



STATE OF CONNECTICUT
DEPARTMENT OF BANKING

260 CONSTITUTION PLAZA – HARTFORD, CT 06103-1800



**CONNECTICUT INTERIM GUIDANCE ON PAPERLESS SUBMISSION OF
INVESTMENT COMPANY FILINGS IN LIGHT OF PANDEMIC RESTRICTIONS**

Date: March 23, 2020 (updated 4/9/2020)

As a result of the recent pandemic, many staffers in the Securities and Business Investments Division of the State of Connecticut Department of Banking will be working remotely and will not be physically present in the office. While this may cause some delays with our processing of filings, we will make every effort to limit them.

As an accommodation to investment company filers and for the foreseeable future, the Division is giving you the option of making your filings and payments electronically. This approach will be reassessed once normal functions resume.

Following is a quick summary of the optional procedure.

Non-Monetary Filings Relating to Mutual Funds (Terminations; Name Changes; Correspondent Changes)

In lieu of a mailed paper filing, scanned submissions may be e-mailed to:

dob.sec-reg@ct.gov

Initial Filings and Renewal Filings (With Electronic Payment) Relating to Mutual Funds, Closed-End Funds, Unit Investment Trusts and Face-Amount Certificate Companies

1. E-mail a copy of the Form NF to the following two recipients:

dob.sec-reg@ct.gov
dob.ar@ct.gov

2. In your e-mail, identify the date you made the electronic remittance, the amount and include applicable reference numbers. **If there is a place for a Description (or Beneficiary) it is critical that you include the issuer's name and indicate that it is for a Form NF filing** (this is really important and will enable our Business Office to associate your firm's payment with the right filing).

3. Here are the e-payment particulars:

Account Name: State of Connecticut – Regular Account
Bank of America 1130477
Account Number 0001130477
Routing # 011900254 [ACH]
Wire Transfers: 026009593
State Agency Reference: Dept. of Banking – Agency # DOB 370000

Please feel free to e-mail us at dob.sec-reg@ct.gov if you have any questions or concerns. Thank you.

TEL: (860) 240-8299 ● FAX: (860) 240-8178

Website: <http://www.ct.gov/dob>

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