

*Office of State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2008 through June 30, 2009*

COMPANY NAME	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
A. C. Advisory, Inc.	DEBT	Yes	No		
Aberdeen Asset Management Inc.	PFM	Yes	No		
ACA Financial Guaranty Corporation	DEBT	Yes	No		
Acacia Financial Group, Inc.	DEBT	Yes	No		
Acadian Asset Management, Inc.	PFM	Yes	No		
ACS State & Local Solutions, Inc. (wholly owned subsidiary of Xerox)	UCP	No	No		
AEW Capital Management, LP	PFM	Yes	No		
AEW Partners III, LP	PFM	Yes	No		
AIG Altaris Health Partners II, L.P.	PFM	Yes	Yes	Altaris Capital Partners, LLC was paid \$713,206.20 for investment services pursuant to the Limited Partnership Agreement. Kirkland & Ellis, LLP were paid \$99,802.10 for legal services. UBS was paid \$10,823.53 as placement agent for the Fund (not with respect to State of CT investment). Merrill Lynch was paid \$23,058.82 as placement agent for the Fund (not with respect to State of CT investment).	Vendor identified exemption. Management fees and placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3))
AIG Altaris Health Partners, L.P.	PFM	Yes	Yes	Altaris Capital Partners, L.L.C was paid \$323,621.09 for investment services pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
AIG Financial Products Corp.	DEBT	Yes	Yes	Fulbright & Jaworski L.L.P were paid \$405.00 for legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
AMBAC Assurance Corporation	DEBT	Yes	No		
Ambassador Capital Management	PFM	Yes	No		
AMTEC Corp.	DEBT	No	No		
Apollo Real Estate Investment Fund III, LP	PFM	Yes	No		
AQR Capital Management, LLC	PFM	Yes	No		
Artio Global Management, LLC (formerly Julius Baer Investment Management, LLC)	PFM	Yes	No		
Ashmore Investment Management Limited	PFM	Yes	No		
Assured Guaranty Municipal Corp. (formerly Financial Security Assurance, Inc.)	DEBT	Yes	No		
Audt Services, US, LLC	UCP	No	No		
AXA Rosenberg Investment Management	PFM	Yes	No		
Banc of America Securities, LLC	CASH	Yes	No		

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Bank of America Merrill Lynch	DEBT	Yes	Yes	Underwriter's Counsel Tobin Carberry O'Malley Riley Selinger P.C. - \$50,600.00 Hawkins, Delafield & Wood - \$30,000.00 Updike, Kelly & Spellacy - \$40,000.00 Edwards, Angell, Palmer & Dodge - \$30,000.00	Vendor identified exemption. Legal fees, as well as fees related to the issuance of bonds, are permissible third party payments. (See C.G.S. § 3-131(b)(1).
Bank of America, N.A.	CASH & DEBT	Yes	No		
Barclays Capital <i>(formerly Lehman Brothers)</i>	DEBT	Yes	No		
Bayerische Landesbank	DEBT	Yes	No		
BB&T and Company	CASH	Yes	No		
Belle Haven Investments, L.P.	DEBT	Yes	No		
Bivium Capital Partners, LLC	PFM	Yes	Yes	Mosaic Investment Advisors were paid \$218,024.38 in connection with consulting services.	Vendor identified exemption. Consulting fees are permissible third party payments. (See C.G.S. § 3-131(b)(3).
BlackRock Financial Management, Inc.	PFM	Yes	No		
BlackRock Institutional Trust Company <i>(formerly Barclays Global Investors, N.A.)</i>	PFM	Yes	No		
BlackRock Investment Management, LLC <i>(formerly Merrill Lynch Investment Managers)</i>	PFM	Yes	No		
Blackstone Capital Partners III Merchant Banking Fund, LP	PFM	Yes	No		
Blackstone Real Estate Partners Europe III, L.P.	PFM	Yes	No		
Blackstone Real Estate Partners VI, L.P.	PFM	Yes	No		
Blaylok Robert Van LLC <i>(formerly SBK - Brooks Investment Corp.)</i>	DEBT	Yes	No		
BNY ConvergeX Group	PFM	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. Final payment was made in December 2007. Probitas Funds Group, LLC was paid \$969,232.00 for placement agent services. Final payment was made on April 1, 2009.	Vendor identified exemption. Legal fees and placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(3).
Brown Brothers Harriman & Co.	PFM	Yes	No		
Bryant Miller Oliver, PA	DEBT	Yes	No		
Cabrera Capital Markets, Inc.	DEBT	Yes	No		
Candover 2008 Fund (The)	PFM	Yes	Yes	Benedetto, Gartland & Co. were paid \$108,000.00 as placement agent for the Fund.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3).

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Canyon-Johnson Urban Fund II, LP	PFM	Yes	No		
Canyon-Johnson Urban Fund III, LP	PFM	Yes	No		
Capital Prospects, LLC	PFM	Yes	No		
Capri Select Income II, LLC	PFM	Yes	Yes	Presido Partners were paid \$231,968.60 as placement agent. Final payment was made on March 17, 2009.	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		
Charterhouse Group International, Inc.	PFM	Yes	Yes	CHUSA Equity Managers IV, LLC was paid \$1,240,179.74 for investment services pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Citibank, N.A.	CASH & DEBT	Yes	Yes	McDermott Will & Emery were paid \$8,417.50 in connection with legal services related to interest rate swap.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1).
Citigroup Global Markets, Inc.	DEBT	Yes	Yes	Law Offices of Joseph C. Reid, P.A. was paid \$20,000 to serve as Underwriter's Counsel. Squire, Sanders & Dempsey were paid \$20,000 to serve as Underwriter's Counsel.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of bonds, are permissible third party payments. (See C.G.S. § 3-131(b)(1).
Colchester Global Investors, Inc.	PFM	Yes	No		
Colony Realty Partners II, LP	PFM	Yes	Yes	Diamond Edge Capital Partners, LLC were paid \$198,413.00 in connection with placement agent services.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3).
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		
CCP Equity Partners (a.k.a. Conning Investment Partners V, LLC)	PFM	Yes	No		
Corby Capital Markets, Inc.	DEBT	Yes	No		
Cornerstone Patriot Fund, LP	PFM	Yes	No		
Court Square Capital Partners II, LLC	PFM	Yes	No		

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Covenant Apartment Fund V (Institutional - B), L.P.	PFM	Yes	Yes	Covenant Management Services, Inc. was paid \$302,215.16 for management services pursuant to the partnership agreement. Plante & Moran, PLLC were paid \$6,242.47 for accounting services. Waller Lansden Dortch & Davis, LLP were paid \$635.81 for legal services.	Vendor identified exemption. Management fees, legal and accounting services, are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Covenant Apartment Fund VI, L.P.	PFM	Yes	Yes	Quince Hill Partners were paid placement agent fees of \$46,907.31. Covenant Management Services, Inc. was paid \$197,410.99 for management services pursuant to the limited partnership agreement. Mayer Brown, LLP was paid \$35,157.39 for legal services. Plante & Moran, PLLC were paid \$4,861 for accounting services. Waller Lansden Dortch & Davis, LLP were paid \$1,251.99 for legal services. Covenant Property Management, LLC was paid \$532.57 for construction management services. RCS Equities, LLC was paid an annual administrative fee of \$1,740.95.	Vendor identified exemption. All fees disclosed are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3).
Coventry Health Care Workers' Compensation, Inc.	SIF	No	No		
Credit Suisse First Securities (USA) LLC	CASH	Yes	No		
Crescendo Ventures III, LP	PFM	Yes	No		
Crescendo World Fund LLC	PFM	Yes	No		

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CS/CT Cleantech Opportunities Fund, L.P. (a.k.a. DLJ Fund Partners, II, L.P.)	PFM	Yes	Yes	DLJMB Advisors, Inc. shall be paid quarterly management fees of 0.75% per annum pursuant to the limited partnership agreement. Adventity, Inc. was paid \$3,516.80 for financial analytics services in connection with fund investments. Copal Partners (UK) Limited were paid \$183.97 for financial analytics services in connection with fund investments. Henri Arif Consulting Services was paid \$3,282.08 for providing financial analytics and technical assistance on fund investments.	Vendor identified exemption. Management and placement agent (due diligence) services are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3).
Day Pitney, LLP	DEBT & PFM	Yes	No		
Deutsche Bank Securities, Inc.	CASH	Yes	No		
Dexia Credit Local	DEBT	Yes	No		
Dimensional Fund Advisors LP	PFM	Yes	No		
DLJ Merchant Banking Partners II, LP	PFM	Yes	No		
Edwards, Angell, Palmer & Dodge	DEBT & PFM	Yes	No		
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 earned management fees totaling \$4,926,362.97, but was paid \$2,028,144.99 during the reporting period. (Cumulative management fees deferred totaled \$3,457,326.95 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. Constitution Liquidating Fund, LP)	PFM	Yes	No		
Fairview Constitution Fund II, LP	PFM	Yes	No		
Fairview Constitution Fund III, LP	PFM	Yes	No		
Farmington Bank (formerly Farmington Savings Bank)	CASH	Yes	No		
Fifth Third Bank	CASH	Yes	No		
Financial Guaranty Insurance Company (FGIC)	DEBT	Yes	No		
Finn Dixon & Herling LLP	DEBT	Yes	No		
First Southwest Company	DEBT	Yes	No		
FIS Group, Inc.	PFM	Yes	No		
Forstmann Little Equity VI	PFM	Yes	No		
Forstmann Little MBO VII	PFM	Yes	No		

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Franklin Park Associates, LLC	PFM	Yes	No		
FS Equity Partners V, LP	PFM	Yes	No		
FS Equity Partners VI, LP	PFM	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 \$224,468.00 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Goldman Sachs Bank USA	DEBT	Yes	Yes	Underwriter's Counsel Tobin, Carberry, O'Malley, Riley & Selinger P.C. - \$32,500.00 Nixon Peabody - \$60,000.00 Pullman & Comley, LLC - \$57,500.00 Hawkins, Delafield & Wood LLP- \$57,500.00	Vendor identified exemption. Legal fees, as well as fees related to the issuance of bonds, are permissible third party payments. (See C.G.S. § 3-131(b)(1).
Goldman, Sachs & Co.	CASH	Yes	No		
Goldman, Sachs Private Equity Partners Connecticut, L.P.	PFM	Yes	Yes	State Street Bank was paid \$117,024.95 for administration and custodial services. PWC was paid \$53,189.00 in connection with auditing and tax services. Resources Global Professionals were paid \$9,761.87 in connection with consulting services. Pro Unlimited was paid \$582.98 in connection with consulting services. Various miscellaneous fees were paid for expenses, reports and annual return preparation.	Vendor identified exemption. Accounting, consulting and administration services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Goodwin Capital Advisers, 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	No		
Greenwich Street Capital Partners II, L.P.	PFM	Yes	No		
Grigsby & Associates, Inc.	DEBT	Yes	No		
Groom Law Group, Chartered	PFM	Yes	No		

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Grotech Partners V, L.P.	PFM	Yes	Yes	Grotech Management Company was paid management fees totalling \$900,160 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Hardwick Law Firm, LLC	DEBT	Yes	No		
Hartford Investment Management Company	PFM	Yes	No		
Hawkins, Delafield & Wood, LLP	DEBT	Yes	No		
Hicks, Muse, Tate & Furst Equity Fund III, LP	PFM	Yes	No		
HSBC Securities(USA), Inc.	CASH	Yes	No		
ICV Capital Partners II, LP	PFM	Yes	No		
IL&FS India Realty Fund II, LLC	PFM	Yes	Yes	Presido Partners LLC was paid \$625,000.00 in connection with placement agent services.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3).
ImageMaster, Inc.	DEBT	No	No		
ING Investment Management Co.	PFM	Yes	No		
Institutional Shareholder Services, Inc.	PFM	No	No		
Invesco Advisers, Inc. <i>(formerly Invesco Global Asset Management (N.A.), Inc.)</i>	PFM	Yes	No		
J.P. Morgan Investment Management, Inc. <i>(Nutmeg Opportunities Investment Fund)</i>	PFM	Yes	No		
Jackson Securities LLC	DEBT	Yes	No		
Janney Montgomery Scott LLC	CASH	Yes	No		
Jefferies & Company	CASH	Yes	No		
Jefferies First Albany Securities LLC <i>(a division of Jefferies & Company)</i>	DEBT	Yes	No		
J.P. Morgan Securities, Inc.	CASH	Yes	No		
J.P. Morgan Securities, Inc.	DEBT	Yes	Yes	Underwriter's Counsel Mintz Levin Cohn Ferris PC \$35,000.00 Hawkins Delafield & Wood \$40,000.00 Orrick, Herrington & Sutcliffe LLP \$25,000.00	Vendor identified exemption. Legal services are permissible third party payments. (See C.G.S. § 3-131(b)(1).
JPMorgan Chase Bank, N.A. <i>(formerly Bear Stearns Financial Products)</i>	DEBT	Yes	Yes	Alston & Bird LLP were paid \$65,000.00 in connection with legal services.	Vendor identified exemption. Legal services are permissible third party payments. (See C.G.S. § 3-131(b)(1).
JPMorgan Chase Bank, N.A.	CASH	Yes	No		
Kaplan, Fox & Kilsheimer, LLP	PFM	Yes	No		
Kelso Investment Associates VI, L.P.	PFM	Yes	Yes	Deloitte & Touche were paid for \$107,500.00 for accounting and tax services. Debevoise & Plimpton were paid \$40,892.00 for legal services.	Vendor identified exemption. Legal and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
KKR 2006 Fund	PFM	Yes	No		
KKR Millennium Fund	PFM	Yes	No		

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Kohlberg Kravis Roberts 1996 Fund (KKR)	PFM	Yes	No		
KPS Special Situations Fund II, LP	PFM	Yes	No		
Labaton Sucharow, LLP	PFM	Yes	No		
Lamont Financial Services Corporation	DEBT	Yes	No		
Landesbank Hessen-Thuringen	DEBT	Yes	No		
Landmark Partners, Inc.	PFM	Yes	No		
Law Offices of Joseph C. Reid, P.A.	DEBT	Yes	No		
Leeds Equity Partners V, L.P.	PFM	Yes	No		
Levine Leichtman Capital Partners, Inc.	PFM	Yes	Yes	DAV/Wetherly Financial, L.P. was paid a total of \$600,000.00 for placement agent services.	Vendor identified exemption. Placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
Lewis & Munday, P.C.	DEBT	Yes	No		
Lexington Capital Partners II, L.P.	PFM	Yes	No		
Loomis, Sayles & Company, L.P.	PFM	Yes	No		
Loop Capital Markets, LLC	DEBT	Yes	No		
M.R. Beal & Company	DEBT	Yes	No		
MacFarlane Urban Real Estate Fund II, LP	PFM	Yes	Yes	C.P. Eaton Partners, LLC were paid \$291,627.38 for placement agent services. Paul, Hastings, Janofsky & Walker, LLP were paid \$12,065.44 for legal services.	Vendor identified exemption. Placement agent and legal services are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3)).
McCarter & English, LLP	PFM	Yes	No		
Melvin Securities, LLC	DEBT	Yes	No		
Mercer Investment Consulting	PFM	Yes	No		
Merrill Lynch & Co.	CASH	Yes	No		The affidavit was submitted by Blackrock Investment Management, LLC.
MFS Institutional Advisors, Inc.	PFM	Yes	No		
Morgan Keegan & Company, Inc.	DEBT	Yes	No		
Morgan Stanley & Co. Incorporated	CASH & DEBT	Yes	Yes	Updike, Kelly & Spellacy were paid \$35,000.00 to serve as Underwriters' Counsel.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of bonds, are permissible third party payments. (See C.G.S. § 3-131(b)(1)).

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Muller & Monroe Asset Management, LLC	PFM	Yes	Yes	Knowles Hall Consulting was paid \$183,333.00 in connection with placement agent services. Muller & Monroe Asset Management, LLC was paid management fees totaling \$555,555.56. Schiff Hardin LLP was paid \$74,870.44 in connection with legal services. RSM McGladrey was paid \$2,000.00 in connection with tax return preparation.	Vendor identified exemption. Management, placement agent, legal and accounting services are all permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3).
National Public Finance Guarantee Corp. (formerly MBIA, Inc.)	DEBT	Yes	No		
Natixis Funding Corp.	DEBT	Yes	No		
NEPC, LLC	PFM	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		
Nogales Investors Fund II, LP	PFM	Yes	Yes	DAV/Wetherly Financial, LP was paid \$166,666.68 as placement agent pursuant to the limited partnership agreement.	Vendor identified exemption. Placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(3).
Northwest Community Bank	CASH	Yes	No		
Numeric Amplified Core Onshore Fund II L.P.	PFM	Yes	Yes	Goldman Sachs was paid an administration fee of \$434,167.00. Wolf & Company PC was paid \$32,000.00 for auditing and tax services. KPMG was paid \$6,350.00 for auditing services. Foley Hoag & Wilmer Hale was paid \$6,840.00 for legal services. The State of CT was paid \$443.00 for filing fees.	Vendor identified exemption. All fees disclosed are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).

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Oaktree Capital Management, L.P.	PFM	Yes	Yes	Bank of New York Mellon was paid \$18,000.00 to perform back-office services. Institutional Shareholder Services was paid \$7,838.00 for research related to their Northern Ireland service list. Conflict Securities Advisory Group was paid \$8,500.00 for global security risk monitoring services.	Vendor identified exemption. Back-office and research services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Orrick, Herrington & Sutcliffe, LLP	DEBT	Yes	No		
P.G. Corbin & Company, Inc.	DEBT	Yes	No		
Pacific Investment Management Company (PIMCO)	PFM	Yes	No		
Pareto Investment Management Limited	PFM	Yes	Yes	Pareto New York LLC was paid monthly increments (intra-group cost plus arrangement) totaling \$7,032,607.00 in connection with marketing services for the currency overlay program.	Vendor identified exemption. Marketing services are permissible third party payments. (See C.G.S. § 3-131(b)(3).
Parish Capital Advisors (Buyout) Fund II, LLC	PFM	Yes	Yes	Ernst & Young LLP were paid \$97,001.00 in connection with an annual audit and tax services. Robinson Bradshaw & Hinson were paid \$63,813.00 in connection with legal services. SEI Inc. was paid \$101,273.00 in connection with annual administrator services.	Vendor identified exemption. Legal and administrator services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Parish Capital Advisors I, LLC	PFM	Yes	Yes	Ernst & Young LLP were paid \$121,595.00 in connection with an annual audit and tax services. Robinson Bradshaw & Hinson were paid \$34,019.00 in connection with legal services. Cushman & Wakefield were paid \$24,082.00 in connection with legal services. King & Spaulding were paid \$27,098.00 in connection with legal services. SEI, Inc. was paid \$151,273.00 in connection with annual administrator services.	Vendor identified exemption. Legal and administrator services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Payden & Rygel Investment Management	PFM	Yes	No		

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Pegasus Capital Advisors, LP	PFM	Yes	No		
People's United Bank	CASH	No	No		
Pepe & Hazard, LLP	PFM	Yes	No		
Phoenix Capital Partners, LLP	DEBT	Yes	No		
PineBridge Global Emerging Markets Partners, L.L.C. (formerly AIG Global Emerging Markets Fund, LLC)	PFM	Yes	No		
Prager Sealy & Co., LLC	DEBT	Yes	No		
Prime Property Fund, LLC	PFM	Yes	No		
Progress Investment Management Co.	PFM	Yes	No		
Public Resources Advisory Group, Inc.	DEBT	Yes	Yes	Milliman Consultants and Actuaries were paid \$11,297.50 in connection with an actuarial analysis of State of Connecticut bonds.	Vendor identified exemption. Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Pullman & Comley, LLC	DEBT	Yes	No		
Pyramis Global Advisors Trust Company	PFM	Yes	No		
Rabo Securities USA, Inc.	CASH	Yes	No		
Raymond James & Associates, Inc.	CASH & DEBT	Yes	No		
RBC Capital Markets Corporation	DEBT	Yes	No		
Reich & Tang Asset Management, L.P.	DEBT	Yes	Yes	Tax Exempt Proceeds Fund, Inc. was paid \$496,097.00 for investment management services.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Reinhart, Boerner, Van Deuren, sc	PFM	Yes	No		
Reserve Management Company (The)	CASH	Yes			The firm refused to sign the disclosure affidavit.
RFE Investment Partners VI, L.P.	PFM	Yes	No		
RFE Investment Partners VII, L.P.	PFM	Yes	No		
Rice Financial Products Company	DEBT	Yes	No		
RLJ Lodging Fund II, L.P.	PFM	Yes	Yes	Presido Partners were paid placement agent fees totalling \$5,230.00 (State's pro rata share of \$77,714.00). Final payment was made on 12/17/08.	Vendor identified exemption. Placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(3).
RLJ Real Estate Fund III, LP	PFM	Yes	Yes	Presido Partners were paid placement agent fees totalling \$91,297.58 (State's pro rata share of \$2,173,752.00) .	Vendor identified exemption. Placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(3).
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.	PFM	Yes	No		
Roosevelt & Cross, Incorporated	DEBT	Yes	No		
Russell Implementation Services, Inc.	PFM	Yes	No		

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Samuel A. Ramirez & Co., Inc.	CASH & DEBT	Yes	Yes	Pullman & Comley LLC was paid a fixed fee of \$45,000.00 to serve as Underwriter's Counsel.	Vendor identified exemption. Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Schroder Investment Management North America Inc.	PFM	Yes	No		
SCP Private Equity Partners, LP	PFM	Yes	No		
Shawmut Capital Partners, LP	PFM	Yes	No		
Shenkman Capital Management, Inc.	PFM	Yes	No		
Shipman & Goodwin, LLP	DEBT	Yes	No		
Siebert Brandford Shank Co., LLC	DEBT	Yes	Yes	Troutman Sanders LLP was paid \$35,000.00 to serve as Underwriter's Counsel in connection with State of Connecticut bonds.	Vendor identified exemption. Fees related to the issuance of bonds 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		
Soeder & Associates LLC	DEBT	Yes	No		
Sovereign Bank	CASH	Yes	No		

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COMPANY NAME	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
Squire, Sanders & Dempsey LLP	DEBT	Yes	No		
Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	<p>Consulting Services - Moorari Gujadhur, Madun Gujadhur - \$10,850.00 - Terence J. Hatton - \$52,000.00 - Chatham Financial Corp. - \$2,181.00</p> <p>Auditing & Tax Services - Deloitte & Touche - \$43,953.00 - Lubbockfine Chartered Acctnts. - \$11,593.00 - Ernst & Young - \$109,217.00 - Frydland Systems, LLC - \$976,246.00 - PriceWaterhouseCoopers - \$20,839.00</p> <p>Legal Services - Haynes & Boone, LLP - \$89,664.00 - Meyer Brown Rowe & Mew - \$16,218.00 - Pircher, Nichols & Meeks - \$6,192.00 - Rinaldi, Finkelstein & Franklin - \$391,797.00 - Ropes & Gray - \$9,134.00 - Roylance, Abrams Berdo et al - \$2,976.00 - Schulte Roth & Zabel LLP - \$1,920.00 - White & Case - \$435,659.00 - Wolf Block Public Strategies - \$4,263.00</p>	Vendor identified exemption. Consulting, accounting and legal services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3).

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Starwood Global Opportunity Fund VIII, LP	PFM	Yes	Yes	<p>Consulting Services</p> <ul style="list-style-type: none"> - Gresham Advisory Partners Ltd. - \$16,190.00 - Terence J. Hatton - \$146,903.00 <p>Legal</p> <ul style="list-style-type: none"> - Ackerman Senterfitt - \$48,763.00 - Dechert LLP - \$231.00 - Haynes & Boone, LLP - \$817,232.00 - Loyens and Loeff - \$75,187.00 - Maples and Calder - \$1,010.00 - Mayer Brown Rowe & Mew - \$169,348.00 - Proskauer Rose LLP - \$87,056.00 - Richards, Layton & Finger PA - \$8,763.00 - Rinaldi, Finkelstein & Franklin - \$874,469.00 - Ropes & Gray - \$8,673.00 - Schulte Roth & Zabel LLP - \$50,000.00 - Shipman & Goodwin LLP - \$6,098.00 - Sonnenschein Nath & Rosenthal LLP - \$11,353.00 - The Pellegrino Law Firm - \$7,100.00 - Wachtell, Lipton Rosen & Katz - \$185,000.00 - White & Case - \$3,280,958.00 <p>Auditing, Tax & Appraisal Services</p> <ul style="list-style-type: none"> - Frydland Systems, LLC - \$330,000.00 - PriceWaterhouseCoopers - \$111,828.00 - CB Richard Ellis Inc. - \$6,757.00 	Vendor identified exemption. Consulting, accounting and legal services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3).
State Street Bank & Trust Company	CASH & PFM	Yes	No		
State Street Global Advisors	PFM	Yes	No		
Sterne, Agee & Leach, Inc.	DEBT	Yes	No		
Stifel Nicolaus & Company, Inc.	CASH	Yes	No		
Stone Harbor Investment Partners, LP	PFM	Yes	No		
Sturdivant & Co.	DEBT	Yes	No		

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SW Pelham Fund II, LP	PFM	Yes	Yes	Pricewaterhouse Coopers, LLP was paid \$34,919.00 for accounting services. Shipman & Goodwin, LLP were paid \$22,737.38 for legal services. Citi Private Equity Services was paid \$82,617.52 for back-office support for fund accounting and reporting. Spectrum Bridge, Inc. was paid \$3,500.00 for valuation services.	Vendor identified exemption. Legal, accounting and back-office services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
SW Pelham Fund, L.P	PFM	Yes	Yes	Pricewaterhouse Coopers, LLP was paid \$45,894.00 for accounting services. Shipman & Goodwin LLP were paid \$17,617.00 for legal services. Skadden, Arps, Slate, Meagher & Flom, LLP were paid \$216,320.00 for legal services.	Vendor identified exemption. Legal and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Syncom Management Company, Inc.	PFM	Yes	Yes	Wilmer Cutler Pickering Hale and Dorr, LLP were paid \$12,373.68 in connection with legal services. DAV/Wetherly Financial, LP was paid \$629,060.84 in connection with placement agent services.	Vendor identified exemption. Legal and placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(3).
T. Rowe Price Associates, Inc.	PFM	Yes	No		
TA XI, L.P.	PFM	Yes	No		
TD Bank, N.A. (formerly TD Banknorth, N.A.)	CASH	Yes	No		
Thayer Equity Investors IV, LP	PFM	Yes	Yes	Thayer/Hidden Creek Management, L.P. was paid a management fee of \$3,769,718.00 pursuant to the partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
The Townsend Group	PFM	Yes	No		
Thomas H. Lee Equity Fund IV, LLC	PFM	Yes	No		
Thomas H. Lee Equity Fund VI, LLC	PFM	Yes	No		
TIAA-CREF Tuition Financing, Inc.	EXEC	Yes	Yes	Sutherland, Asbill & Brennan, LLP were paid \$293,000.00 for legal services in connection with the Connecticut Higher Education Trust (CHET) program..	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1).
Trinity Plus Funding Co., LLC	DEBT	Yes	No		
Trust Company of the West	PFM	Yes	No		

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U.S. Bank National Association	CASH & DEBT	Yes	Yes	Shipman & Goodwin LLP was paid \$8,106.20 in connection with legal services. Pullman & Comley were paid \$10,172.50 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1).
UBS Financial Services, Inc.	CASH	Yes	No		
UBS Global Asset Management (Americas), Inc.	PFM	Yes	No		
UBS Investment Bank (formerly UBS Securities, LLC)	DEBT	Yes	No		
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
Vista Equity Partners III, LLC	PFM	Yes	Yes	Diamond Edge Capital Partners, LLC were paid \$313,507.00 in connection with placement agent services.	Vendor identified exemption. Placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(3).
Wachovia Bank, N.A.	CASH & DEBT	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	No		
Wellspring Capital Partners II, LP	PFM	Yes	No		
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		
Welsh Carson Anderson & Stowe Fund XI, 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 Company, LLC	DEBT & PFM	Yes	No		
Windsor Federal Savings and Loan Association	CASH	Yes	No		
WLR Recovery Fund VI, L.P.	PFM	Yes	No		
Yucaipa American Alliance Fund II, LP	PFM	Yes	Yes	Atlantic-Pacific Capital, Inc. was paid \$450,000 in connection with global placement agent and advisory services.	Vendor identified exemption. Advisory and placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(3).