

Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2017 through June 30, 2018

COMPANY NAME	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
Aberdeen Asset Management Inc.	PFM	Yes	No		
ACA Financial Guaranty Corporation	DEBT	Yes	No		
Acacia Financial Group, Inc.	DEBT	Yes	No		
Academy Securities	DEBT	Yes	No		
Acadian Asset Management, Inc.	PFM	Yes	No		
AIG Financial Products Corp.	DEBT	Yes	No		
Alliance Bernstein ("AB")	PFM	Yes	No		
Altaris Constellation Partners IV, L.P.	PFM	Yes	No		
Altaris Health Partners II, L.P.	PFM	Yes	No		
Altaris Health Partners III, L.P.	PFM	Yes	Yes	Altaris Capital Partners, LLC was paid management fees totaling \$180,961 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
Altaris Health Partners IV, L.P.	PFM	Yes	Yes	Altaris Capital Partners, LLC was paid management fees totaling \$86,119 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
Ambac Assurance Corporation	DEBT	Yes	No		
American Realty Advisors	PFM	Yes	No		
AMTEC Corp.	DEBT	No	No		
Anderson, Kill & Olick	PFM	Yes	No		
Aon Hewitt Investment Consulting, Inc.	PFM	Yes	No		
Apollo Capital Management VIII, LLC	PFM	Yes	No		
Apollo Capital Management IX, LLC	PFM	Yes	No		
Appomattox Advisers, Inc. <i>(Thomas Welles Fund I, LLC)</i>	PFM	Yes	No		
AQR Capital Management, LLC	PFM	Yes	No		
Arclight Energy Partners Fund V, L.P.	PFM	Yes	No		
Arclight Energy Partners Fund VI, L.P.	PFM	Yes	Yes	TransPacific Group LLC was paid \$2,100,000 in connection with placement agent services pursuant to the Limited Partnership Agreement.	Placement agent fees are permissible third party payments. (See C.G.S. § 3-13/(b)(3).
Ashmore Investment Management Limited	PFM	Yes	No		
Assured Guaranty Municipal Corp.	DEBT	Yes	No		
Audax Mezzanine Fund III, LP	PFM	Yes	No		
Backstrom, McCarley, Berry & Co., L.L.C.	DEBT	Yes	No		

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Bank of America, N.A.	CASH & DEBT	Yes	No		
Barclays Capital, Inc.	CASH & DEBT	Yes	No		
Barings Core Property Fund, LP (<i>f.k.a. Cornerstone Patriot Fund, LP</i>)	PFM	Yes	No		
BB&T & Company	CASH	Yes	No		
Bivium Capital Partners, LLC	PFM	Yes	No		
BLA Schwartz PC	PFM	Yes	No		
BlackRock Financial Management, Inc.	PFM	Yes	No		
BlackRock Investment Management, LLC	PFM	Yes	No		
Blackstone Real Estate Partners Europe III, L.P.	PFM	Yes	No		
Blackstone Real Estate Partners VI, L.P.	PFM	Yes	No		
Blackstone Real Estate Partners VIII, L.P.	PFM	Yes	No		
Blackstone Real Estate Special Situations Fund II, LP	PFM	Yes	No		
Blaylock Van LLC	DEBT	Yes	No		
BLX Group, LLC	DEBT	Yes	No		
BNY Mellon Capital Markets	CASH	Yes	No		
Boston Ventures VII, L.P.	PFM	Yes	No		
Bryant Miller Olive, PA	DEBT	Yes	No		
Cabrera Capital Markets, LLC	DEBT	Yes	No		
Candover 2008 Fund (<i>Arle Capital Partners, Limited</i>)	PFM	Yes	No		
Cantor Fitzgerald & Co.	CASH	Yes	No		
Capital Prospects, LLC	PFM	Yes	No		
Castlelake, L.P. (<i>f.k.a TPG Credit Strategies Fund II, L.P.</i>)	PFM	Yes	No		
CastleOak Securities, L.P.	CASH	Yes	No		
Charterhouse Group International, Inc.	PFM	Yes	No		
Citigroup Global Markets, Inc.	CASH & DEBT	Yes	No		
Citizens Bank N.A.	CASH	Yes	No		
Clarion-Lion Industrial Trust	PFM	Yes	No		

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Clay Hill, LLC <i>(CT Horizon Legacy Fund, L.P.)</i>	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid management fees totaling \$50,000 pursuant to the Limited Partnership Agreement. Schiff Hardin LLP was paid \$59,518 in connection with legal fees. RSM McGladrey was paid \$6,090 in connection with tax preparation services. GreatBanc Trust Company was paid \$4,500 in connection with custodial services.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).
Clearlake Capital Partners III, L.P.	PFM	Yes	Yes	Clearlake Capital Management III, L.P. was paid management fees totaling \$7,423 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Clearlake Capital Partners IV, L.P.	PFM	Yes	Yes	Clearlake Capital Management IV, L.P. was paid management fees totaling \$641,417 pursuant to the Limited Partnership Agreement. Park Hill Group, LLC was paid placement agent fees totaling \$18,750 pursuant to the Limited Partnership Agreement.	Management fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2)(3).
Clearlake Capital Partners V, L.P.	PFM	Yes	Yes	Clearlake Capital Management V, L.P. was paid management fees totaling \$183,984 pursuant to the Limited Partnership Agreement. Park Hill Group, LLC was paid placement agent fees totaling \$9,694 pursuant to the Limited Partnership Agreement.	Management fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2)(3).
Cliffwater, LLC	PFM	Yes	No		
Cohen Milstein Sellers & Toll PLLC	PFM	Yes	No		
Colchester Global Investors Limited	PFM	Yes	No		
Colony Realty Partners II, LP	PFM	Yes	No		
Columbia Management Investment Advisers, LLC	PFM	Yes	No		
Conduent State & Local Solutions, Inc. <i>(formerly Xerox State & Local Solutions)</i>	UCP	No	No		
Connecticut Growth Capital, LLC <i>(managed by Balance Point)</i>	PFM	Yes	Yes	Balance Point Capital Advisors, LLC was paid management fees totaling \$1,125,000 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Connex Credit Union	CASH	Yes	No		
Constitution Fund V (Co-Invest), LLC <i>(managed by Fairview)</i>	PFM	Yes	No		
Constitution Liquidating Fund I, LP	PFM	Yes	No		

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Court Square Capital Partners II, LLC	PFM	Yes	Yes	<p>Kirkland and Ellis was paid \$351 in connection with legal services.</p> <p>Various fees totaling \$37,536 were paid for audit, tax, fund administration and insurance to PriceWaterhouseCoopers and SS&C.</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2).
Court Square Capital Partners III, LLC	PFM	Yes	Yes	<p>Court Square Capital Management, L.P. was paid management fees totaling \$750,000 pursuant to the Limited Partnership Agreement.</p> <p>Kirkland and Ellis was paid \$1,280 in connection with legal services.</p> <p>Various fees totaling \$25,189 were paid for audit, tax, fund administration, and insurance to PriceWaterhouseCoopers and SS&C.</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2).
Covenant Apartment Fund VIII, L.P.	PFM	Yes	Yes	<p>Covenant Management Services, Inc. was paid management fees totaling \$375,000 pursuant to the Limited Partnership Agreement.</p> <p>Plante & Moran, PLLC was paid \$13,173 in connection with audit and tax services.</p>	Management, audit and tax preparation fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
Crescendo Ventures III, LP	PFM	Yes	No		
Crow Holdings Realty Partners VII, LP	PFM	Yes	No		
Crow Holdings Realty Partners VIII, LP		Yes	Yes	HFF Securities L.P. ("HFFS") was paid placement agent fees totaling \$626,250 pursuant to the Limited Partnership Agreement.	Placement agent fees are permissible third party payments. (See C.G.S. § 3-13/(b)(3).
Cypress Acquisition Partners Retail Fund, L.P.	PFM	Yes	Yes	Credit Suisse Securities (USA) LLC ("CS") was paid \$273,965 (16.78% of a total \$1,632,687) in connection with placement agent services pursuant to the Limited Partnership Agreement.	Placement agent fees are permissible third party payments. (See C.G.S. § 3-13/(b)(3).
Daiwa Capital Markets America, Inc.	CASH	Yes	No		
Day Pitney, LLP	DEBT & PFM	Yes	No		
DDJ Capital Management, LLC	PFM	Yes	No		
Deminor International SCRL	PFM	Yes	No		
Deutsche Bank AG, New York Branch	PFM	Yes	No		
Dimensional Fund Advisors LP	PFM	Yes	No		
Drexel Hamilton, LLC	DEBT	Yes	No		
Energy Fund XV, L.P. (TCW-EIG Alternative Investments, LLC)	PFM	Yes	No		
Estrada, Hinojosa & Company, Inc.	DEBT	Yes	No		

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Environmental Capital, LLC	DEBT	Yes	No		
Ethos Private Equity Fund V, LP	PFM	Yes	Yes	Ethos Private Equity (Pty) Limited was paid \$98,185 (deferred on 1/7/17) for management services pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
Fairview Constitution Fund II, LP	PFM	Yes	No		
Fairview Constitution Fund III, LP	PFM	Yes	No		
Fairview Constitution Fund IV, LP	PFM	Yes	No		
Fidelity Capital Markets <i>(division of National Financial, LLC)</i>	DEBT	Yes	No		
Fidelity Institutional Asset Management ("FIAM") <i>(f.k.a. Pyramis Global Advisors Trust Company)</i>	PFM	Yes	No		
Finn Dixon Herling, LLP	PFM	Yes	No		
First Quadrant, L.P.	PFM	Yes	No		
First Republic Bank	CASH	Yes	No		
FIS Group, Inc.	PFM	Yes	No		
Frasca & Associates, LLC	DEBT	Yes	No		
Frontier Capital Management Company, LLC	PFM	Yes	No		
FS Equity Partners V, LP	PFM	Yes	Yes	Freeman Spogli Management Co., L.P. was paid management fees totaling \$13,459 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
FS Equity Partners VI, LP	PFM	Yes	Yes	Freeman Spogli Management Co., L.P. was paid management fees totaling \$207,085 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
FTN Financial Capital Markets	CASH & DEBT	Yes	No		
GarMark Partners II, L.P.	PFM	Yes	No		
GCM Customized Fund Investment Group, L.P. <i>(CT Cleantech Opportunities Fund, L.P.)</i>	PFM	Yes	No		
GenNx360 Capital Partners II, LP	PFM	Yes	No		
Gerding Edlen Investment Management <i>(Green Cities II, LP & Green Cities III, LP)</i>	PFM	Yes	Yes	Gerding Edlen was paid management fees totaling \$1,060,389 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
Goldman Sachs Bank USA	DEBT	Yes	No		
Goldman, Sachs & Co.	CASH & DEBT	Yes	Yes	Joseph C. Reid, P.A. was paid \$27,500 in connection with legal services provided as Underwriter's Counsel. Squire Patton Boggs was paid \$27,500 in connection with legal services provided as Underwriter's Counsel.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13/b)(1).
Goldman, Sachs Mitsui Marine Derivative Products, L.P.	DEBT	Yes	No		
Goodwin Capital Advisers, Inc.	PFM	Yes	No		

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Grant & Eisenhofer, PA	PFM	Yes	No		
Great Pacific Securities	CASH	Yes	No		
Hardwick Law Firm, LLC	DEBT	Yes	No		
Hart Realty Advisers, Inc.	PFM	Yes	No		
Hartford Funds Management Company, LLC	EXEC	Yes	Yes	<p>Evershed Sutherland was paid legal fees and expenses totaling \$1,497.</p> <p>State Street Bank & Trust Company was paid administrative services fees totaling \$32,814 in connection with fund accounting services.</p> <p>Ascensus College Savings Recordkeeping Services was paid administrative fees totaling \$1,051,737 in connection with record-keeping services.</p> <p>Deloitte & Touche LLP was paid \$120,000 in connection with audit fees paid to an independent auditor.</p> <p>BlackRock was paid \$8,412 in connection with administrative services.</p> <p>Invesco Advisers, Inc. was paid \$93,657 in connection with administrative services.</p>	<p>Legal, administrative, record-keeping, and audit fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2).</p>
Hawkins, Delafield & Wood, LLP	DEBT	Yes	No		
Hilltop Securities, Inc. <i>(formerly First Southwest Company)</i>	DEBT	Yes	No		
Hinckley Allen	PFM	Yes	No		
IL&FS India Realty Fund II, LLC	PFM	Yes	No		
ImageMaster, Inc.	DEBT	No	No		
Institutional Shareholder Services, Inc.	PFM	No	No		
Int'l FCStone Partners, L.P.	CASH	Yes	No		
Ironwood Mezzanine Fund IV, L.P.	PFM	Yes	Yes	Hogan Lovells LP was paid \$40,587 in connection with legal services rendered to the Limited Partnership.	Legal fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)
J M Lummis & Company	CASH	Yes	No		
J.P. Morgan Chase Strategic Property Fund <i>(J.P. Morgan Investment Management, Inc.)</i>	PFM	Yes	No		
J.P. Morgan Securities, LLC	CASH & DEBT	Yes	Yes	<p>Hawkins, Delafield & Wood LLP was paid \$25,000 in connection with legal services rendered as Co-Underwriter's Counsel.</p> <p>Nixon Peabody LLP was paid \$25,000 in connection with legal services rendered as Co-Underwriter's counsel.</p>	<p>Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13/b)(1).</p>

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Janney Montgomery Scott LLC	DEBT	Yes	Yes	DPC Data, Inc. was paid \$28,875 in connection with a subscription service used for due diligence related to issuing bonds.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13(b)(2).
Jefferies, LLC	DEBT	Yes	Yes	Hawkins, Delafield & Wood LLP was paid \$50,000 in connection with Underwriter's Counsel services.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13(b)(1).
JFL Equity Investors III, LP	PFM	Yes	Yes	Debevoise & Plimpton, LLP was paid \$8,550 in connection with legal services.	Legal fees are permissible third party payments. (See C.G.S. § 3-13(b)(1).
JFL Equity Investors IV, LP	PFM	Yes	Yes	Debevoise & Plimpton, LLP was paid \$18,264 in connection with legal services. Stanwich Advisors was paid \$1,142,328 in connection with placement agent services pursuant to the Limited Partnership Agreement.	Legal fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-13(b)(1)(3).
JPMorgan Chase Bank, N.A.	CASH & DEBT	Yes	No		
K2 Advisors, LLC / D&S Management Co., L.L.C. (Prudence Crandall Fund IV, LLC)	PFM	Yes	No		
Kessler Topaz Meltzer & Check, LLP	PFM	Yes	No		
KeyBank	CASH	Yes			
KeyBanc Capital Markets, Inc.	DEBT	Yes	No		
KKR 2006 Fund	PFM	Yes	No		
KKR Millennium Fund	PFM	Yes	No		
Labaton Sucharow, LLP	PFM	Yes	No		
Lamont Financial Services Corporation	DEBT	Yes	No		
Landmark Equity Partners XIV, L.P.	PFM	Yes	Yes	Reid and Reige, P.C. was paid \$171,629 in connection with legal services. Management Fees Outside Commitment - Israel Secondary Fund was paid \$239,272.	Legal fees and management fees are permissible third party payments. (See C.G.S. § 3-13(b)(1)(2).
Landmark Equity Partners XV, L.P.	PFM	Yes	Yes	Kirkland and Ellis was paid \$638,907 in connection with legal services.	Legal fees are permissible third party payments. (See C.G.S. § 3-13(b)(1).
Landmark Equity Partners XVI, L.P.		Yes	Yes	Placement Agent Services - Merrill Lynch Pierce Fenner & Smith - \$946,487 - Mvision Private Equity - \$1,256,125 Legal Fees - Kirkland and Ellis - \$2,612,638 - Meyer Brown LLP - \$171,294 - Proskauer Rose - \$77,179 - Reid and Riege, P.C. - \$67,870 Consulting Services - SignalFire LLC - \$102,449	Legal fees, placement agent and consulting fees are permissible third party payments. (See C.G.S. § 3-13(b)(1)(3).

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Landmark Real Estate Partners VII, LP	PFM	Yes	Yes	Legal Fees - Kirkland & Ellis - \$246,039 - Proskauer Rose LLP - \$132,793 Management Fee Outside of Commitment - Lombard International Life Assurance Co. - \$93,057 - GAW Capital Partners - \$96,744 - NCH New Europe Property Invest - \$182,877 - DLI Real Estate Capital Partners - \$1,164,271 - Silverpeak Real Estate Partners - \$156,620 - North Haven Real Estate Fund VII Global - \$111,366	Legal fees, management fees and brokerage fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).
Landmark Real Estate Partners VIII, LP	PFM	Yes	Yes	Legal Fees - Cadwalader, Wickersham & Taft LLP - \$50,977 - Kirkland & Ellis LLP - \$1,282,471 - Reid & Reige P.C. - \$53,470 Placement Agent Fees - KB Securities Co. Ltd. - \$200,000 - Larrain Vial Investment, Inc. - \$472,156 - MVISION Private Equity Advisers USA LLC - \$1,270,387 Management Fee Outside Commitment - Gateway IV GP Ltd. - \$78,460 - Iron Point Real Estate Partners - TE (H) L.P. - \$100,509 - Iron Point Real Estate Partners II, LP - \$135,944 - NCH New Europe Property Investors Corp. - \$184,703 - O'Connor North American Property Partners II, L.P. - \$150,625 - O'Connor North American Property Partners L.P. - \$73,334 - Rockport Real Estate Fund IV GP, LLC - \$67,088 - Rockport Real Estate Fund V GP, LLC - \$283,449	Legal fees, management fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2)(3).
Law Offices of Joseph C. Reid, P.A.	DEBT	Yes	No		
Lazard Asset Management, LLC	PFM	Yes	No		
Leeds Equity Partners V, L.P.	PFM	Yes	No		
Levine Leichtman Capital Partners IV, LLC	PFM	Yes	No		
Levine Leichtman Capital Partners V, LLC	PFM	Yes	No		
Lewis & Munday, P.C.	DEBT	Yes	No		
Lieff, Cabraser, Heimann & Bernstein, LLP	PFM	Yes	No		
Lonestar Real Estate Partners II, L.P.	PFM	Yes	No		
Loomis, Sayles & Company, L.P.	PFM	Yes	No		
Loop Capital Markets, LLC	CASH & DEBT	Yes	No		

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Lowey Dannenberg Cohen & Hart, P.C.	PFM	Yes	No		
Mahoney Sabol & Company, LLP	DEBT	Yes	No		
Marathon European Credit Opportunity Fund, L.P.	PFM	Yes	Yes	Aggregate legal fees paid by the Fund are \$30,299 of which 5.00% is allocable to the State of Connecticut.	Legal fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1).
McCarter & English, LLP	PFM	Yes	No		
Meketa Investment Group, Inc.	PFM	Yes	No		
Melvin Securities, LLC	DEBT	Yes	No		
Merrill, Lynch, Pierce, Fenner & Smith (d/b/a Bank of America Merrill Lynch)	CASH & DEBT	Yes	Yes	Updike, Kelly & Spellacy, P.C. was paid \$20,000 in connection with legal services as Co-Underwriter's Counsel. Hinckley Allen was paid \$20,000 in connection with legal services as Co-Underwriter's Counsel.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13/b)(1).
MFS Institutional Advisors, Inc.	PFM	Yes	No		
Mischler Financial Group, Inc.	DEBT	Yes	No		
Mizuho Securities USA, Inc.	CASH	Yes	No		
Morgan Stanley & Co. Incorporated	DEBT	Yes	No		
Muller & Monroe Asset Management, LLC (CT Emerging Private Equity Fund of Funds L.P.)	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid management fees totaling \$361,125 pursuant to the Limited Partnership Agreement. Schiff Hardin LLP was paid \$85,672 in connection with legal fees. RSM US, LLP was paid \$68,715 in connection with tax return preparation and audit services. GreatBanc Trust Company was paid \$31,815 in connection with custodial services.	Management, legal, custodial, and accounting fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2).
National Public Finance Guarantee Corp.	DEBT	Yes	No		
Natwest Securities (f.k.a. RBS Securities, Inc.)	PFM	Yes	No		
New Boston Urban Strategy America Fund, L.P.	PFM	Yes	No		
New Century Advisors, LLC	PFM	Yes	No		
Nomura Asset Management USA, Inc.	PFM	Yes	No		
Northern Trust Investments, Inc.	PFM	Yes	No		
Nutmeg Opportunities Investment Fund, L.P. (J.P. Morgan Investment Management, Inc.)	PFM	Yes	No		
NW Financial Group, LLC	DEBT	Yes	No		

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Oppenheimer & Co., Inc.	CASH	Yes	No		
Orrick, Herrington & Sutcliffe, LLP	DEBT & PFM	Yes	No		
Pacific Investment Management Company (PIMCO)	PFM	Yes	No		
Payden & Rygel Investment Management	PFM	Yes	No		
Pegasus Partners IV, LP	PFM	Yes	No		
Pegasus Partners V, LP	PFM	Yes	No		
People's United Bank, N.A.	CASH	Yes	No		
PFM Financial Advisors, LLC <i>(f.k.a. Public Financial Management, Inc.)</i>	DEBT	Yes	No		
PGIM Real Estate <i>(f.k.a. Prudential Property Investments S/A, LP)</i>	PFM	Yes	No		
Piper, Jaffray & Co.	CASH & DEBT	Yes	No		
PineBridge Global Emerging Markets Partners, L.L.C.	PFM	Yes	No		
Prager & Co., LLC	DEBT	Yes	No		
Prime Property Fund, LLC <i>(Morgan Stanley Real Estate Advisor)</i>	PFM	Yes	No		
Progress Investment Management Company, LLC	PFM	Yes	No		
Public Resources Advisory Group, Inc.	DEBT	Yes	No		
Pullman & Comley, LLC	DEBT & PFM	Yes	No		
Rabo Securities USA, Inc. <i>(Cooperative Rabobank N.A., New York Branch)</i>	CASH	Yes	No		
Raymond James & Associates, Inc.	CASH & DEBT	Yes	No		
RBC Capital Markets, LLC	CASH & DEBT	Yes	No		
Reinhart, Boerner, Van Deuren, sc	PFM	Yes	No		
RFE Investment Partners VII, L.P.	PFM	Yes	No		
RFE Investment Partners VIII, L.P.	PFM	Yes	No		
Rice Financial Products Company	DEBT	Yes	No		
Robert W. Baird & Co., Incorporated	DEBT	Yes	No		
Robinson & Cole, LLP	DEBT & PFM	Yes	No		
Robbins Geller Rudman & Dowd, LLLP	PFM	Yes	No		
Rock Creek Connecticut, LLC <i>(Prudence Crandall Fund III, LLC)</i>	PFM	Yes	No		
Rockfleet Financial Services, Inc.	DEBT	Yes	No		

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Rockwood Capital Real Estate Partners Fund V, LP	PFM	Yes	No		
Rockwood Capital Real Estate Partners Fund VI, LP	PFM	Yes	No		
Rockwood Capital Real Estate Partners Fund VII, LP	PFM	Yes	Yes	Rockwood Capital, LLC was paid management fees totaling \$263,926 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
Roosevelt & Cross, Incorporated	DEBT	Yes	No		
Russell Investments Implementation Services, LLC	PFM	Yes	No		
Samuel A. Ramirez & Co., Inc.	DEBT	Yes	No		
Santander Bank, N.A.	CASH	Yes	No		
Saxena White, PA	PFM	Yes	No		
Schiff Hardin, LLP	DEBT & PFM	Yes	No		
Schroder Investment Management North America, Inc.	PFM	Yes	No		
Scott+Scott Attorneys at Law LLP	PFM	Yes	No		
Seward & Monde, CPAs	DEBT	No	No		
Shenkman Capital Management, Inc.	PFM	Yes	No		
Shipman & Goodwin, LLP	DEBT & PFM	Yes	No		
Siebert Cisneros Shank & Co., LLC <i>(f.k.a. Siebert Brandford Shank & Co., LLC)</i>	DEBT	Yes	No		
Societe Generale	DEBT	Yes	No		
Soeder & Associates LLC	DEBT	Yes	No		
Squire, Patton Boggs, LLP <i>(f.k.a. Squire Sanders (US) LLP & Patton Boggs, LLP)</i>	DEBT & PFM	Yes	No		
Starwood Distressed Opportunity Fund IX, L.P.	PFM	Yes	Yes	Legal Services - Kirkland & Ellis - \$374,374 - Loyens & Loeff - \$170,424 - Rinaldi, Finklestein & Franklin LLC - \$806,614 Audit/Tax Advisor - Ernst & Young - \$1,510,120 - Forecastle Advisors, LLC - \$390,000 - Fryland& Company, LLC - \$829,174 - Pricewaterhousecoopers - \$958,297 Consulting Services - FTI Consulting LLP - \$189,220 - Grant Thornton, LLP - \$667,204 - Global Services LLC - \$147,916	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).

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July 1, 2017 through June 30, 2018

COMPANY NAME	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	Consulting Services - Beacon Advisors - \$85,603 Auditing Services - Deloitte & Touche LLP - \$245,504 Tax Advisor - Ernst & Young LLP - \$208,350 Legal Services - Rinaldi, Finklestein & Franklin LLC - \$268,778	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2).
Starwood Global Opportunity Fund VIII, LP	PFM	Yes	Yes	Legal Services - Rinaldi Finklestein & Frankli, LLC - \$698,644 - Dechert - \$395,138 - Kirkland & Ellis - \$312,498 - Hersha Hospitality Management - \$74,262 - Loyens & Loeff - \$50,772 Tax Advisor - Ernst & Young LLP - \$1,246,813 - Forecastle Advisor, LLC - \$175,000 - Frydland & Co., LLC - \$211,850 Auditor - Pricewaterhousecoopers LP - \$630,749	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2).
Starwood Opportunity Fund X Global, LP	PFM	Yes	Yes	Consulting Services - Costar Realty Information Group, Inc. - \$97,906 - Enviro-Sciences, Inc. - \$56,629 - FTI Consulting, LLP - \$712,799 - Grant Thornton, LLP - \$1,157,224 - Maplesfs Service Company Limited - \$108,000 - Northeast Series of Lockton Companies, LLC - \$63,079 - Paul Hastings LLP - \$158,020 - Global Services, LLC - \$147,916 - Sterling Project Development Group LLC - \$78,038 - Yardi Systems, Inc. - \$61,127 - Cbre, Inc. - \$97,468 - Hilton Worldwide - \$127,500 - John Burns Real Estate Consulting - \$165,708 Legal Services - Haynes and Boone, LLP - \$139,023 - Kirkland & Ellis - \$5,152,372 - Rinaldi, Finklestein & Franklin LLC - \$1,404,454 - Thomson Reuters UK Limited - \$93,579 - Brownstein Hyatt Farber Schreck LLP - \$120,188 - Kimley-Horn and Associates, Inc. - \$285,438	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2).

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Starwood Opportunity Fund X Global, LP (Cont'd)	PFM	Yes	Yes	<u>Legal Services</u> Cont'd. - Latham & Watkins LLP - \$214,113 - Loyens & Loeff - \$170,424 - Paul Hastings LLP (Europe) LLP - \$50,000 - Polsinelli PC - \$235,666 <u>Audit/Tax Advisor</u> - Deloitte & Touche, LLP - \$842,621 - Ernst & Young LLP - \$3,119,964 - Frydland & Co., LLC - \$929,174 - Pricewaterhousecoopers LLP - \$136,694 - Forecastle Advisors, LLC - \$450,000	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Starwood Opportunity Fund XI, LP	PFM	Yes	Yes	Consulting Services - Costar Realty Information Group, Inc. - \$82,165 - Grant Thornton, LLP - \$63,671 - J R S Securities Ltd. - \$116,718 - Nates Investment Group, Inc. - \$324,044 - Northeast Series of Lockton Companies, LLC - \$58,260 - Paul Hastings LLP - \$347,839 - Red Rock Developments LLC - \$162,505 Legal Services - DLA Piper US LLP - \$225,000 - Haynes and Boone, LLP - \$586,483 - Kirkland & Ellis - \$8,847,738 - Latham & Watkins, LLP - \$53,394 - Loyens & Loeff - \$433,180 - Mayer Brown LLP - \$101,766 - Richards, Layton & Finger Pa - \$64,072 - Rinaldi, Finklestein & Franklin LLC - \$1,583,175 - Torys, LLP - \$62,428 - Wachtell, Lipton, Rosen & Katz - \$268,054 Tax Advisor/Auditor - Ernst & Young - \$590,769 - Forecastle Advisors, LLC - \$250,000 - Frydland & Co., LLC - \$1,088,436 - Pricewaterhousecoopers LLP - \$253,987	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
State Street Global Advisors	PFM	Yes	No		
Stepstone Pioneer Capital Buyout Fund II, LP (f.k.a. Parish Capital Advisors Buyout Fund II, LP)	PFM	Yes	Yes	Ernst & Young, LLP was paid \$122,358 in connection with annual audit and tax services. Robinson Bradshaw & Hinson was paid \$4,478 in connection with legal services. SEI, Inc. was paid \$108,026 in connection with administrator services.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).

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Stepstone Pioneer Capital I, L.P. <i>(f.k.a. Parish Capital Advisors I, L.P.)</i>	PFM	Yes	Yes	<p>Ernst & Young, LLP was paid \$162,871 in connection with annual audit and tax services.</p> <p>Robinson Bradshaw & Hinson was paid \$844 in connection with legal services.</p> <p>SEI, Inc. was paid \$157,632 in connection with administrator services.</p> <p>MJ Hudson was paid \$154,200 in connection with legal services.</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).
Stern Brothers & Co.	DEBT	Yes	No		
Stifel Nicolaus & Company, Incorporated	CASH & DEBT	Yes	No		
Stone Castle Partners, LLC	CASH	Yes	No		
Sturdivant & Co., Inc.	DEBT	Yes	No		
Svenska Handelsbanken	CASH	Yes	No		
Syncom Ventures V, LP	PFM	Yes	No		
T. Rowe Price Associates, Inc.	PFM	Yes	No		
TA XI, L.P.	PFM	Yes	Yes	TA Associates XI, GP, LP was paid management fees totaling \$7,728,569 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
TD Bank, N.A.	CASH	Yes	No		
TD Securities (USA) LLC	CASH & DEBT	Yes	No		
Teigland-Hunt LLP	PFM	Yes	No		
The Bank of New York Mellon	PFM	Yes	No		
The Williams Capital Group, L.P.	DEBT	Yes	No		
Thomas H. Lee Equity Fund VI, LLC	PFM	Yes	No		
TIAA-CREF Tuition Financing, Inc.	EXEC	Yes	Yes	Sutherland Asbill & Brennan, LLP was paid \$7,463 in connection with legal services.	Legal fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1).
Trinity Plus Funding Co., LLC	DEBT	Yes	No		
U.S. Bank National Association	CASH & DEBT	Yes	Yes	<p>Shipman & Goodwin LLP was paid \$10,220 in connection with legal services.</p> <p>Updike, Kelly & Spellacy, P.C. was paid \$937 in connection with legal services.</p>	Legal fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1).
UBS Trumbull Property Fund	PFM	Yes	Yes	Trumbull Property Fund was paid \$2,153,114 in connection with advisory services pursuant to the Advisory Agreement.	Advisory fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).

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UBS Trumbull Property Growth & Income Fund	PFM	Yes	Yes	Trumbull Property Growth & Income Fund was paid \$696,157 in connection with advisory services pursuant to the Advisory Agreement.	Advisory fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
UBS Trumbull Property Income Fund	PFM	Yes	Yes	Trumbull Property Income Fund was paid \$476,414 in connection with advisory services pursuant to the Advisory Agreement.	Advisory fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
UMB Bank	DEBT	Yes	No		
USAA Eagle Real Estate Fund	PFM	Yes	No		
Verus Financial, LLC	SIF	No	No		
Vista Equity Partners Fund III, L.P.	PFM	Yes	Yes	Various fees including administrator, audit, tax preparation, legal and insurance totaling \$19,663 were paid to Gen II Fund Services, LLC, Deloitte & Touche, LLP, Kirkland and Ellis LLP and Lockton Insurance Brokers, LLC.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Vista Equity Partners Fund IV, L.P.	PFM	Yes	Yes	Various fees including administrator, audit, tax preparation, legal and insurance totaling \$40,258 were paid to Gen II Fund Services, LLC, Deloitte & Touche, LLP, Kirkland and Ellis LLP and Lockton Insurance Brokers, LLC.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Webster Bank, N.A.	CASH	Yes	No		
Wellington Management Company	PFM	Yes	No		
Wells Fargo Bank, National Association	CASH & DEBT	Yes	No		
Wellspring Capital Partners III LP	PFM	Yes	No		
Wellspring Capital Partners V, L.P.	PFM	Yes	No		
Wellspring Capital Partners VI, L.P.	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund XI, LP	PFM	Yes	Yes	WCAS Management Corporation was paid management fees totaling \$316,597 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
Welsh Carson Anderson & Stowe Fund XII, LP	PFM	Yes	Yes	WCAS Management Corporation was paid management fees totaling \$1,500,000 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
William Blair Investment Management, LLC	PFM	Yes	No		
WLR IV PPIP Co-Invest, L.P.	PFM	Yes	No		
WLR Recovery Fund IV, L.P.	PFM	Yes	No		
Yucaipa American Alliance Fund II, LP	PFM	Yes	No		
Yucaipa American Alliance Fund III, LP	PFM	Yes	No		