

STATE OF CONNECTICUT  
OFFICE OF THE TREASURER

AFFIDAVIT OF THIRD PARTY FEES AND  
DISCLOSURE OF CONSULTING AGREEMENTS  
For the period July 1, 2019 through June 30, 2020

I, \_\_\_\_\_, a duly authorized officer and/or representative of \_\_\_\_\_, being duly sworn, hereby depose and say that:

- I am over eighteen (18) years of age and believe in the obligations of an oath.
- \_\_\_\_\_ (firm name) is (a) a party to a contract for investment services with the Office of the Connecticut State Treasurer or (b) has entered into a contract with the Office of the Connecticut State Treasurer on or after July 13, 2005, valued at \$50,000 or more in a calendar or fiscal year (the "Contract").
- All third party fees, agreements to pay third party fees, and consulting agreements attributable to the Contract are as follows:

| NAME OF PAYEE | DOLLAR AMOUNT PAID OR VALUE OF NON-CASH COMPENSATION <u>AND</u> DATE | FEE ARRANGEMENT | SPECIFIC SERVICES PERFORMED OR TO BE PERFORMED BY PAYEE <sup>1</sup> |
|---------------|----------------------------------------------------------------------|-----------------|----------------------------------------------------------------------|
|               |                                                                      |                 |                                                                      |
|               |                                                                      |                 |                                                                      |
|               |                                                                      |                 |                                                                      |

(Attach additional copies of this page as necessary.)

**NOTE: For each third party fee or consulting arrangement described above, complete the attached Form A2a.**

- The information set forth herein is true, complete and accurate to the best of my knowledge and belief under penalty of perjury.

Signed: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court

<sup>1</sup> Please attach documents evidencing the terms of the fee arrangement and services.

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ADDENDUM TO AFFIDAVIT OF THIRD PARTY FEES

A. For each fee arrangement disclosed in the attached Affidavit, provide the following information about the third party payee:

- (1) Name
- (2) Address
- (3) Is the person or entity registered with the Securities and Exchange Commission, a state regulatory authority or FINRA? If so, provide details
- (4) Name of the President/Chief Executive Officer
- (5) Name, telephone number and email address of the individual principally responsible for work performed in connection with the contract, investment or proposed investment with the Office of the Treasurer

B. Please explain whether and how each such payment falls within one or more of the following categories of compensation providing an exception to the prohibition on finder's fees:

- (1) Compensation earned for the rendering of legal services when provided by an attorney while engaged in the ongoing practice of law;
- (2) Compensation earned for the rendering of investment services, other than legal services, when provided by an investment professional while engaged in the ongoing business of providing investment services;
- (3) Compensation for placement agent, due diligence or comparable tangible marketing services when paid to a person who is an investment professional (i) engaged in the ongoing business of representing providers of investment services, or (ii) in connection with the issuance of bonds, notes or other evidence of indebtedness by a public agency;
- (4) Compensation earned by a licensed real estate broker or real estate salesperson while engaging in the real estate business on an ongoing basis; or
- (5) Payments for client solicitation activities meeting the requirements of Rule 206(4)-3 under the Investment Advisers Act of 1940.

C. **Attach a copy of the agreement** evidencing the terms of the fee arrangement and the services, **and** provide a narrative description of any services actually rendered by the third party payee in connection with the contract, investment or proposed investment with the Office of the Treasurer.

D. For each fee arrangement disclosed in the affidavit, please respond to the following:

- (1) Is the fee paid to a former Connecticut state employee or public official? If so, please identify such person's former agency, position and the date such employment was terminated.

"Consulting agreement" shall have the meaning set forth in Section 4a-81(b)(1).

"Third party fees" includes those activities enumerated in Section 3-13j of the Connecticut General Statutes, and includes direct **and** indirect payments, **such as payments by a placement agent to a subagent**, and payments attributable to a contract made by a **general partner, principal, or employee** of the firm.

E. Respondents disclosing payments to, or agreements to pay, placement agents have a duty to inquire and shall report any payments to, or agreements to pay, subagents, and to provide all information and documentation requested under [A through D](#), above, with respect to any subagent.