

*Office of State Treasurer  
Summary of Responses to Request for Disclosure  
July 1, 2006 through June 30, 2007*

COMPANY NAME	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
A. C. Advisory, Inc.	DEBT	Yes	No		
ACA Financial Guaranty Corporation	DEBT	Yes	No		
Acacia Financial Group, Inc.	DEBT	Yes	No		
Acadian Asset Management, Inc.	PFM	Yes	No		
ACS Unclaimed Property Clearinghouse, Inc.	UCP	No	No		
Aegis International, Inc.	SIF	No	No		
AEW Capital Management, LP	PFM	Yes	No		
AEW Core Separate Account	PFM	Yes	No		
AEW Partners III, LP	PFM	Yes	No		
AIG Altaris Health Partners, L.P (f.k.a. AIG Healthcare Partners, LP)	PFM	Yes	Yes	Management fees totalling \$761,201.93 were paid to Altaris Capital Partners, LLC.  Kirkland & Ellis were paid \$14,811.18 for legal services.	Vendor identified exemption. Management fees, as well as legal fees, are permissible third party payments. (See C.G.S. § 3-131(b)(2).
AIG Financial Products Corp.	DEBT	Yes	No		
AIG Global Emerging Markets Fund, LLC	PFM	Yes	No		
AMBAC Assurance Corporation	DEBT	Yes	No		
American Beacon Advisors, Inc.	CASH	Yes	No		
AMTEC	DEBT	No	No		
Apollo Real Estate Investment Fund, LP	PFM	Yes	No		
Apple Valley Bank and Trust Company (The)	CASH	Yes	No		
AQR Capital Management, LLC	PFM	Yes	No		
Ashmore Investment Management Limited	PFM	Yes	No		
Audt Services, US, LLC	UCP	No	No		
AXA Rosenberg Investment Management	PFM	Yes	No		
Backstrom, McCarley, Berry & Co., LLC	DEBT	Yes	No		
Banc of America Securities, LLC	CASH & DEBT	Yes	No		
Bank of America, NA	CASH & DEBT	Yes	No		

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Bank of New York (The)	PFM	Yes	No		
Bank of Tokyo Mitsubishi	CASH	Yes	No		
Barclays Capital	CASH	Yes	No		
Bayerische Landesbank	DEBT	Yes	No		
BB&T Capital Markets	CASH	Yes	No		
Bear, Stearns & Co., Inc.	CASH & DEBT	Yes	Yes	<p>Edwards Angell Palmer &amp; Dodge, LLC were paid \$27,500 for legal services in connection with State of Connecticut general obligation bonds.</p> <p>i-Deal LLC was paid \$4,359.80 for municipal syndicate services.</p> <p>Senior manager expenses - A total of \$1,794.08 was paid for internal expenses.</p> <p>Depository Trust Company was paid \$339.00 for custodial services at a flat rate per transaction.</p> <p>CUSIP Bureau was paid \$623.92 to assign CUSIP numbers to bonds at a flat rate.</p> <p>The Securities Industry &amp; Financial Markets Association was paid \$2,216.55 for trade group assessment and GASB fee on a per bond basis.</p> <p>The Municipal Securities Rulemaking Board - An assessment fee of \$1899.90 was paid by syndicate of underwriters.</p> <p>Day Loan Interest was paid \$1,890.43 for internal expenses.</p>	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Belle Haven Investments, L.P.	DEBT	Yes	No		
Bernstein, Litowitz, Berger & Grossman LLP	PFM	Yes	No		
BGI Barclays Global Investors, N.A.	PFM	Yes	No		
Bivium Capital Partners, LLC	PFM	Yes	Yes	Mosaic Investment Advisers were paid \$49,585.93 for consulting and marketing services.	Vendor identified exemption. Fees for consulting and marketing services are permissible third party payments. (see C.G.S. § 3-131(b)(2).
BlackRock Financial Management, Inc.	PFM	Yes	No		

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BlackRock Investment Management, LLC (f.k.a. Merrill Lynch Investment Managers)	PFM	Yes	Yes	Institutional Shareholder Services was paid \$13,600 for global custom voting agent services.  Investor Responsibility Research Center was paid \$2,351 for global custom research - Northern Ireland service.	Vendor identified exemption. Research services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Blackstone Capital Partners III Merchant Banking Fund, LP	PFM	Yes	No		
BMO Capital Markets, Harris N.A.	CASH	Yes	No		
BNP Paribas Securities Corp.	CASH	Yes	No		
Bond Logistix LLC	DEBT	Yes	No		
Boston Ventures VII, L.P.	PFM	Yes	Yes	Ropes & Gray, LLP were paid \$950,000 for legal services in connection with the partnership agreement.  Probitas Funds Group, LLC was paid \$2,107,878, plus interest of \$184,761 for placement agent services.	Vendor identified exemption. Legal fees and placement agent services are permissible third party payments. (see C.G.S. § 3-131(b)(2)(3).
Bridgewater Associates	PFM	Yes	Yes	Bridgewater was paid a management fee of \$3,728,287.62 for investment management services.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Brown Brothers Harriman & Co.	PFM	Yes	No		
Buchanan Ingersoll & Rooney, PC	EXEC	Yes	No		
Butler Wick & Co., Inc.	DEBT	Yes	No		
Cabrera Capital Markets, Inc.	DEBT	Yes	No		
Canyon-Johnson Urban Fund II, LP	PFM	Yes	Yes	Canyon-Johnson Urban Fund II was paid a management fee of \$937,500 pursuant to the partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Capital Prospects, LLC	PFM	Yes	No		
Capri Select Income II, LLC	PFM	Yes	Yes	Presido Partners, LLC was paid \$316,667 for placement agent services.	Vendor identified exemption. Placement agent fees are permissible third party payments. See C.G.S. § 3-131(b)(3).
Carlin, Charron & Rosen LLP	DEBT	No	No		
Carlyle Asia Partners, L.P	PFM	Yes	No		
Carlyle Europe Partners, L.P.	PFM	Yes	No		
CCP Equity Partners	PFM	Yes	No		

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Charterhouse Group International, Inc.	PFM	Yes	Yes	CHUSA Equity Managers IV, LLC was paid a management fee of \$1,263,500.29 pursuant to the partnership agreement.  Proskauer Rose LLP was paid \$3,560.74 for legal services.	Vendor identified exemption. Management fees and legal services are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
CIBC World Markets	CASH	Yes	No		
Citibank, N.A.	DEBT	Yes	No		
Citigroup Global Markets, Inc.	CASH & DEBT	Yes	Yes	Edwards Angell Palmer & Dodge, LLC were paid \$25,000 for legal services as Co-underwriter's counsel.  Graves & Horton were paid \$15,000 for legal services as Co-underwriter's counsel.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
Citizens Bank	CASH	Yes	No		
Clay Finlay, Inc.	PFM	Yes	No		
Collinsville Savings Society	CASH	Yes	No		
Comerica Securities, Inc.	CASH	Yes	No		
Community's Bank (The)	CASH	Yes	No		
Compass Partners European Equity Fund	PFM	Yes	No		
Connecticut Bank and Trust Company (The)	CASH	Yes	No		
Connecticut Community Bank, N.A.	CASH	Yes	No		
Connex Credit Union	CASH	Yes	No		
Corby Capital Markets, Inc.	DEBT	Yes	No		
Corvel Corporation	SIF	No	No		
Court Square Capital Partners II, LLC	PFM	Yes	Yes	UBS was paid approximately \$300,000 for placement agent (institutional) services.  Citigroup was paid approximately \$250,000 for placement agent (high net worth) services.  Bisys was paid \$325,000 to perform back-office and accounting services.	Vendor identified exemption. Placement agent fees are permissible third party payments. See C.G.S. § 3-131(b)(3).  Back-office and accounting services are permissible third party payments.

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Covenant Apartment Fund V (Institutional - B), L.P.	PFM	Yes	Yes	Covenant Capital Group, LLC was paid a management fee of \$151,722.89 pursuant to the limited partnership agreement.  Quince Hill Partners were paid \$78,695.69 as placement agent based on the partnership agreement.	Vendor identified exemption. Management fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3).
Coventry Health Care Workers' Compensation, Inc. (f.k.a. Concentra Integrated Services, Inc.)	SIF	No	No		
Credit Suisse Securities (USA) LLC	CASH	Yes	No		
Crescendo Ventures III, LP	PFM	Yes	No		
Crescendo World Fund LLC	PFM	Yes	No		
Day Pitney, LLP (f.k.a. Day, Berry & Howard, LLP)	DEBT	Yes	No		
Deutsche Bank Securities, Inc.	CASH	Yes	No		
Dexia Credit Local	DEBT	Yes	No		
DLJ Merchant Banking Partners II, LP	PFM	Yes	Yes	DLJMB II, Inc. was paid a management fee of \$218,046.25 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)).
Emerging Markets Management, LLC	PFM	Yes	No		
Estrada, Hinojosa & Company, Inc.	DEBT	Yes	No		
Ethos Private Equity Fund V	PFM	Yes	Yes	Ethos Private Equity Limited was paid a management fee of \$4,776,643.83 pursuant to the partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)).
Fairview Capital Partners, Inc. (a.k.a Fairview Constitution Fund, LP)	PFM	Yes	No		
Fairview Constitution Fund III, LP	PFM	Yes	No		
Fairview Constitution Fund II, LP	PFM	Yes	No		
Farmington Savings Bank	CASH	Yes	No		
FGIC	DEBT	Yes	No		
Fifth Third Securities, Inc.	CASH	Yes	No		
Financial Security Assurance, Inc.	DEBT	Yes	No		
Finn Dixon & Herling LLP	DEBT	Yes	No		
First Albany Capital, Inc.	DEBT	Yes	No		
First Southwest Company	DEBT	Yes	No		

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FIS Group, Inc.	PFM	Yes	No		
Forstmann Little Equity VII	PFM	Yes	No		
Forstmann Little MBO VIII	PFM	Yes	No		
Franklin Park Associates, LLC	PFM	Yes	No		
FS Equity Partners V, LP	PFM	Yes	No		
FTN Financial Capital Markets	CASH	Yes	No		
GarMark Partners II, L.P.	PFM	Yes	No		
Garmark Partners, LP	PFM	Yes	No		
Gates Capital Corporation	DEBT	Yes	No		
GE Capital Corporation	CASH	Yes	No		
Gilbert Global Equity Partners, L.P.	PFM	Yes	Yes	Gilbert Global Equity Partners were paid a management fee of \$222,718 pursuant to the partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)).
Goldman Sachs & Co.	CASH & DEBT	Yes	Yes	Tobin, Carberry, O'Malley, Riley & Selinger, P.C. were paid \$30,000 for legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)).
Goldman, Sachs Private Equity Fund	PFM	Yes	No		
Goodwin Capital Advisers, Inc. (f.k.a. Phoenix Investment Counsel, Inc.)	PFM	Yes	No		
Grant & Eisenhofer, PA	PFM	Yes	No		
Grantham, Mayo, Van Otterloo & Co.	PFM	Yes	No		
Great Pacific Securities	CASH	Yes	No		
Green Equity Investors, III, L.P.	PFM	Yes	Yes	Gibson Dunn & Crutcher was paid \$142,614 for legal services provided to the partnership.	Vendor identified exemption. Legal fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)).
Greenwich Street Capital Partners II, L.P.	PFM	Yes	No		
Grigsby & Associates, Inc.	DEBT	Yes	No		
Groom Law Group, Chartered	PFM	Yes	No		
Grotech Partners V, L.P.	PFM	Yes	Yes	Grotech Capital Group V, LLC was paid a management fee of \$894,173 pursuant to the partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)).
Guilford Savings Bank (The)	CASH	Yes	No		

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Hardwick Law Firm, LLC	DEBT	Yes	No		
Hartford Investment Management Company	PFM	Yes	No		
Hicks, Muse, Tate & Furst Equity Fund III, LP	PFM	Yes	No		
Hunton & Williams, LLP	DEBT	Yes	No		
ICV Capital Partners II, LP	PFM	Yes	No		
ImageMaster	DEBT	No	No		
IMoneyNet	CASH	Yes	No		
Institutional Shareholder Services, Inc.	EXEC	No	No		
Invesco Global Asset Management (N.A.), Inc.	PFM	Yes	No		
J. M. Lummis & Company	CASH	Yes	No		
Jackson Securities LLC	DEBT	Yes	No		
JP Morgan Chase Bank, NA	CASH	Yes	No		
JP Morgan Securities, Inc.	CASH & DEBT	Yes	No		
Julius Baer Investment Management, LLC	PFM	Yes	No		
Kelso Investment Associates VI, L.P.	PFM	Yes	Yes	Deloitte & Touche were paid \$238,300 for accounting and tax services.  DeBevoise & Plimpton were paid \$48,359 for legal services.	Vendor identified exemption. Legal and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
KeyBanc Capital Markets, Inc. (f.k.a. McDonald Investments-Key Bank Capital Markets)	CASH	Yes	No		
Kirby, McInerney & Squire, LLP	PFM	Yes	No		
KKR 2006 Fund	PFM	Yes	No		
KKR Millennium Fund	PFM	Yes	No		
Kohlberg Kravis Roberts 1996 Fund (KKR)	PFM	Yes	No		
KPS Special Situations Fund II, LP	PFM	Yes	No		
Labaton Sucharow & Rudoff, LLP	PFM	Yes	No		
Lamont Financial Services Corporation	DEBT	Yes	No		
Landesbank Hessen-Thuringen	DEBT	Yes	No		

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Landmark Partners, Inc.	PFM	Yes	No		
LaSalle Financial Services, Inc.	CASH & DEBT	Yes	No		
Law Offices of Joseph C. Reid, P.A.	DEBT	Yes	No		
Lehman Brothers, Inc.	CASH & DEBT	Yes	Yes	Wiggin & Dana were paid \$35,000 for legal services to serve as underwriting counsel.	Vendor identified exemption. Legal fees are permissible third party payments. (see C.G.S. § 3-131(b)(2).
Levy & Droney, P.C.	DEBT	Yes	Yes	Joseph A. Vitale was paid \$1,500 for legal services. Soeder & Associates LLC were paid \$17,979.70 for legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (see C.G.S. § 3-131(b)(2).
Lewis & Munday	DEBT	Yes	No		
Lexington Capital Partners II, L.P.	PFM	Yes	No		
Litchfield Bancorp	CASH	Yes	No		
Loomis, Sayles & Company, L.P.	PFM	Yes	No		
Loop Capital Markets, LLC	CASH & DEBT	Yes	No		
M.R. Beal & Company	DEBT	Yes	No		
MacFarlane Urban Real Estate Fund II, LP	PFM	Yes	Yes	Paul, Hastings, Janofsky & Walker, LLP were paid \$685,318 for legal services. C.P. Eaton & Associates were paid \$750,000 as placement agent.	Vendor identified exemption. Legal fees, as well as placement agent fees, are permissible third party payments (see C.G.S. § 3-131(b)(2)(3).
MBIA Insurance Group	DEBT	Yes	No		
MCMC, LLC	SIF	No	No		
Melvin Securities, LLC	DEBT	Yes	No		
Merrill Lynch & Co.	CASH & DEBT	Yes	No		
MFR Securities, Inc.	CASH	Yes	No		
MFS Institutional Advisors, Inc.	PFM	Yes	Yes	Institutional Shareholder Services, Inc. (ISS) was paid \$4,281 for proxy voting services as required in the contract.	Vendor identified exemption. Payments for services in connection with proxy voting are permissible.
Milestone Capital Management	CASH	Yes	No		
Mischler Financial Group, Inc.	CASH	Yes	No		
Morgan Stanley & Co. Incorporated	CASH & DEBT	Yes	Yes	The Law Offices of Joseph C. Reid was paid \$35,978.50 to serve as underwriter's counsel in connection with State of Connecticut general obligation bonds.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. (See C.G.S. § 3-131(b)(2).

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Natixis Funding Corp. (f.k.a. Ixis Funding)	DEBT	Yes	No		
Naugatuck Savings Bank	CASH	Yes	No		
New Boston Individual and Institutional Investment Fund IV, LP (a.k.a. AEW Trust 221)	PFM	Yes	No		
New Boston Urban Strategy America Fund, LP	PFM	Yes	No		
Nixon Peabody, LLP	DEBT	Yes	No		
Nogales Investors Fund II	PFM	Yes	Yes	DAV/Wetherly Financial, LP was paid \$125,000 to serve as placement agent pursuant to the partnership agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3).
Northwest Community Bank	CASH	Yes	No		
Oaktree Capital Management, LLC	PFM	Yes	Yes	Mellon Trust, N.A. was paid \$29,000 for back-office services (e.g. accounting, reconciliation, settlement, etc.).  Institutional Shareholder Services was paid \$7,838 in connection with updating the Northern Ireland service list.  CSAG was paid \$8,500 for a global security risk monitoring service.	Vendor identified exemption. Back-office services fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).  Research services are permissible third party payments.
Orrick, Herrington & Sutcliffe, LLP	DEBT	Yes	No		
P.G. Corbin & Company, Inc.	DEBT	Yes	No		
Parish Capital Advisors (Buyout) II, LLC	PFM	Yes	Yes	Ernst & Young, LLP were paid \$28,000 for audit services.  Robinson Bradshaw & Hinson were paid \$57,592 for legal services.  Parish Capital Advisors, LLP was paid a management fee of \$1,358,180 pursuant to the partnership agreement.	Vendor identified exemption. Management fees, legal fees and audit services, are permissible third party payments. (see C.G.S. § 3-131(b)(2).
Parish Capital Advisors I, LLC	PFM	Yes	Yes	Juniper Capital Group, LLC was paid a placement agent fee of \$27,500.  Ernst & Young, LLP were paid \$74,000 for audit services.  Robinson Bradshaw & Hinson were paid \$113,989 for legal services.  Parish Capital Advisors, LLP was paid a management fee of \$445,622 pursuant to the partnership agreement.	Vendor identified exemption. Placement agent, legal, management fees and accounting services are all permissible third party payments. (See C.G.S. § 3-131(b)(2)(3).

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People's United Bank	CASH	No	No		
Pepe & Hazard, LLP	PFM	Yes	No		
Phoenix Capital Partners, LLP	DEBT	Yes	No		
Popular Securities	DEBT	Yes	No		
Prager Sealy & Co., LLC	DEBT	Yes	No		
Progress Investment Management Co.	PFM	Yes	No		
Public Resources Advisory Group, Inc.	DEBT	Yes	No		
Pullman & Comley, LLC	DEBT	Yes	No		
Pyramis Global Advisors Trust Company (f.k.a. Fidelity Management Trust Company)	PFM	Yes	No		
Ramirez & Co., Inc.	DEBT	Yes	No		
Raymond James & Associates	CASH & DEBT	Yes	No		
RBC Capital Markets	DEBT	Yes	No		
Reich & Tang Asset Management, L.P.	DEBT	Yes	Yes	Tax Exempt Proceeds Fund, Inc. was paid \$689,466 for investment management services.	Vendor identified exemption. Management fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)).
RFE Investment Partners VI, L.P.	PFM	Yes	No		
Rice Financial Products Company (f.k.a. Apex Securities, Inc.)	CASH & DEBT	Yes	No		
RLJ Lodging Fund II, L.P.	PFM	Yes	Yes	Jones Day LLP was paid \$10,746 for legal services.  Presido Partners, LLC were paid placement agent fees of \$1,889,339.89 pursuant to the partnership agreement.  Presido Partners, LLC were paid \$14,339.89 for cost reimbursement.	Vendor identified exemption. Legal fees and placement agent fees are permissible third party payments. (see C.G.S. § 3-131(b)(2) (3)).
RLJ Urban Lodging Fund, L.P.	PFM	Yes	No		
Robinson & Cole, LLP	DEBT	Yes	No		
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	No		
Rogerscasey, Inc. (f.k.a. CRA RogersCasey)	PFM	Yes	No		

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Roosevelt & Cross, Incorporated	DEBT	Yes	No		
SBK-Brooks Investment Corp.	DEBT	Yes	No		
Schatz Nobel Izard, PC	PFM	Yes	No		
Schroder Investment Management, North America, Inc.	PFM	Yes	No		
SCP Private Equity Partners, LP	PFM	Yes	Yes	SCP Private Equity Partners were paid a management fee of \$346,698 pursuant to the partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)).
Seattle-Northwest Securities Corp.	CASH	Yes	No		
Security Services of Connecticut, Inc.	SIF	No	No		
Shawmut Capital Partners, LP	PFM	Yes	No		
Shipman & Goodwin, LLP	DEBT & PFM	Yes	No		
Siebert Brandford Shank Co., LLC	DEBT	Yes	Yes	<p>Cusip Service Bureau was paid \$439.00 per cusip to assign CUSIPs in connection with State of Connecticut general obligation bonds.</p> <p>Pullman &amp; Comley, LLC were paid \$45,000 for legal services as underwriter's counsel.</p> <p>MSRB - regulatory agency fees of \$2,100 paid per bond.</p> <p>Ramirez &amp; Co., Inc. was paid \$18,487.50 as co-manager on the sale of bonds.</p> <p>SBK-Brooks Investment Corp. was paid \$50.00 as co-manager on the sale of bonds.</p> <p>M.R. Beal &amp; Co. was paid \$20,962.50 as co-manager on the sale of bonds.</p> <p>Banc of America Securities LLC was paid \$34,625.00 as co-manager on the sale of bonds.</p> <p>I-Deal LLC was paid \$4,760 for software services related to the sale of the bonds.</p> <p>Securities Industry and Financial Markets Association - trade association fees of \$2,100 paid per bond.</p>	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
SMBC Capital Markets, Inc	DEBT	Yes	No		
Societe Generale	CASH & DEBT	Yes	No		

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Soeder & Associates LLC	DEBT	Yes	Yes	McCarter & English were paid \$753.25 for back-up tax advice.	Vendor identified exemption. Accounting services are permissible third party payments (see C.G.S. § 3-131(b)(2)).
Squire, Sanders & Dempsey LLP	DEBT	Yes	No		
Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	White & Case were paid \$169,698 for legal services. Rinaldi, Finkelstein & Franklin, LLC were paid \$231,090 for legal services. Mayer, Brown Rowe & Mew were paid \$10,165 for legal services. Dechert LLP was paid \$752.00 for legal services. PriceWaterhouse-Coopers was paid \$57,402 for accounting services. Frydland Stevens was paid \$56,880 for accounting services.	Vendor identified exemption. Legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
State Street Bank & Trust Company	CASH	Yes	No		
State Street Corporation	PFM	No	No		
State Street Global Advisors	PFM	Yes	No		
Sterne, Agee & Leach, Inc.	DEBT	Yes	No		
Stifel Nicolaus & Company, Inc.	CASH	Yes	No		
Sturdivant & Co.	DEBT	Yes	No		
Suntrust Capital Markets	CASH	Yes	No		
SW Pelham Fund II, LP	PFM	Yes	Yes	Pricewaterhouse Coopers was paid \$30,553.00 for audit, tax preparation and specialized accounting services. Shipman & Goodwin LLP were paid \$5,322.50 for legal services. BYSIS, Inc. was paid \$67,124.32 for back-office support for fund accounting and reporting. 1st West Financial Corporation was paid \$5,250 for due diligence review services.	Vendor identified exemption. Legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2)).

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SW Pelham Fund, L.P	PFM	Yes	Yes	<p>Pricewaterhouse Coopers was paid \$26,543.00 for audit, tax preparation and specialized accounting services.</p> <p>Shipman &amp; Goodwin LLP were paid \$167,753.87 for legal services.</p> <p>Gaims, Weil, West &amp; Epstein were paid \$650,600.24 for legal services.</p> <p>Bryan Cave, LLP was paid \$46,022.88 for legal services.</p> <p>FTI Consulting was paid \$87,673.00 for forensic computer services to the Fund.</p> <p>Skadden, Arps, Slate, Meagher &amp; Flom LLP were paid \$869,919.11 for legal services.</p>	Vendor identified exemption. Legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
Syncom Management Company, Inc.	PFM	Yes	Yes	<p>Wilmer, Cutler Pickering Hale and Dorr LLP were paid \$223,843.59 for legal services.</p> <p>DAV/Wetherly Financial, LP was paid \$433,327.78 for placement agent fees.</p>	Vendor identified exemption. Legal fees and placement agent fees are permissible third party payments. (see C.G.S. § 3-131(b)(2)(3).)
TD Banknorth, N.A.	CASH	Yes	No		
TH Lee Equity Fund IV, LLC	PFM	Yes	No		
TH Lee VI	PFM	Yes	No		
Thayer Equity Investors IV, LP	PFM	Yes	Yes	<p>Legal services:</p> <ul style="list-style-type: none"> <li>- Chapman &amp; Cutler were paid \$967.29.</li> <li>- DLA Piper US, LLP was paid \$3,494.00.</li> <li>- Greenberg Traurig was paid \$1,580.00s.</li> <li>- Hogan &amp; Hartson, LLP were paid \$1,597.00.</li> <li>- Kirkland &amp; Ellis, LLP were paid \$226,725.38.</li> <li>- Spencer Fane Britt &amp; Browne were paid \$8,908.77.</li> <li>- Williams &amp; Connolly were paid \$268,349.51.</li> </ul> <p>Kurt Rasmussen - Consulting was paid \$31,223.34 for consulting services.</p> <p>PriceWaterHouseCoopers, LLC was paid \$182,432.00 for accounting services.</p>	Vendor identified exemption. Legal fees, accounting and consulting services, are permissible third party payments. (See C.G.S. § 3-131(b)(2).)

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TIAA-CREF Tuition Financing, Inc.	EXEC	Yes	Yes	Sutherland, Asbill & Brennan, LLP were paid \$1,693.03 for legal services relating to the Connecticut Higher Education Trust (CHET) Program.  PriceWaterhouseCoopers was paid \$45,285.86 for auditing services in connection with the CHET Program.	Vendor identified exemption. Legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
Tradition Asiel Securities, Inc.	CASH	Yes	No		
Trinity Plus Funding Co., LLC	DEBT	Yes	Yes	JPMorgan Chase Bank, N.A. was paid a monthly fee of \$27,000 as Collateral Agent.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
Trust Company of the West	PFM	Yes	No		
U.S. Bank National Association	DEBT	No	Yes	Shipman & Goodwin LLC were paid \$9,374.80 for legal services: - Thomas Flynn - Leslie Davenport - Daniel Brown, Jr.  Edwards Angell Palmer & Dodge, LLP were paid \$4,926.60 for legal services: - John Whitlock	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
UBS Financial Services, Inc.	CASH	Yes	No		
UBS Securities, LLC	DEBT	Yes	Yes	Tobin, Carberry, O'Malley, Riley & Selinger, P.C. were paid \$30,500 for legal services as underwriter counsel.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
Veritas Capital Fund, L.P.	PFM	Yes	No		
Vining Sparks	CASH	Yes	No		
Wachovia Bank, N.A.	CASH & DEBT	Yes	No		
Wachovia Capital Markets	CASH	Yes	No		
Walton Street Real Estate Fund II, LP	PFM	Yes	No		
Webster Bank, N.A.	CASH & DEBT	Yes	No		
Wellington Management Company	PFM	Yes	Yes	CRA Rogers Casey was paid a fee of \$35,000 for the Summit Alliance Membershp.	Vendor identified exemption. Payments are permissible.
Wellspring Capital Partners II, LP	PFM	Yes	No		

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Wellspring Capital Partners III, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund III, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund VIII, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund X, LP	PFM	Yes	No		
West LB AG	DEBT	Yes	No		
Western Asset Management Company	PFM	Yes	No		
Westport Senior Living Investment Fund, LP	PFM	Yes	No		
Westrock Capital Management, Inc.	DEBT	Yes	No		
William Blair and Co.	DEBT	Yes	No		
Williams Capital Group, L.P.	CASH	Yes	No		
Windsor Federal Savings and Loan Association	CASH	Yes	No		