

*Office of the State Treasurer  
Summary of Responses to Request for Disclosure  
July 1, 2016 through June 30, 2017*

	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		
Acadian Asset Management, Inc.	PFM	Yes	No		
AIG Financial Products Corp.	DEBT	Yes	No		
Alliance Bernstein ("AB")	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 \$800,970 in connection with management fees pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Altaris Health Partners, L.P.	PFM	Yes	No		
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 Real Estate Investment Fund, III, L.P.	PFM	Yes	No		
Appomattox Advisers, Inc. (Thomas Welles Fund I, LLC)	PFM	Yes	Yes	CITCO Fund Administration (Cayman Islands) Limited was paid monthly investment management fees totaling \$88,211 as Administrator of the Fund.  CITCO Global Custody (N.A.) N.V. was paid custody fees on a quarterly basis totalling \$28,349 as Custodian of the Fund.  CITCO Banking Corporation N.V. was paid \$8,452 in connection with banking services.  Deloitte Ltd. was paid \$25,750 in connection with auditing services.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).
AQR Capital Management, LLC	PFM	Yes	No		
Arclight Energy Partners Fund V, L.P.	PFM	Yes	No		

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Arclight Energy Partners Fund VI, L.P.	PFM	Yes	Yes	Merrill Lynch Pierce Fenner was paid \$3,513,963 in connection with placement agent services.  Stifel Nicolaus & Co. was paid \$1,810,000 in connection with placement agent services.  Citibank Private Bank was paid \$107,500 in connection with placement agent services.  TransPacific Group LLC was paid \$1,000,000 in connection with placement agent services.	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		
Bank of America, N.A.	CASH & DEBT	Yes	No		
Barclays Capital, Inc.	CASH & DEBT	Yes	Yes	McDermott Will & Emery was paid \$60,000 in connection with legal services.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13/ b)(1).
Barings Core Property Fund, LP (f.k.a. <i>Cornerstone Patriot Fund, LP</i> )	PFM	Yes	No		
BB&T & Company	CASH	Yes	No		
Bivium Capital Partners, LLC	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		
Boston Ventures VII, L.P.	PFM	Yes	No		
Bryant Miller Olive, PA	DEBT	Yes	No		
Cabrera Capital Markets, Inc.	DEBT	Yes	No		
Cambridge International Securities, Inc.	CASH	Yes	No		
Candover 2008 Fund ( <i>Arle Capital Partners, Limited</i> )	PFM	Yes	No		

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Cantor Fitzgerald & Co.	CASH	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		
Carlyle GMS Finance, Inc.	PFM	Yes	No		
Carlyle NF Investment Corp.	PFM	Yes	No		
Castlelake, L.P. (f.k.a TPG Credit Strategies Fund II, L.P.)	PFM	Yes	No		
CastleOak Securities, L.P.	CASH	Yes	No		
Charterhouse Group International, Inc.	PFM	Yes	No		
Citigroup Global Markets, Inc.	CASH & DEBT	Yes	Yes	Hardwick Law was paid \$20,000 in connection with legal services rendered as Co-Underwriter's Counsel.  Hinckley, Allen Snyder was paid \$20,000 in connection with legal services rendered as Co-Underwriter's Counsel.  Doremus was paid \$43,820 in connection with advertising design and placement services related to the issuance of bonds.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13/ b)(1)(2).
Citizens Bank N.A.	CASH	Yes	No		
Citizens Bank of Pennsylvania	CASH	Yes	No		
Clarion-Lion Industrial Trust	PFM	Yes	Yes	Clarion Partners was paid management fees totaling \$1,250,625 in connection with asset management services.	Management fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Clay Hill, LLC (CT Horizon Legacy Fund, L.P.)	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid \$50,000 in connection with management fees.  Schiff Hardin LLP was paid \$139,654 in connection with legal fees.  RSM McGladrey was paid \$5,800 in connection with tax services.  GreatBanc Trust Company was paid \$3,375 in connection with custody services.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).

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Clearlake Capital Partners III, L.P.	PFM	Yes	Yes	Clearlake Capital Management III, L.P. was paid \$298,480 in connection with management fees.  Park Hill Group was paid \$70,808 for placement agent services out of management fees listed above.	Management fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2)(3).
Clearlake Capital Partners IV, L.P.	PFM	Yes	Yes	Clearlake Capital Management III, L.P. was paid \$746,009 in connection with management fees.  Park Hill Group was paid \$19,067 for placement agent services out of management fees listed above.	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, Inc.	PFM	Yes	No		
Colony Realty Partners II, LP	PFM	Yes	No		
Columbia Management Investment Advisors, LLC	PFM	Yes	No		
Conduent State & Local Solutions, Inc. (formerly Xerox State & Local Solutions)	UCP	No	No		
Connecticut Growth Capital, LLC (Balance Point Capital CT Advisors, LLC)	PFM	Yes	Yes	Balance Point Capital CT Advisors, LLC was paid management fees totaling \$1,125,00 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 Liquidating Fund I, LP	PFM	Yes	No		
Court Square Capital Partners II, LLC	PFM	Yes	Yes	Kirkland & Ellis was paid \$1,089 in connection with ongoing legal services.  Various fees totalling \$37,405 were paid in connection with auditing, tax, fund administration, and insurance.	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	CourtSquare Capital Manager III, LP/CourtSquare Capital Management LP was paid management fees totalling \$681,203 pursuant to the Limited Partnership Agreement.  Kirkland & Ellis was paid \$476 in connection with ongoing legal fees.  Various fees totalling \$20,549 were paid in connection with auditing, tax, fund administration, and insurance.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).
Covenant Apartment Fund V (Institutional - B), L.P.	PFM	Yes	Yes	Plante & Moran was paid \$7,608 in connection with audit and tax return services.	Audit and tax fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Covenant Apartment Fund (Institutional) VI, L.P.	PFM	Yes	Yes	Plante & Moran was paid \$5,199 in connection with audit and tax return services.	Audit and tax fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Covenant Apartment Fund VIII, L.P.	PFM	Yes	Yes	Covenant Management Services, Inc. was paid \$375,000 in connection with management services.  Plante & Moran, PLLC was paid \$8,367 in connection with audit and tax return services.	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		

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Crow Holdings Realty Partners VII, LP	PFM	Yes	No		
Cypress Acquisition Partners Retail Fund, L.P.	PFM	Yes	Yes	Credit Suisse Securities (USA) LLC ('CS') was paid \$376,403 (16.78% of a total \$2,243,165.00) 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		
Deutsche Bank Securities, Inc.	CASH	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	Yes	Credit Suisse Securities (USA) LLC ('CS') was paid \$169,879 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).
Entrust Permal Management, LLC (f.k.a. Permal Group, LTD) (Prudence Crandall Fund I, LLC)	PFM	Yes	No		
Estrada, Hinojosa & Company, Inc.	DEBT	Yes	No		
Environmental Capital, LLC	DEBT	Yes	No		
Ethos Private Equity Fund V, LP	PFM	Yes	Yes	Ethos Private Equity (Pty) Limited was paid \$389,809 (deferred on 1/7/16) 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 (division of National Financial, LLC)	DEBT	Yes	No		
Fidelity Institutional Asset Management ("FIAM") (f.k.a. Pyramis Global Advisors Trust Company)	PFM	Yes	No		
First Quadrant, L.P.	PFM	Yes	No		
First Southwest Company	DEBT	Yes	No		
FIS Group, Inc.	PFM	Yes	No		
Frasca & Associates, LLC	DEBT	Yes	No		
Frontier Capital Management Company	PFM	Yes	No		

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FS Equity Partners V, LP	PFM	Yes	Yes	Freeman Spogli Management Co., L.P. was paid management fees totalling \$36,469 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 totalling \$253,951 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
FTN Financial	CASH	Yes	No		
GarMark Partners II, L.P.	PFM	Yes	No		
Garmark Partners, L.P. Liquidating Trust	PFM	Yes	No		
GCM Customized Fund Investment Group, L.P. (CT Cleantech Opportunities Fund, L.P.)	PFM	Yes	No		
GenNx360 Capital Partners II, LP	PFM	Yes	No		
Gerding Edlen Investment Management (Green Cities II, LP & Green Cities III, LP)	PFM	Yes	Yes	Gerding Edlen Investment Management was paid management fees totally \$2,101,600 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13(b)(2).
Gilbert Global Equity Partners, L.P.	PFM	Yes	No		
Goldman Sachs Bank USA	DEBT	Yes	No		
Goldman, Sachs & Co.	CASH & DEBT	Yes	No		
Goldman, Sachs Mitsui Marine Derivative Products, L.P.	DEBT	Yes	No		
Goodwin Capital Advisers, Inc.	PFM	Yes	No		
Grant & Eisenhofer, PA	PFM	Yes	No		
Graham, Mayo, Van Otterloo & Co.	PFM	Yes	No		
Great Pacific Securities	CASH	Yes	No		
Hardwick Law Firm, LLC	DEBT	Yes	No		
Hart Realty Advisers, Inc.	PFM	Yes	No		
Hartford Life Insurance Company	EXEC	Yes	Yes	Sutherland Asbill & Brennan LLP was paid \$25,720 in connection with legal fees and expenses related to the 529 Plan.  State Street Bank & Trust Company was paid \$26,781 in connection with fund accounting administrative services.  Ascensus College Savings was paid \$860,253 in connection with administrative fees for record-keeping services.  Deloitte & Touche LLP was paid \$120,000 in connection with audit fees paid to independent auditor.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).
Hawkins, Delafield & Wood, LLP	DEBT	Yes	No		
Hicks, Muse, Tate & Furst Equity Fund III, LP	PFM	Yes	No		

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ICV Capital Partners II, LP	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 \$605,101 in connection with legal services.	Legal fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)
J M Lummis & Co.	CASH	Yes	No		
J.P. Morgan Chase Strategic Property Fund (J.P. Morgan Investment Management)	PFM	Yes	No		
J.P. Morgan Securities, LLC	CASH & DEBT	Yes	Yes	TCORS was paid \$20,000 in connection with Underwriter's Counsel fees.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13/ b)(1).
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)(1).
Jefferies, LLC	DEBT	Yes	No		
JFL Equity Investors III, LP	PFM	Yes	Yes	Debevoise & Plimpton LLP was paid \$33,860 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 \$500,973 in connection with legal services.  Stanwich Advisors was paid \$1,024,351 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 (Prudence Crandall Fund IV, LLC)	PFM	Yes	No		
Kelmar Associates, LLC	SIF	No	Yes	Kelmar Associates, LLC was paid \$151,570 in connection with the identification, collection, and delivery of unclaimed property pursuant to the contract.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
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		
KPS Special Situations Fund II, LP	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		

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Landmark Equity Partners XV, L.P.	PFM	Yes	Yes		
Landmark Real Estate Partners VII, LP	PFM	Yes	Yes		
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		
Lexington Capital Partners II, L.P.	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		
Lowey Dannenberg Cohen & Hart, P.C.	PFM	Yes	No		
MacFarlane Urban Real Estate Fund II, LP	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 \$42,307 of which 4.56% 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		
Melvin Securities, LLC	DEBT	Yes	No		
Merrill, Lynch, Pierce, Fenner & Smith	CASH	Yes	No		
Merrill, Lynch, Pierce, Fenner & Smith (d/b/a Bank of America Merrill Lynch)	DEBT	Yes	Yes	Bryant Miller Olive was paid \$22,500 for legal services rendered as Underwriter's Counsel in connection with the issuance of bonds.  Hinkley Allen was paid \$22,500 for legal services rendered as Underwriter's Counsel in connection with the issuance of bonds.	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		
Mizuho Securities USA, Inc.	CASH	Yes	No		
Morgan Stanley & Co. Incorporated	DEBT	Yes	No		
Morgan Stanley Alternative Investment, Partners, Inc. (Thomas Welles Fund II, LLC)	PFM	Yes	Yes	Morgan Stanley AIP GP, LP was paid \$518,561 in connection with management fees.	Management fees are permissible third party payments. (See C.G.S. § 3-13(b)(2).
Morgan Stanley Investment Partners, Inc.	CASH	Yes	No		



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Muller & Monroe Asset Management, LLC (CT Emerging Private Equity Fund of Funds L.P.)	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid \$4,672 in connection with management fees.  Schiff Hardin LLP was paid \$137,542 in connection with legal services.  RSM US, LLP was paid \$36,300 in connection with the 2015 audit and tax return preparation fees.  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		
New Boston Individual and Institutional Investment Fund IV, LP	PFM	Yes	No		
New Boston Urban Strategy America Fund, L.P.	PFM	Yes	No		
New Century Advisors	PFM	Yes	No		
Nogales Investors Fund II, LP	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		
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	CASH	Yes	No		
PFM Financial Advisors, LLC (f.k.a. Public Financial Management, Inc.)	DEBT	Yes	No		
PGIM Real Estate (f.k.a. Prudential Property Investments S/A, LP)	PFM	Yes	No		
Piper, Jaffray & Co.	CASH & DEBT	Yes	Yes	Updike, Kelley & Spellacy, P.C. was paid \$25,000 in connection with legal services related to the issuance of bonds as Underwriter's Counsel.  Lewis & Munday was paid \$25,000 in connection with legal services related to the issuance of bonds as Underwriter's Counsel.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13/b)(1).
PineBridge Global Emerging Markets Partners, L.L.C.	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		

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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.	CASH	Yes	No		
Raymond James & Associates, Inc.	CASH & DEBT	Yes	No		
RBC Capital Markets, LLC	CASH & DEBT	Yes	No		
RBS Securities, Inc.	CASH	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	CASH & DEBT	Yes	No		
Robert W. Baird & Co., Incorporated	DEBT	Yes	No		
Robinson & Cole, LLP	DEBT & PFM	Yes	No		
Robbins Geller Rudman & Dowd, LLP	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	Yes	Rockwood Capital LLC was paid management fees totaling \$4,245 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13(b)(2).
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 \$665,802 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13(b)(2).
Roosevelt & Cross, Incorporated	DEBT	Yes	No		
Russell Implementation Services, Inc.	PFM	Yes	No		
Samuel A. Ramirez & Co., Inc.	CASH & 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		
SCP Private Equity Partners, LP	PFM	Yes	No		
Seward & Monde, CPAs	DEBT	No	No		

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Shenkman Capital Management, Inc.	PFM	Yes	No		
Shipman & Goodwin, LLP	DEBT & PFM	Yes	No		
Siebert Cisneros Shank & Co., LLC (f.k.a. Siebert Brandford Shank & Co., LLC)	DEBT	Yes	Yes	Bryant Miller Olive was paid \$25,000 for legal services rendered as Underwriter's Counsel in connection with the issuance of bonds.  Pullman & Comley was paid \$25,000 for legal services rendered as Underwriter's Counsel in connection with the issuance of bonds.	Fees related to the issuance of bonds are permissible third party payments. (See C.G.S. § 3-13/ b)(1).
Societe Generale	DEBT	Yes	No		
Soeder & Associates LLC	DEBT	Yes	No		
Squire, Patton Boggs, LLP (f.k.a. Squire Sanders (US) LLP & Patton Boggs, LLP)	DEBT & PFM	Yes	No		
Starwood Distressed Opportunity Fund IX, L.P.	PFM	Yes	Yes	<u>Consulting/Advisory</u> - Citigroup Global Markets Realty Corp. - \$62,400 - Deloitte Tax LLP - \$71,507 - FTI Consulting - \$121,787 - Grant Thornton - \$373,730 - Hilton Worldwide - \$61,685 - Paul Hastings (Europe) LLP - \$55,504 - Real Foundation, Inc. - \$96,175 - TripAdvisor LLP - \$63,000 - Morgan Stanley & Co. LLC - \$910,000  <u>Audit/Tax Advisor</u> - Ernst & Young - \$2,500,790 - Pricewaterhousecoopers LLP - \$1,047,069 - Frydland & Co., LLC - \$1,468,230 <u>Legal</u> - Haynes & Boone - \$82,272 - Kirkland & Ellis - \$299,691 - Merrill Communications - \$52,000 - Rinaldi Finkelstein & Franklin LLC - \$585,788 - ST Global Services LLC - \$119,624 - Thomson Reuters Uk Limited - \$59,809 <u>Insurance</u> - Northeast Series of Lockton Companies LLC - \$57,046 - Selective Insurance - \$93,852	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).

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Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	<u>Consulting</u> - Beacon Advisors - \$93,626  <u>Auditing</u> - Deloitte & Touche, LLP - \$279,001  <u>Tax Advisor</u> - Ernst & Young - \$588,698  <u>Legal</u> - Kirkland & Ellis - \$285,864 - Rinaldi Finkelstein & Franklin, LLC - \$468,261	
Starwood Global Opportunity Fund VIII, LP	PFM	Yes	Yes	<u>Consulting</u> - Real Foundation, Inc. - \$62,936  <u>Auditing</u> - Pricewaterhousecoopers - \$771,493  <u>Tax Advisor</u> - Ernst & Young - \$1,150,346 - Frydland & Co. LLC - 282,500  <u>Legal</u> - Dechert - \$72,838 - Kirkland & Ellis - \$100,867 - Machado, Meyer, Sendacz Opice E Biscardi - \$159,742 - Rinaldi Finkelstein & Franklin, LLC - \$260,782  <u>Insurance</u> - Chicago Title Insurance Company - \$97,977	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	PFM	Yes	Yes	<u>Consulting</u> - Arent Fox - \$64,002 - Baker & McKenzie LLP - \$93,380 - Cbre Sp. Zoo - \$51,244 - Ching Yeung Kelvin Ng - \$78,813 - Cici Utility - 57,380 - Concrete Partnerships I LLP - \$180,000 - Costar Realty Information Group, Inc. - \$71,276 - Dentons Us LLP - \$135,172 - Eastdil Secured, LLC - \$106,000 - Enviro-Sciences, Inc. - \$70,676 - Consulting LLP - \$534,294 - Grant Thornton, LLP - \$506,916 - Green Street Advisors - \$62,456 - Lodging Econometrics - \$128,323 - Maplesfs Service Company Limited - \$60,084 - Nexcore Properties LLC - \$124,018 - Northeast Series of Lockton Companies LLC - \$132,064 - Paul Hastings, LLP - \$160,148 - Real Foundation Inc. - \$119,233 - Reis Services LLC - \$83,643 - SERA Architects, Inc. - \$53,788 - Sidley Austin - \$363,003 - Smith Brandon International, Inc. - \$56,800 - ST Global Services LLC - \$119,624	Consulting fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Starwood Opportunity Fund X Global, LP (Cont'd)	PFM	Yes	Yes	<u>Consulting</u> - Sterling Project Development Group, LLC - \$57,680 - Willis of New York, Inc. - \$251,166 - Yardi Systems, Inc. - \$79,736  <u>Legal</u> - Haynes and Boone, LLP - \$116,382 - Kirkland & Ellis - \$1,645,829 - Rinaldi Finkelstein & Franklin, LLC - \$1,583,310 - Thomson Reuters Uk Limited - \$79,746  <u>Tax Advisor</u> - Ernst & Young LLP - \$2,220,875 - Ernst & Young Us Llp - \$205,090 - Frydland & Co., LLC - \$2,234,634  <u>Advisory</u> - Morgan Stanley & Co. LLC - \$566,982  <u>Audit/Tax</u> - Deloitte & Touche, LLP - \$926,088 - Deloitte & Touche LLP - \$133,174 - Pricewaterhousecoopers - \$136,766  <u>Recruiting</u> - Dartmouth College - \$51,980	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).

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Starwood Opportunity Fund XI, LP	PFM	Yes	Yes	Clifford Chance was paid \$79,926 in connection with legal services.	Legal fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1).
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 \$144,059 in connection with auditing and tax services.  SEI, Inc. was paid \$123,833 in connection with annual administrator services.	Audit, tax and administrator fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Stepstone Pioneer Capital I, L.P. (f.k.a. Parish Capital Advisors I, L.P.)	PFM	Yes	Yes	Ernst & Young LLP was paid \$157,038 in connection with auditing and tax services.  Robinson Bradshaw & Hinson was paid \$6,346 in connection with legal services.  SEI, Inc. was paid \$168,351 in connection with annual administrator services.	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, Inc.	CASH & DEBT	Yes	No		
Stone Castle Partners, LLC	CASH	Yes	No		
Sturdivant & Co.	DEBT	Yes	No		
Svenska Handelsbanken	CASH	Yes	No		
SW Pelham Fund II, LP	PFM	Yes	Yes	Shipman & Goodwin was paid \$1,403 in connection with legal services.	Legal fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1).
SW Pelham Fund, L.P	PFM	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 \$4,605,891 in connection with management fees pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
TCG BDC, Inc. (f.k.a. Carlyle GMS Finance, Inc. & Carlyle NF Investment Corp., which merged into GMS Finance)	PFM	Yes	No		
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 Townsend Group	PFM	Yes	No		
The Williams Capital Group, L.P.	DEBT	Yes	No		
Thomas H. Lee Equity Fund VI, LLC	PFM	Yes	No		

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TIAA-CREF Tuition Financing, Inc.	EXEC	Yes	Yes	Eversheds Sutherland (US) LLB was paid \$12,107 in connection with legal services for the 529 Plan.	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. Bancorp Municipal Securities Group	DEBT	Yes	No		
U.S. Bank National Association	CASH & DEBT	Yes	Yes	Reid & Riege was paid \$6,256.50 in connection with legal services.  Shipman & Goodwin was paid \$6,443.60 in connection with legal services.  Updike, Kelly & Spellacy was paid \$985.50 in connection with legal services.	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 \$825,750 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).
UBS Trumbull Property Growth & Income Fund	PFM	Yes	Yes	Trumbull Property Growth & Income Fund was paid \$2,305,692 in connection with advisory services pursuant to the Advisory Agreement. Also included is an incentive fee that is paid each 3 year anniversary.	Advisory fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
UBS Trumbull Property Income Fund	PFM	Yes	Yes	Trumbull Property Income Fund was paid \$470,124 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).
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
USAA Eagle Real Estate Fund	PFM	Yes	No		
Verus Financial, LLC	SIF	No	No		
Vining Sparks IBG, L.P	CASH	Yes	No		
Vista Equity Partners Fund III, L.P.	PFM	Yes	Yes	Various fees including administrator, audit, tax preparation, legal and insurance totalling \$27,417 were paid to Gen II Fund Services, LLC, Deloitte & Touche LLP, Kirkland and Ellis LLP and LocktonInsurance Brokers, LLC.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).
Vista Equity Partners Fund IV, L.P.	PFM	Yes	Yes	Various fees including administrator, audit, tax preparation, legal and insurance totalling \$39,023 were paid to Gen II Fund Services, LLC, Deloitte & Touche LLP, Kirkland and Ellis LLP and LocktonInsurance Brokers, LLC.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/ (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		
Wells Fargo Securities, LLC	CASH	Yes	No		
Wellspring Capital Partners III LP	PFM	Yes	No		
Wellspring Capital Partners V, L.P.	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund X, LP	PFM	Yes	No		

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Welsh Carson Anderson & Stowe Fund XI, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund XII, LP	PFM	Yes	No		
Westport Senior Living Investment Fund, LP	PFM	Yes	No		
William Blair and Company, LLC	DEBT & 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		