



## **Reporting and Delivery of Securities Property**

Please note - Connecticut requires that **ALL** securities (All Stocks & Mutual Funds) be reported and delivered in the same asset form as it is held by the rightful owner except DRPs (see DRP reporting)

**The only authorized vendor to have custody of State of Connecticut Unclaimed Property securities is Mellon Bank.**

When reporting securities, please remember that your report is not complete until you provide evidence of the property being transferred into the ownership of the state. The required evidence depends on the type of security and how it will be delivered to our custodian on behalf of the state.

**Two days prior to delivery**, you **MUST** fax an intent to deliver to our custodian – see instructions below.

1)

**All DTC eligible securities MUST be deposited through DTC or DWAC (if not DTC participant) as follows:**

Nominee Name:  
Nutmeg & Co.  
FEIN# 56-2420244

DTC Participant # 0954  
Agent Bank # 26017  
Account # AUZF0184702

**Note: A confirmation statement showing Nutmeg & Co as the owner of the shares must accompany your Report of Unclaimed Property for your report to be considered complete.**

2)

**To register Book Entry Shares / Direct Registration Shares / Dividend Reinvestment Shares as follows:**

Nominee Name:  
Nutmeg & Co.  
FEIN# 56-2420244

c/o ACS Unclaimed Property  
Clearinghouse  
100 Hancock St., 10<sup>th</sup> Floor  
North Quincy, MA 02171

**Note: A confirmation statement showing Nutmeg & Co as the owner of the shares must accompany your Report of Unclaimed Property for your report to be considered complete.**

3)

**To register and deliver Physical Certificates ONLY for non-DTC eligible shares as follows:**

Certificates must be registered as shown below, the original certificate sent to our custodian at the address listed below and a **photocopy of the certificate should be delivered with your report.** **DO NOT deliver the original certificate to the State of Connecticut with your report. Please be advised that certificates registered incorrectly will be returned to you for re-registration and your report will be considered incomplete.** Only one certificate must be delivered for each security position reported.

**Nominee Name:**  
Nutmeg & Co.  
FEIN# 56-2420244

**BNY Mellon Securities Trust**  
**Attn: Mike Visone**  
**One Wall Street, 3<sup>rd</sup> Floor, Receive Window**  
**New York, NY 10005-2500**

**Note: A copy of the Certificate showing Nutmeg & Co as the owner of the shares must accompany your Report of Unclaimed Property for your report to be considered complete.**

4)

**To register and deliver Open Ended Mutual Funds as follows:**

ACS will provide account numbers for all mutual funds that will be delivered to the State's account at Mellon Bank. **Please contact Vilka Markovitch at 617-722-9657 to obtain account numbers 48 hours before attempting delivery of the funds. Please set up all future dividends as reinvested or cash to same account.**

**Send the funds to:**

**c/o ACS Unclaimed Property Clearinghouse**  
**100 Hancock St., 10<sup>th</sup> Floor**  
**North Quincy, MA 02171**

**Note: A confirmation statement showing MAC & Co as the owner of the shares must accompany your Report of Unclaimed Property for your report to be considered complete.**

### **For ALL Securities Remittances - 2 days prior to Actual Delivery**

**Fax an intent to deliver list of the Securities to ACS Unclaimed Property Clearinghouse at (617) 722-9660, Attn: Vilka Markovich, and to the Unclaimed Property Division at (860) 702-3021, Attn: Controller.**

This list should include cusip numbers, number of shares, issue names and delivering party's DTC #. If physical certificates are being reported, a certificate number and a registration for each security should be included. If statement (DRS/Book Shares), a copy of the transfer notification should be faxed to ACS Unclaimed Property Clearinghouse and the State of Connecticut. Then we will provide you with further instructions as to how to proceed with delivery. (See special instructions for delivery of DRP shares.)

**Fractional Shares** - Connecticut requires you sell any fractional shares and report as "cash in lieu" on your holder report.

### **Worthless Securities** -

**If the worthless securities cannot be delivered to the State of Connecticut, then DO NOT include them on the holder report. Only report securities you have delivered to the State of Connecticut.** When the security returns to a position of value, 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 Mellon Bank. (Companies **CANNOT** 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 transfer agent, then **DO NOT** report the shares 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)).

**Foreign Securities** - Connecticut is recommending you contact via email either Vilka Markovich at [Vilka.Markovich@acs-inc.com](mailto:Vilka.Markovich@acs-inc.com) or Marge Supple at [Marge.Supple@ct.gov](mailto:Marge.Supple@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. Only report securities you have delivered to the State of Connecticut.**

The only authorized vendor to have custody of State of Connecticut Unclaimed Property securities is Mellon Bank. (Companies **CANNOT** 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 transfer agent, then **DO NOT** report the shares 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)).

**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. Only report securities you have delivered to the State of Connecticut.** 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.**

The only authorized vendor to have custody of State of Connecticut Unclaimed Property securities is Mellon Bank. (Companies **CANNOT** 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 transfer agent, then **DO NOT** report the shares 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)).