



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**.

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. 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 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 Report of Unclaimed Property 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., 10 th Floor 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 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 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 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 Report of Unclaimed Property for your report to be considered complete.

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

Fax an intent to deliver list of the Securities to Xerox State and Local Solutions Unclaimed Property at (617) 722-9660, Attn: Vilka Markovich, and to the Unclaimed Property Division at (860) 527-0051, Attn: Controller.

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 Xerox State and Local Solutions Unclaimed Property and the State of Connecticut. Once received, our office will provide 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" on your holder report in the owner's name.

Revised: October 2013