**INSTRUCTIONS:**

Pursuant to C.G.S. 3-13j, prior to entry into a contract for investment services, Respondent must disclose in writing all third-party fees, or agreements to pay third-party fees, attributable to such contract.   
Complete the table below and provide the additional information required in the attached Addendum. Sign and date the form, under oath, subject to the penalties of false statement.

Examples of “t**hird-party fees**” include those fees enumerated in C.G.S. Section 3-13j: management fees, placement agent fees, solicitation fees, referral fees, promotion fees, introduction or matchmaker fees, and due diligence fees. Third-party fees include both direct and indirect payments, such as payments by a placement agent to a subagent. “**Attributable to a contract**” means enabling, contributing to or in any other way leading to the formation of or entry into the contract or transaction.

**DUTY TO INQUIRE AND REPORT**: You must disclose direct and indirect payments, such as **payments by a placement agent to a subagent,** and payments attributable to a contract made by a **general partner, principal, or employee** of the firm**.** Respondents disclosing payments to, or agreements to pay, **placement agents** have a duty to inquire and shall report any payments to, or agreements to pay, **subagents**, and to provide all information and documentation requested under A through C, above, with respect to any subagent.

**THIRD-PARTY FEE DISCLOSURE:**

**All third-party fees, and agreements to pay third-party fees, attributable to the contract for investment services are listed below and further described in the Addendum:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of Payee** | **Dollar Amount or Value of Non-Cash Compensation AND Date** | **Fee Arrangement** | **Specific Services performed or to be Performed By Third-Party Payee for Fee** |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

**For each fee disclosed above, complete the attached Addendum. Enter “none” if you have none to report.**

**Sworn as true, complete and accurate to the best of my knowledge and belief, subject to the penalties of false statement.**

**Signed:** Click or tap here to enter text.

**Print Name:** Click or tap here to enter text.

**Title:** Click or tap here to enter text.

**Company/Firm (“Respondent”):** Click or tap here to enter text.

**Subscribed and acknowledged before me this \_\_ day of \_\_, 20\_\_.**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Commissioner of the Superior Court (or Notary Public)**

**My Commission Expires: \_\_\_\_\_\_\_\_\_\_**

**ADDENDUM**

A. For each third-party fee arrangement listed in the attached Affidavit, provide the following information about the payee:

1. Name and Address;
2. Is the person or entity registered with the Securities and Exchange Commission, a state regulatory authority or FINRA? If so, provide registration information;
3. Name of the President/Chief Executive Officer;
4. Name, telephone number and email address of the individual principally responsible for work performed in connection with the contract, investment or proposed investment with the Office of the Treasurer; and
5. If the fee is paid, directly or indirectly, to a former Connecticut state employee or public official, identify such person’s former agency, position and the date such employment was terminated.

B. Please explain whether and how each such payment falls within one or more of the allowable categories of compensation below:

(1) Compensation earned for the rendering of legal services when provided by an attorney while engaged in the ongoing practice of law;

(2) Compensation earned for the rendering of investment services, other than legal services, when provided by an investment professional while engaged in the ongoing business of providing investment services;

(3) Compensation for placement agent, due diligence or comparable tangible marketing services when paid to a person who is an investment professional (i) engaged in the ongoing business of representing providers of investment services, or (ii) in connection with the issuance of bonds, notes or other evidence of indebtedness by a public agency;

(4) Compensation earned by a licensed real estate broker or real estate salesperson while engaging in the real estate business on an ongoing basis; or

(5) Payments for client solicitation activities meeting the requirements of Rule 206(4)-3 under the Investment Advisers Act of 1940.

C. We may ask you to submit further documentation, such as copies of agreements evidencing the terms of the fee arrangement, or a description further explaining the services rendered by the third-party payee.