

**STATE OF CONNECTICUT
OFFICE OF THE STATE TREASURER
Unclaimed Property Division
Verification and Checklist
Calendar Year Ending December 31, 2020
(Maintain with Your Records – Do Not Mail to UCP)**

Holder Name _____ Tax ID Number _____
 Street Address _____
 City _____ State _____ Zip Code _____
 State of Incorporation _____ Date of Incorporation _____

Every person, corporation, or other business association, banking or financial organization, life insurance corporation, utility, court or public authority must complete the following checklist **before filing their Connecticut Holder Report of Unclaimed Property**. This checklist includes by way of illustration, but not limitation, those items which are covered by sections of the Connecticut Unclaimed Property Law.

Please complete the checklist by checking "Yes" by each property type you are reporting. Each item checked "Yes" must be enumerated in your Holder Report of Unclaimed Property.

Please indicate the primary business activity of your company: _____

Did you file and remit a report of unclaimed property last year: Yes _____ No _____

If no, please explain: _____

Please check appropriate property types:

| Code | Code Description | Years | Code | Code Description | Years |
|-------------------------------|---|--------------|----------------------|---|--------------|
| <u>Financial Institutions</u> | | | <u>Miscellaneous</u> | | |
| ___ | AC01 Checking Accounts | 3 | ___ | MS01 Wages, Payroll, Salary | 1 |
| ___ | AC02 Savings Accounts | 3 | ___ | MS02 Commissions | 1 |
| ___ | AC03 Matured CD or Savings Certificates | 3 | ___ | MS03 Worker's Compensation Benefits | 3 |
| ___ | AC04 Christmas or Vacation Club Funds | 3 | ___ | MS04 Payment for Goods and Services | 3 |
| ___ | AC05 Money on Deposit to Secure Funds | 3 | ___ | MS05 Customer Overpayments | 3 |
| ___ | AC06 Security Deposits | 3 | ___ | MS06 Unidentified Remittances | 3 |
| ___ | AC07 Unidentified Deposits | 3 | ___ | MS07 Unrefunded Overcharges | 3 |
| ___ | AC08 Suspense Accounts | 3 | ___ | MS08 Accounts Payable | 3 |
| ___ | AC99 Aggregate CGS 3-65a(b) | 3 | ___ | MS09 Credit Balances/Accounts Receivable | 3 |
| <u>Official Checks</u> | | | ___ | MS10 Discounts Due | 3 |
| ___ | CK01 Cashier's Checks | 3 | ___ | MS11 Refunds Due | 3 |
| ___ | CK02 Certified Checks | 3 | ___ | MS13 Unclaimed Loan Collateral | 3 |
| ___ | CK03 Registered Checks (incl. bank m.o.) | 3 | ___ | MS14 Pension and Profit sharing Plans | 3 |
| ___ | CK04 Treasurer's Checks | 3 | ___ | MS15 Dissolution or Liquidation | 1 |
| ___ | CK05 Drafts | 3 | ___ | MS16 Miscellaneous Outstanding Checks | 3 |
| ___ | CK06 Warrants | 3 | ___ | MS17 Miscellaneous Intangible Property | 3 |
| ___ | CK07 Money Orders (non-bank) | 7 | ___ | MS18 Suspense Liabilities | 3 |
| ___ | CK08 Traveler's Checks: | | ___ | MS99 Aggregate Miscellaneous Property | 3 |
| ___ | If banking or financial organization is directly liable | 3 | <u>Insurance</u> | | |
| ___ | If business association is directly liable (i.e.: Travelers Express is considered a business association) | 15 | ___ | IN01 Individual Policy Benefits or Claims | 3 |
| ___ | CK09 Foreign Exchange Checks | 3 | ___ | IN02 Group Policy Benefits or Claims | 3 |
| ___ | CK10 Expense Checks | 3 | ___ | IN03 Proceeds Due Beneficiaries | 3 |
| ___ | CK11 Pension Checks | 3 | ___ | IN04 Proceeds From Matured Policies | 3 |
| ___ | CK12 Credit Checks or Memoranda | 3 | ___ | IN05 Premium Refunds | 3 |
| ___ | CK13 Vendor Checks | 3 | ___ | IN06 Unidentified Remittances | 3 |
| | | | ___ | IN07 Other Amounts Due Under Policy | 3 |
| | | | ___ | IN08 Agent Balances | 3 |
| | | | ___ | IN09 Limiting Age | 3 |

| Code | Code Description | Years | Code | Code Description | Years |
|---------------------------------|---------------------------------------|-------|---|---|-------|
| ___ CK14 | Checks Written Off to Income | 3 | ___ IN10 | Demutualization | 3 |
| ___ CK15 | Other Outstanding Official Checks | 3 | | | |
| ___ CK16 | CD Interest Checks | 3 | | | |
| ___ CK99 | Aggregate Uncashed Checks | 3 | | | |
| <u>Court Funds</u> | | | <u>Utilities</u> | | |
| ___ CT01 | Escrow Funds | 3 | ___ UT01 | Utility Deposits | 1 |
| ___ CT02 | Condemnation Awards | 3 | ___ UT02 | Membership Fees | 1 |
| ___ CT03 | Missing Heirs' Funds | 1 | ___ UT03 | Refunds Or Rebates | 1 |
| ___ CT04 | Suspense Accounts | 3 | ___ UT04 | Capital Credit Distributions | 1 |
| ___ CT 05 | Other Court or Public Authority Funds | 3 | ___ UT99 | Aggregate Utility Property | 1 |
| ___ CT 06 | Bail Bonds | 3 | | | |
| ___ CT99 | Aggregate Court Deposits | 3 | | | |
| <u>Safe Deposit/Safekeeping</u> | | | <u>Securities</u> | | |
| ___ SD01 | Safe Deposit Contents | 5 | ___ SC01 | Dividends (\$) | 3 |
| ___ SD01 | Other Safekeeping | 5 | ___ SC02 | Interest(Bonds/Debenture Coupons) (\$) | 3 |
| ___ SD03 | Other Tangible Property | 5 | ___ SC03 | Principal(Bonds/Debenture)Payments(\$) | 3 |
| | | | ___ SC04 | Equity Payments (\$) | 3 |
| | | | ___ SC05 | Profits (Capital Gains) (\$) | 3 |
| <u>Other Insurance</u> | | | ___ SC06 | Funds Paid to Purchase Shares (\$) | 3 |
| ___ IN01 | Individual Policy Benefits or Claims | 3 | ___ SC07 | Funds for Stocks and Bonds (\$) | 3 |
| ___ IN02 | Group Policy Benefits or Claims | 3 | ___ SC08 | Shares of Stock (Certs Retd by PO) (sh) | 3 |
| ___ IN03 | Proceeds Due Beneficiaries | 3 | ___ SC09 | Cash for Fractional Shares (\$) | 3 |
| ___ IN04 | Proceeds From Matured Policies | 3 | ___ SC10 | Unexchanged Stock of Successor (sh) | 3 |
| ___ IN05 | Premium Refunds | 3 | ___ SC11 | Other Certificates of Ownership (sh) | 3 |
| ___ IN06 | Unidentified Remittances | 3 | ___ SC12 | Underlying/Outstanding Shares (sh) | 3 |
| ___ IN07 | Other Amounts Due Under Policy | 3 | ___ SC13 | From Liquidated/Redempt of Stock (sh) | 3 |
| ___ IN08 | Agent Credit Balances | 3 | ___ SC14 | Debentures/Bonds (sh) | 3 |
| ___ IN09 | Limiting Age | 3 | ___ SC15 | US Government Securities (sh) | 3 |
| ___ IN10 | Demutualization | 3 | ___ SC16 | Mutual Fund Shares (sh) | 3 |
| ___ IN99 | Aggregate Insurance Property | 3 | ___ SC17 | Warrants (Rights) (sh) | 3 |
| | | | ___ SC18 | Matured Bond/Debenture Principal (\$) | 3 |
| | | | ___ SC19 | Dividend Reinvestment Plans (sh) | 3 |
| <u>Mineral Proceeds</u> | | | ___ SC20 | Credit Balances (\$) | 3 |
| ___ MI01 | Net Revenue Interest | 3 | ___ SC21 | Distributions-Mutual Fund Accounts (\$) | 3 |
| ___ MI02 | Royalties | 3 | ___ SC99 | Aggregate Securities-Related (\$) | 3 |
| ___ MI03 | Overriding Royalties | 3 | | | |
| ___ MI04 | Production Payments | 3 | <u>Traditional IRA, SEP IRA, SARSEP IRA, Simple IRA</u> | | |
| ___ MI05 | Working Interests | 3 | ___ IR01 | Cash | 3 |
| ___ MI06 | Bonuses | 3 | ___ IR02 | Mutual Funds | 3 |
| ___ MI07 | Delay Rentals | 3 | ___ IR03 | Securities | 3 |
| ___ MI08 | Shut-In Royalties | 3 | ___ IR04 | Reserved for Traditional IRA (Code Reserved for Future Use) | |
| ___ MI09 | Minimum Royalties | 3 | | | |
| ___ MI99 | Aggregate Mineral Interests | 3 | <u>All Other Property</u> | | |
| | | | ___ ZZZZ | Properties Not Identified Above | 3 |
| <u>Trust Property</u> | | | | | |
| ___ TR01 | Paying Agent Accounts | 3 | | | |
| ___ TR02 | Undelivered or Uncashed Dividends | 3 | | | |
| ___ TR03 | Funds Held in Fiduciary Capacity | 7 | | | |
| ___ TR04 | Escrow Accounts – (ie: IOLTA) | 3 | | | |
| ___ TR05 | Trust vouchers | 3 | | | |
| ___ TR06 | Pre-need Funeral Plans | 3 | | | |
| ___ TR99 | Aggregate Plus Property | 3 | | | |

Revised: November 2020