|  |
| --- |
| Pursuant to Connecticut law and Office of Treasurer policies, vendors and prospective vendors of the Office of the Treasurer are required to provide the following compliance documents. *Many documents have been updated as of August 30, 2022. Read each form carefully.* |
| **I.** | **Prior to contracting with the Office of the Treasurer**As part of the RFP/contract procurement process of the Office of the Treasurer, prospective vendors must complete the following Legal and Policy attachments:  |
|  | [**Attachment 1A**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/63C9BACA97C64543AAE8601910B9DE62.ashx) | **CHRO Contract Compliance Report Parts I, II, III and V** |
|  | [**Attachment 1B**](https://portal.ct.gov/-/media/OTT/Doing-Business/082522Attachment-1B-EIR.xlsx)*(****No****Law firms)*[**Attachment 1B**](https://portal.ct.gov/-/media/OTT/Doing-Business/082522Attachment-1B-EIR---Law-Firms.xlsx)*(Law firms****only****)* | **CHRO Contract Compliance Report Part V (EIR - Employer Information Report)***Part V of the CHRO Contract Compliance Report is an Excel file.****Submit in Excel format and do not alter formulas.***  |
|  | [**Attachment 2**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/795243A90A354AAA83E0CF1E73AEB05B.ashx) | **Diversity, Equity and Inclusion and Connecticut Nexus Questionnaire** |
|  | [**Attachment 3**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/E061F472ABBE49389AA621EC759A9AE8.ashx) | **Third-Party Fees Affidavit** |
|  | [**Attachment 4A**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/55431380B10F4B8286A68A470872EB95.ashx) | **Conflict of Interest Certification**Prior to completing this certification, review the [**State Election Enforcement Commission Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations**](https://seec.ct.gov/Portal/data/forms/ContrForms/SEECStateContractorNotice.pdf).  |
|  | [**Attachment 4B**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/7844D3674172403BB97AA270C7C2B083.ashx)*(Pension fund consultants****only****)* | **Conflict of Interest - CRPTF Consultant Addendum***Respondents who provide consulting services to the CRPTF complete this supplemental addendum to Attachment 4A.* |
|  | [**Attachment 5**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/72706217A37C4100A9B9F7AEFF56B635.ashx) | **Legal Proceedings and Organization Certification** |
|  | [**Attachment 6**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/80D82375990B42CDBA8D160288B3B222.ashx) | **Campaign Contribution Affidavit** |
|  | [**Attachment 7A**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/8802E609C3684DDDA58AF1F04C8274BF.ashx) | **Evaluation and Implementation of Sustainable Principles** |
|  | [**Attachment 7B**](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/-/media/D0B66F3574B54707951EF366579C12AE.ashx)*(Real estate investment managers****only****)* | **Sustainable Principles – Real Estate Addendum***Respondents who manage real estate asset classes for the CRPTF complete this supplemental addendum to Attachment 7A.* |

|  |
| --- |
|  |

|  |
| --- |
|  |

|  |  |
| --- | --- |
| **II.** | **Annual vendor compliance certifications** |
|  | **A.** | **Global Risk Assessment Certification** –Annual certification by investment services providers confirming compliance with investment contract global securities risk and restricted investment requirements for prior calendar year. See the [Investment Restrictions](https://authoring.ct.gov/sitecore/shell/Controls/Rich%20Text%20Editor/~/link.aspx?_id=F7FC943418464E34975B8D75F026F912&_z=z) page. |
|   | **B**. | **Annual Disclosures – Vendors are required to confirm annually for each fiscal year.**1. Conflicts of interest (all vendors)
2. Third-party fees disclosure and certification (investment services providers only)
 |
|  | **C.** | **Other contractually required contract submissions****Insurance Certificates** - Any vendor contractually required to maintain insurance must submit proof of insurance annually, which may consist of a copy of the insurance policy or an insurance certificate. Submit to CRPTFCompliance@ct.gov.**All other contractually required reports** - Submit as directed by the relevant contact person within the Office of the Treasurer. |

If you have any questions regarding compliance reporting, please call the Chief Compliance Officer for the Office of the Treasurer at **(860) 702-3030****.**