

Office of the Treasurer
Attachment N
Consultant Questionnaire

(b) Do you or any related companies receive any non-monetary benefits from investment managers and/or funds you recommend, consider for recommendation, or otherwise mention to the CRPTF for consideration? If so, describe the nature and extent of these benefits.

(c) 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, indicate 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.

3. Do you have any policies or procedures to address conflicts of interest or to prevent these payments or relationships from being considered when you provide advice to your clients? Please describe such policies and procedures.

4. If you allow any plan clients to pay your consulting fees using the plan's brokerage commissions, do you monitor the amount of commissions paid and alert plans when consulting fees have been paid in full? If not, how can a plan make sure it does not over-pay its consulting fees?

5. If you allow any plan clients to pay your consulting fees using the plan's brokerage commissions, what steps do you take to ensure that the plan receives best execution for its securities trades?

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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 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?

8. Do you consider your firm to be a fiduciary under ERISA with respect to the recommendations you provide the CRPTF?

9. What percentage of your plan clients utilize money managers, investment funds, brokerage services or other service providers from whom you receive fees?

10. 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 provide details.