

*Office of the State Treasurer*  
*Summary of Responses to Request for Disclosure*  
*July 1, 2018 through June 30, 2019*

COMPANY NAME	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
ACA Financial Guaranty Corporation	DEBT	No	No		
Acacia Financial Group, Inc.	DEBT	Yes	No		
Academy Securities, Inc.	DEBT	Yes	No		
Acadian Asset Management, Inc.	PFM	Yes	No		
AIG Financial Products Corp.	DEBT	No	No		
Alliance Bernstein ("AB")	PFM	Yes	No		
Altaris Constellation Partners IV, L.P.	PFM	Yes	No		
Altaris Health Partners II, L.P.	PFM	Yes	No		
Altaris Health Partners III, L.P.	PFM	Yes	No		
Altaris Health Partners IV, L.P.	PFM	Yes	No		
Ambac Assurance Corporation	DEBT	No	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 IX, LLC	PFM	Yes	No		
Apollo Capital Management VIII, LLC	PFM	Yes	No		
Appomattox Advisers, Inc. ( <i>Thomas Welles Fund I, LLC</i> )	PFM	Yes	No		
AQR Capital Management, LLC	PFM	Yes	No		
Arclight Energy Partners Fund V, L.P.	PFM	Yes	No		
Arclight Energy Partners Fund VI, L.P.	PFM	Yes	Yes	TransPacific Group was paid \$1,250,000 in connection with placement agent services.	Placement agent fees are permissible third party payments. (See C.G.S. § 3-13l(b)(3).)
Ashmore Investment Management Limited	PFM	Yes	No		
Assured Guaranty Municipal Corp.	DEBT	No	No		
Audax Mezzanine Fund III, LP	PFM	Yes	Yes	Audax Management Company (NY), LLC was paid management fees totaling \$5,752,283 pursuant to the Limited Partnership Agreement.  Audax Management Company (NY), LLC was paid carried interest totaling \$2,852,547 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).)

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Avenu SLS Holdings, L.L.C. <i>(Avenu Insights)</i>	SIF	No	No		
Backstrom, McCarley, Berry & Co., L.L.C.	DEBT	Yes	No		
Balance Point Capital Partners III, L.P. <i>(Connecticut Growth Capital, LLC)</i>	PFM	Yes	Yes	Balance Point Capital CT Advisors, LLC was paid management fees totaling \$750,000 (4 installments) pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(2).
Bank of America, N.A.	CASH & DEBT	Yes	No		
Barclays Capital, Inc.	CASH & DEBT	Yes	Yes	Bryant Miller Olive was paid \$20,000 in connection with legal services.  Hinckley, Allen & Snyder LLP was paid \$20,000 in connection with legal services.  ImageMaster, LLC was paid \$3,750 in connection with printing services.	Legal and administrative fees are permissible third party payments. (See C.G.S. § 3-13/ (b)(1)(2).
BB&T Capital Markets	CASH	Yes	No		
Berkshire Bank	CASH	Yes	No		
BIG Real Estate Fund I, LP <i>(Basis Investment Group)</i>	PFM	Yes	No		
Bivium Capital Partners, LLC	PFM	Yes	No		
BLA Schwartz PC	PFM	Yes	No		
BlackRock Financial Management, Inc.	PFM	Yes	No		
BlackRock Institutional Trust Company, N.A.	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		
BNY Mellon Capital Markets	CASH	Yes	No		
BofA Securities, Inc. <i>(formerly Bank of America Merrill Lynch)</i>	DEBT	Yes	Yes	Updike, Kelly & Spellacy, P.C. was paid \$20,000 in connection with legal services as Co-Underwriters' Counsel.  Hinckley Allen was paid \$20,000 in connection with legal services as Co-Underwriters' Counsel.	Legal fees are permissible third party payments. (See C.G.S. § 3-13(b)(1).
Boston Ventures VII, L.P.	PFM	Yes	No		

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Branch Banking & Trust Company (acquired by Truist)	CASH	Yes	No		
Bryant Miller Olive, PA	DEBT	Yes	No		
Cabrera Capital Markets, LLC	DEBT	Yes	No		
Cantor Fitzgerald & Co.	CASH	Yes	No		
Capital Prospects, LLC	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		
Citigroup Global Markets, Inc.	CASH & DEBT	Yes	No		
Citizens Bank N.A.	CASH	Yes	No		
Clarion-Lion Industrial Trust	PFM	Yes	No		
Clay Hill, LLC (CT Horizon Legacy Fund, L.P.)	PFM	Yes	Yes	<p>Muller &amp; Monroe Asset Management, LLC was paid \$50,000 in connection with management services.</p> <p>Schiff Hardin LLP was paid \$67,130 in connection with legal services.</p> <p>RSM McGladrey was paid \$49,050 in connection with auditing services.</p> <p>GreatBanc Trust Company was paid \$4,500 in connection with custody services.</p>	<p>Management, legal, audit and custody fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).</p>
Clearlake Capital Partners III, L.P.	PFM	Yes	Yes	Clearlake Capital Management III, L.P. was paid management fees totaling \$218,896 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
Clearlake Capital Partners IV, L.P.	PFM	Yes	Yes	<p>Clearlake Capital Management IV, L.P. was paid management fees totaling \$495,145 pursuant to the Limited Partnership Agreement.</p> <p>Park Hill Group, LLC was paid \$18,750 in connection with placement agent services.</p>	<p>Management and placement agent fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2)(3).</p>
Clearlake Capital Partners V, L.P.	PFM	Yes	Yes	<p>Clearlake Capital Management V, L.P. was paid management fees totaling \$388,417 pursuant to the Limited Partnership Agreement.</p> <p>The Credit Suisse Private Fund Group was paid \$19,388 in connection with placement agent services.</p>	<p>Management and placement agent fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2)(3).</p>
Cohen Milstein Sellers & Toll PLLC	PFM	Yes	No		
Colchester Global Investors Limited	PFM	Yes	No		

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Columbia Management Investment Advisers, LLC	PFM	Yes	No		
Conduent State & Local Solutions, Inc. <i>(formerly Xerox State &amp; Local Solutions)</i>	UCP	No	No		
Connex Credit Union	CASH	Yes	No		
Constitution Fund V (Co-Invest), LLC <i>(managed by Fairview)</i>	PFM	Yes	No		
Constitution Liquidating Fund I, LP	PFM	Yes	No		
Cooperatieve Rabobank NY Branch <i>(a.k.a. Rabo Securities USA, Inc.)</i>	CASH	Yes	No		
Court Square Capital Partners II, LLC	PFM	Yes	Yes	<p>Kirkland &amp; Ellis was paid \$1,256 in connection with ongoing legal services.</p> <p>Various fees totaling \$28,656 were paid in connection with auditing, tax preparation, fund administration and insurance.</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Court Square Capital Partners III, LLC	PFM	Yes	Yes	<p>Court Square Capital Management, LP was paid management fees totaling \$308,934 pursuant to the Limited Partnership Agreement.</p> <p>Kirkland &amp; Ellis was paid \$583 in connection with ongoing legal services.</p> <p>Various fees totaling \$24,515 were paid in connection with auditing, tax preparation, fund administration, and insurance.</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Covenant Apartment Fund VIII, L.P.	PFM	Yes	Yes	<p>Covenant Management Services, Inc. was paid management fees totaling \$334,168 pursuant to the Limited Partnership Agreement.</p> <p>Plante &amp; Moran PLLC was paid \$12,865 in connection with audit and tax services.</p>	Management, audit and tax fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
Covenant Apartment Fund IX, L.P.	PFM	Yes	Yes	<p>Covenant Apartment Fund IX, L.P. was paid management fees totaling \$677,083 pursuant to the Limited Partnership Agreement.</p> <p>Plante &amp; Moran PLLC was paid \$11,582 in connection with audit and tax services.</p>	Management, audit and tax fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
Coventry Health Care Workers Compensation, Inc.	SIF	No	No		
Crescendo Ventures III, LP	PFM	Yes	No		
Crow Holdings Realty Partners VII, LP	PFM	Yes	No		
Crow Holdings Realty Partners VIII, LP	PFM	Yes	Yes	HFF Securities L.P. (HFFS) was paid placement agent fees totaling \$26,250 pursuant to the Limited Partnership Agreement.	Placement agent fees are permissible third party payments. (See C.G.S. § 3-13l(b)(3).

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Cypress Acquisition Partners Retail Fund, L.P. (d/b/a Arrow Retail)	PFM	Yes	No		
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	Yes	DRS Belgium SCRL was paid €50,743.93 (15% Success) in connection with investment legal services.	Legal fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1).
Deutsche Bank AG, New York Branch	PFM	Yes	No		
Dexia Credit Local, New York Branch	CASH	Yes	No		
Dimensional Fund Advisors LP	PFM	Yes	No		
DLA Piper LLP	PFM	Yes	No		
Drexel Hamilton, LLC	DEBT	Yes	No		
Energy Fund XV, L.P. ( <i>TCW-EIG Alternative Investments, LLC</i> )	PFM	Yes	No		
Estrada, Hinojosa & Company, Inc.	DEBT	Yes	No		
Ethos Private Equity Fund V, LP	PFM	Yes	No		
Fairview Constitution Fund II, LP	PFM	Yes	No		
Fairview Constitution Fund III, LP	PFM	Yes	No		
Fairview Constitution Fund IV, LP	PFM	Yes	No		
FHN Financial Capital Markets ( <i>formerly FTN Financial Capital Markets</i> )	CASH & DEBT	Yes	No		
Fidelity Capital Markets ( <i>division of National Financial, LLC</i> )	DEBT	Yes	No		
Fidelity Institutional Asset Management ("FIAM") ( <i>f.k.a. Pyramis Global Advisors Trust Company</i> )	PFM	Yes	No		
Financial Recovery Technologies	PFM	Yes	No		
Finn Dixon Herling, LLP	PFM	Yes	No		
First Quadrant, L.P.	PFM	Yes	No		
First Republic Bank	CASH	Yes	No		
FIS Group, Inc.	PFM	Yes	No		
Frasca & Associates, LLC	DEBT	Yes	No		

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Freeman CT Horizon Investment Fund, LLC	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid management fees totaling \$47,917.  Schiff Hardin LLP was paid \$80,000 in connection with organizational expenses.  Schiff Hardin LLP was paid \$4,849 in connection with legal services.	Legal, organizational and management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Frontier Capital Management Company, LLC	PFM	Yes	No		
FS Equity Partners V, LP	PFM	Yes	No		
FS Equity Partners VI, LP	PFM	Yes	Yes	Freeman Spogli Management Co., L.P was paid management fees totaling \$125,959 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
GarMark Partners II, L.P.	PFM	Yes	No		
GCM Customized Fund Investment Group, L.P. <i>(CT Cleantech Opportunities Fund, L.P.)</i>	PFM	Yes	No		
GenNx360 Capital Partners II, LP	PFM	Yes	No		
Gerding Edlen Investment Management <i>(Green Cities II, LP &amp; Green Cities III, LP)</i>	PFM	Yes	Yes	Gerding Edlen Investment Management was paid management fees totaling \$1,280,830 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
Global Payments Direct, Inc.	CASH	No	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		
Great Pacific Securities	CASH	Yes	No		
Hardwick Law Firm, LLC	DEBT	Yes	No		
Hart Realty Advisers, Inc.	PFM	Yes	No		

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Hartford Funds Management Company, LLC	EXEC	Yes	Yes	<p>State Street Bank &amp; Trust Company was paid \$36,335 in connection with Fund accounting services.</p> <p>Ascensus College Savings Recordkeeping Services was paid \$1,131,686 in connection with record-keeping services.</p> <p>Deloitte &amp; Touche LLP was paid \$120,000 in connection with auditing services.</p> <p>BlackRock Investments, LLC, BlackRock Advisors, LLC and BlackRock Fund Advisors were paid \$18,091 in connection with administrative services.</p> <p>Invesco Advisers, Inc. was paid \$59,989 in connection with administrative services.</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
Hawkins, Delafield & Wood, LLP	DEBT	Yes	No		
Hilltop Securities, Inc. <i>(formerly First Southwest Company)</i>	DEBT	Yes	No		
Hinckley Allen	PFM	Yes	No		
ICG Europe Fund VII	PFM	Yes	No		
ICV Capital Partners, LLC	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	No		
J M Lummis & Company	CASH	Yes	No		
J.P. Morgan Chase Strategic Property Fund <i>(J.P. Morgan Investment Management, Inc.)</i>	PFM	Yes	No		
J.P. Morgan Securities, LLC	CASH & DEBT	Yes	No		
Jackson Walker LLP	PFM	Yes	No		
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)(2).
Jefferies, LLC	DEBT	Yes	No		

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JFL Equity Investors III, LP	PFM	Yes	Yes	DeBevoise & Plimpton, LLC was paid \$39,211 in connection with legal services, of which \$3,458 is Connecticut's share. Stanwich Advisors was paid \$621,060 for placement agent services, of which \$62,248 is Connecticut's share.	Legal fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(3).
JFL Equity Investors IV, LP	PFM	Yes	Yes	DeBevoise & Plimpton, LLC was paid \$9,835 in connection with legal services, of which \$914 is Connecticut's share.	Legal fees and are permissible third party payments. (See C.G.S. § 3-13l(b)(1).
JPMorgan Chase Bank, N.A.	CASH & DEBT	Yes	No		
K2 Advisors, LLC / D&S Management Co., L.L.C. <i>(Prudence Crandall Fund IV, LLC)</i>	PFM	Yes	No		
Kessler Topaz Meltzer & Check, LLP	PFM	Yes	No		
KeyBanc Capital Markets, Inc.	DEBT	Yes	No		
KeyBank National Association	CASH	Yes	Yes	JP Morgan Chase was paid a quarterly fee totaling \$52,989 in connection with banking services, including account maintenance, wire transfers, ACH, direct deposit and check cashing services.	Fees related to banking services are permissible third party payments. (See C.G.S. § 3-13lb)(2).
KKR 2006 Fund	PFM	Yes	No		
KKR Millennium Fund	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	Landmark Equity Partners XIV, LP was paid management fees outside of commitment by: - Israel Secondary Fund - \$74,992	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
Landmark Equity Partners XV, L.P.	PFM	Yes	Yes	Kirkland & Ellis was paid legal fees totaling \$319,013.	Legal fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1).

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Landmark Equity Partners XVI, L.P.		Yes	Yes	<p><b>Placement Agent Fees:</b></p> <ul style="list-style-type: none"> <li>- JP Morgan Securities \$2,843,325</li> <li>- Larrain Vial - \$516,564</li> <li>- Merrill Lynch Pierce Fenner &amp; Smith - \$2,839,463</li> <li>- Mvision Private Equity - \$1,639,640</li> <li>- WAI Alternative Investments - \$1,109,063</li> <li>- Wells Fargo Investment Institute - \$308,100</li> </ul> <p><b>Legal Fees:</b></p> <ul style="list-style-type: none"> <li>- Kirkland &amp; Ellis - \$1,935,991</li> <li>- Mayer Brown LLP - \$169,137</li> <li>- Reid &amp; Riege, P.C. - \$240,658</li> </ul> <p><b>Consulting Fees:</b></p> <ul style="list-style-type: none"> <li>- Goldman Sachs - \$624,807</li> <li>- Setter Capital - \$58,867</li> <li>- Two Six Capital - \$732,887</li> </ul>	Legal and placement agent fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(3).
Landmark Real Estate Partners VII, LP	PFM	Yes	Yes	<p><b>Management fee outside of commitment:</b></p> <ul style="list-style-type: none"> <li>- Lombard International Life Assurance Co. - \$87,497</li> <li>- NCH New Europe Property Invest - \$287,194</li> <li>- DLJ Real Estate Capital Partners - \$1,049,627</li> <li>- Silverpeak Real Estate Partners - \$70,676</li> <li>- North Haven Real Estate Fund VII Global - \$233,319</li> </ul> <p><b>Legal Fees:</b></p> <ul style="list-style-type: none"> <li>Kirkland &amp; Ellis LLP - \$67,802</li> </ul> <p><b>Consulting Fees:</b></p> <ul style="list-style-type: none"> <li>- Virginia R. Fleisher - \$67,374</li> </ul>	Management, legal and consulting fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2)(3).
Landmark Real Estate Partners VIII, LP	PFM	Yes	Yes	<p><b>Management fee outside of commitment:</b></p> <ul style="list-style-type: none"> <li>- Crow Holdings Realty Partners VII, L.P. - \$163,999</li> <li>- Gateway IV GP Ltd. - \$103,128</li> <li>- Gateway V GP Ltd. - \$179,972</li> <li>- Iron Point Real Estate Partners - TE (H) L.P. - \$68,092</li> <li>- Iron Point Real Estate Partners II, LP - \$135,343</li> <li>- NCH New Europe Property Investors Corp. - \$679,890</li> <li>- Rockpoint Real Estate Fund IV GP, LLC - \$53,664</li> <li>- Rockpoint Real Estate Fund V GP, LLC - \$273,661</li> <li>- Westbrook Strategic Management II, L.L.C. - \$75,151</li> </ul> <p><b>Legal Fees:</b></p> <ul style="list-style-type: none"> <li>- IQ-EQ - \$79,402</li> <li>- Kirkland &amp; Ellis LLP - \$1,395,509</li> <li>- Proskauer Rose LLP - \$132,814</li> <li>- Reid &amp; Reige P.C. - \$96,759</li> </ul> <p><b>Placement/Finder Fees:</b></p> <ul style="list-style-type: none"> <li>- Larrain Vial Investment Inc. - \$1,159,624</li> <li>- MVISION Private Equity Advisers USA LLC - \$347,305</li> <li>- Evercore BD Investco LLC - \$76,949</li> </ul>	Management, legal and placement agent fees are permissible third party payments. (See C.G.S. § 3-13/(b)(1)(2)(3).

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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	Yes	Leeds Equity Advisors, Inc. was paid management fees and carried interest totaling \$1,042,744 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
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		
Lieff, Cabraser, Heimann & Bernstein, LLP	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		
Mahoney Sabol & Company, LLP	DEBT	Yes	No		
Marathon European Credit Opportunity Fund, L.P.	PFM	Yes	Yes	Aggregate legal fees paid by the Fund total \$10,000, of which 5% is allocable to the State of Connecticut.	Legal fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1).
McCarter & English, LLP	PFM	Yes	No		
Meketa Investment Group, Inc.	PFM	Yes	No		
Melvin Securities, LLC	DEBT	Yes	No		
Mesirow Financial Inc.	DEBT	Yes	No		
MFS Institutional Advisors, Inc.	PFM	Yes	No		
Mischler Financial Group, Inc.	DEBT	Yes	No		
Mizuho Securities USA, Inc.	CASH	Yes	No		
Morgan Stanley & Co. Incorporated	DEBT	Yes	Yes	The Offices of Joseph C. Reid was paid \$40,000 for legal services rendered as Underwriter's Counsel.  Shipman & Goodwin was paid \$45,000 for legal services rendered as Underwriter's Counsel.	Legal fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1).

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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 \$255,064 pursuant to the Limited Partnership Agreement.  Schiff Hardin LLP was paid \$49,602 in connection with legal services.  RSM US, LLP was paid \$27,325 in connection with audit and tax return preparation services.  GreatBanc Trust Company was paid \$31,815 in connection with custodial services.	Management, legal, audit, tax and custody fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
National Public Finance Guarantee Corp.	DEBT	No	No		
Natwest Securities <i>(f.k.a. RBS Securities, Inc.)</i>	PFM	Yes	No		
New Boston Urban Strategy America Fund, L.P.	PFM	Yes	No		
New Century Advisors, LLC	PFM	Yes	No		
New Haven Bank <i>(formerly Start Community Bank)</i>	CASH	Yes	No		
Nomura Asset Management USA, Inc.	PFM	Yes	No		
Nordea	CASH	Yes	No		
Northern Trust Investments, Inc.	PFM	Yes	No		
Nossaman LLP	PFM	Yes	No		
Nutmeg Opportunities Investment Fund, L.P. <i>(J.P. Morgan Investment Management, Inc.)</i>	PFM	Yes	No		
NW Capital Markets, Inc. <i>(formerly NW Financial Group, LLC)</i>	DEBT	Yes	No		
Oppenheimer & Co., Inc.	CASH & DEBT	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, N.A.	CASH	Yes	No		
PFM Financial Advisors, LLC <i>(f.k.a. Public Financial Management, Inc.)</i>	DEBT	Yes	No		
PGIM Real Estate <i>(f.k.a. Prudential Property Investments S/A, LP)</i>	PFM	Yes	No		
Piper, Jaffray & Co.	CASH & DEBT	Yes	No		

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PNC Capital Markets, LLC	DEBT	Yes	No		
Prager & Co., LLC	DEBT	Yes	No		
Prime Property Fund, LLC ( <i>Morgan Stanley Real Estate Advisor</i> )	PFM	Yes	No		
Progress Investment Management Company, LLC	PFM	Yes	No		
Public Resources Advisory Group, Inc.	DEBT	Yes	No		
Pullman & Comley, LLC	DEBT & PFM	Yes	No		
Raymond James & Associates, Inc.	CASH & DEBT	Yes	Yes	Pullman & Comley LLC was paid \$40,000 for legal services rendered as Underwriter's Counsel.	Legal fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1).
RBC Capital Markets, LLC	CASH & DEBT	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	DEBT	Yes	No		
Robbins Geller Rudman & Dowd, LLLP	PFM	Yes	No		
Robert W. Baird & Co., Incorporated	DEBT	Yes	No		
Robinson & Cole, LLP	DEBT & PFM	Yes	No		
Robinson Bradshaw & Hinson	PFM	Yes	No		
Rock Creek Connecticut, LLC ( <i>Prudence Crandall Fund III, LLC</i> )	PFM	Yes	No		
Rockfleet Financial Services, Inc.	DEBT	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 Investments Implementation Services, LLC	PFM	Yes	No		
Samuel A. Ramirez & Co., Inc.	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		

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Scotiabank	CASH	Yes	No		
Scott+Scott Attorneys at Law LLP	PFM	Yes	No		
Seward & Monde, CPAs	DEBT	No	No		
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	No		
Societe Generale	DEBT	No	No		
Soeder & Associates LLC	DEBT	Yes	No		
Squire, Patton Boggs, LLP	DEBT & PFM	Yes	No		
Starwood Distressed Opportunity Fund IX, L.P.	PFM	Yes	Yes	<p><b>Tax Advisor:</b>            - Ernst &amp; Young LLP - \$1,468,554            - Forecastle Advisors, LLC - \$525,000</p> <p><b>Audit/Tax:</b>            - Pricewaterhousecoopers LLP - \$788,300</p> <p><b>Tax:</b>            - Deloitte Touche LLP - \$53,911</p> <p><b>Consulting:</b>            - Grant Thornton, LLP - \$172,790            - Northeast Series of Lockton Cos. LLC - \$235,447            - ST Global Services, LLC - \$198,267</p> <p><b>Legal Services:</b>            - Kirkland &amp; Ellis - \$442,581            - Rinaldi, Finkelstein &amp; Franklin, LLC - \$440,971</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	<p><b>Legal Services:</b>            - Rinaldi Finkelstein &amp; Franklin, LLC - \$182,848            - Kirkland &amp; Ellis - \$80,233</p> <p><b>Consulting:</b>            - Beacon Advisors - \$93,481</p> <p><b>Auditor:</b>            - Deloitte &amp; Touche, LLP - \$229,161</p> <p><b>Tax Advisor:</b>            - Ernst &amp; Young LLP - \$451,905</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).

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Starwood Global Opportunity Fund VIII, LP	PFM	Yes	Yes	<p><b>Legal Services:</b>            - Dechert - \$110,195            - Kirkland &amp; Ellis - \$118,601            - Rinaldi, Finkelstein &amp; Franklin, LLC - \$896,185</p> <p><b>Tax Advisor:</b>            - Ernst &amp; Young LLP - \$1,035,223            - Forecastle Advisors, LLC - \$100,000</p> <p><b>Auditor:</b>            - Pricewaterhousecoopers LLP - \$477,471</p> <p><b>Consulting:</b>            - Northeast Series of Lockton Cos. LLC - \$52,904</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Starwood Opportunity Fund X Global, LP	PFM	Yes	Yes	<p><b>Legal Services:</b>            - Kirkland &amp; Ellis - \$1,159,792            - Rinaldi, Finkelstein &amp; Franklin, LLC - \$735,910            - Haynes &amp; Boone, LLP - \$50,782</p> <p><b>Tax Advisor:</b>            - Deloitee Tax LLP - \$169,732            - Ernst &amp; Young LLP - \$2,154,858            - Forecastle Advisors LLC - \$1,236,373</p> <p><b>Consulting Services:</b>            - Costar Realty Information Group, Inc. - \$69,122            - Grant Thornton, LLP - \$636,168            - Maplesfs Service Company Limited - \$65,035            - Northeast Series of Lockton Companies LLC - \$347,015            - Orange Hospitality - \$206,561            - Paul Hastings, LLP - \$73,058            - ST Global Services, LLC - \$191,049            - Sterling Project Development Group, LLC - \$82,468            - Sungard Avantgard LLC - \$56,830</p> <p><b>Audit/Tax:</b>            - Deloitte Touche, LLP - \$818,938</p>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).

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Starwood Opportunity Fund XI, LP	PFM	Yes	Yes	<p><b>Consulting Services:</b></p> <ul style="list-style-type: none"> <li>- Costar Realty Information Group, Inc. - \$115,608</li> <li>- Grant Thornton, LLP - \$94,984</li> <li>- Paul Hastings, LLP - \$329,019</li> <li>- KPMG LLP - \$55,650</li> <li>- Standard &amp; Poor's/capital IQ - \$64,008</li> <li>- Sungard Avantgard LLC - \$96,594</li> <li>- Thompson Reuters UK Limited - \$76,807</li> <li>- Yardi Systems, Inc. - \$101,278</li> <li>- A5 REIT Services LLC - \$150,236</li> <li>- Ryan Companies US Inc. - \$626,740</li> <li>- Performance Trust Capital Partners LLC - \$150,000</li> </ul> <p><b>Legal Services:</b></p> <ul style="list-style-type: none"> <li>- Haynes &amp; Boone, LLP - \$191,878</li> <li>- Kirkland &amp; Ellis - \$3,223,622</li> <li>- Rinaldi, Finkelstein &amp; Franklin LLC - \$1,710,602</li> <li>- Skene Law Firm, P.C. - \$61,107</li> <li>- Latham &amp; Watkins, LLP - \$275,463</li> <li>- Mayer Brown LLP - \$70,000</li> </ul>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Starwood Opportunity Fund XI, LP (Cont'd.)	PFM	Yes	Yes	<p><b>Insurance:</b></p> <ul style="list-style-type: none"> <li>- Northeast Series of Lockton Companies LLC - \$728,100</li> </ul> <p><b>Fund Administration:</b></p> <ul style="list-style-type: none"> <li>- UMB Fund Services, Inc. - \$185,654</li> </ul> <p><b>Auditor:</b></p> <ul style="list-style-type: none"> <li>- Ct Corporation System - \$174,156</li> <li>- Pricewaterhousecoopers LLP - \$612,880</li> </ul> <p><b>Tax Advisor:</b></p> <ul style="list-style-type: none"> <li>- Ernst &amp; Young LLP - \$1,251,401</li> <li>- Forecastle Advisors LLC - \$882,500</li> <li>- Deloitte Touche LLP - \$127,701</li> </ul> <p><b>Development/Due Diligence:</b></p> <ul style="list-style-type: none"> <li>- Nates Investment Group Inc. - \$215,519</li> </ul>	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
State Street Global Advisors	PFM	Yes	No		

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Stepstone Pioneer Capital Buyout Fund II, LP (f.k.a. Parish Capital Advisors Buyout Fund II, LP)	PFM	Yes	Yes	<b>Audit:</b> - Ernst & Young - \$162,745  <b>Legal Services:</b> - Ropes & Gray LLP - \$2,993 - Simpson, Thatcher & Bartlett - \$2,683 - Greenberg Traurig LLP - \$1,070 - Colley LLP - \$1,101  <b>Administrative:</b> - SEI was paid annual administrative fees totaling \$80,199 - CT Corp was paid an annual statutory fee totaling \$68.00	Legal, audit and administrative fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Stern Brothers & Co.	DEBT	Yes	No		
Stifel Nicolaus & Company, Incorporated	CASH & DEBT	Yes	No		
StoneCastle Cash Management, LLC	CASH	Yes	No		
Sturdivant & Co., Inc.	DEBT	Yes	No		
Svenska Handelsbanken	CASH	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 management fees and carried interest totaling \$3,013,439 pursuant to the Limited Partnership Agreement.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
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 Williams Capital Group, L.P.	DEBT	Yes	No		
Thomas H. Lee Equity Fund VI, LLC	PFM	Yes	No		
TIAA-CREF Tuition Financing, Inc.	EXEC	Yes	Yes	Eversheds Sutherland LLP was paid \$22,528 in connection with legal services.	Legal fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1).
Toyota Financial Services	CASH	Yes	No		
Trinity Plus Funding Co., LLC	DEBT	Yes	No		
U.S. Bank National Association	CASH & DEBT	Yes	No		
UBS Financial Services, Inc.	DEBT	Yes	No		

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UBS Trumbull Property Fund	PFM	Yes	Yes	Trumbull Property Fund was paid management fees totaling \$657,829.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
UBS Trumbull Property Growth & Income Fund	PFM	Yes	Yes	Trumbull Property Growth & Income Fund was paid management fees totaling \$772,874.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
UBS Trumbull Property Income Fund	PFM	Yes	Yes	Trumbull Property Income Fund was paid management fees totaling \$491,538.	Management fees are permissible third party payments. (See C.G.S. § 3-13l(b)(2).
UMB Bank	DEBT	Yes	No		
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
USAA Eagle Real Estate Fund	PFM	Yes	No		
Verus Financial, LLC	SIF	No	No		
Vista Equity Partners Fund III, L.P.	PFM	Yes	Yes	Various fees were paid totaling \$47,926, including, but not limited to, administrator fees, audit fees, tax preparation fees, legal expenses and insurance.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Vista Equity Partners Fund IV, L.P.	PFM	Yes	Yes	Various fees were paid totaling \$62,780, including, but not limited to, administrator fees, audit fees, tax preparation fees, legal expenses and insurance.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Vista Equity Partners Fund VI, L.P.	PFM	Yes	Yes	Various fees were paid totaling \$110,566, including, but not limited to, administrator fees, audit fees, tax preparation fees, legal expenses and insurance.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(b)(1)(2).
Vista Equity Partners Fund VII, L.P.	PFM	Yes	Yes	Various fees were paid totaling \$117,368, including, but not limited to, administrator fees, audit fees, tax preparation fees, legal expenses and insurance.	All disclosed fees are permissible third party payments. (See C.G.S. § 3-13l(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		
Wellspring Capital Partners V, L.P.	PFM	Yes	No		
Wellspring Capital Partners VI, L.P.	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund XI, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund XII, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund XIII, LP	PFM	Yes	No		
William Blair Investment Management, LLC	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		