Reporting and Delivery of DTC/DWAC Stock Securities Property

Please NOTE - Connecticut requires 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 Bank of New York Mellon. (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 cannot report and deliver the shares to Connecticut's Bank of New York transfer agent, then 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)).

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

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 Unclaimed Property Clearinghouse at (617) 722-9660, Attn: Vilka Markovich, (vilka.markovich@xerox.com) and to the Unclaimed Property Division at (860) 527-0051, Attn: Holder Reporting (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 Unclaimed Property Clearinghouse and the State of Connecticut. Once received, our office will confirm and provide further delivery instructions.

1)

All DTC eligible securities MUST be deposited through DTC Free Receipt, 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 Holder Report for your report to be considered complete.

2)

To register Book Entry Shares / Direct Registration Shares / Dividend Reinvestment Shares (DRS) as follows:	
Nominee Name: **Nutmeg & Co.** **FEIN# 56-2420244**	**c/o Xerox State and Local Solutions** **Unclaimed Property** **100 Hancock St., 10th Floor** **Quincy, MA 02171**

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

3)

To register and deliver Open Ended Mutual Funds as follows:
Xerox will provide account numbers for all mutual funds that will be delivered to the State's account at Bank of New York Mellon. **Contact Vilka Markovich at 617-722-9657 to obtain account numbers at least 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 Xerox State and Local Solutions** **Unclaimed Property** **100 Hancock St., 10th Floor** **Quincy, MA 02171**

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

Note: If statement (DRS/Book Shares), a copy of the transfer notification should be faxed or emailed to Xerox State and Local Solutions Unclaimed Property and the State of Connecticut, Office of the Treasurer. Once received, our office will provide confirmation and further delivery instructions. (See special instructions for delivery of DRP shares.)

Fractional Shares - Connecticut requires you sell any fractional shares and report as "cash in lieu" as a separate line item in the owner's name on your holder report.

Revised: November 2015