**INSTRUCTIONS:**

Respondents who intend to provide consulting services to the CRPTF must complete this Addendum. Answer all questions below and provide further responses as required on supplemental pages. **You are required to provide further responses if you answer “Yes” to any of questions 1-7 or “No” to any of questions 8-10.**

(a) “Consultant” or “you” refers to your firm, including key personnel who exercise a significant role in providing investment consulting services to the CRPTF under the firm’s contract with the Office of the State Treasurer

(b) “CRPTF” refers to the Connecticut Retirement Plans and Trust Funds

(c) “Relationship” refers to any financial, business, personal or familial relationship that is likely to bias the consultant’s evaluation of or advice with respect to a transaction or assignment on behalf of the CRPTF

**QUESTIONNAIRE:**

Name of Company/Firm (“Consultant”): Click or tap here to enter text.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Question** | **Yes** | **No** |
| 1 | Do you or any related companies have relationships with (a) **investment managers and/or funds** or (b) **service providers that have relationships with money managers,** that you recommend, consider for recommendation, or otherwise mention to the CRPTF for consideration? If so, describe. |  |  |
| 2 | Do you or any related companies receive any payments (whether in form of monetary or other benefits) from investment managers and/or funds that you recommend, consider for recommendation, or otherwise mention to the CRPTF for consideration? If so, describe the extent of these payments in relation to your other income (revenue). |  |  |
| 3 | Do you host any conferences that are attended by investment managers and/or funds that you recommend, consider for recommendation or otherwise mention to CRPTF? If so, describe the cost to attend, whether clients are also invited and the cost for clients to attend, and provide a list of money managers attending any such conference(s) in the past year. |  |  |
| 4 | Do you have any incentive arrangements with any other clients that affect or could influence how you allocate investment opportunities to the CRPTF? If so, please describe. |  |  |
| 6 | Do you allow any plan clients to pay your consulting fees using the plan’s brokerage commissions? If so, describe (a) how you monitor the amount of commissions paid and alert plans when consulting fees have been paid in full and (b) what steps you take to ensure best execution for its securities trades. |  |  |
| 6 | Do you have any arrangements with any broker-dealers by which you or a related company will benefit if money managers place trades for their clients with such broker-dealers? |  |  |
| 7 | Do any of your plan clients utilize money managers, investment funds, brokerage services or other service providers from whom you receive fees? If so, provide the percentage of plan clients who do. |  |  |
| 8 | Do you have policies or procedures to address conflicts of interest or to prevent any of the payments or relationships described above from being considered when you provide advice to your clients? |  |  |
| 9 | Do you acknowledge that you have a fiduciary obligation as an investment adviser to the CRPTF pursuant to your contract with the Office of the Connecticut State Treasurer? If not, please explain. |  |  |
| 10 | Do you consider your firm to be a fiduciary under ERISA with respect to the recommendations you provide the CRPTF? If not, please explain. |  |  |