

*Office of State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2011 through June 30, 2012*

	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		
AEW Capital Management, LP	PFM	Yes	No		
AEW Partners III, LP	PFM	Yes	No		
AIG Financial Products Corp.	DEBT	Yes	No		
AllianceBernstein Legacy Securities (Delaware) L.P.	PFM	Yes	No		
Altaris Health Partners II, L.P. (formerly AIG Altaris Health Partners II, L.P.)	PFM	Yes	Yes	Altaris Capital Partners, LLC were paid management fees totalling \$327,585 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Altaris Health Partners, L.P. (formerly AIG Altaris Health Partners, L.P.)	PFM	Yes	Yes	Altaris Capital Partners, LLC were paid management fees totalling \$176,271 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Ambac Assurance Corporation	DEBT	Yes	No		
Ambassador Capital Management	PFM	Yes	No		
American Realty Advisors	PFM	Yes	Yes	Paul Hastings LLP was paid \$26,025 in connection with legal services. Bingham McCutchen, LLP was paid \$4,968 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
AMTEC Corp.	DEBT	No	No		
Anderson, Kill & Olick	PFM	Yes	No		
Apollo Real Estate Investment Fund III, LP	PFM	Yes	No		
AQR Capital Management, LLC	PFM	Yes	No		
Arclight Energy Partners Fund V, L.P.	PFM	Yes	Yes	Barclays Capital, Inc. was paid \$650,000 (two payments of \$325,000) in connection with placement agent services pursuant to the Limited Partnership Agreement. FAP USA LP was paid \$70,106 in connection with placement agent services pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
Ashmore EMM, LLC (formerly Emerging Markets Management, LLC)	PFM	Yes	No		
Ashmore Investment Management Limited	PFM	Yes	No		
Assured Guaranty Municipal Corp.	DEBT	Yes	No		
Audax Mezzanine Fund III, LP	PFM	Yes	No		
Audit Services, US, LLC	UCP	No	No		
Backstrom, McCarley Berry & Co., L.L.C.	DEBT	Yes	No		
Baker Botts, L.L.P.	PFM	Yes	No		

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Bank of America, N.A.	CASH & DEBT	Yes	No		
Barclays Capital, Inc.	CASH & DEBT	Yes	No		
Bayerische Landesbank	DEBT	Yes	No		
BB&T Capital Markets, <i>a division of Branch Banking & Trust Company</i>	CASH	Yes	No		
Bivium Capital Partners, LLC	PFM	Yes	No		
BlackRock Financial Management, Inc.	PFM	Yes	No		
BlackRock Institutional Trust Company, N.A.	PFM	Yes	No		
BlackRock Investment Management, LLC	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		
Blackstone Real Estate Special Situations Fund II, LP	PFM	Yes	No		
Blaylock Robert Van LLC	DEBT	Yes	No		
BLX Group, LLC	DEBT	Yes	No		
BNP Paribas Securities Corp.	CASH	Yes	No		
BNY ConvergeEx Execution Solutions, LLC	PFM	Yes	No		
Boston Ventures VII, L.P.	PFM	Yes	No		
Branch Banking & Trust Company	CASH	Yes	No		
Brown Brothers Harriman & Co.	PFM	Yes	No		
Bryant Miller Olive, PA	DEBT	Yes	No		
Cabrera Capital Markets, Inc.	DEBT	Yes	No		
Callan Associates, Inc.	PFM	Yes	No		
Candover 2008 Fund (The) <i>(Arle Capital Partners, Limited)</i>	PFM	Yes	No		
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	No		
Carlyle Asia Partners, L.P.	PFM	Yes	No		
Carlyle Europe Partners, L.P.	PFM	Yes	No		
CastleOak Securities, L.P.	CASH & DEBT	Yes	No		
CCP Equity Partners <i>(a.k.a. Conning Investment Partners V, LLC)</i>	PFM	Yes	No		
Charterhouse Group International, Inc.	PFM	Yes	No		
Citibank, N.A.	CASH	Yes	No		
Citigroup Global Markets, Inc.	CASH & DEBT	Yes	No		

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Clay Hill, LLC (CT Horizon Legacy Fund, L.P.)	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid management fees totaling \$50,000 during the reporting period pursuant to the Limited Partnership Agreement. Schiff Hardin LLP was paid \$4,085 in connection with legal services. RSM McGladrey was paid \$29,400 in connection with audit services. GreatBanc Trust Company was paid \$4,500 in connection with custody services.	Vendor identified exemption. Management, legal and custody fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).)
Colchester Global Investors, Inc.	PFM	Yes	No		
Colony Realty Partners II, LP	PFM	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		
Constitution Liquidating Fund I, LP	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	Yes	Kirkland & Ellis were paid \$1.75 million in connection with legal services. First Avenue Partners, LLP was paid \$116,667 (four installments) in connection with consulting services. Bain & Company, Inc. was paid a flat fee of \$100,000 for due diligence and consulting services.	Vendor identified exemption. Legal and consulting fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).)
Covenant Apartment Fund V (Institutional - B), L.P.	PFM	Yes	Yes	Covenant Management Services, Inc. was paid management fees totalling \$303,200 pursuant to the limited partnership agreement. Plante & Moran, PLLC were paid \$9,123 in connection with accounting services. Waller Lansden Dortch & Davis LLP were paid \$656 in connection with legal services.	Vendor identified exemption. Management, legal and accounting fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).)

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Covenant Apartment Fund VI, L.P.	PFM	Yes	Yes	<p>Covenant Management Services, Inc. was paid management fees fees totalling \$312,488 pursuant to the partnership agreement.</p> <p>Park Madison Partners, LLC were paid \$26,189 in connection with placement agent services.</p> <p>Plante & Moran, PLLC were paid \$6,047 in connection with accounting services.</p> <p>Waller Lansden Dortch & Davis, LLP were paid \$6,845 in connection with legal services.</p> <p>RCS Equities, LLC was paid an annual administrative fee of \$1412.</p>	Vendor identified exemption. Management, placement agent, legal and accounting fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3).
Coventry Health Care Workers' Compensation, Inc.	SIF	No	No		
Crescendo Ventures III, LP	PFM	Yes	No		
Crescendo World Fund LLC	PFM	Yes	No		
CRT Capital Group	CASH	Yes	No		
CS/CT Cleantech Opportunities Fund, L.P. (a.k.a. DLJ Fund Partners, II, L.P.)	PFM	Yes	Yes	<p>Copal Partners (UK) Limited was paid \$192 in connection with finanacial analytics services.</p> <p>Morgan Lewis was paid \$701 in connection with legal services.</p> <p>Nixon Peabody was paid \$158 in connection with legal sevices.</p> <p>Cognizant Technology Solutions was paid \$7,732 in connection with financial analytics services.</p>	Vendor identified exemption. Legal fees and financial analytics services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).
Day Pitney, LLP	DEBT & PFM	Yes	No		
Deminor International SCRL	PFM	Yes	No		
Deutsche Bank Securities, Inc.	CASH	Yes	No		
Dexia Credit Local	DEBT	Yes	No		
Dimensional Fund Advisors LP	PFM	Yes	No		

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DLJ Merchant Banking Partners II, LP	PFM	Yes	No		
Drexel Hamilton, LLC	DEBT	Yes	No		
Edward D. Jones & Co. L.P.	DEBT	Yes	No		
Edwards Wildman Palmer LLP (f.k.a. Edwards, Angell, Palmer & Dodge)	DEBT & PFM	Yes	No		
Energy Fund XV, L.P. (TCW-EIG Alternative Investments, LLC)	PFM	Yes	No		
Estrada, Hinojosa & Company, Inc.	DEBT	Yes	No		
Ethos Private Equity Fund V, LP	PFM	Yes	Yes	Ethos Private Equity Limited was paid management fees totaling \$2,591,215 (includes past deferrals of \$1,750,037) pursuant to the partnership agreement. Management fees earned but not paid during the reporting period total \$1,099,715.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(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		
Farmington Bank	CASH	Yes	No		
Fidelity Capital Markets	DEBT	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		
Franklin Park Associates, LLC	PFM	Yes	No		
Frontier Capital Management Company	PFM	Yes	No		
FS Equity Partners V, LP	PFM	Yes	Yes	Freeman Spogli Management Co., L.P. was paid management fees totaling \$128,464 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
FS Equity Partners VI, LP	PFM	Yes	Yes	Freeman Spogli Management Co., L.P. was paid management fees totaling \$1,057,334 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
GarMark Partners II, L.P.	PFM	Yes	No		
Garmark Partners, L.P. Liquidating Trust	PFM	Yes	No		
GE Capital Corporation	CASH	Yes			
Gilbert Global Equity Partners, L.P.	PFM	Yes	No		
Gleacher & Company Securities, Inc.	CASH	Yes	No		
Goldman Sachs Bank USA	DEBT	Yes	No		

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Goldman, Sachs & Co.	CASH & DEBT	Yes	Yes	Bryant Miller Olive was paid \$25,382 in connection with legal services as Underwriter's Counsel. Pullman & Comley, LLC was paid \$25,000 in connection with legal services 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)).
Goldman, Sachs Mitsui Marine Derivative Products, L.P.	DEBT	Yes	No		
Goldman, Sachs Private Equity Partners Connecticut, L.P.	PFM	Yes	Yes	<p>Custody/Administration: State Street Bank - \$124,355 Citi Private Equity Services, Inc. - \$4,971</p> <p>Accounting (Tax & Audit): Ernst & Young - \$1,035 PriceWaterhouseCoopers, LLC - \$84,538 KPMG LLP - \$3,988 Jefferson Wells - \$1,357</p> <p>Consulting: Resources Global Professionals - \$4,816 True Partners Consulting LLC - \$1,428 DG3 North America Inc. - \$794 RR Donnelly - \$ 434 Goldman Sachs - \$279 Williams Lee - \$68</p> <p>Legal: CSC - \$2,227 Fried Frank Harris et al - \$2,044 Walker House - \$100 Ropes & Gray - \$61 Mintz, Levin Cohn Ferris - \$3 CT Corporation System - \$1</p>	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3))
Goodwin Capital Advisers, Inc.	PFM	Yes	No		
Grant & Eisenhofer, PA	PFM	Yes	No		
Grant Thornton LLP (f.k.a. Carlin, Charron & Rosen LLP)	DEBT	No	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 Markets	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 \$155,970 for management fees. Additional management fees of \$412,467 were incurred during the period but not yet paid.	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		
Hart Realty Advisers, Inc. (Hart Core Separate Account)	PFM	Yes	No		
Hartford Investment Management Company	PFM	Yes	No		
Hartford Life Insurance Company	EXEC	Yes	Yes	Sutherland, Asbill & Brennan LLP was paid \$29,346 in connection with legal services. State Street Bank and Trust Company was paid \$14,100 in connection with custodian services. Upromise Investment Advisors, LLC was paid administrative fees totalling \$162,618 in connection with record-keeping services.	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).)
Hawkins, Delafield & Wood, LLP	DEBT	Yes	No		
Hewitt EnnisKnupp	PFM	Yes	No		
Hicks, Muse, Tate & Furst Equity Fund III, LP	PFM	Yes	No		
ICV Capital Partners II, LP	PFM	Yes	No		
IL&FS India Realty Fund II, LLC	PFM	Yes	No		
ImageMaster, Inc.	DEBT	No	No		
ING Investment Management Co., LLC	PFM	Yes	No		
Institutional Shareholder Services, Inc.	PFM	No	No		
Invesco Advisers, Inc.	PFM	Yes	No		
J.P. Morgan Investment Management, Inc. (Nutmeg Opportunities Investment Fund, L.P.)	PFM	Yes	No		
J.P. Morgan Securities, LLC	CASH & DEBT	Yes	Yes	Schiff Hardin LLP was paid a fixed fee of \$20,000 in connection with legal services. Levy & Droney P.C. was paid a fixed fee of \$20,000 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1).)
Jackson Securities LLC	DEBT	Yes	No		
Janney Montgomery Scott LLC	CASH & DEBT	Yes	No		
Jefferies & Company, Inc.	CASH & DEBT	Yes	No		
JFL Equity Investors III, LP	PFM	Yes	Yes	Stanwich Advisors was paid \$10,000 per month in connection with private placement services.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3).)
JPMorgan Chase Bank, N.A.	CASH & DEBT	Yes	No		

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K2 Advisors, LLC (Prudence Crandall Fund IV, LLC)	PFM	Yes	No		
Kessler Topaz Meltzer & Check, LLP	PFM	Yes	No		
KeyBanc Capital Markets, Inc.	DEBT	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		
Lamont Financial Services Corporation	DEBT	Yes	No		
Landesbank Hessen-Thuringen	DEBT	Yes	No		
Landmark Equity Partners XIV, L.P.	PFM	Yes	No		
Landmark Partners, Inc.	PFM	Yes	No		
Law Offices of Joseph C. Reid, P.A.	DEBT	Yes	No		
Lazard Asset Management, LLC	PFM	Yes	No		
Lebenthal & Co., LLC	DEBT	Yes	No		
Leeds Equity Partners V, L.P.	PFM	Yes	No		
Levine Leichtman Capital Partners, Inc.	PFM	Yes	No		
Levy & Droney, PC	PFM	Yes	No		
Lewis & Munday, P.C.	DEBT PFM	Yes	No		
Lexington Capital Partners II, L.P.	PFM	Yes	No		
Lonestar Real Estate Partners II, L.P.	PFM	Yes	Yes	UBS Securities, LLC was paid \$250,000 in connection with placement agent services pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
Loomis, Sayles & Company, L.P.	PFM	Yes	No		
Loop Capital Markets, LLC	CASH & DEBT	Yes	Yes	Hawkins Delafield & Wood were paid \$20,000 in connection with legal services as Co-underwriter's counsel. Hardwick Law Firm, LLC was paid \$20,000 in connection with legal services as Co-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)).
Lowe & Associates, LLC	PFM	Yes	No		
M.R. Beal & Company	CASH & DEBT	Yes	No		
MacFarlane Urban Real Estate Fund II, LP	PFM	Yes	Yes	Paul Hastings, Janofsky & Walker LLP were paid \$4,203 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Marathon Legacy Securities Public-Private Investment Fund LP	PFM	Yes	Yes	Aggregate legal fees paid by the Fund are \$87,103 of which the State of Connecticut's pro rata portion is approximately 10.5%.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
McCarter & English, LLP	PFM	Yes	No		
McElroy, Deutsch, Mulvaney & Carpenter, LLP	PFM	Yes			
Melvin Securities, LLC	DEBT	Yes	No		

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Merrill, Lynch, Pierce, Fenner & Smith <i>(formerly Banc of America Securities)</i>	CASH	Yes	No		
Merrill, Lynch, Pierce, Fenner & Smith <i>(d/b/a Bank of America Merrill Lynch)</i>	DEBT	Yes	Yes	Updike, Kelly & Spellacy were paid \$35,000 in connection with legal services rendered in the capacity of Underwriter's Counsel.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1).
Mesirow Financial, Inc.	CASH	Yes	No		
MFS Institutional Advisors, Inc.	PFM	Yes	No		
Mischler Financial Group, Inc.	CASH	Yes	No		
Mizuho Securities USA, Inc.	CASH	Yes	No		
Morgan Keegan & Company, Inc.	CASH & DEBT	Yes	No		
Morgan Stanley & Co. Incorporated	CASH & DEBT	Yes	No		
Morgan Stanley Investment Management	CASH	Yes	No		
Muller & Monroe Asset Management, LLC <i>(CT Emerging Private Equity Fund of Funds L.P.)</i>	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid management fees totaling \$9,975 pursuant to the Limited Partnership Agreement. Schiff Hardin LLP was paid \$538,302 in connection with legal services. RSM McGladrey was paid \$36,900 in connection with auditing and tax services. GreatBanc Trust Company was paid \$31,815 in connection with custody services. Knowles Hall Consulting was paid \$25,000 in connection with a settlement agreement for consulting services.	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3).
National Public Finance Guarantee Corp.	DEBT	Yes	No		
NATIXIS Funding Corp.	DEBT	Yes	No		
NEPC, LLC	PFM	Yes	No		
New Boston Individual and Institutional Investment Fund IV, LP <i>(a.k.a. AEW Trust 221)</i>	PFM	Yes	No		
New Boston Urban Strategy America Fund, LP	PFM	Yes	No		
Nixon Peabody LLP	PFM	Yes	No		
Nogales Investors Fund II, LP	PFM	Yes	No		
Nomura Securities International, Inc.	CASH	Yes	No		
Northern Trust Investments, Inc.	PFM	Yes	No		
Northwest Community Bank	CASH	Yes	No		

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Numeric Amplified Core Onshore Fund II, L.P.	PFM	Yes	Yes	Numeric Investors LLC were paid management fees totalling \$2,583,908 pursuant to the Limited Partnership Agreement. Goldman Sachs Fund Administration was paid \$323,235 in connection with fund administration. Wolf & Company PC was paid fixed annual fees totalling \$35,000 in connection with auditing and tax preparation services. KPMG was paid a fixed annual fee of \$6,600 in connection with fund financial statements. CT Corporation System was paid a fixed annual fee of \$85.00 in connection with incorporation fees.	Vendor identified exemption. All fees disclosed are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Oaktree Capital Management, L.P.	PFM	Yes	Yes	Bank of New York Mellon was paid \$17,000 for back-office services such as accounting, reconciliation and settlement. ISS was paid \$7,838 in connection with the Northern Ireland service update list. CSAG was paid \$12,500 in connection with its global security risk monitoring service.	Vendor identified exemption. Back-office and research services are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Oppenheimer & Co., Inc.	CASH	Yes	No		
Orrick, Herrington & Sutcliffe, LLP	DEBT & PFM	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 \$4,292,350 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)).
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	CASH	Yes	No		
Permal Group, LTD (Prudence Crandall Fund I, LLC)	PFM	Yes	No		
Phoenix Capital Partners, LLP	DEBT	Yes	No		

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Piper, Jaffray & Co.	DEBT	Yes	No		
PineBridge Global Emerging Markets Partners, L.L.C.	PFM	Yes	No		
Pomerantz Grossman Hufford Dahlstrom & Gross LLP (formerly Pomerantz Haudek Grossman & Gross LLP)	PFM	Yes	No		
Prager & Co., LLC	DEBT	Yes	No		
Prime Property Fund, LLC	PFM	Yes	No		
Prisma Capital Management, LLC (Prudence Crandall Fund II, LLC)	PFM	Yes	No		
Progress Investment Management Company, LLC	PFM	Yes	No		
Public Resources Advisory Group, Inc.	DEBT	Yes	Yes	Milliman was paid \$26,770 for actuarial services in connection with pension funding issues.	Vendor identified exemption. Actuarial services are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Pullman & Comley, LLC	DEBT & PFM	Yes	No		
Pyramis Global Advisors Trust Company	PFM	Yes	No		
Rabo Securities USA, Inc.	CASH	Yes			
Raymond James & Associates, Inc.	CASH & DEBT	Yes	No		
RBC Capital Markets, LLC	CASH & DEBT	Yes	No		
RBS Citizens Bank, NA	CASH	Yes	No		
RBS Securities, Inc.	CASH	Yes	No		
Reich & Tang Asset Management, L.P.	DEBT	Yes	Yes	Tax Exempt Proceeds Fund, Inc. was paid \$56,504 in connection with 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		
RFE Investment Partners VI, L.P.	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	CASH & DEBT	Yes	No		
Robert W. Baird & Co.	DEBT	Yes	No		
Robinson & Cole, LLP	DEBT & PFM	Yes	No		
Rock Creek Connecticut, LLC (Prudence Crandall Fund III, LLC)	PFM	Yes	No		
Rockfleet Financial Services, Inc.	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		
Roosevelt & Cross, Incorporated	DEBT	Yes	No		
Russell Implementation Services, Inc.	PFM	Yes	No		
Samuel A. Ramirez & Co., Inc.	DEBT	Yes	No		
Sandgrain Securities, Inc.	DEBT	Yes	No		
Schroder Investment Management North America, Inc.	PFM	Yes	No		

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SCP Private Equity Partners, LP	PFM	Yes	No		
Shenkman Capital Management, Inc.	PFM	Yes	No		
Shipman & Goodwin, LLP	DEBT & PFM	Yes	No		
Siebert Brandford Shank Co., LLC	DEBT	Yes	No		
Societe Generale	CASH & DEBT	Yes	No		
Soeder & Associates LLC	DEBT	Yes	No		
Sovereign Bank	CASH	Yes	No		
Squire Sanders (US) LLP	DEBT	Yes	No		
Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	Auditing - Deloitte & Touche - \$627,569 Tax Advisor: - Ernst & Young - \$116,416 - Frydland Stevens, LLC - \$497,940 Legal Services: - Kirkland & Ellis - \$123,602 - Mayer, Brown, Rowe & Mew - \$74,851 - Rinaldi, Finkelstein & Franklin - \$196,616 White & Case - \$87,659	Vendor identified exemption. Legal, accounting and auditing services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Starwood Global Opportunity Fund VIII, LP	PFM	Yes	Yes	Auditing: PriceWaterhouseCoopers LLP -\$1,108,444 Legal: -Cushman & Wakefield, Inc. - \$244,109 -Hogan & Hartson LLP - \$416,561 -Kirkland & Ellis LLP - \$386,006 -Machado, Meyer, Sendacz, et al - \$239,281 -Mayer Brown LLP - \$753,937 -Paul Hastings, Janofsky & Walker - \$192,236 -Pircher, Nichols & Meeks - \$664,066 -Rinaldi, Finkelstein & Franklin LLC - \$833,894 -Sedgwick LLP - \$202,904 -Sidley Austin LP - \$60,516 -Skadden Arps Slate Meagher et al - \$285,329 -Smith Brandon International, Inc. - \$69,000 -White & Case - \$808,664	Vendor identified exemption. Accounting, legal and valuation services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).

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Starwood Global Opportunity Fund VIII, LP (cont'd.)	PFM	Yes	Yes	Tax Advisor: -DLA Piper LLP - \$89,994 -Ernst & Young - \$365,697 -Frydland Stevens, LLC - \$457,350 -Greenwoods & Freehills, GPO - \$69,574 Valuation: -Altus Group U.S. Inc. - \$86,323 -The Wolf Group - \$76,727 Leasing: -The Pollard Group - \$100,507	Vendor identified exemption. Accounting, legal and valuation services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).
State Street Bank & Trust Company	CASH & PFM	Yes	No		
State Street Global Advisors	PFM	Yes	No		
State Street Global Markets, LLC	CASH	Yes	No		
Stephens, Inc.	CASH	Yes	No		
Stepstone Pioneer Capital Buyout Fund II, L.P. (f.k.a. Parish Capital Advisors (Buyout) Fund II, L.P.)	PFM	Yes	Yes	Ernst & Young, LLP were paid \$74,768 in connection with auditing and tax services. Robinson Bradshaw & Hinson were paid \$10,841 in connection with legal services. SEI, Inc. was paid \$84,502 in connection with fund administration services.	Vendor identified exemption. Legal, accounting and fund administration fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).
Stepstone Pioneer Capital I, L.P. (f.k.a. Parish Capital Advisors I, L.P.)	PFM	Yes	Yes	Ernst & Young, LLP were paid \$171,751 in connection with auditing and tax services. Robinson Bradshaw & Hinson were paid \$8,126 in connection with legal services. SEI, Inc. was paid \$128,079 in connection with fund administration services.	Vendor identified exemption. Legal, accounting and fund administration fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).
Sterne, Agee & Leach, Inc.	DEBT	Yes	No		
Stifel Nicolaus & Company, Inc.	CASH & DEBT	Yes	No		
Stone Castle Partners, LLC	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 \$29,383 in connection with tax and accounting services. Shipman & Goodwin, LLP were paid \$33,270 in connection with legal services. Citi Private Equity Services was paid \$83,801 in connection with back-office support for fund accounting and reporting.	Vendor identified exemption. Legal, accounting and back-office services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
SW Pelham Fund, L.P	PFM	Yes	Yes	Pricewaterhouse Coopers, LLP was paid \$1,650 in connection with annual tax services. Shipman & Goodwin, LLP were paid \$8,187 in connection with legal services.	Vendor identified exemption. Legal and accounting fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Syncom Management Company, Inc.	PFM	Yes	No		
T. Rowe Price Associates, Inc.	PFM	Yes	No		
TA XI, L.P.	PFM	Yes	Yes	TA Associates XI GP, LP were paid monthly management fees of \$1,095,473, including carried interest pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
TD Bank, N.A.	CASH	Yes	No		
TD Securities (USA) LLC	DEBT	Yes	No		
Teigland-Hunt LLP	PFM	Yes	No		
Thayer Equity Investors IV, LP	PFM	Yes	No		
The Community's Bank	CASH	Yes	No		
The Guilford Savings Bank	CASH	Yes	No		
The Townsend Group	PFM	Yes	No		
The Williams Capital Group, L.P.	DEBT	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 \$22,462 in connection with legal services for the CT Higher Education Trust Program.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Toussaint Capital Partners, LLC	DEBT	Yes	No		
Toyota Motor Corporation	CASH	Yes	No		
Trinity Plus Funding Co., LLC	DEBT	Yes	No		
U.S. Bancorp Municipal Securities Group	DEBT	Yes	No		
U.S. Bank National Association	CASH & DEBT	Yes	Yes	Shipman & Goodwin LLP were paid \$863 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		

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Urdike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
Vista Equity Partners Fund III, L.P.	PFM	Yes	No		
Vista Equity Partners Fund IV, L.P.	PFM	Yes	No		
Walton Street Real Estate Fund II, LP	PFM	Yes	No		
Webster Bank, N.A.	CASH	Yes	No		
Wellington Management Company	PFM	Yes	No		
Wells Fargo Bank, National Association	CASH & DEBT	Yes	No		
Wells Fargo Securities, LLC	CASH	Yes	No		
Wellspring Capital Partners II, LP	PFM	Yes	No		
Wellspring Capital Partners III, LP	PFM	Yes	No		
Wellspring Capital Partners V, L.P.	PFM	Yes	Yes	Channel Investment Advisors, Inc. were paid \$225,000 (\$25,000 per month) in connection with consulting services.	Vendor identified exemption. Consulting services are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
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		
Westport Senior Living Investment Fund, LP	PFM	Yes	No		
William Blair and Company, LLC	DEBT & PFM	Yes	No		
Windsor Federal Savings and Loan Association	CASH	Yes	No		
WLR IV PPIP Co-Invest, L.P.	PFM	Yes	No		
WLR Recovery Fund IV, L.P.	PFM	Yes	No		
Xerox State & Local Solutions, Inc. (formerly ACS State & Local Solutions)	UCP	No	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 global placement agent services are permissible third party payments. (See C.G.S. § 3-131(b)(3)).