



Reporting and Delivery of Mutual Fund Property

Mutual Funds – When reporting Mutual Funds, please be sure to include the complete Fund name, the FEIN number, and the CUSIP Number for the Fund.

Mutual Fund Shares must be delivered to an account with the below registration, and a statement showing the shares in the State's name must accompany your Holder Report for your report to be considered complete.

The only authorized vendor to have custody of State of Connecticut Unclaimed Property securities is Bank of New York Mellon. (Mutual Fund 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 Mellon transfer agent, DO NOT report the shares to the state on your holder report. 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)).

Dividend re-investment plans for Mutual Fund shares must be converted to cash dividends only. Once the shares have been transferred to the State of Connecticut, there can be no dividend reinvestment shares; we only accept cash.

At least two days prior to delivery,
you MUST fax or email intent to deliver to our custodian –
see instructions below.

Fax or email an "intent to deliver" list of the mutual funds to Xerox State and Local Solutions Unclaimed Property at (617) 532-8755, Attn: Vilka Markovich (vilka.markovich@xerox.com), and to the Unclaimed Property Division at (860) 527-0051, Attn: Controller (cathy.kristof@ct.gov or gloria.g.williams@ct.gov). List should include cusip numbers, number of shares, issue names and delivering party's DTC #. If statement, (DRS/Book Shares), a copy of the transfer notification should be faxed or emailed to Xerox State and Local Solutions and the State of Connecticut. Once received, our office will confirm and provide further delivery instructions.

Register Mutual Funds as follows:

Nominee Name: MAC & CO
State of Connecticut
Mutual Fund Operation
PO BOX 3198
Pittsburgh, PA 15230-3198
Account # AUZF0184702
FEIN # 23-6019000