette reporting layout.

#### **Before you begin...**

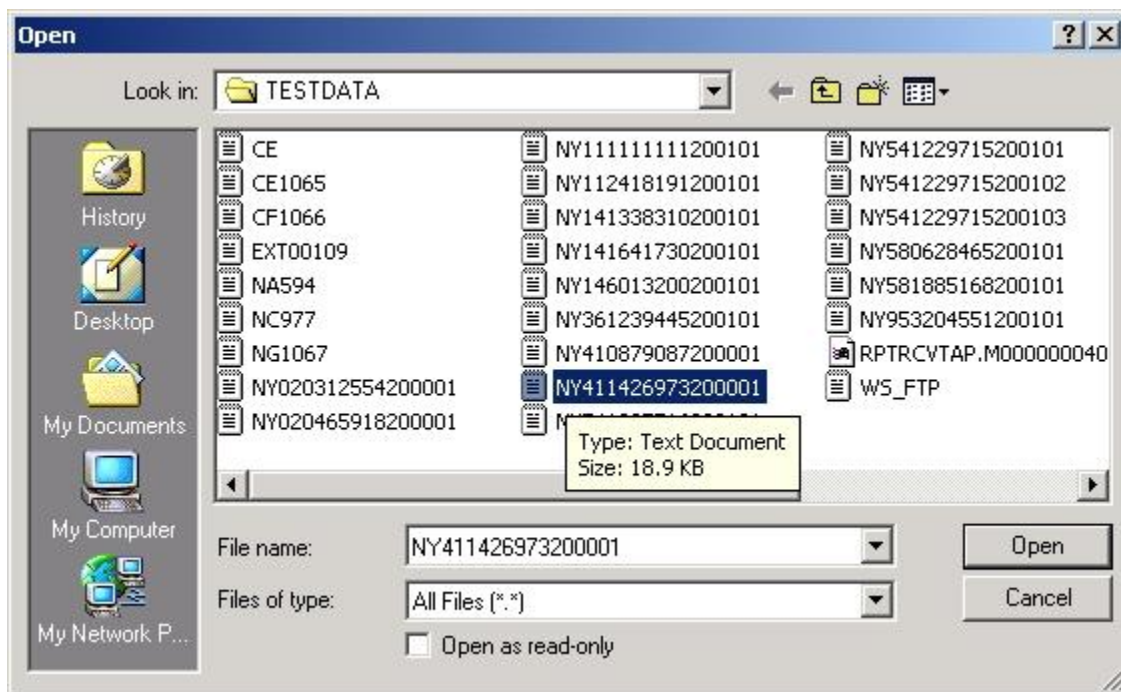
Make sure you know the name of the file you want to import.

1. Click Import Report

Note: You don't need to enter the report's FEIN, year, and number. This information is already in the diskette file.



2. Click Import Diskette.



3. The Open file Screen appears.

4. Select the file you want to import and click Open.

5. After the File is done processing Exit the screen.

6. When you return to the Switchboard screen you can Edit the Report and Accounts.

## NYCD Diskette Report Record layout

Report Record - A REC	LENGTH	START PO	END POS
Type = "A"	1	1	1
Fein	9	2	10
Year	4	11	14
RptNumber	2	15	16
AcctSeq	6	17	22
OwnerSeq	2	23	24
Orgname	60	25	84
Address_1	40	85	124
Address_2	40	125	164
City	40	165	204
State	2	205	206
Zip_Code	5	207	211
Zip_Code_4	4	212	215
Country	20	216	235
State_of_Incorp	2	236	237
Date_of_Incorp	10	238	247
IRS_Bus_Code	6	248	253
Reporter_Div_no	7	254	260
Auth_Bus_NY	1	261	261
Section	10	262	271
Report_Class	4	272	275
Report_Type	1	276	276
Report_End_Date	10	277	286
Report_Due_Date	10	287	296
Total_Cash_Remittances	12	297	308
Number_Cash_Remittances	7	309	315
Initial_Reported_Records	7	316	322
Initial_Reported_Accounts	7	323	329
Initial_Cash_Reported	12	330	341
Initial_Reported_Certs	9	342	350
Initial_Reported_Shares	14	351	364



## NYCD Diskette Summary Record layout

Summary Record(s)	LENGTH	START POS	END POS
Type = "B"	1	1	1
Fein	9	2	10
Year	4	11	14
RptNumber	2	15	16
AcctSeq	6	17	22
OwnerSeq	2	23	24
Property_Type	2	25	26
PTInitial_Reported_Cash	12	27	38
PTInitial_Reported_Certs	9	39	47
PTInitial_Reported_Shares	14	48	61
Blank	533	62	594

## NYCD Diskette Contact Record layout

Contact Record	LENGTH	START POS	END POS
Type = "C"	1	1	1
Fein	9	2	10
Year	4	11	14
RptNumber	2	15	16
AcctSeq	6	17	22
OwnerSeq	2	23	24
Contact_Type	4	25	28
Title	40	29	68
Name_Prefix	15	69	83
First_Name	15	84	98
Middle_Name_Init	15	99	113
Last_Name	40	114	153
Name_Suffix	15	154	168
Attn_Of	40	169	208
Address_1	40	209	248
Address_2	40	249	288
Address_3	40	289	328
City	40	329	368
State	2	369	370
Province	20	371	390
Zip_Code	5	391	395
Zip_Code_4	4	396	399
Country	20	400	419
Phone_Number	20	420	439
Fax_Number	20	440	459
EMail_Address	40	460	499
Blank	95	500	594

## NYCD Diskette Account Record layout

Account Record - D REC	LENGTH	START POS	END POS
Type = "D"	1	1	1
Fein	9	2	10
Year	4	11	14
RptNumber	2	15	16
AcctSeq	6	17	22
OwnerSeq	2	23	24
Multiple Records Indicator	1	25	25
Rptr_Acct_No	20	26	45
Acct_Title	70	46	115
Dorm_Date	10	116	125
Removal_Ind	1	126	126
AcctProperty_Type	4	127	130
Cusip	9	131	139
Method_of_Trans	1	140	140
Property_Desc	70	141	210
Initial_Amt	12	211	222
Escheated_Amt	12	223	234
Escheated_Shares	15	235	249
Naupa_Owner_Type	4	250	253
Deceased_Owner_Flag	1	254	254
SSN_TIN	9	255	263
Prefix	15	264	278
First_Name	15	279	293
Middle_Name_Init	15	294	308
Last_Name	40	309	348
Suffix	15	349	363
Address_1	40	364	403
Address_2	40	404	443
Address_3	40	444	483
City	40	484	523
State	2	524	525
Province	20	526	545
Zip	5	546	550
Zip_Ext	4	551	554
Foreign_Zip	10	555	564
Country	20	565	584
Date of Birth	9	585	594

## Working with HDT Import (Header, Detail, Trailer) or (Mag Tape Specs)

Use these instructions to import and use the HDT Import text files.

### Before you begin...



Make sure you know the name of file you want to import.

1. Click Import Report

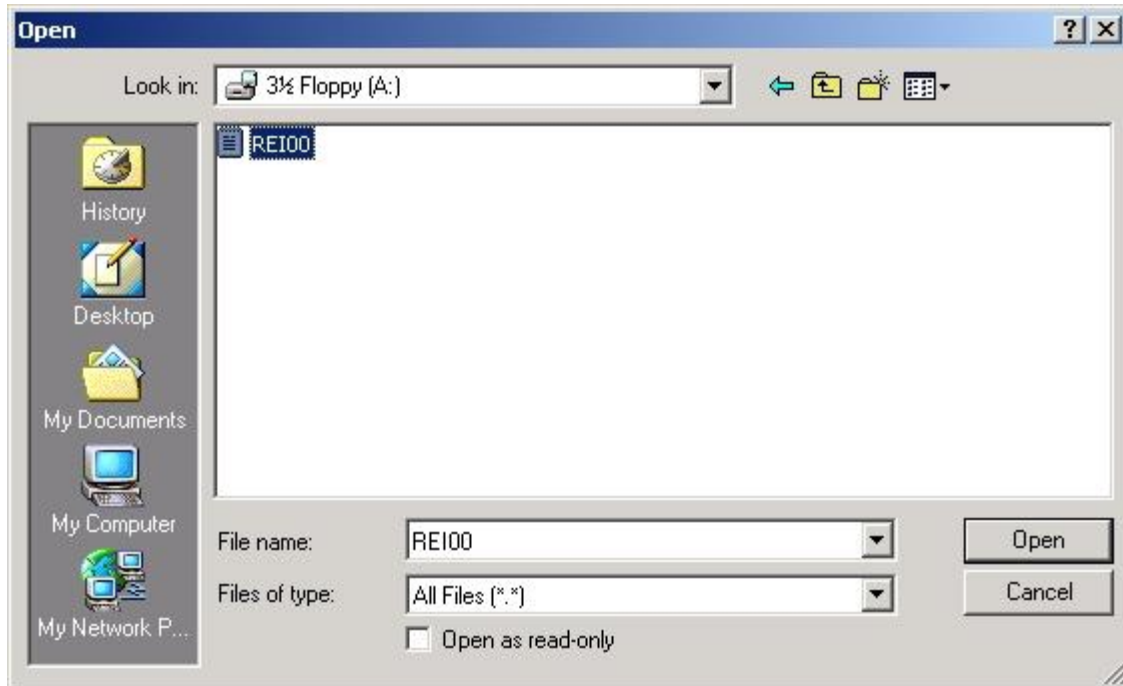
Note: You don't need to enter the report's FEIN, year, and number. This information is already in the HDT file.

**Please Read the complete instructions on Importing files before proceeding with this section**

Import NYCD Diskette File	Import Diskette
Import Naupa File	Import Naupa
Import 389 Unclaimed Funds Reporting Layout (Upload)	Import 389
Import HDT File Layout	Import HDT
Import Diskspecs Excel Spreadsheet	Import Excel



2. Click Import HDT.



3. Open the file you want to import.
4. The file will automatically process, when completed Click the Exit icon.
5. When you return to the Switchboard screen, you can Edit the Report and Accounts.

## **Magtape File Layout Header Record**

Positions	Field	Length	Remarks
1	Record Identifier	1	Constant "H"
2-10	FEIN (Reporter)	9	As used for IRS
11-40	Name 1 (Reporter)	30	Text
41-70	Name 2 (Reporter)	30	Text
71-100	Address 1	30	Text
101-130	Address 2	30	Text
131-150	City	20	Text
151-152	State	2	Text
153-157	Primary Zip Code	5	Text
158-161	Supplemental Zip	4	Text

162-171	Country (if not USA)	10	Text
172-173	State of Incorporation	2	Text
174-177	Month and Year Report is Due	4	Numeric (MMYY)
178-183	Date Report Produced	6	Numeric (MMDDYY)
184-384	Blank	201	Blank

## Magtape File Layout Detail Record

Position	Field	Length	Remarks
1	Record Identifier	1	Constant "D"
2 – 10	FEIN (Reporter)	9	As used for IRS
11 – 12	Property Type	2	From Property Type Tables
13 – 18	Unique Reference #	6	For Multiple Owners, use same #
19	Multiple Owner Indicator	1	"X" if 2 or more owners
20 – 39	Last Name	20	Text
40 – 49	First Name	10	Text
50	Middle Initial	1	Text
51 – 53	Suffix	3	Text
54 – 83	Street Address 1	30	Text
84 – 113	Street Address 2	30	Text
114 – 133	City	20	Text
134 – 135	State	2	Text
136 – 140	Zip Code	5	Text
141 – 144	Supplemental Zip Code	4	Text
145 – 154	Country, if not USA	10	Text
155 – 163	SSN	9	Text
164 – 183	Property ID Number	20	Text
184 – 253	Account Title	70	Text
254 – 259	Dormancy Date	6	Numeric (MMDDYY)
260 – 268	Initial Amount	9	Numeric , no decimal

<b>Position</b>	<b>Field</b>	<b>Length</b>	<b>Remarks</b>
269 – 277	Escheated Amount	9	Numeric , no decimal
278	Removal Indicator	1	Blank, “P” , or “R”
279 – 348	Description of Security (Stocks)	70	Text
349 – 357	CUSIP number	9	Text
358 – 361	Blank	4	Text
362 – 374	Number of Shares	13	Numeric, no decimal
375	Method of Transfer	1	Blank, “D” , “P”, or “A”
376 – 384	Blank	9	Text



## Magtape File Layout Trailer Record

Position	Field	Length	Remarks
1	Record Identifier	1	Constant "T"
2 – 10	FEIN	9	As used for IRS
11 – 40	Reporter Name 1	30	Text
41 – 70	Reporter Name 2	30	Text
71 – 100	Address 1	30	Text
101 – 130	Address 2	30	Text
131 – 150	City	20	Text
151 – 152	State	2	Text
153 – 157	Zip code	5	Text
158 – 161	Supplemental Zip Code	4	Text
162 – 171	Country, if not USA	10	Text
172 – 173	State of Incorporation	2	Text
174 – 177	Date Report is Due	4	Numeric (MMYY)
178 – 183	Date Report Produced	6	Numeric (MMDDYY)
184 – 193	Total Escheated Cash in Report	10	Numeric, no decimal
194 – 200	Total Escheated Certificates	7	Numeric
201 – 205	Total Items	5	Numeric
206 – 210	Total Records	5	Numeric
211 – 384	Blank	174	Blank / Spaces

## Working with 389 Import

Use these instructions to import and use the 389 Import text files.

### Before you begin...

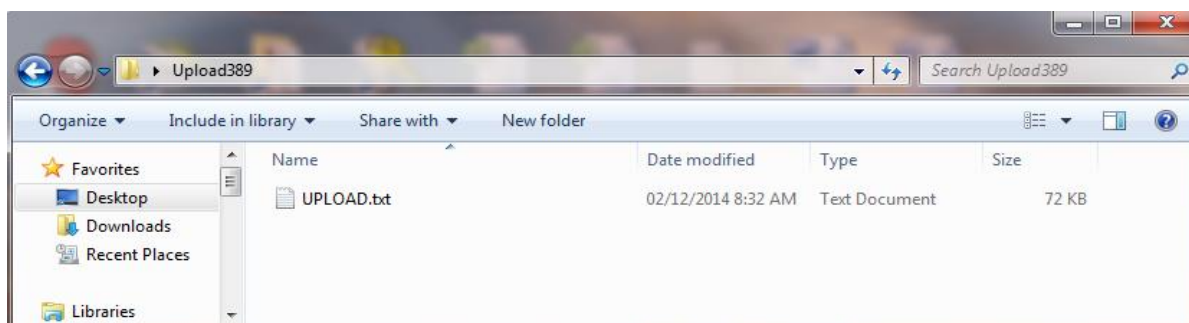
Make sure you know the name of file you want to import.

1. Click Import Report

Note: You need to enter the report's FEIN, year, and number.



2. Click Import 389.



3. Open the file you want to import.
4. The file will automatically process, when completed Click the Exit icon.
5. When you return to the Switchboard screen, you can Edit the Report and Accounts.

### UPLOAD TEXT FILE FORMAT

All fields are Text fields; no numeric, currency or date formatting allowed.

(Fields marked in red are mandatory; file will not load if left blank)

Positions	Field	Length	Remarks
1-2	PROPTYPE	2	NY property type code
3-8	RECCOUNT	6	Repeat for multi owner
9	MULTOWNR	1	Blank or X
10-29	LAST	20	
30-39	FIRST	10	
40	MID	1	
41-43	SUFFIX	3	
44-73	ADDRESS1	30	
74-103	ADDRESS2	30	
104-123	CITY	20	
124-125	STATE	2	
126-134	ZIP	9	
135-144	COUNTRY	10	
145-153	SOCSECNO	9	No hyphens
154-173	ACCTID	20	No special characters
174-243	ACCTTITLE	70	No special characters
244-249	ACTIVDATE	6	MMDDYY
250-258	INITAMT	9	No dollar signs
259-267	ESCHAMT	9	#####.##
268	REMINDIC	1	blank
269-338	SECDISCR	70	Stock Issue Name
339-347	CUSIPNO	9	
348-351	CUSIPEXPAN	4	
352-364	NOSHARES	13	Number of shares
365	TRANSFER	1	Stock Transfer Method
366-367	CLASS	2	Blank
368-373	PAY	6	Blank
374-375	UNIQUE	2	Blank

376-377	YEAR	2	Blank
378-379	RPTNO	2	Blank
380	RPTTYPE	1	Blank
381-389	FEIN	9	Reporting Organizations FEIN

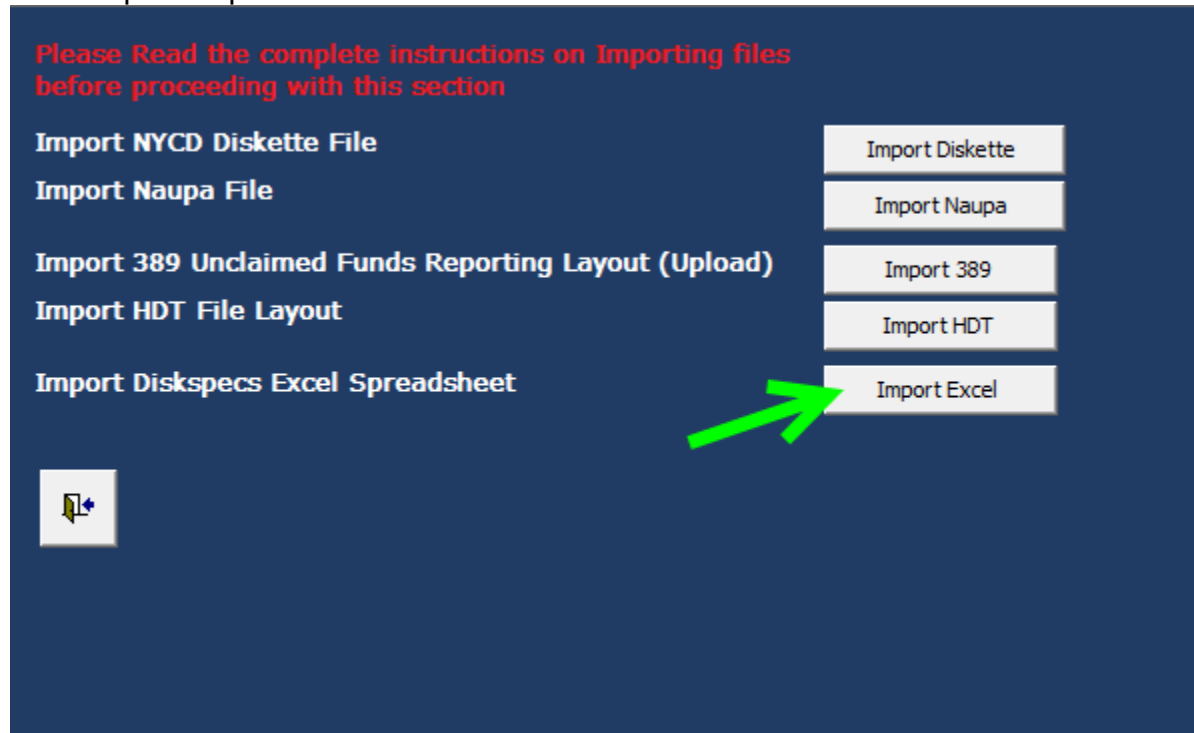
## Working with Excel Import

Use these instructions to import and use the Excel Import files.

### Before you begin...

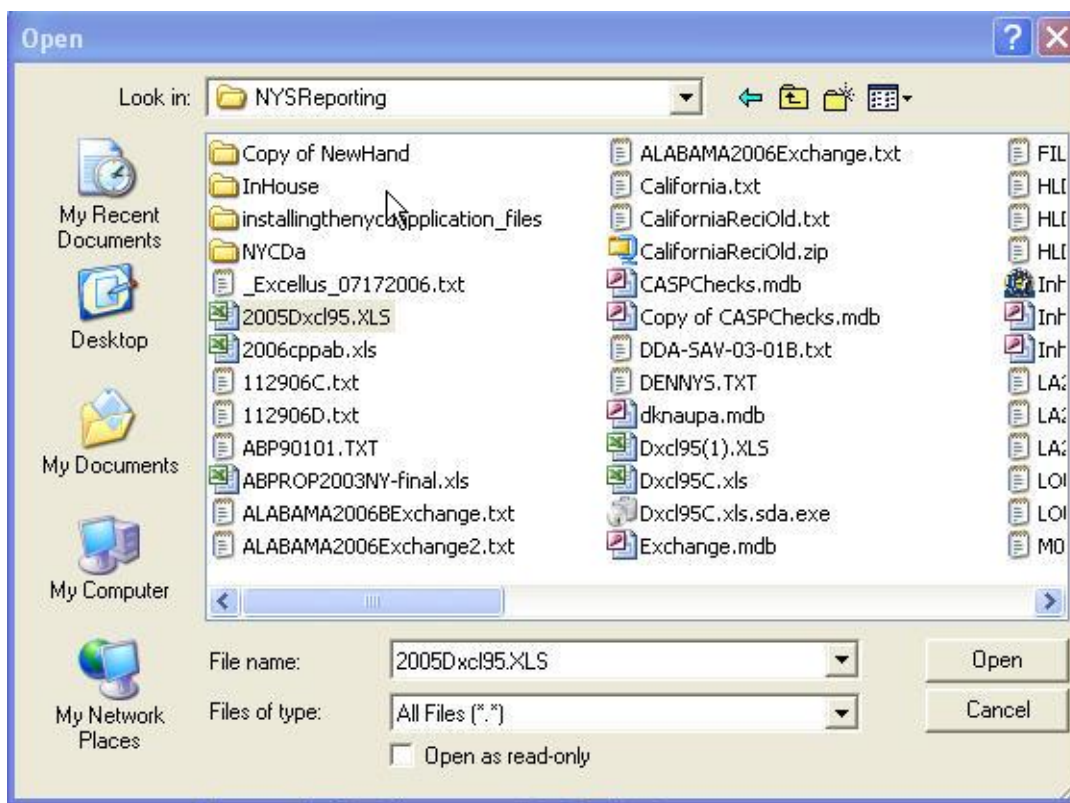
Make sure you know the name of file you want to import.

#### 1. Click Import Report



Note: You need to enter the report's FEIN, year, and number.

#### 2. Click Import Excel.



Open the file you want to import.

3. The file will automatically process, when completed Click the Exit icon.
4. When you return to the Switchboard screen, you can Edit the Report and Accounts.

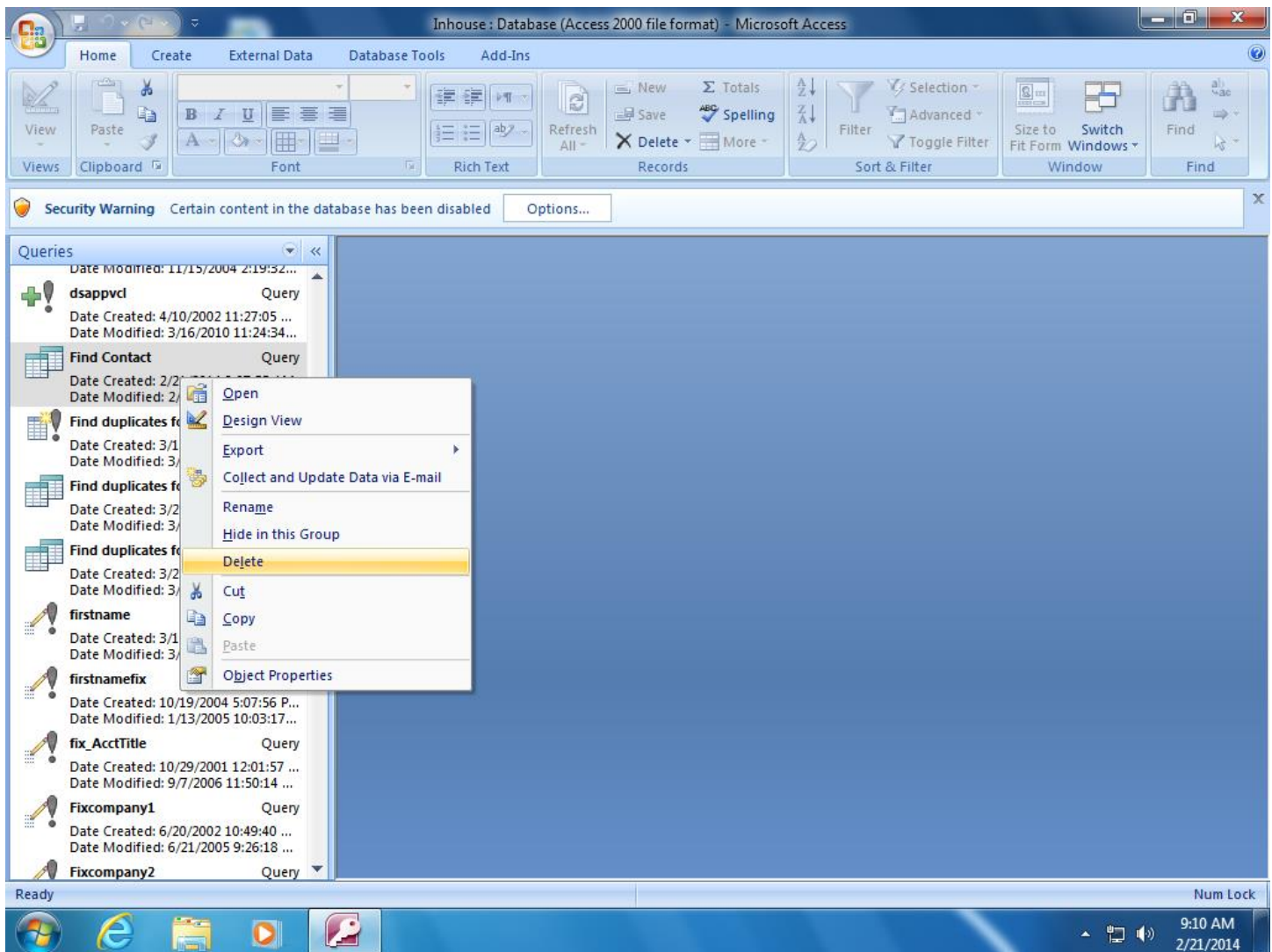
The DXCL95.xls spreadsheet is based upon the Upload Format. The same column header names should be used in the same order as the Upload Format. All columns and cells should be formatted to Text, not general, currency, date, or numeric. Do not delete or re-order any columns within the spreadsheet. A copy of the DXCL95.xls spreadsheet is available from our office. Contact [NYSRPU@osc.state.ny.us](mailto:NYSRPU@osc.state.ny.us) for a copy of the spreadsheet.

## Troubleshooting Error Messages

1. If you receive a Security Alert, VBA Macro:  
Go to: Access/Access Options/ Trust Center Settings / Enable all macros.
2. If you receive the message “No current record:”  
Add information to Report Contact.

3. If you receive the message “Object ‘Find Contact’ already exists:”

You will need to delete the query entitled ‘Find Contact’ . If you have Microsoft Access, close out of the database. Hold down the Shift Key and reopen the database. This will open the database in Edit mode. Locate Queries and the query Find Contact. Delete the query **Find Contact** and close the database.



If you do not have Microsoft Access, contact [us](#) to arrange to have your database sent to us via email so that we can repair it.