



Reporting Physical Certificates, Worthless, Privately Held, Delisted, and Non-Transferable Securities

Non DTC Eligible and Non Deliverable Securities

Physical Stock Certificates in the name of the original owner: Connecticut will accept stock certificates in the name of the original owner for privately held companies, delisted companies, some foreign companies (not regularly traded issues), worthless securities, and non-transferable securities.

Please submit these stock certificates as a safekeeping item. **DO NOT INCLUDE on the holder report.** Submit an excel spreadsheet with original owner information (name, last known address, social security number, if known, etc.), stock certificate number, and number of shares, with the actual physical certificate in the owner's name only to the Office of the Treasurer separate from the delivery of the holder report. Submit the spreadsheet with a signed coversheet from an officer of the company, so we may load separately. **Physical Certificates must NOT be in the name of the Treasurer, State of CT, Nutmeg & Co, etc.; they must be in the owner's name.**

Connecticut will list the stock certificates in the original owner's name on our website as a safekeeping item only. If you have any questions regarding this process, please send email to CTReportHolder@ct.gov

Worthless Securities: If worthless securities cannot be delivered to the State of Connecticut, then **DO NOT include them on the holder report.** If you can put them in certificate form, you can submit an excel spreadsheet with original owner information (name, last known address, social security number, if known, etc.), stock certificate number, and number of shares, with the actual physical certificate in the owner's name only to the Office of the Treasurer separate from the delivery of the holder report. Submit the spreadsheet with a signed coversheet from an officer of the company, so we may load separately. **Only report securities you have delivered to the State of Connecticut's custodian on the holder report.** If the security returns to a position of transferability, it must then be reported based on the last activity date in effect when it would have originally been escheated to the State of Connecticut. **Prior to delivery, you must notify the Treasurer's office indicating that the security is being delivered and what the transaction pertains to. Since worthless securities were not reported on a prior holder report, you MUST submit a new holder report with this delivery.**

The only authorized vendor to have custody of State of Connecticut Unclaimed Property securities is Bank of New York Mellon. (Companies/Brokers/ Holders **CAN NOT SET-UP SEPARATE ACCOUNTS** in the State of Connecticut name. When transferring shares, they must be registered in the name of the State of Connecticut.) If a holder can not report and deliver the shares to Connecticut's Bank of New York Mellon transfer agent, **DO NOT report the shares on a holder report to the state. You must maintain the shares in the name of the original owner until the security returns to a position of value (Conn. Gen. Stat. § 3-65a(f)) or submit an excel spreadsheet with the original certificates in the name of the original owner. These stock certificates will be maintained as safekeeping items.**

Foreign Securities: Connecticut is recommending you contact via email either Vilka Markovich at Vilka.Markovich@avenuinsights.com or to CTHolderReport@ct.gov before attempting the transfer of foreign securities. You will need to provide the issue name, cusip #, and the number of shares attempting to deliver. **If the foreign securities cannot be delivered to the State of Connecticut, then DO NOT report them on the holder report.** If you can put them in certificate form, you can submit an excel spreadsheet with original owner information (name, last known address, social security number, if known, etc.), stock certificate number, and number of shares, with the actual physical certificate in the owner's name only to the Office of the Treasurer separate from the delivery of the holder report. Submit the spreadsheet with a signed coversheet from an officer of the company, so we may load separately. **Only report securities you have delivered to the State of Connecticut's custodian on the holder report.** When the security returns to a position of transferability, it must then be reported based on the last activity date in effect when it would have originally been escheated to the State of Connecticut. **Prior to delivery, you must notify the Treasurer's office indicating that the security is being delivered and what the transaction pertains to. Since the foreign securities were not reported on a prior holder report, you MUST submit a new holder report with this delivery.**

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Non-Transferable Securities: **If the non-transferable securities cannot be delivered to the State of Connecticut, then DO NOT report them on the holder report.** If you can put them in certificate form, you can submit an excel spreadsheet with original owner information (name, last known address, social security number, if known, etc.), stock certificate number, and number of shares, with the actual physical certificate in the owner's name only to the Office of the Treasurer separate from the delivery of the holder report. Submit the spreadsheet with a signed coversheet from an officer of the company, so we may load separately. **Only report securities you have delivered to the State of Connecticut's custodian on the holder report.** When the security returns to a position of transferability, it must then be reported based on the last activity date in effect when it would have originally been escheated to the State of Connecticut. **Prior to delivery, you must notify the Treasurer's office indicating that the security is being delivered and what the transaction pertains to. Since non-transferable securities were not reported on a prior holder report, you MUST submit a new holder report with this delivery.**

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Privately Held Securities: If the privately held securities cannot be delivered to the State of Connecticut, then **DO NOT** report them on the holder report. Submit an excel spreadsheet with original owner information (name, last known address, social security number, if known, etc.), stock certificate number, and number of shares, with the actual physical certificate in the owner's name only to the Office of the Treasurer separate from the delivery of the holder report. Submit the spreadsheet with a signed coversheet from an officer of the company, so we may load separately. **Only report securities you have delivered to the State of Connecticut's custodian on the holder report.** When the security returns to a position of transferability, it must then be reported based on the last activity date in effect when it would have originally been escheated to the State of Connecticut. **Prior to delivery, you must notify the Treasurer's office indicating that the security is being delivered and what the transaction pertains to. Since privately held securities were not reported on a prior holder report, you MUST submit a new holder report with this delivery.**

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Delisted Securities: If the delisted securities cannot be delivered to the State of Connecticut, then **DO NOT** report them on the holder report. Submit an excel spreadsheet with original owner information (name, last known address, social security number, if known, etc.), stock certificate number, and number of shares, with the actual physical certificate in the owner's name only to the Office of the Treasurer separate from the delivery of the holder report. Submit the spreadsheet with a signed coversheet from an officer of the company, so we may load separately. **Only report securities you have delivered to the State of Connecticut's custodian on the holder report.** When the security returns to a position of transferability, it must then be reported based on the last activity date in effect when it would have originally been escheated to the State of Connecticut. **Prior to delivery, you must notify the Treasurer's office indicating that the security is being delivered and what the transaction pertains to. Since delisted securities were not reported on a prior holder report, you MUST submit a new holder report with this delivery.**

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