

**TITLE 10 OFFICE OF ATTORNEY GENERAL FOR THE STATE**

*NOTE: Under IC 4-6-1-2, the name of the Attorney General for the State of Indiana is changed to Office of Attorney General for the State, effective March 4, 1986.*

**ARTICLE 1. UNCLAIMED PROPERTY SECTION (REPEALED)**

*(Repealed by Office of Attorney General for the State; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3005)*

**ARTICLE 1.5. UNCLAIMED PROPERTY**

**Rule 1. Definitions**

**10 IAC 1.5-1-1 Applicability**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 1. The definitions in the Unclaimed Property Act and in this rule apply throughout this article. *(Office of Attorney General for the State; 10 IAC 1.5-1-1; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2996; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-1-2 “Act” defined**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 2. “Act” means the Unclaimed Property Act (IC 32-34-1). *(Office of Attorney General for the State; 10 IAC 1.5-1-2; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2996; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-1-3 “Contraband” defined**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 3. “Contraband” means items that may not generally be legally possessed. *(Office of Attorney General for the State; 10 IAC 1.5-1-3; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2996; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-1-4 “Credit memo” defined**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 4. “Credit memo” means all types of refunds and credit balances. *(Office of Attorney General for the State; 10 IAC 1.5-1-4; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2996; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-1-5 “Deduct” or “deducted” defined**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 5. “Deduct” or “deducted” means exclude or excluded and withhold or withheld. *(Office of Attorney General for the State; 10 IAC 1.5-1-5; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2996; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-1-6 “Holder in due course” defined**

Authority: IC 32-34-1-52

Affected: IC 26-1-3.1-302; IC 32-34-1

Sec. 6. “Holder in due course” means the holder of an instrument as defined in IC 26-1-3.1-302. *(Office of Attorney General*

*for the State; 10 IAC 1.5-1-6; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2996; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-1-7 “Law enforcement agency” defined**

Authority: IC 32-34-1-52  
Affected: IC 10-13-3-13; IC 32-34-1

Sec. 7. “Law enforcement agency” means any agency or entity as defined in IC 5-2-5-1(14) [IC 5-2-5 was repealed by P.L. 2-2003, SECTION 102, effective July 1, 2003. See IC 10-13-3-13.]. (*Office of Attorney General for the State; 10 IAC 1.5-1-7; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2997; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-1-8 “Owner-generated activity” defined**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 8. “Owner-generated activity” means any activity generated by:  
(1) the owner of the unclaimed property; or  
(2) the owner's authorized agent, if the agent is not the holder of the unclaimed property.  
(*Office of Attorney General for the State; 10 IAC 1.5-1-8; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2997; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-1-9 “Undelivered shares” defined**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 9. “Undelivered shares” means any certificate or other instrument of ownership that represents shares of stock of a business association, which is still in the possession of the issuer, holder, transfer agent, or broker. (*Office of Attorney General for the State; 10 IAC 1.5-1-9; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2997; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-1-10 “Underlying shares” defined**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 10. “Underlying shares” means the intangible ownership interest or shares of stock of a business association, which are no longer in the possession of the issuer, holder, transfer agent, or broker and the dividends or distributions as a result of the interest have been presumed abandoned. (*Office of Attorney General for the State; 10 IAC 1.5-1-10; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2997; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-1-11 “Warrant” defined**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 11. “Warrant” means a payment instrument issued by the state to the claimant. (*Office of Attorney General for the State; 10 IAC 1.5-1-11; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2997; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**Rule 2. Holders**

**10 IAC 1.5-2-1 Search of records**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1-26

Sec. 1. Any organization holding unclaimed property shall examine the records of its offices, including branch offices and various subsidiaries, to determine:

- (1) whether it has knowledge of the whereabouts of the owner;
- (2) whether the owner has transacted business with regard to other matters with such organization or is otherwise known to such organization; or
- (3) whether the organization has any records of the owner's current address.

*(Office of Attorney General for the State; 10 IAC 1.5-2-1; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2997; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-2-2 Format of reports**

Authority: IC 32-34-1-52

Affected: IC 32-34-1-26

Sec. 2. Commencing January 1, 1997, a holder must file the unclaimed property report required under IC 32-34-1-26 on:

- (1) a paper format provided by or approved by the attorney general;
- (2) a computer disk formatted according to the attorney general's instructions;
- (3) a magnetic tape formatted according to the attorney general's instructions;
- (4) a compact disk formatted according to the attorney general's instructions; or
- (5) any other means of electronic reporting as approved by the attorney general.

*(Office of Attorney General for the State; 10 IAC 1.5-2-2; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2997; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-2-3 Incomplete or inaccurate report or remittance**

Authority: IC 32-34-1-52

Affected: IC 32-34-1-42; IC 32-34-1-45

Sec. 3. (a) Any unclaimed property report or remittance submitted to the attorney general that:

- (1) is incomplete;
- (2) is inaccurate;
- (3) is not submitted on forms provided by the attorney general;
- (4) uses a format that has not received prior approval from the attorney general;
- (5) fails to identify the category of unclaimed property contained in the report;
- (6) fails to provide the date of last transaction or first payable date for property reported;
- (7) fails to provide legal descriptions and decimal percentage of ownership for owners whose property is derived from mineral interests; or
- (8) fails to include any other information on the report as required under IC 32-34-1 or these rules;

shall be returned to the holder for correction.

(b) The attorney general shall provide a written explanation of the deficiencies in the report and the manner in which the deficiencies may be corrected.

(c) The holder is required to submit a corrected unclaimed property report or remittance to the attorney general within twenty (20) calendar days after the attorney general returns the original report or remittance to the holder.

(d) Under IC 32-34-1-42(b) and IC 32-34-1-45, failure of the holder to submit a corrected, accurate, and complete report or remittance within the time set forth in subsection (c) is sufficient reason to believe that the holder's failure to report property is grounds for examination of the holder and grounds for assessment of statutory fines and/or penalties. *(Office of Attorney General for the State; 10 IAC 1.5-2-3; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2997; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-2-4 Amended reports**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 4. (a) The holder must file an amended unclaimed property report if any change occurs after a report is submitted to the attorney general. The amended report must include a statement of the reason for the change, when appropriate, including, but not limited to, the following reasons:

- (1) Change of owner's name.
- (2) Change of owner's last known address.
- (3) Change of date of last transaction.
- (4) Change of legal description of mineral interest in land.
- (5) Change of decimal percentage of ownership of mineral interest in land.
- (6) Change in original amount reported.
- (7) Error in the report.

(b) Amendments must be filed no more than thirty (30) days from the latter of either the date of the change or the date the holder became aware of the change. (*Office of Attorney General for the State; 10 IAC 1.5-2-4; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2998; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-2-5 Holder reimbursement**

Authority: IC 32-34-1-52

Affected: IC 32-34-1-27; IC 32-34-1-29

Sec. 5. (a) A holder who has delivered unclaimed property to the attorney general under IC 32-34-1-27 and has subsequently paid an apparent owner under IC 32-34-1-29(c) may request reimbursement.

(b) The attorney general shall reimburse the holder upon presentation of proof of payment, which may include, but not be limited to:

- (1) copies of correspondence with the owner;
- (2) copies of the negotiated check to the owner front and back copy; or
- (3) an affidavit executed by an officer of the holder attesting to the facts.

(*Office of Attorney General for the State; 10 IAC 1.5-2-5; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2998; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-2-6 Holder must change foreign currency**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 6. (a) Except as provided in subsection (b), a holder of foreign currency must exchange the currency for United States dollars before transmitting the property to the attorney general.

(b) A holder of foreign currency having a market value greater than face value must submit the foreign currency in its original form to the attorney general. (*Office of Attorney General for the State; 10 IAC 1.5-2-6; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2998; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**Rule 3. Property Held by Holders**

**10 IAC 1.5-3-1 Books of holder**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 1. (a) Unclaimed property on the books of the holder that has been converted to income, reversed back to the account upon which the check or draft was drawn, or any other method used to convert the unclaimed property to an asset of the holder must be reported and submitted to the attorney general.

(b) The books and records of the holder are presumptive evidence of the existence of such intangible property.

(c) A presumption under subsection (b) may be rebutted by evidence arising from the books and records of the holder, that may include, but are not limited to, stop-payment orders or items that can be verified as accounting errors that establish that the

original check or draft was issued in error or reissued to the original payee. (*Office of Attorney General for the State; 10 IAC 1.5-3-1; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2998; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-3-2 Period of dormancy**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 2. The period of dormancy or inactivity of a deposit, account, or any other real or personal property subject to the Act begins on the date of the last owner-generated activity recorded by the holder of the unclaimed property. (*Office of Attorney General for the State; 10 IAC 1.5-3-2; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2999; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-3-3 Holding period determined by type of liability**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 3. The allowable holding period shall be determined by the type of liability or by the type of property payable, not the method of payment. (*Office of Attorney General for the State; 10 IAC 1.5-3-3; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2999; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-3-4 Automatically renewable property; penalties and forfeiture**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 4. (a) Except as provided in subsections (b) and (c), any property that is automatically renewable, such as an instrument having rollover provisions, is matured upon the expiration of its initial time period.

(b) If the owner consents to a renewal by communicating in writing with the banking or financial organization at or about the time of renewal, or otherwise indicates consent, as evidenced by a memorandum or other record on file prepared by an employee of the organization, the property is matured upon the expiration date of the last time period for which consent was given.

(c) If, at the time for delivery to the attorney general, a penalty or forfeiture in the payment of interest would result from the delivery of the property, the time for delivery shall be extended until the earliest date when no penalty or forfeiture would result. (*Office of Attorney General for the State; 10 IAC 1.5-3-4; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2999; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-3-5 Instruments representing ownership interest**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1-20

Sec. 5. (a) Except as provided in subsection (e), any undelivered share or other intangible instrument representing an ownership interest in a business association, in which the issuer has recorded on its books the issuance of the share but has been unable to deliver the certificate to the shareholder, is considered unclaimed funds if such undelivered share is unclaimed for the period specified by IC 32-34-1-20 for that type of interest.

(b) The entity that possesses the undelivered share or other intangible instrument representing an ownership interest in a business association is considered the holder of the undelivered share.

(c) At the time any undelivered share is considered as unclaimed funds under this section, any dividend, distribution, or other sum then held or owing to the owner as a result of the undelivered share, and not previously considered unclaimed funds, will be deemed unclaimed funds.

(d) If any future dividend, distribution, or other sum payable to the owner as a result of the undelivered share is not claimed by the owner after the running of the statutory period for unclaimed interests of that type, a new unclaimed period commences and relates back to the time that dividend, distribution, or other sum became due and payable.

(e) This rule does not apply to any undelivered share or other intangible instrument representing an ownership interest in a

business association enrolled in a plan that provides for the automatic reinvestment of dividends, distributions, or other sums payable as a result of the undelivered share. (*Office of Attorney General for the State; 10 IAC 1.5-3-5; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2999; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-3-6 Unclaimed checks**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 6. Outstanding or unclaimed expense and vendor checks, payroll checks, claim checks, warrants, drafts, or other miscellaneous checks and drafts must be reported and delivered to the attorney general. (*Office of Attorney General for the State; 10 IAC 1.5-3-6; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2999; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-3-7 Lawful charges; interest**

Authority: IC 32-34-1-52

Affected: IC 32-34-1-22

Sec. 7. (a) Except as provided in IC 32-34-1-22(b), there must be a valid, written contract between the holder and the owner to permit the lawful withholding of charges for the owner's failure to claim the property within a specified time. No holder shall seek to implement the terms of any contract against the state if it does not do so against owners who claim their assets prior to remittance.

(b) The holder shall cite, in its unclaimed property report, the legal authority or contract provision supporting the discontinuation of interest or dividend payments on property during the period of its inactivity. If such payments would not have been discontinued had the property been claimed by the owner prior to being reported or remitted to the attorney general, and the holder does not regularly waive its contractual right to cease payment of interest, such discontinuance is prohibited.

(c) The holder shall provide the following information as part of any unclaimed property report filed from which service charges have been deducted:

- (1) The citation of IC 32-34-1 or a copy of the contract between the parties authorizing such service charges.
- (2) The value or amount of each item or property, prior to deduction of service charges as well as the total amount of service charges deducted from each item.
- (3) Such other information or documentation to substantiate the deduction of service charges. This may include:
  - (A) correspondence;
  - (B) passbook provisions;
  - (C) signature cards;
  - (D) regulations;
  - (E) bylaws; or
  - (F) any other documentation concerning any agreement between the holder and the owner.

(d) The holder shall maintain a record for three (3) years from the last date on which such service charges were deducted. (*Office of Attorney General for the State; 10 IAC 1.5-3-7; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2999; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-3-8 Safe deposit box contents**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 8. (a) Safe deposit boxes or other safekeeping depositories that have been abandoned shall be opened and inventoried in the presence of at least two (2) employees of the holder, who shall verify by affidavit the contents of the box. The property and a copy of the employees' affidavit shall then be sealed for safekeeping until delivered to the owner or the attorney general.

(b) Every holder maintaining safe deposit boxes or other safekeeping repositories shall report to the attorney general with an inventory of property in its possession that constitutes unclaimed funds.

(c) Such inventory shall include a statement containing the following information:

- (1) The name and last known address of each owner whose lease or rental period has expired.

- (2) The expiration date of the lease or rental agreement for such safe deposit box or other safekeeping depository.
- (3) The date of opening of such safe deposit box or other safekeeping repository.
- (4) The number of identifying description of the safe deposit box or other safekeeping repository.
- (5) A list describing the items received.
- (6) The name and address of the holder reporting the property.

The inventory shall contain such further identifying data and information as shall be requested by the attorney general.

(d) Upon receipt by the attorney general of the contents of a safe deposit box or other safekeeping repository, an inventory of the property shall be performed by the attorney general to determine any discrepancies with the inventory filed by the holder and to identify that property that the attorney general is statutorily authorized to receive. A holder number and owner number shall be assigned by the attorney general to identify the items received.

(e) This section shall apply when the contents of any safe deposit box or other safekeeping depository is remitted to the attorney general under IC 32-34-1-20(c)(14), IC 32-34-1-24, and IC 32-34-1-39. (*Office of Attorney General for the State; 10 IAC 1.5-3-8; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3000; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

#### **10 IAC 1.5-3-9 Presumption of abandonment for multiple owners**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 9. If property is owned by more than one (1) person, the presumption of abandonment shall occur when the property has been abandoned by all the owners for the applicable time period. (*Office of Attorney General for the State; 10 IAC 1.5-3-9; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3000; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

### **Rule 4. Claims**

#### **10 IAC 1.5-4-1 Claims process; general**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 1. (a) A claim for unclaimed property or the proceeds from the sale of unclaimed property may be filed with the unclaimed property section of the attorney general.

(b) Upon receipt of the initial claims inquiry from a person having an interest in the property held by the attorney general, the attorney general shall send the required claim forms to be completed by the claimant and request necessary documentation as proof of ownership.

(c) All claims amounts shown on data bases and claim forms are subject to verification by the attorney general in order to confirm the accuracy of the amount and the status of the property. (*Office of Attorney General for the State; 10 IAC 1.5-4-1; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3000; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

#### **10 IAC 1.5-4-2 Filing of claims**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 2. (a) Claims shall be prepared and filed only on the form provided by the attorney general, which shall be provided to the claimant upon request.

(b) The claimant shall assert on the appropriate form that he or she is the true owner of the unclaimed property and agrees to indemnify and hold harmless the attorney general and the state in the event of a successful claim to such property by another claimant. (*Office of Attorney General for the State; 10 IAC 1.5-4-2; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3001; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-3 Time requirements for review of claim and notice of disposition of claims**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 3. (a) The attorney general shall consider each claim within ninety (90) days after receipt of the completed form and the documentation necessary to support the claim.

(b) The attorney general shall give written notice to the claimant if the claim is denied in whole or in part. The notice may be given by mailing it to the last address, if any, stated in the claim as the address to which notices are to be sent. If no address for notices is stated in the claim, the notice may be mailed to the last address, if any, of the claimant as stated in the claim. (*Office of Attorney General for the State; 10 IAC 1.5-4-3; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3000; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-4 Proof of ownership; general**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 4. (a) Information required to prove ownership of unclaimed property shall consist of a copy of the claimant's driver's license or other picture identification, a document proving the claimant's Social Security number, and a copy of one (1) or more of the following:

- (1) Birth certificate.
- (2) Last will and testament.
- (3) Evidence of probate distribution.
- (4) Marriage certificate.
- (5) Divorce decree.
- (6) Documentation providing a connection with the reported address or business for the year cited as the date of last transaction in the holder's report.
- (7) Letters testamentary.
- (8) Notarized copy of contract if a representative is claimant.
- (9) Guardianship or trust agreement.
- (10) An affidavit executed by an individual other than the claimant having knowledge of, and in support of, a claim when requested information or documentation is not available.
- (11) Any other documentation necessary to support the claim, as requested by the attorney general, including, but not limited to, the following:
  - (A) An income tax return.
  - (B) Adoption records.
  - (C) Court records.
  - (D) Certificates of deposits.
  - (E) Stale dated checks.

(b) In addition to items set out in subsection (a), the minimum requirements needed to establish ownership for various types of property are as follows:

- (1) For a checking account, a check, blank or canceled, showing the account number for that bank or a statement on that account that contains the account number.
- (2) For a savings account, a copy of the passbook showing the account number or correspondence referencing the account number.
- (3) For a safe deposit box, a copy of the safe deposit box rental receipt or correspondence referencing that rental.
- (4) For wages, copies of W-2 forms, tax records, or correspondence relating to that employment.
- (5) For stock and dividends, copies of a stock certificate of the business entity reported, correspondence relating to that stock certificate, or a statement from the broker showing purchase or sale of that stock.
- (6) For bearer bonds and certificates of deposit, a copy of the record of purchase.
- (7) For insurance, a copy of the policy or correspondence relating to that policy by policy number.

- (8) For mineral proceeds, one (1) or more of the following as specified in the letter requesting documents:
- (A) Mineral deed.
  - (B) Surface deed, which includes mineral retained, sold, or purchased.
  - (C) Probate inventory.
  - (D) Oil and gas lease.
  - (E) Purchase documents for an overriding royalty interest.
  - (F) Certification of current pay status.
- (9) For court clerk funds, a court order or court decree ordering the attorney general to pay the funds to the claimant.
- (10) For vendor checks, copies of accounts receivable billings, invoices, bills of lading, or correspondence with the holder reporting and remitting the funds that show a business relationship for each payment, or a statement that the funds are still considered to be due and owing on the account.
- (11) For a claim by heirs of listed owners, if the claim is based on heirship, one (1) or more of the following documents may be required:
- (A) Final decree of probate.
  - (B) Death certificate.
  - (C) An affidavit of proof of death and heirship executed by a person disinterested in the claim may be acceptable when the decedent's estate was not probated.
- (12) For a cashier's check, the cashier's check must be claimed by the payee as the owner unless the purchaser submits sufficient documentation to prove a superior claim.
- (c) If the subject property is a check, the claimant must, in addition to submitting a fully completed claim form:
- (1) submit the original check; or
  - (2) submit verification in the form of an affidavit from the issuing agent of the check that the claimant is the true owner of the check and the issuing agent would pay the value of the check to the claimant if the issuing agent had not remitted the funds to the attorney general.

*(Office of Attorney General for the State; 10 IAC 1.5-4-4; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3001; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946)*

**10 IAC 1.5-4-5 Proof of ownership; business accounts**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 5. Any person acting on behalf of a business claiming an interest in the unclaimed intangible personal property of a business or a business account in the custody of the attorney general shall file with the attorney general the following:

- (1) If the property is claimed by a proprietorship or a partnership, then the claimant shall produce authorization to file a claim for the proprietorship's or partnership's unclaimed property. The claimant shall provide personal identification as specified in this article.
- (2) If the property is claimed by a corporation that is still active, then the claimant shall produce a certified copy of the corporation's most recent filing with the secretary of state of Indiana, or the appropriate official of another state, where applicable, reflecting the names of the officers and directors of the corporation. The claimant shall also show appropriate evidence indicating the claimant's right to act on behalf of the business.
- (3) If the property is claimed by a dissolved corporation, then the claimant shall provide certification from an appropriate state official of the state of incorporation, certified within one (1) year of the filing of the claim to reflect the last corporate filing. The claimant shall also show appropriate evidence that the corporation is the same corporation as on the attorney general's records and that the claimant is entitled to all or a proportional share of the dissolved corporation.
- (4) If the property is claimed by a corporation dissolved pursuant to a bankruptcy proceeding, the claimant shall provide a duly authenticated copy of the petition filed in the bankruptcy proceedings together with copies of any orders appointing a trustee or examiner if they exist. If no bankruptcy proceedings of the dissolved corporation are known, then the claimant shall provide proof from the appropriate U.S. District Bankruptcy Court. The claimant shall produce personal identification as specified in these rules.

*(Office of Attorney General for the State; 10 IAC 1.5-4-5; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3002; readopted filed Aug 14, 2003,*

1:15 p.m.: 27 IR 946)

**10 IAC 1.5-4-6 Presumption of stock ownership**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 6. (a) There is a presumption that the stock book of a corporation shows the owner of the stock certificate or other certificate of ownership of the corporation and the amount of ownership interest in the corporation.

(b) There is a presumption that the records of a holder show ownership of or entitlement to other intangible property. (*Office of Attorney General for the State; 10 IAC 1.5-4-6; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3002; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-7 Receivership or bankruptcy; trustee as claimant**

Authority: IC 32-34-1-52

Affected: IC 32-34-1-15

Sec. 7. (a) When a person, as defined in IC 32-34-1-15, is in receivership or in bankruptcy, the receiver or trustee in bankruptcy is the proper claimant upon the presentment of certified copies of the entry of appointment.

(b) Payment will not be made to the owner after due notice has been received by the attorney general from the receiver, the trustee in bankruptcy, or the court in which execution has been levied. (*Office of Attorney General for the State; 10 IAC 1.5-4-7; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3002; errata filed Apr 17, 2003, 3:30 p.m.: 26 IR 3046; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-8 Creditors; proof of claim**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 8. Any creditor of an apparent owner claiming an interest in unclaimed property in the custody of the attorney general shall file the following with the attorney general:

- (1) A certified copy of a final judgment establishing the debt owed by the apparent owner.
- (2) Proof that the judgment is first in time within the apparent owner's county of residence.
- (3) Proof by affidavit or otherwise that the debt has not been extinguished by the statute of limitations and has not been satisfied in whole or in part.

(*Office of Attorney General for the State; 10 IAC 1.5-4-8; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3002; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-9 Claims submitted by finders**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 9. (a) Claims for abandoned property submitted by a finder must include either of the following:

- (1) A properly completed claim form, as prescribed by the attorney general, bearing the notarized signature of the claimant.
- (2) An original, signed specific power of attorney authorizing the finder to prosecute a claim for abandoned property on behalf of a claimant. The specific power of attorney must also contain the following:

(A) Specific authorization for the attorney general to release private information concerning the owner's interest in the property.

(B) Specific instructions concerning payment. Only one (1) check is prepared by the attorney general. The check will be prepared in the name of the person signing the power of attorney and mailed to the finder unless the power of attorney specifically states that the check is to be made out in the names of both the finder and the person signing the power of attorney. If the check is to be made out in the name of the finder only, the power of attorney must specifically

authorize authority to receive the check in the name of the fee finder.

(b) The attorney general may require any other documents as provided in this article to verify the claim. (*Office of Attorney General for the State; 10 IAC 1.5-4-9; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3003; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-10 Owner of cashier's checks**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 10. (a) The owner of a cashier's check is presumed to be the payee unless the remitter has the cashier's check in his or her possession.

(b) A payee is presumed to have received payment for a cashier's check or other instrument, and the payee must establish that the check was not cashed and that the owner is not, in fact, a holder in due course.

(c) It is the responsibility of the payee to disburse any funds or property in accordance with any existing contract or agreement. (*Office of Attorney General for the State; 10 IAC 1.5-4-10; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3003; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-11 Release of securities**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 11. (a) Stock certificates received through safe deposit boxes or directly from a holder may be released to the rightful owner by the following methods:

(1) Transfer the securities to the claimant.

(2) Pay money for the value of the securities as of the date the securities were delivered to the attorney general.

(3) Release to the original owner in the case of obsolete stock certificates in the original owner's name, or release according to the direction of the lawful heirs if the original owner is deceased.

(b) The owner must sign a receipt acknowledging delivery of the certificate. (*Office of Attorney General for the State; 10 IAC 1.5-4-11; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3003; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-12 Payment of claims**

Authority: IC 32-34-1-52

Affected: IC 32-34-1

Sec. 12. (a) Warrants for payment of unclaimed property shall be authorized and payment made:

(1) in the name of, and mailed to, the established owner;

(2) to the court-appointed estate administrator, administratrix, executor, executrix, or personal representative;

(3) to the court-appointed guardian;

(4) in accordance with a court decree of distribution;

(5) to a finder, upon direction by a claimant consistent with this article;

(6) to a creditor;

(7) to a trustee in bankruptcy;

(8) to a receiver; or

(9) to joint claimants.

(b) It shall be the responsibility of the payee to disburse any funds or property in accordance with any existing contract or agreement.

(c) Where there are multiple claimants, the attorney general shall pay one (1) of the claimants only after that claimant has obtained releases from all other claimants allowing payment to that claimant and releasing the attorney general from liability. (*Office of Attorney General for the State; 10 IAC 1.5-4-12; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3003; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-13 Delivery of property to claimant**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 13. (a) A successful claimant to the contents of a safe deposit box held by the attorney general must appear in person or send an authorized agent to receive such property at a place designated by the attorney general.

(b) Securities, warrants, checks, or other intangible property may be sent by first class, certified, U.S. mail, postage prepaid, to the claimant's address or as the claimant directs. (*Office of Attorney General for the State; 10 IAC 1.5-4-13; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3003; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-14 Payment of claims for transferred mineral interests**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 14. When a claim is paid on a mineral interest that has been sold by the owner or the heir, all monies reported to the attorney general before the date of delivery of deed shall be paid to the grantor. Monies reported after the date of delivery of deed shall be paid to the grantee. (*Office of Attorney General for the State; 10 IAC 1.5-4-14; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3004; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-4-15 Claims paid in error**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 15. If the attorney general pays a claimant in error, the attorney general may do the following:

(1) In the case of ownership, when a person with the same name can present evidence that payment was made in error, the attorney general may pay the second claimant after notifying the first payee that:

- (A) another claimant has filed for the property and is the valid owner;
- (B) the first payee is requested to refund the monies paid;
- (C) the first payee has the right to present evidence of a superior claim and more fully documented proof of ownership;
- (D) the attorney general may require a hearing before an administrative law judge to determine or verify ownership; and
- (E) the attorney general may pursue collection through appropriate court action.

(2) In the case of error in reporting by a holder:

- (A) if a holder's report or ownership verification is found to be in error after the attorney general has paid the listed owner, the holder shall reimburse the attorney general for any funds paid; and
- (B) if the request for reimbursement is denied, the attorney general may pursue collection through court action.

(*Office of Attorney General for the State; 10 IAC 1.5-4-15; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3004; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**Rule 5. Additional Procedures**

**10 IAC 1.5-5-1 Disposal of contraband**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 1. (a) All items of contraband, and all identifying information related to the item, shall be made available to law enforcement agencies as soon as possible after they are received.

(b) The attorney general, in conjunction with law enforcement agencies, shall determine the method of storage, disposal, and delivery of contraband. (*Office of Attorney General for the State; 10 IAC 1.5-5-1; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3004; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-5-2 Firearms**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 2. (a) The attorney general shall notify the appropriate law enforcement agency upon receipt of any firearm and will furnish all identifying information related to the firearm.

(b) After the law enforcement agency notifies the attorney general that the firearm is not connected with any criminal investigation, the firearm shall be sold at auction by a dealer licensed to sell firearms.

(c) The dealer shall conduct the sale of firearms in strict compliance with Indiana laws and rules concerning firearms sales. Any firearm that may not lawfully be sold shall be treated as property of no obvious commercial value or as contraband. (*Office of Attorney General for the State; 10 IAC 1.5-5-2; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3004; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-5-3 Receipt and sale of securities and commodities**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 3. (a) Securities and commodities received by the attorney general as unclaimed property shall be sold as soon as practical.

(b) Securities and commodities that become reportable abandoned property under the Act when remitted to the attorney general, must include all interest, dividends, stock splits, if any, warrants, or other rights even though the interest, dividends, stock splits, warrants, or other rights standing alone would not be reportable abandoned property.

(c) Interest, dividends, stock splits, warrants, or other rights that become reportable abandoned property under the Act, must, when remitted to the attorney general, include the underlying security or commodity giving rise to the interest, dividends, splits, warrants, or other rights.

(d) The attorney general may, when remittance cannot be made as provided in subsection (c), provide written instructions to the holder for remittance of the particular security or commodity. (*Office of Attorney General for the State; 10 IAC 1.5-5-3; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3004; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**10 IAC 1.5-5-4 Disposition of unclaimed property other than cash**

Authority: IC 32-34-1-52  
Affected: IC 32-34-1

Sec. 4. Unclaimed property of intrinsic or historical value, if it is determined that it has no substantial commercial value, may be loaned or donated to other agencies or institutions if deemed by the attorney general that the retention of such property would be of public interest. (*Office of Attorney General for the State; 10 IAC 1.5-5-4; filed Jul 1, 1997, 4:15 p.m.: 20 IR 3005; readopted filed Aug 14, 2003, 1:15 p.m.: 27 IR 946*)

**Rule 6. Filing Dates for Reports Required to be Filed**

**10 IAC 1.5-6-1 Filing dates for reports required to be filed**

Authority: IC 32-34-1-52; IC 32-34-1-26  
Affected: IC 32-34-1

Sec. 1. Unless otherwise provided by statute, the reports required by IC 32-34-1-26(a) to be filed by holders of property presumed to be abandoned must be filed as follows:

(1) The report of a life insurance company must be filed before May 1 of each year for the calendar year preceding the year in which the report is filed.

(2) All other holders must file the report before November 1 of each year to cover the year preceding July 1 of the year in which the report is filed.

*(Office of the Attorney General; 10 IAC 1.5-6-1; filed Sep 18, 2003, 5:30 p.m.: 27 IR 450)*

## **ARTICLE 2. CONTRACT APPROVAL**

### **Rule 1. Definitions**

#### **10 IAC 2-1-1 Definitions**

Authority: IC 4-13-2-14

Affected: IC 4-13-2-14

Sec. 1. (a) "Purchase orders" means those forms identified as purchase orders and approved by the state board of accounts, the commission on public records, the commissioner of the department of administration and the attorney general.

(b) "Quantity purchase agreement (QPA)" means those agreements authorized by 25 IAC 1.1-1-16(f) and approved by a deputy designated by the attorney general to review and approve contracts.

(c) "Quantity purchase award release (QPA release)" means that form used by the commissioner of the department of administration to make purchases against a quantity purchase agreement and approved by the state board of accounts, the commission on public records, the commissioner of the department of administration and the attorney general.

(d) "General terms and conditions" means those contract terms and conditions approved by the attorney general for usage with all invitations to bid and contracts approved by rule adopted by the attorney general.

(e) "Special terms and conditions" means those contract terms and conditions approved by the attorney general for usage in particularized invitations to bid and with particular contract types approved by a rule adopted by the attorney general.

(f) "Single contract terms and conditions" means those contract terms and conditions approved by a deputy attorney general designated by the attorney general to review and approve contracts for usage in a specific and single invitation to bid or contract and may provide for modification, alteration, addition or deletion to general terms and conditions or special terms and conditions in that particular invitation to bid. *(Office of Attorney General for the State; 10 IAC 2-1-1; filed Feb 17, 1986, 4:00 pm: 9 IR 1546; readopted filed Nov 6, 2001, 10:15 a.m.: 25 IR 897)*

### **Rule 2. Form Approval**

#### **10 IAC 2-2-1 Purchase order form and QPA release form approval**

Authority: IC 4-13-2-14

Affected: IC 4-13-2-14

Sec. 1. (a) The department of administration, procurement division, may issue purchase orders or QPA releases on behalf of any state agency without submitting such purchase order forms or QPA releases individually to the office of attorney general for review and approval in the following circumstances:

(1) The purchase order or QPA release is issued pursuant to a contract or QPA that has been individually reviewed and approved by a deputy attorney general designated by the attorney general to review and approve contracts.

(2) The total amount of the purchase order is less than one hundred thousand dollars (\$100,000), and it is issued, as a result of a bidding procedure conducted in accordance with IC 4-13.4-5-2 [*IC 4-13.4 was repealed by P.L. 49-1997, SECTION 86, effective July 1, 1998.*], for the purchase of supplies that are tangible personal property and the invitation to bid utilizes only general terms and conditions, special terms and conditions or single contract terms and conditions.

(3) The purchase order is issued for the purchase of supplies or services where the contract is approved by a rule adopted by the attorney general.

(b) The department of administration, public works division, may issue purchase orders on behalf of any state agency for public works projects, as defined in IC 4-13.4-1-4 [*IC 4-13.4 was repealed by P.L. 49-1997, SECTION 86, effective July 1, 1998.*], without submitting such purchase order forms individually to the office of the attorney general for review and approval in the following circumstances:

(1) The purchase order is issued pursuant to a contract that has been individually reviewed and approved by a deputy attorney general designated by the attorney general to review and approve contracts.

(2) The total amount of the purchase order is less than two thousand five hundred dollars (\$2,500) and the contract is approved by a rule adopted by the attorney general.

(c) All proposed purchase order forms and QPA release forms shall be submitted to the office of attorney general prior to usage under the provisions of subsections (a) and (b) of this section. Attorney general approval of such forms will be given in writing and filed with the commissioner of the department of administration, the state board of accounts and the commission on public records. This approval may be revoked, prospectively, upon written notice filed with the commissioner of the department of administration, the state board of accounts and the commission on public records.

(d) Purchase orders or QPA releases, in order to be issued, must include additional information not preprinted on the form including, but not limited to, the name and address of the vendor or contractor, the state agency involved, budgetary account information, a description of the goods or services, the price, and other various items. The procurement division or the public works division shall so complete these forms; however, no term in conflict with those terms shown on the invitation to bid or preprinted on the purchase order forms, or in conflict with the contract individually approved by a deputy attorney general, may be added without the written approval of a deputy attorney general designated by the attorney general to review and approve contracts.

(e) All purchase orders or QPA releases not meeting the requirements of this section must be individually submitted to the office of the attorney general for review and approval. (*Office of Attorney General for the State; 10 IAC 2-2-1; filed Feb 17, 1986, 4:00 pm; 9 IR 1546; readopted filed Nov 6, 2001, 10:15 a.m.: 25 IR 897*)

#### **10 IAC 2-2-1.5 Department of transportation purchase order form approval**

Authority: IC 4-13-2-14.3

Affected: IC 8-23-2-6

Sec. 1.5. (a) The department of transportation may issue purchase orders on behalf of the agency without submitting such purchase order forms individually to the office of the attorney general for review and approval in the following circumstances:

(1) The purchase order is issued pursuant to a contract that has been individually reviewed and approved by a deputy attorney general designated by the attorney general to review and approve contracts.

(2) The total amount of the purchase order is less than one hundred thousand dollars (\$100,000), and it is issued, as a result of a bidding procedure conducted in accordance with 105 IAC 12, for the purchase of supplies that are tangible personal property and the invitation to bid utilizes only general terms and conditions, special terms and conditions, or single contract terms and conditions.

(3) The purchase order is issued for the purchase of supplies or services where the contract is approved by a rule adopted by the attorney general.

(b) All proposed purchase order forms shall be submitted to the office of the attorney general prior to usage under the provisions of subsection (a). Attorney general approval of such forms will be given in writing and filed with the commissioner of the department of transportation, the state board of accounts, and the commission on public records. This approval may be revoked, prospectively, upon written notice filed with the commissioner of the department of transportation, the state board of accounts, and the commission on public records.

(c) Purchase orders, in order to be issued, must include additional information not preprinted on the form, including, but not limited to, the name and address of the vendor or contractor, budgetary account information, a description of the goods or services, the price, and other various items. In completing these forms, no term in conflict with those terms shown on the invitation to bid or preprinted on the purchase order forms, or in conflict with the contract individually approved by a deputy attorney general, may be added without the written approval of a deputy attorney general designated by the attorney general to review and approve contracts.

(d) All purchase orders not meeting the requirements of this section must be individually submitted to the office of the attorney general for review and approval. (*Office of Attorney General for the State; 10 IAC 2-2-1.5; filed Feb 2, 1995, 3:20 p.m.: 18 IR 1454; readopted filed Nov 6, 2001, 10:15 a.m.: 25 IR 897*)

#### **10 IAC 2-2-2 Contract terms and conditions requiring approval**

Authority: IC 4-13-2-14

Affected: IC 4-13-2-14

Sec. 2. (a) General terms and conditions and special terms and conditions approved by the attorney general for usage in invitations to bid shall be filed with the department of administration and will be maintained and on file in the office of the attorney general, Room 219, State House, Indianapolis, Indiana.

(b) Single contract terms and conditions will be approved by a written instrument signed by a deputy attorney general designated by the attorney general to review and approve contracts. Single contract terms and conditions shall be included as part of the invitation to bid issued by the procurement division or the public works division, whichever issues the invitation to bid. (*Office of Attorney General for the State; 10 IAC 2-2-2; filed Feb 17, 1986, 4:00 pm: 9 IR 1547; readopted filed Nov 6, 2001, 10:15 a.m.: 25 IR 897*)

**Rule 3. Contract Approval**

**10 IAC 2-3-1 Types of contracts requiring approval**

Authority: IC 4-13-2-14

Affected: IC 4-13-2-20

Sec. 1. (a) The following particular types of contracts are not required to be individually submitted to the office of the attorney general for review and approval as to form and legality if the contract maximum is less than two thousand five hundred dollars (\$2,500), and a separate record is maintained of all such contracts showing the agency involved, the vendor, the dollar amount of the contract, a brief description of the contract and, if applicable, the purchase order number:

- (1) Advertising and legal notice publication contracts.
- (2) Travel, hotel and motel arrangements, license examination space rental, conference room rental and any other workshop oriented contracts provided that these contracts do not exceed thirty (30) days per year for each contract.
- (3) Contracts for services including, but not limited to, maintenance and service agreements for equipment or premises.
- (4) Rental of goods or equipment for a single period less than ninety (90) days without renewal, provided, the value of the goods or equipment which might suffer loss is established in the contract to be less than ten thousand dollars (\$10,000).
- (5) Subscription agreements for books, periodicals, publications and other printed materials.
- (6) Purchase of supplies with full payment to be made following delivery and acceptance. No contracts for the purchase of supplies with periodic payments to be made are hereby approved; however, this shall not prohibit partial payments from being made for partial delivery.
- (7) Contracts for the construction, repair, or improvement of public buildings, or the preparation of drawings, plans, and specifications therefor, or the routine operation or maintenance of public structures, buildings, or real property.

(b) Except for temporary premises rental for travel, conference or workshop, as provided in subsection (a)(2) of this section, all premises leasing or rental agreements must be individually submitted to the office of attorney general for review and approval.

(c) Contracts for the purchase of supplies or services less than two thousand five hundred dollars (\$2,500) made by any agency pursuant to special disbursing officer authority, IC 4-13-2-20, are not required to be submitted individually to the office of attorney general for review and approval and are hereby approved if no provision thereof is in conflict with Indiana law.

(d) All contracts not meeting the requirements of this section must be individually submitted to the office of the attorney general for review and approval. (*Office of Attorney General for the State; 10 IAC 2-3-1; filed Feb 17, 1986, 4:00 pm: 9 IR 1547; readopted filed Nov 6, 2001, 10:15 a.m.: 25 IR 897*)

**ARTICLE 3. TORT CLAIMS**

**Rule 1. Tort Claims**

**10 IAC 3-1-1 Tort claims against the state; form**

Authority: IC 34-13-3-6

Affected: IC 9-13-2-73; IC 11-10-8; IC 11-12; IC 12-23; IC 20-8.1-5.1-7; IC 34-6-2-38; IC 34-13-3-3; IC 35-33-8; IC 35-46-1-15.1

Sec. 1. (a) A claim for personal injury or property damage against the state of Indiana must be filed on the form prescribed

OFFICE OF ATTORNEY GENERAL FOR THE STATE

in subsection (b) or be in writing as prescribed under IC 34-13-3 and this rule.

(b) Claim Form:

STATE OF INDIANA  
CLAIM FOR PERSONAL INJURY OR PROPERTY DAMAGE

\* Use additional sheets if necessary \*

- 1. Name of Claimant: \_\_\_\_\_ Driver's License No.: \_\_\_\_\_
- 2. Date and Time of Loss: \_\_\_\_\_
- 3. Exact Location of Loss (Include County, Nearest Crossroad, and Town, etc.): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 4. Dollar Amount of Loss: \_\_\_\_\_
- 5. State Agency and State Vehicle Commission Number (If known): \_\_\_\_\_  
\_\_\_\_\_
- 6. Names and Addresses of All Persons Involved (If known): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 7. Address of Claimant at Time of Loss: \_\_\_\_\_
- 8. Claimant's Current Address and Work/Home Telephone Numbers: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 9. How was the State Negligent: \_\_\_\_\_  
\_\_\_\_\_
- 10. Explanation of What Happened: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I swear and affirm under the penalties for perjury that the foregoing information is true and correct to the best of my knowledge and belief.

\_\_\_\_\_  
Claimant's Signature

\_\_\_\_\_  
Date

**\*\*ATTACH COPIES OF MEDICAL BILLS, ACCIDENT REPORTS, VEHICLE REGISTRATION, PHOTOGRAPHS, TWO ESTIMATES OF REPAIR, OR RECEIPTS FOR REPAIRS TO YOUR PROPERTY, AND ANY ADDITIONAL DOCUMENTATION IN REFERENCE TO THIS MATTER.\*\***

Mail this claim form and any attachments by CERTIFIED or REGISTERED mail to:  
Office of the Attorney General  
Attn: Tort Claims Investigations  
IGCS - 5th Floor  
402 West Washington Street

Indianapolis, Indiana 46204

NOTICE OF TORT CLAIM FORM  
for PROPERTY DAMAGE & PERSONAL INJURY  
Provided by the State of Indiana - Office  
of the Attorney General

Anyone who has a claim for personal injury or property damage against the State of Indiana must either use the following form to file a claim or make the claim in writing as prescribed in Indiana Code 34-13-3 and these rules.

KEEP A COPY OF YOUR CLAIM FORM, YOUR RECEIPTS FOR YOUR BILLS, AND YOUR CERTIFIED OR REGISTERED MAIL RECEIPT.

If your claim is properly filed, the Office of the Attorney General will investigate it and will notify you in writing within 90 days of receipt if your claim is approved. A claim is denied if not approved within 90 days.

DO NOT DELAY MAKING YOUR CLAIM. INDIANA LAW GIVES YOU ONLY 270 (TWO HUNDRED SEVENTY) DAYS AFTER THE LOSS TO MAKE A CLAIM, AND IT MUST COMPLY WITH Indiana Code 34-13-3. EACH PERSON WHO HAD A LOSS SHOULD FILE A SEPARATE FORM.

The filing of this claim is part of a legal process. If you have any questions about the right way to file a claim, you should contact an attorney of your choice. The state's attorneys are not authorized by law to assist you with filing this claim; however, for your information, the following is a list of actions or conditions resulting in nonliability pursuant to Indiana Code 34-13-3:

"Sec. 3. A governmental entity or an employee acting within the scope of the employee's employment is not liable if a loss results from:

- (1) The natural condition of unimproved property.
- (2) The condition of a reservoir, dam, canal, conduit, drain, or similar structure when used by a person for a purpose which is not foreseeable.
- (3) The temporary condition of a public thoroughfare or extreme sport area that results from weather.
- (4) The condition of an unpaved road, trail, or footpath, the purpose of which is to provide access to a recreation or scenic area.
- (5) The design, construction, control, operation, or normal condition of an extreme sport area, if all entrances to the extreme sport area are marked with:
  - (A) a set of rules governing the use of the extreme sport area;
  - (B) a warning concerning the hazards and dangers associated with the use of the extreme sport area; and
  - (C) a statement that the extreme sport area may be used only by persons operating extreme sport equipment.

This subdivision shall not be construed to relieve a governmental entity from liability for the continuing duty to maintain extreme sports areas in a reasonably safe condition.

- (6) The initiation of a judicial or an administrative proceeding.
- (7) The performance of a discretionary function; however, the provision of medical or optical care, as provided in IC 34-6-2-38 shall be considered to be a ministerial act.
- (8) The adoption and enforcement of or failure to adopt or enforce a law (including rules and regulations), unless the act of enforcement constitutes false arrest or false imprisonment.
- (9) An act or omission performed in good faith and without malice under the apparent authority of a statute which is invalid, if the employee would not have been liable had the statute been valid.
- (10) The act or omission of anyone other than the governmental entity or the governmental entity's employee.
- (11) The issuance, denial, suspension, or revocation of, or failure or refusal to issue, deny, suspend, or revoke, any permit, license, certificate, approval, order, or similar authorization, where the authority is discretionary under the law.
- (12) Failure to make an inspection, or making an inadequate or negligent inspection, of any property, other than the property of a governmental entity, to determine whether the property complied with or violates any law or contains a hazard to health or safety.
- (13) Entry upon any property where the entry is expressly or impliedly authorized by law.
- (14) Misrepresentation if unintentional.
- (15) Theft by another person of money in the employee's official custody, unless the loss was sustained because of the employee's own negligent or wrongful act or omission.
- (16) Injury to the property of a person under the jurisdiction and control of the department of correction if the person has not

exhausted the administrative remedies and procedures provided by section 7 of this chapter.

(17) Injury to the person or property of a person under supervision of a governmental entity and who is:

(A) on probation; or

(B) assigned to an alcohol and drug services program under IC 12-23, a minimum security release program under IC

11-10-8, a pretrial conditional release program under IC 35-33-8, or a community corrections program under IC 11-12.

(18) Design of a highway (as defined in IC 9-13-2-73), if the claimed loss occurs at least twenty (20) years after the public highway was designed or substantially redesigned; except that this subdivision shall not be construed to relieve the responsible governmental entity from the continuing duty to provide and maintain public highways in a reasonably safe condition.

(19) Development, adoption, or implementation, operation, maintenance, or use of an enhanced emergency communication system.

(20) Injury to a student or a student's property by an employee of a school corporation if the employee is acting reasonably under a discipline policy adopted under IC 20-8.1-5.1-7(b).

(21) An error resulting from or caused by a failure to recognize the year 1999, 2000, or a subsequent year, including an incorrect date or incorrect mechanical or electronic interpretation of a date, that is produced, calculated, or generated by:

(A) a computer;

(B) an information system; or

(C) equipment using microchips;

that is owned or operated by a governmental entity. However, this subdivision does not apply to acts or omissions amounting to gross negligence, willful or wanton misconduct, or intentional misconduct. For purposes of this subdivision, evidence of gross negligence may be established by a party by showing failure of a governmental entity to undertake an effort to review, analyze, remediate, and test its electronic information systems or by showing failure of a governmental entity to abate, upon notice, an electronic information system error that caused damage or loss. However, this subdivision expires June 30, 2003.

(22) An act or omission performed in good faith under the apparent authority of a court order described in IC 35-46-1-15.1 that is invalid, including an arrest or imprisonment related to the enforcement of the court order, if the governmental entity or employee would not have been liable had the court order been valid.

*(Office of Attorney General for the State; 10 IAC 3-1-1; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2994; filed Nov 7, 2003, 12:15 p.m.: 27 IR 824)*

**10 IAC 3-1-2 Claim forms available**

Authority: IC 34-13-3-6

Affected: IC 34-13-3

Sec. 2. The office of the attorney general will make claims forms available to all state agencies and to all persons who request a claim form. *(Office of Attorney General for the State; 10 IAC 3-1-2; filed Jul 1, 1997, 4:15 p.m.: 20 IR 2996; filed Nov 7, 2003, 12:15 p.m.: 27 IR 825)*

**ARTICLE 4. ATHLETE AGENTS**

**Rule 1. Authority and Applicability**

**10 IAC 4-1-1 Authority**

Authority: IC 4-6-2-1.3

Affected: IC 25-5.2

Sec. 1. This article is adopted under the authority granted to the attorney general by the uniform athlete agent act (IC 25-5.2). *(Office of Attorney General for the State; 10 IAC 4-1-1; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2208)*

**10 IAC 4-1-2 Applicability**

Authority: IC 4-6-2-1.3

Affected: IC 25-5.2

Sec. 2. The definitions in the uniform athlete agent act and in this rule apply throughout this article. (*Office of Attorney General for the State; 10 IAC 4-1-2; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2208*)

**Rule 2. Definitions**

**10 IAC 4-2-1 “Administrative law judge” defined**

Authority: IC 4-6-2-1.3

Affected: IC 4-21.5-1-2; IC 4-21.5-3-35; IC 25-5.2

Sec. 1. “Administrative law judge” shall have the meaning set forth in IC 4-21.5-1-2. (*Office of Attorney General for the State; 10 IAC 4-2-1; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2208*)

**10 IAC 4-2-2 “Division” defined**

Authority: IC 4-6-2-1.3

Affected: IC 4-6-9; IC 25-5.2

Sec. 2. “Division” means the consumer protection division of the office of attorney general for the state. (*Office of Attorney General for the State; 10 IAC 4-2-2; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2208*)

**Rule 3. Fees**

**10 IAC 4-3-1 Fee for registration as an athlete agent**

Authority: IC 4-6-2-1.3

Affected: IC 25-1-8-2; IC 25-5.2-2-7

Sec. 1. The fee for a two (2) year application for registration or renewal of registration is seven hundred dollars (\$700). (*Office of Attorney General for the State; 10 IAC 4-3-1; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2208*)

**Rule 4. Enforcement**

**10 IAC 4-4-1 Powers of regulation by the division**

Authority: IC 4-6-2-1.3

Affected: IC 4-21.5-3-35; IC 25-5.2

Sec. 1. The division shall have the responsibility for the regulation of athlete agents, including the:

- (1) granting;
- (2) denial;
- (3) renewal;
- (4) refusal to renew;
- (5) suspension;
- (6) revocation; and
- (7) restriction;

of certificates of registration of athlete agents. (*Office of Attorney General for the State; 10 IAC 4-4-1; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2208*)

**10 IAC 4-4-2 Powers of investigation by the division**

Authority: IC 4-6-2-1.3

Affected: IC 25-5.2

Sec. 2. The division may investigate any athlete agent matter for which investigative authority is granted to the attorney general

by IC 25-5.2. (*Office of Attorney General for the State; 10 IAC 4-4-2; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2208*)

**Rule 5. Administrative Proceedings**

**10 IAC 4-5-1 Administrative proceedings**

Authority: IC 4-6-2-1.3

Affected: IC 4-21.5-3-35; IC 25-5.2

Sec. 1. Any agency action by the division shall be governed by the rules under the administrative orders and procedures act (IC 4-21.5 et seq.). (*Office of Attorney General for the State; 10 IAC 4-5-1; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2208*)

**10 IAC 4-5-2 Administrative hearings**

Authority: IC 4-6-2-1.3

Affected: IC 4-21.5-3-35; IC 25-5.2

Sec. 2. The attorney general shall set an administrative hearing date within twenty-one (21) days following receipt of the petition for review. (*Office of Attorney General for the State; 10 IAC 4-5-2; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2209*)

**10 IAC 4-5-3 Administrative law judge to be chosen from outside the division**

Authority: IC 4-6-2-1.3

Affected: IC 4-21.5-3-35; IC 25-5.2

Sec. 3. For the administrative hearing described in 10 IAC 4-4-4 [*sic.*], the attorney general or his designee shall act as administrative law judge. Should the attorney general choose to designate an administrative law judge, the administrative law judge for this hearing shall be selected from outside the division. (*Office of Attorney General for the State; 10 IAC 4-5-3; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2209*)

**Rule 6. Agency Contract Notice Provision**

**10 IAC 4-6-1 Format for notice on agency contract**

Authority: IC 4-6-2-1.3

Affected: IC 4-21.5-3-35; IC 25-5.2-2-8

Sec. 1. For the purposes of IC 25-5.2-2-8, the notice required in IC 25-5.2-2-8(c) shall be considered adequate if the notice is in 14-point boldface type in capital letters within two (2) inches of the signature of the student athlete on the same page as the signature of the student athlete. (*Office of Attorney General for the State; 10 IAC 4-6-1; filed Feb 22, 2002, 2:52 p.m.: 25 IR 2209*)

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