

# Form AU-331

## Controlling Interest Transfer Taxes Informational Return

Received by DRS

(Rev. 06/07)

Check if this is an amended return.

*Complete this return in blue or black ink only.  
 Read instructions below before completing this return.*

**Part I - Information concerning the entity in which controlling interest was transferred**

1. Name ▶	2. Federal Employer Identification Number (FEIN) ▶
3. Address ▶	
4. Date controlling interest transferred ▶	5. Interest transferred ▶

**Part II - Information concerning the transferor(s)**

6. Name ▶	7. FEIN or Social Security Number (SSN) ▶
8. Address ▶	

**Part III - Information concerning the transferee(s)**

9. Name ▶	10. FEIN or SSN ▶
11. Address ▶	

**Declaration:** I declare under penalty of law that I have examined this return (including any accompanying schedules and statements) and, to the best of my knowledge and belief, it is true, complete, and correct. I understand the penalty for willfully delivering a false return or document to the Department of Revenue Services (DRS) is a fine of not more than \$5,000, or imprisonment for not more than five years, or both. The declaration of a paid preparer other than the taxpayer is based on all information of which the preparer has any knowledge.

<b>Sign Here</b>  Keep a copy of this return for your records.	Signature of Principal Officer	Title	Date
	Print Name of Principal Officer		Telephone Number (     )
	Paid Preparer's Signature	Date	Preparer's SSN or PTIN
	Firm Name and Address		FEIN

### Instructions

Complete this return in blue or black ink only.

**Form AU-331** must be filed by any entity in which a controlling interest is transferred if the transfer is subject to the controlling interest transfer tax or taxes. For information on whether a transfer of a controlling interest is subject to the controlling interest transfer tax or taxes, see **SN 2003(11)**, *2003 Legislation Affecting the Controlling Interest Transfer Taxes*. The transferor of a controlling interest is subject to the tax or taxes and must file **Form AU-330**, *Controlling Interest Transfer Taxes Return*.

A controlling interest is more than 50% of the total combined voting power of all classes of stock (in the case of a corporate entity) and more than 50% of the capital, profits, or beneficial interest (in the case of a noncorporate entity, such as a partnership, limited liability company, or trust). A controlling interest may be transferred in one transfer or in a series of transfers.

Line 4. Enter the date on which the interest was transferred. This return is due on or before the last day of the month following the month in which the controlling interest was transferred. When the controlling interest is transferred in a series of transfers, enter the date in which the interest transferred, in the aggregate, is more than 50%.

Line 6. Enter name of transferor. If more than one transferor, attach a schedule providing the name, address, and Federal Employer Identification Number (FEIN) of each transferor.

Line 7. If a transferor is an individual, enter his or her Social Security Number (SSN). If a transferor is other than an individual, enter its FEIN.

Line 8. If the transferor is an individual, enter his or her home address.

Line 9. Enter name of transferee. If more than one transferee, attach a schedule providing the name, address, and FEIN of each transferee.

Line 10. If the transferee is an individual, enter his or her SSN. If a transferee is other than an individual, enter its FEIN.

Line 11. If the transferee is an individual, enter his or her home address.

Mail Form AU-331 to:

Department of Revenue Services  
 State of Connecticut  
 PO Box 5031  
 Hartford CT 06106-5031