



STATE OF CONNECTICUT
DEPARTMENT OF BANKING
260 CONSTITUTION PLAZA – HARTFORD, CT 06103-1800



CONNECTICUT INTERIM GUIDANCE ON PAPERLESS SUBMISSION OF INVESTMENT COMPANY FILINGS IN LIGHT OF PANDEMIC RESTRICTIONS

Date: March 23, 2020 (last updated 10/6/2021)

As a result of the recent pandemic, many staffers in the Securities and Business Investments Division of the State of Connecticut Department of Banking will be working remotely and will not be physically present in the office. While this may cause some delays with our processing of filings, we will make every effort to limit them.

As an accommodation to investment company filers and for the foreseeable future, the Division is giving you the option of making your filings and payments electronically. This approach will be reassessed once normal functions resume.

Following is a quick summary of the optional procedure.

Non-Monetary Filings Relating to Mutual Funds (Terminations; Name Changes; Correspondent Changes)

In lieu of a mailed paper filing, scanned submissions may be e-mailed to:

dob.sec-reg@ct.gov

Initial Filings and Renewal Filings (With Electronic Payment) Relating to Mutual Funds, Closed-End Funds, Unit Investment Trusts and Face-Amount Certificate Companies

E-mail a copy of the Form NF to the following two recipients: dob.sec-reg@ct.gov and dob.ar@ct.gov

PLEASE CONTACT dob.ar@ct.gov FOR ACCOUNT SPECIFICS ON WHERE TO SEND YOUR ELECTRONIC PAYMENT. FOR E-PAYMENTS WE ACCEPT ACH PAYMENTS ONLY (NOT WIRE TRANSFERS).

CAUTION:

BE SURE THAT YOU (OR YOUR ACCOUNTING PERSONNEL) RESPONSIBLE FOR TRANSMITTING THE ACH PAYMENT INCLUDE THE ISSUER'S NAME ON THE TRANSFER DOCUMENTATION (e.g. under Description or Beneficiary).

WE RECEIVE A LARGE NUMBER OF FILINGS AND MUST BE ABLE TO MATCH PAYMENTS WITH FILINGS. TO ENSURE PROPER CREDIT, TELL US WHEN YOU MADE YOUR ELECTRONIC PAYMENT, THE TYPE OF FILING (e.g. open-end; unit investment trust; closed-end), THE AMOUNT AND THE APPLICABLE REFERENCE NUMBER.

REMEMBER: SUBSTANTIAL PROCESSING DELAYS MAY RESULT IF WE ARE UNABLE TO MATCH A PAYMENT WITH A FILING.

Please feel free to e-mail us at dob.sec-reg@ct.gov if you have any questions or concerns. Thank you.

TEL: (860) 240-8299 ● FAX: (860) 240-8178

Website: <http://www.ct.gov/dob>

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