



STATE OF CONNECTICUT
OFFICE OF THE STATE TREASURER
Unclaimed Property Division

State of Connecticut Deadline for filing reports: within 90 days after end of current calendar year – before March 31, 2010

Holder Reporting Instructions

1. **First determine if you have any unclaimed property to report to Connecticut – fill out verification and checklist (form on website)**
2. **Mail due diligence letters to all owners of property within the last year of the dormancy period – to the owner’s last known address – first class mail (see due diligence sample letter on website) Give the owners a 45 day due date to comply with your request to contact you before you transfer the property to the state at the end of the calendar year. (Note: Do not mail due diligence letters in January 1, 2010 thru March 31, 2010 for property you are reporting to Connecticut before March 31, 2010. Holders should have sent letters in 2009 for property reported and paid to Connecticut in 2010.) Questions regarding this issue can be submitted by email to marge.supple@ct.gov .**
3. **Prepare your holder report – Use an electronic method of reporting your properties. CD-ROM and diskettes are accepted. We do not accept email submissions at this time. If you need assistance with your holder report, please e-mail Cathy Kristof at cathy.kristof@ct.gov**
4. **A check must accompany the holder report for the total amount of the property on the report, made payable to: Treasurer, State of Connecticut, Unclaimed Property**
5. **Complete a coversheet –must be signed and notarized - coversheet is required with each report – (See Reporting Forms & Instructions – bullet #2 – Cover Sheet Form)**
6. **Mail the following:**
 - a. **Check (payable to Treasurer, State of Connecticut, Unclaimed Property)**
 - b. **Cover sheet (notarized and signed by company officer)**
 - c. **Diskette/CD**

to:

**Treasurer, State of Connecticut
Unclaimed Property Division
POB 150435
Hartford, CT 06115-0489**

Contact Information

If you need assistance with reporting or if you need assistance with the HRS PRO software, please e-mail Cathy Kristof at cathy.kristof@ct.gov

Other reporting questions can be submitted by email to marge.supple@ct.gov



STATE OF CONNECTICUT
OFFICE OF THE STATE TREASURER

Unclaimed Property Division
Report of Unclaimed Property Cover Sheet
Calendar Year 20__

Holder Name _____ Tax ID Number _____

Street Address _____

City _____ State _____ Zip Code _____

State of Incorporation _____ Date of Incorporation _____

Contact Name _____ Phone Number _____ E-mail _____

FOLLOW INSTRUCTIONS FOR REPORTING UNCLAIMED PROPERTY
FILE ORIGINALS WITH YOUR REMITTANCE ON OR BEFORE MARCH 31ST.

State of _____ County of _____

I, _____, being first duly sworn, on oath depose and state that I have caused to be prepared and have examined this report hereto totaling \$ _____, # of shares _____ and # of properties _____ as to property presumed abandoned under Connecticut Unclaimed Property Law for the year ending as stated, that I am duly authorized to execute this verification by the holder and by law and that I believe that said report is true, correct and complete as of said date, excepting for such property as has since ceased to be abandoned.

Signature _____ Title _____

Subscribed and sworn to before me this ____ day of _____ 20__.

Notary Signature (and Seal) _____



STATE OF CONNECTICUT
OFFICE OF THE STATE TREASURER

Unclaimed Property Division
Calendar Year 2009 Property Codes with Dormancy Periods By Category

Code	Code Description	Years	Code	Code Description	Years
<u>Accounts Balances</u>			<u>Miscellaneous</u>		
AC01	Checking Accounts	3	MS01	Wages, Payroll, Salary	1
AC02	Savings Accounts	3	MS02	Commissions	1
AC03	Matured CD or Savings Certificates	3	MS03	Workers' Compensation Benefits	3
AC04	Christmas/Vacation Club Funds	3	MS04	Payment for Goods & Services	3
AC05	Money on Deposit to Secure Funds	3	MS05	Customer Overpayments	3
AC06	Security Deposits	3	MS06	Unidentified Remittances	3
AC07	Unidentified Deposits	3	MS07	Unrefunded Overcharges	3
AC08	Suspense Accounts	3	MS08	Accounts Payable	3
AC99	Aggregate CGS 3-65a(b)	3	MS09	Credit Balances/Accounts Receivable	3
<u>Uncashed Checks</u>			MS10	Discounts Due	3
CK01	Cashier's Checks	3	MS11	Refunds Due	3
CK02	Certified Checks	3	MS13	Unclaimed Loan Collateral	3
CK03	Registered Checks (incl. bank MO'S)	3	MS14	Pension & Profit Sharing Plans	3
CK04	Treasurer's Checks	3	MS15	Dissolutions & Liquidations	1
CK05	Drafts	3	MS16	Miscellaneous Outstanding Checks	3
CK06	Warrants	3	MS17	Miscellaneous Intangible Property	3
CK07	Money Orders (NON-BANK)	7	MS18	Suspense Liabilities	3
CK08	Traveler's Checks: <i>If banking or financial organization is directly liable</i>	3	MS99	Aggregate Miscellaneous Property	3
	<i>If business association is directly liable (I.E. Travelers Express)</i>	15	<u>Securities</u>		
CK09	Foreign Exchange Checks	3	SC01	Dividends (\$)	3
CK10	Expense Checks	3	SC02	Interest(Bond/Debentures) (\$)	3
CK11	Pension Checks	3	SC03	Principal Payments (\$)	3
CK12	Credit Checks or Memos	3	SC04	Equity Payments (\$)	3
CK13	Vendor Checks	3	SC05	Profits (\$)	3
CK14	Checks Written Off to Income	3	SC06	Funds Paid to Purchase Shares (\$)	3
CK15	Other Outstanding Official Checks	3	SC07	Funds for Stocks & Bonds (\$)	3
CK16	CD Interest Checks	3	SC08	Shares of Stock(Certs Ret'd by PO)(sh)*	3
CK99	Aggregate Uncashed Checks	3	SC09	Cash for Fractional Shares (\$)	3
<u>Court Funds</u>			SC10	Unexchanged Stock for Successor (sh)	3
CT01	Escrow Funds	3	SC11	Other Certificates of Ownership (sh)	3
CT02	Condemnation Awards	3	SC12	Underlying/Outstanding Cert Shares (sh)	3
CT03	Missing Heirs' Funds (Estates)	1	SC13	From Liquidated/Redempt of Stocks (\$)	3
CT04	Suspense Accounts	3	SC14	Debentures/Bonds (sh)	3
CT05	Other Court or Public Authority Funds	3	SC15	US Government Securities (sh)	3
CT06	Bail Bonds	3	SC16	Mutual Fund Shares (sh)	3
CT99	Aggregate Court Deposits	3	SC17	Warrants (Rights) (sh)	3
<u>Insurances</u>			SC18	Matured Bond/Debenture Principal (\$)	3
IN01	Individual Policy Benefits	3	SC19	Dividend Reinvestment Plans (sh)	3
IN02	Group Policy Benefits or Claims	3	SC20	Credit Balances (\$)	3
IN03	Proceeds Due Beneficiaries	3	SC21	Distributions-Mutual Fund Accounts (\$)	3
IN04	Proceeds from Matured Policies	3	SC99	Aggregate Securities - Related (\$)	3
IN05	Premium Refunds	3	<u>Trust Property</u>		
IN06	Unidentified Remittances	3	TR01	Paying Agent Accounts	3
IN07	Other Amounts Due under Policy	3	TR02	Undelivered or Uncashed Dividends	3
IN08	Agent Credit Balances	3	TR03	Funds Held in Fiduciary Capacity	7
IN09	Limiting Age	3	TR04	Escrow Accounts	3
IN10	Demutualization	3	TR05	Trust Vouchers	3
IN99	Aggregate Insurance Property	3	TR06	Pre-need Funeral Plans	3
<u>Tangibles</u>			TR99	Aggregate Trust Property	3
SD01	Safe Deposit Box Contents	5	<u>Mineral Proceeds</u>		
SD02	Other Safekeeping	5	MI01	Net Revenue Interest	3
SD03	Other Tangible Property	5	MI02	Royalties	3
<u>Utilities</u>			MI03	Overriding Royalties	3
UT01	Utility Deposits	1	MI04	Production Payments	3
UT02	Membership Fees	1	MI05	Working Interests	3
UT03	Refunds or Rebates	1	MI06	Bonuses	3
UT04	Capital Credit Distributions	1	MI07	Delay Rentals	3
UT99	Aggregate Utility Property	1	MI08	Shut-In Royalties	3
			MI09	Minimum Royalties	3
			MI99	Aggregate Mineral Interests	3
			<u>All Other Property</u>		
			ZZZZ	Properties Not Identified Above	3

Note: Effective October 1, 2005, Public Act 05-189 exempts gift cards as a type of unclaimed property in Connecticut. (Document Updated 10-27-08)
Outstanding shares - Book entry, DWAC, DTC, Statement shares)



STATE OF CONNECTICUT
 OFFICE OF THE STATE TREASURER
Unclaimed Property Division
<http://www.state.ct.us/ott/holderoutreachoverview.htm>

Verification and Checklist Calendar Year 200__
 (Maintain with Your Records for UCP Audits – Do Not Mail to UCP)

Holder Name _____ Tax ID Number _____

Street Address _____

City _____ State _____ Zip Code _____

State of Incorporation _____ Date of Incorporation _____

Every person, corporation, or other business association, banking or financial organization, life insurance corporation, utility, court or public authority must complete the following checklist **before filing their Connecticut Holder Report of Unclaimed Property**. This checklist includes by way of illustration, but not limitation, those items which are covered by sections of the Connecticut Unclaimed Property Law.

Please complete the checklist by checking "Yes" by each property type you are reporting. Each item checked "Yes" must be enumerated in your Holder Report of Unclaimed Property.

Please indicate the primary business activity of your company: _____

Did you file and remit a report of unclaimed property last year: Yes _____ No _____

If no, please explain: _____

Please check appropriate property types:

Code	Code Description	Years	Code	Code Description	Years
<u>Financial Institutions</u>			<u>Miscellaneous</u>		
___	AC01 Checking Accounts	3	___	MS01 Wages, Payroll, Salary	1
___	AC02 Savings Accounts	3	___	MS02 Commissions	1
___	AC03 Matured CD or Savings Certificates	3	___	MS03 Worker's Compensation Benefits	3
___	AC04 Christmas or Vacation Club Funds	3	___	MS04 Payment for Goods and Services	3
___	AC05 Money on Deposit to Secure Funds	3	___	MS05 Customer Overpayments	3
___	AC06 Security Deposits	3	___	MS06 Unidentified Remittances	3
___	AC07 Unidentified Deposits	3	___	MS07 Unrefunded Overcharges	3
___	AC08 Suspense Accounts	3	___	MS08 Accounts Payable	3
___	AC99 Aggregate CGS 3-65a(b)	3	___	MS09 Credit Balances/Accounts Receivable	3
<u>Official Checks</u>			___	MS10 Discounts Due	3
___	CK01 Cashier's Checks	3	___	MS11 Refunds Due	3
___	CK02 Certified Checks	3	___	MS13 Unclaimed Loan Collateral	3
___	CK03 Registered Checks (incl. bank m.o.)	3	___	MS14 Pension and Profit sharing Plans	3
___	CK04 Treasurer's Checks	3	___	MS15 Dissolution or Liquidation	1
___	CK05 Drafts	3	___	MS16 Miscellaneous Outstanding Checks	3
___	CK06 Warrants	3	___	MS17 Miscellaneous Intangible Property	3
___	CK07 Money Orders (non-bank)	7	___	MS18 Suspense Liabilities	3
___	CK08 Traveler's Checks:		___	MS99 Aggregate Miscellaneous Property	3
	<i>If banking or financial organization is directly liable</i>	3	<u>Insurance</u>		
	<i>If business association is directly liable (i.e.: Travelers Express is considered a business association)</i>	15	___	IN01 Individual Policy Benefits or Claims	3
___	CK09 Foreign Exchange Checks	3	___	IN02 Group Policy Benefits or Claims	3
___	CK10 Expense Checks	3	___	IN03 Proceeds Due Beneficiaries	3
___	CK11 Pension Checks	3	___	IN04 Proceeds From Matured Policies	3
___	CK12 Credit Checks or Memoranda	3	___	IN05 Premium Refunds	3
___	CK13 Vendor Checks	3	___	IN06 Unidentified Remittances	3
___	CK14 Checks Written Off to Income	3	___	IN07 Other Amounts Due Under Policy	3
___	CK15 Other Outstanding Official Checks	3	___	IN08 Agent Balances	3
___	CK16 CD Interest Checks	3	___	IN09 Limiting Age	3
___	CK99 Aggregate Uncashed Checks	3	___	IN10 Demutualization	3



STATE OF CONNECTICUT, OFFICE OF THE STATE TREASURER
 Unclaimed Property Division, Verification and Checklist, Calendar Year 2009

Code Code Description Years

Court Funds

___ CT01 Escrow Funds 3
 ___ CT02 Condemnation Awards 3
 ___ CT03 Missing Heirs' Funds 1
 ___ CT04 Suspense Accounts 3
 ___ CT 05 Other Court or Public Authority Funds 3
 ___ CT 06 Bail Bonds 3
 ___ CT99 Aggregate Court Deposits 3

Safe Deposit/Safekeeping

___ SD01 Safe Deposit Contents 5
 ___ SD01 Other Safekeeping 5
 ___ SD03 Other Tangible Property 5

Other Insurance

___ IN01 Individual Policy Benefits or Claims 3
 ___ IN02 Group Policy Benefits or Claims 3
 ___ IN03 Proceeds Due Beneficiaries 3
 ___ IN04 Proceeds From Matured Policies 3
 ___ IN05 Premium Refunds 3
 ___ IN06 Unidentified Remittances 3
 ___ IN07 Other Amounts Due Under Policy 3
 ___ IN08 Agent Credit Balances 3
 ___ IN09 Limiting Age 3
 ___ IN10 Demutualization 3
 ___ IN99 Aggregate Insurance Property 3

Mineral Proceeds

___ MI01 Net Revenue Interest 3
 ___ MI02 Royalties 3
 ___ MI03 Overriding Royalties 3
 ___ MI04 Production Payments 3
 ___ MI05 Working Interests 3
 ___ MI06 Bonuses 3
 ___ MI07 Delay Rentals 3
 ___ MI08 Shut-In Royalties 3
 ___ MI09 Minimum Royalties 3
 ___ MI99 Aggregate Mineral Interests 3

Trust Property:

___ TR01 Paying Agent Accounts 3
 ___ TR02 Undelivered or Uncashed Dividends 3
 ___ TR03 Funds Held in Fiduciary Capacity 7
 ___ TR04 Escrow Accounts 3
 ___ TR05 Trust vouchers 3
 ___ TR06 Pre-need Funeral Plans 3
 ___ TR99 Aggregate Plus Property 3

Code Code Description Years

Utilities

___ UT01 Utility Deposits 1
 ___ UT02 Membership Fees 1
 ___ UT03 Refunds Or Rebates 1
 ___ UT04 Capital Credit Distributions 1
 ___ UT99 Aggregate Utility Property 1

Securities

___ SC01 Dividends (\$) 3
 ___ SC02 Interest(Bonds/Debenture Coupons) (\$) 3
 ___ SC03 Principal(Bonds/Debenture)Payments(\$) 3
 ___ SC04 Equity Payments (\$) 3
 ___ SC05 Profits (Capital Gains) (\$) 3
 ___ SC06 Funds Paid to Purchase Shares (\$) 3
 ___ SC07 Funds for Stocks and Bonds (\$) 3
 ___ SC08 Shares of Stock (Certs Retd by PO) (sh) 3
 ___ SC09 Cash for Fractional Shares (\$) 3
 ___ SC10 Unexchanged Stock of Successor (sh) 3
 ___ SC11 Other Certificates of Ownership (sh) 3
 ___ SC12 Underlying/Outstanding Shares (sh) 3
 ___ SC13 From Liquidated/Redempt of Stock (sh) 3
 ___ SC14 Debentures/Bonds (sh) 3
 ___ SC15 US Government Securities (sh) 3
 ___ SC16 Mutual Fund Shares (sh) 3
 ___ SC17 Warrants (Rights) (sh) 3
 ___ SC18 Matured Bond/Debenture Principal (\$) 3
 ___ SC19 Dividend Reinvestment Plans (sh) 3
 ___ SC20 Credit Balances (\$) 3
 ___ SC21 Distributions-Mutual Fund Accounts (\$) 3
 ___ SC99 Aggregate Securities-Related (\$) 3

All Other Property

___ ZZZZ Properties Not Identified Above 3

UCPD-5 Rev. 12/2008



Unclaimed Property Division

Glossary of Terms

Abandoned Property

A financial asset for which there has been no owner activity for a specified period of time, usually three or five years.

Activity

Action taken by the owner, including deposits and withdrawals, which provides evidence of continued interest in the property.

Apparent Owner

The person whose name appears on the records of the holder as the person entitled to the property held, issued or owing by the holder.

Custodian

An individual or government office that holds property until it is delivered to the rightful owner. Most state laws assign the state treasurer as the "custodian" of unclaimed property.

Due Diligence

The requirement by law that a holder of abandoned property must attempt to locate the rightful owner before remitting the property to the state.

Holder

Any person in possession of property subject to unclaimed property law which belongs to another, or who is trustee in case of a trust, or who is indebted to another on an obligation subject to unclaimed property law.

Last-known Address

A description of the location of the apparent owner sufficient for the purpose of delivery of mail.

Owner

A depositor in case of a deposit, a beneficiary in case of a trust, a creditor, claimant or payee in case of other choices in action, or any person having a legal or equitable interest in property subject to unclaimed property law.

Person

Any individual, business association, estate, trust, government, governmental subdivision, agency or instrumentality, or any other legal or commercial entity.

Record

Information that is inscribed on a tangible medium or that is stored in an electronic or other medium and is retrievable in perceivable form.

Remit

The legal requirement that a holder pay or deliver abandoned property to the state in such a manner as prescribed by the state treasurer.

Utility

A person who owns or operates for public use any plant, equipment, real property, franchise or license for the transmission of communications or the production, storage, transmission, sale, delivery of furnishing of electricity, water, steam or gas.



Reporting and Delivery of Cash Property

For Checks Only:

Please issue a check payable to: **Treasurer, State of Connecticut**. Include your check with your signed & notarized cover sheet and CD/diskette and mail to:

**Treasurer, State of Connecticut
Unclaimed Property Division
Post Office Box 150435
Hartford, CT 06115-0489**

For ACHs or Wire Transfers must be \$50,000.00 and over only:

Wire Transfer and ACH Instructions:

Address: Webster Bank
145 Bank Street
Waterbury, Connecticut 06702

ABA: 211170101
Further Credit: State of Connecticut, Unclaimed Property Division
Account Number: Please email: marge.supple@ct.gov

Only for ACH's or Wire Transfers:

Holders must mail the signed and notarized cover sheet and CD/Diskettes to:

**Treasurer, State of Connecticut
Unclaimed Property Division
55 Elm Street, 5th Floor
Hartford, CT 06106**