

**UNITED STATES BANKRUPTCY COURT
DISTRICT OF CONNECTICUT**

LOCAL RULES OF BANKRUPTCY PROCEDURE

APPENDIX R

Instructions for Filing Applications for Payment of Unclaimed Funds

Unclaimed funds are held by the Court for an individual or entity who is entitled to the money but has failed to claim ownership of it. The U.S. Courts, as custodians of such funds, have established policies and procedures for holding, safeguarding, and accounting for the funds.

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DEFINITIONS

Owner of Record	The individual or entity entitled to the funds as listed in the Trustee’s Notice of Deposit of Unclaimed Funds or Undistributed Small Dividends.
Applicant	The individual or entity filing the application.
Claimant	The individual or entity entitled to the unclaimed funds is, either <ul style="list-style-type: none"> • An owner of record; or • A successor claimant as the owner of record’s assignee or legal successor, or lien creditor. <i>An Applicant and Claimant may be the same.</i>
Successor Claimant	An individual or entity that is not the Owner of Record as listed in the Trustee’s Notice of Deposit of Unclaimed Funds or Undistributed Small Dividends but asserts a right to the funds as an assignee, successor business, decedent estate, heirs, transferee, or judgment creditor.
Claimant Representative	An attorney or other person or entity authorized to act on behalf of a Claimant or Successor Claimant.

I. Searching Unclaimed Funds.

To search for unclaimed funds, use the *Unclaimed Funds Locator* at <https://ucf.uscourts.gov>. Select CTB from the drop-down menu and enter your search information.

If you need access to a computer, you may use the Court's public computer terminals located in the Clerk's Offices in Hartford, New Haven and Bridgeport.

The Clerk's Office does not provide lists of unclaimed funds. However, you may contact the Clerk's Office at (860) 240-3675 or via email at: Finance@ctb.uscourts.gov to confirm whether unclaimed funds balances are on deposit.

II. Filing Requirements for Applications for Payment of Unclaimed Funds

When filing an Application for Payment of Unclaimed Funds ("Application"), specific forms and supporting documentation establishing you are entitled to the funds must be submitted. Failure to submit a complete Application and supporting documentation may result in delay or denial of your request.

- Application for Payment of Unclaimed Funds - Local Form CTB-LF1340** – The Application must be signed before a notary public with a current, unexpired commission. (*Section A* below)
- Supporting Documentation and Tax Form** (*Section B* below) – The type of documentation required will vary depending on who the Claimant is and how they are entitled to the funds.
 - Payee Information (AO-213P Payee Information Form) or IRS Tax Forms (*if applicable*); and
 - Documents proving identity and demonstrating a right to the funds.
- Proposed Order** - CTB-LF3011-O (*Section C* below)
- Certificate of Service** (*Section D* below) – This document certifies that you served a copy of your Application on the United States Attorney and interested parties in accordance Local Bankr. R. 3011-1.

A. Application for Payment of Unclaimed Funds

Any individual or entity who seeks the payment of unclaimed funds must file an Application for Payment of Unclaimed Funds using the Court's [Local Form CTB-LF1340 Application for Payment of Unclaimed Funds](#). The Applicant must sign the Application before a notary public with a current, unexpired commission.

Failure to use the Court's Local Form CTB-LF1340 will result in *no action being taken* on the Application.

B. Supporting Documentation

Unclaimed funds are disbursed only to a Claimant or Successor Claimant. The required supporting documents vary based on who you are and how you are entitled to the funds. Carefully review the

instructions below to determine what documents you must submit with your Application.

PAYEE INFORMATION & IRS TAX FORM REQUIREMENTS

Domestic Claimant or Successor Claimant

A Claimant or Successor Claimant who is a U.S. person¹ must submit the following:

- AO-213P – Request for Payee Information and TIN Certification**
 - The form must be signed.
 - All banking information must be fully completed, as unclaimed funds are disbursed by Electronic Funds Transfer (EFT).
 - The Claimant or Successor Claimant must ensure that the most current version of the AO-213P is used by downloading the form directly from the [U.S. Courts website](#).

NOTE: A Claimant or Successor Claimant seeking payment by check, rather than by EFT, must submit a written explanation of the need for payment by check, and a completed:

- IRS Form W-9 - Request for Taxpayer Identification Number and Certification form. The form is available on the Internal Revenue Service (IRS) website at: www.irs.gov.

Foreign Claimant or Successor Claimant

A foreign Claimant or Successor Claimant must submit the following with the Application:

- AO-215 – Request to Determine Foreign Vendor Tax Payments**
 - The form must be signed
and
- The applicable IRS Form W-8 (Certification of Foreign Status), available on the IRS website (www.irs.gov).

DOCUMENTS EVIDENCING IDENTITY & YOUR RIGHT TO THE FUNDS

With an Application, you must submit documents that prove your identity and show you are entitled to the funds as one of the following:

- **Owner of Record**
- **Successor Claimant**

Review the section below that applies to you.

NOTE:

- Expired identification documents (such as expired driver's licenses or passports) will **not** be accepted as proof of identity.
- If there are joint Claimants, each Claimant must submit the required supporting documentation.

¹“U.S. person” includes: an individual who is a U.S. citizen or U.S. resident alien; a partnership, corporation, company or association created or organized in the U.S. or under the laws of the U.S.; an estate (other than a foreign estate); or a domestic trust (as defined in 26 C.F.R. 301.7701-7).

Owner of Record

If the Claimant is the Owner of Record, the following documentation is required.

Owner of Record – Individual

The Claimant must submit:

- Proof of Identity of the Owner of Record – Photo ID (for example: an unredacted copy of both sides of a current driver’s license or other state-issued identification card showing a current address, or a U.S. passport); and
- If the Claimant is *not* the Applicant, a notarized affidavit attesting to the Owner of Record’s identity.

Owner of Record – Business or Government Entity

The Claimant must submit:

- A notarized statement of the signing representative’s authority to act on behalf of the entity (for example, a notarized affidavit or notarized power of attorney); and
- Proof of identity of the authorized representative – Photo ID (for example: unredacted copy of both sides of a current driver’s license or other state-issued identification card that includes a current address, or U.S. passport).

Name or Address Differences

If the name or address shown in the supporting documentation does not match the name or address:

- listed for the Owner of Record in the Court’s records, or
- shown on the Application,

you must submit a notarized **Affidavit in Support of the Application** explaining why the information is different. The affidavit must be signed under penalty of perjury.

Example: “I certify and declare under penalty of perjury that the address on my driver’s license does not match the address listed for the Owner of Record because (*state the reason*)...”

If the Owner of Record’s name has changed since the funds were deposited with the Court, you must also submit an official or certified document showing the name change.

Successor Claimant

If the Claimant is a Successor Claimant, the following documentation is required.

Successor Claimant – Individual

The Successor Claimant must submit:

- Proof of identity of the Owner of Record and any and all prior assignors or transferors of the funds – Photo ID (for example, an unredacted copy of both sides of a current driver’s license or other state-issued identification card showing the current address, or a U.S. passport);
- Documentation sufficient to establish the chain of ownership or transfer of the claim from the Owner of Record to the Successor Claimant (for example, notarized assignment agreements); and
- Proof of identity of the Successor Claimant – Photo ID (for example, an unredacted

copy of both sides of a current driver's license or other state-issued identification card showing the current address, or a U.S. passport).

Successor Claimant – Business or Government Entity

The Successor Claimant must submit:

- Proof of identity of the Owner of Record and any and all prior assignors or transferors of the funds – Photo ID (for example, an unredacted copy of both sides of a current driver's license or other state-issued identification card showing the current address, or a U.S. passport);
- Documentation sufficient to establish the chain of ownership or transfer of the claim from the Owner of Record to the Successor Claimant (for example, notarized assignment agreements);
- Proof of identity of the Successor Claimant's signing representative – Photo ID (for example, an unredacted copy of a current driver's license or other state-issued identification card showing the current address, or a U.S. passport); and
- A notarized statement confirming the Successor Claimant's signing representative's authority to act on behalf of the entity (for example, a notarized power of attorney).

Deceased Claimant's Estate

If the Successor Claimant is the estate of a deceased Owner of Record, the Successor Claimant must submit:

- Proof of identity of the estate's authorized representative – Photo ID (for example, an unredacted copy of both sides of a current driver's license or other state-issued identification card showing the current address, or U.S. passport); and
- Certified copies of probate documents or other documentation evidencing the representative's authority to act on behalf of the decedent or decedent's estate in accordance with applicable state law (for example, letters of testamentary, letters of administration, or a small estate affidavit, trust documents, death certificate).

Claimant Representative

If you are filing the Application as the Claimant's attorney or other authorized representative, you must submit the documents below in addition to the documents required for the Claimant's category.

Attorneys admitted in the U.S. Bankruptcy Court for the District of Connecticut:

If the Claimant Representative is an attorney with electronic filing privileges in the U.S. Bankruptcy Court for the District of Connecticut, the attorney is ***not required*** to submit proof of identity.

However, the attorney **must** file a Notice of Appearance for the Claimant using Local Form CTB-LF240, in accordance with Local Bankruptcy Rule 9010-1, unless the attorney is already counsel of record for the Claimant in the case.

All Other Claimant Representatives

Any Claimant Representative who does not meet the criteria above (including non-attorneys, out-of-district attorneys, or other authorized representatives) must submit:

- Proof of identity of the representative (for example, an unredacted copy of both sides of a current driver's license or other state-issued identification card showing a current

- address, or a U.S. passport); and
- Notarized documentation showing the representative’s authority to act on behalf of the Claimant (for example, a notarized power of attorney or other notarized statement of authority).

C. Proposed Order

The Applicant must complete and submit **Local Form CTB-LF3011-O, *Proposed Order Granting Application for Payment of Unclaimed Funds***, with the Application. See, Local Bankruptcy Rule 3011-1(b)(3). A copy of the Local Form Proposed Order is available on the Court’s website: <https://www.ctb.uscourts.gov/local-forms>.

D. Certificate of Service

In addition to filing the Application, the required supporting documentation, and the proposed order (collectively, the “Application Packet”), the Applicant must (1) serve a copy of the Application Packet on the U.S. Attorney and the parties listed below and (2) file a Certificate of Service with the Application identifying all parties served and that address of service.

Service on the United States Attorney

The Applicant must mail a copy of the Application Packet to the United States Attorney for the District of Connecticut, as identified in Box #5 of Local Form CTB-LF1340, at the following address:

Office of the United States Attorney
District of Connecticut
Connecticut Financial Center
157 Church Street, 25th Floor
New Haven, CT 06510

Service on Other Parties

Pursuant to Local Bankruptcy Rule 3011-1(b)(4), the Applicant must also serve the Application Packet on the following parties, as applicable:

- The Debtor(s);
- The Debtor’s attorney (if any);
- The Owner of Record and, if any, subsequent assignors or transferors;
- The case trustee; and
- The United States Trustee.

Service on the United States Trustee is completed automatically after the Application is either docketed electronically through the Court’s Case Management / Electronic Case Filing (CM/ECF) system or by the Clerk’s Office.

III. Filing the Application and Supporting Documentation

Applications may be filed conventionally in paper or if you are represented by counsel, electronically via the Court’s CM/ECF system.

NOTE:

- If the bankruptcy case is closed, a motion to reopen is **not required** when the sole purpose

of reopening the case is to file an Application.

- If the bankruptcy case is open, a party who is represented by an attorney may not file the Application *pro se* (as a self-represented party). Attorneys must comply with the Court’s electronic filing policies set forth in Appendix A to the Local Rules of Bankruptcy Procedure.

Filing Conventionally (paper)		
<p>If the Application is not filed electronically (see below), the Applicant must mail or deliver in person the following documents to the Court:</p> <ul style="list-style-type: none"> • Application for Payment of Unclaimed Funds • Supporting documentation • Proposed order • Certificate of service 		
<p>Parties may submit filings to the Bankruptcy Court in-person, by courier, by U.S. Mail, or other mail delivery service (<i>i.e.</i>, FedEx, UPS, <i>etc.</i>) to any of our three divisional offices:</p>		
Bridgeport	Hartford	New Haven
United States Bankruptcy Court Brien McMahon Federal Building 915 Lafayette Boulevard, 1st Floor Bridgeport, CT 06604	United States Bankruptcy Court Abraham Ribicoff Federal Building 450 Main Street, 7th Floor Hartford, CT 06103	United States Bankruptcy Court Connecticut Financial Center 157 Church Street, 18th Floor New Haven, CT 06510

Filing Electronically through CM/ECF
<p>To file electronically, the Applicant must follow both steps below:</p> <p>Step 1 – File the Application Docket the following using the event “Application for Payment of Unclaimed Funds” under the Motions/Applications menu:</p> <ul style="list-style-type: none"> • Application for Payment of Unclaimed Funds • Proposed order • Certificate of service <p>Upload the Application, Proposed Order, and Certificate of Service only. Do <u>not</u> upload supporting documentation or tax forms with the Application.</p> <p>Step 2 – File Supporting Documentation All supporting documentation and tax forms must be combined into one PDF and docketed separately using the event “Supporting Documentation Re: Application for Payment of Unclaimed Funds” under the Miscellaneous menu. This event will be restricted due to the personal privacy information contained in the documentation.</p>

IV. Post-Filing Process/Objections Deficiencies

If the Application is deficient, the Court may issue a Deficiency Notice to the Applicant requesting additional information, proof of identity, proper service, or other information. Failure to cure the

deficiency on or before the deadline set in the Deficiency Notice may result in no further action being taken or an order denying the Application without further notice.

Objections

Any party who wishes to object to an Application shall file a written objection on or before the deadline stated in the “Notice of Deadline to Object to the Application for Payment of Unclaimed Funds.” The objecting party must serve the objection on the Applicant, Claimant, the Debtor(s), the Debtor’s attorney (if any); the case trustee; and the United States Trustee.

If no objection is filed by the deadline, the Court may rule on the Application without a hearing.

V. Links to Forms and Resources

To search for Unclaimed Funds: [Unclaimed Funds Search/Locator](#)

U.S. Bankruptcy Court, District of Connecticut Forms:

[Local Form CTB-LF1340 Application for Payment of Unclaimed Funds](#)

[Local Form CTB-LF3011-0 Proposed Order](#)

U.S. Court Forms

[AO-213P](#) – Payee Information and TIN Certification

[AO-215](#) – Request to Determine Foreign Vendor Tax Payments

IRS (Internal Revenue Service) Forms accessible by searching on the IRS website at:

<https://www.irs.gov>:

Form [W-9](#) – Request for Taxpayer Identification Number and Certification

Form [W-8](#) – Certification of Foreign Status

If you have problems completing a form, please contact the Clerk’s Office at (860) 240-3675. Ensure you are using the most recent version of any forms by downloading from the applicable website.

U.S. Bankruptcy Court - District of Connecticut

Checklist: Applying for Payment of Unclaimed Funds

This checklist is for informational purposes only and should not be relied upon as a substitute for reviewing the **Appendix R - Instructions for Filing Applications for Payment of Unclaimed Funds**. Applicants are responsible for reviewing the Instructions in full and submitting a complete Application Packet. Failure to do so may result in delay or denial.

STEP 1 — Required Application & Proposed Order

Application for Payment of Unclaimed Funds

- Use Local Form CTB-LF1340 - Applications must be signed and notarized.

Proposed Order

- Use Local Form CTB-LF3011-O
-

STEP 2 — Payee Information & Tax Forms

(Choose the section that applies to you)

If you are a U.S. person or entity (Domestic Claimant):

AO-213P – Request for Payee Information and TIN Certification

- Must be signed
- Banking information required (payments are made by EFT)
- Use the most current version from the U.S. Courts website

IRS Form W-9 *(required only for payment by check, with a written explanation)*

If you are not a U.S. person or entity (Foreign Claimant):

AO-215 – Request to Determine Foreign Vendor Tax Payments

Applicable IRS Form W-8

STEP 3 — Documents Evidencing Identity & Your Right to the Funds

(Choose the section that applies to you)

A. Owner of Record — Individual

- Photo ID (current, unexpired)
 - If not the Applicant, a notarized affidavit confirming identity
-

B. Owner of Record — Business or Government Entity

- Photo ID of authorized representative (current, unexpired)
 - Notarized proof of authority (e.g., affidavit or power of attorney)
-

C. Successor Claimant — Individual

- Photo ID of Owner of Record and all prior assignors or transferors (current, unexpired)
 - Photo ID of Successor Claimant (current, unexpired)
 - Documents showing transfer of the claim from the Owner of Record to the Successor Claimant
-

D. Successor Claimant — Business or Government Entity

- Photo ID of Owner of Record and all prior assignors or transferors (current, unexpired)
 - Photo ID of authorized representative (current, unexpired)
 - Notarized proof of authority (e.g., power of attorney)
 - Documents showing transfer of the claim from the Owner of Record to the Successor Claimant
-

E. Estate of a Deceased Owner of Record

- Photo ID of estate representative (current, unexpired)
- Certified probate or other documents evidencing the representative’s authority to act on behalf of the decedent or decedent’s estate (letters testamentary, administration, or small estate affidavit)

F. Claimant Representative (Attorneys or Other Representative)

- All documents required for the Claimant’s category above (Owner of Record or Successor Claimant)

If you are **NOT** an attorney with electronic filing privileges in the District of Connecticut:

- Photo ID of the representative (current and unexpired)
- Notarized documentation showing authority to act on behalf of the Claimant (for example, a notarized power of attorney).

If you **ARE** an attorney with electronic filing privileges in the District of Connecticut:

- File a Notice of Appearance using Local Form CTB-LF240, in accordance with Local Bankruptcy Rule 9010-1, unless you are already the Claimant’s attorney of record in the case.

STEP 4 — Certificate of Service and Service Requirements

- Serve a copy of the entire Application Packet on:
 - Office of the United States Attorney
 - District of Connecticut
 - Connecticut Financial Center
 - 157 Church Street, 25th Floor
 - New Haven, CT 06510
- Serve, as applicable: Debtor(s), Debtor’s attorney, Owner of Record, and any assignors or transferors, case trustee, and the United States Trustee.
- File a **Certificate of Service** listing all parties served and address of service.

STEP 5 — File Your Application

Option 1: Paper Filing

- Mail or deliver all documents to **any** Clerk’s Office: Bridgeport | Hartford | New Haven
- Include:
 - Application
 - Supporting documents: Payee Information or Tax Forms, Documents Evidencing Identity & Your Right to the Funds
 - Proposed Order
 - Certificate of Service

Option 2: Electronic Filing (CM/ECF – Attorneys Only)

- File Application, Proposed Order, and Certificate of Service
 - Event: “*Payment Unclaimed Funds*”
- Upload all supporting documents and tax forms in one PDF
 - Event: “*Unclaimed Funds Supporting Documentation*”

Do not upload supporting documents in the event used to file the Application.

Final Reminder:

A complete Application Packet is required. Incomplete filings may be delayed or denied.