

RESPONSES TO REQUESTS FOR DISCLOSURE

Revised 4/13/00

COMPANY	DATE DISCLOSURE RECEIVED	COMPENSATION	NAME OF PAYEE	TOTAL PAID	YEAR PAID	COMPENSATION ARRANGEMENT	SERVICES PROVIDED	SECURITIES LICENSE	INVESTMENT ADVISOR/BROKER DEALER	STATE ETHICS	DIVISION
A.G. Edwards & Sons, Inc.	10/14/1999	Yes	Calvin Vismale	466.96	1992	\$2,000/month retainer + 20% of net fee or 1/16% of principal	Marketing public finance services	No records	No records	No records	DEBT
ABN AMRO, Inc.	10/19/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
ACS Unclaimed Property Clearinghouse, Inc.	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	UCP
ADP, Inc.	10/14/99 & 10/18/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Advest, Inc.	10/9/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
AEW Capital Management, LP	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
AEW Partners III, L.P.	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
AEW Trust #221	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
AIG Capital Partners, Inc./AIG Global Emerging Markets Fund	10/21/1999	Yes	MFI Securities, LP	500,000.00	1997	1% of commitments, subject to reduction	Identifying and advising regarding potential investors	No	Yes	No	PFM
AIG Capital Partners, Inc./AIG Global Emerging Markets Fund	10/21/1999	Yes	Berman Enterprises	500,000.00	1997	1% of commitments, subject to reduction	Identifying and advising introducing potential investors	No	No	No	PFM
AIG Financial Products/AIG Matched Funding Corp.	10/15/1999	Yes	Eurobrokers, Inc.	263,000.00	1991	GIC brokerage fee	Services rendered in obtaining investment contract in connection with the 1991 Clean Water Rev. Bonds	Not disclosed	Yes	No	DEBT
AIG Financial Products/AIG Matched Funding Corp.	10/15/1999	Yes	Euro Brokers Maxcor, Inc.	139,677.00	1993	GIC brokerage fee	Services rendered in obtaining investment contracts for 1993 Clean Water Bonds and Special Assessment Unemployment Rev. Bonds	Not disclosed	Yes	No	DEBT
AIG Financial Products/AIG Matched Funding Corp.	10/15/1999	Yes	Tobin, Carberry, O'Malley, Riley & Selinger, P.C.	19,380.00	1997	Fees for services from 10/97 to 9/98	Legislative monitoring; relationship building, municipal liaison, advice and counsel	No	No	Yes	DEBT
AIG Financial Products/AIG Matched Funding Corp.	10/15/1999	Yes	Tradition (North America) Inc.	5,000.00	1999	GIC brokerage fee	Services rendered in obtaining investment contract in connection with the 1999 Clean Water Rev. Bonds	Not disclosed	Yes	No	DEBT
Alliance Capital Mangement	11/4/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Ambac Assurance Corporation/Ambac Capital funding, Inc.	10/22/1999	Yes	Chambers, Dunhill, Rubin & Co.	6,000.00	1997	annual payments equal to .05% of av. Invest'd bal. of ag'mt	Investment agreement broker's fee	Unknown	Unknown	Unknown	DEBT
Ambac Assurance Corporation/Ambac Capital funding, Inc.	10/22/1999	Yes	Euro Brokers Maxcor Inc.	196,486.99	1993	annual payments equal to .05% of av. Invest'd bal. of ag'mt	Investment agreement broker's fee	Yes	Yes	Unknown	DEBT
Ambac Assurance Corporation/Ambac Capital funding, Inc.	10/22/1999	Yes	Euro Brokers Maxcor Inc.	101,400.00	1993	annual payments equal to .05% of av. Invest'd bal. of ag'mt	Investment agreement broker's fee	Yes	Yes	Unknown	DEBT

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American Capital Mortgage IRA, LLC/Eaton, Gary M., Esq.	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Apex Securities, Inc.	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Apollo Real Estate Investment Fund III, L.P.	10/18/1999	Yes	McCabe & Associates	5,724.00	1997	Hourly rates plus expenses	Administrative and legislative services regarding real estate investment and management	No	No	Yes	PFM
Apollo Real Estate Investment Fund III, L.P.	10/18/1999	Yes	McCabe & Associates	97,847.38	1998	1/1-2/28/98, hrly rates + exp; 3/1--12/31/98, \$7000/mo. + exp.	Administrative and legislative services regarding real estate investment and management	No	No	Yes	PFM
Apollo Real Estate Investment Fund III, L.P.	10/18/1999	Yes	McCabe & Associates	96,475.00	1999	\$10,000/month + expenses	Administrative and legislative services regarding real estate investment and management	No	No	Yes	PFM
Apollo Real Estate Investment Fund III, L.P.	10/18/1999	Yes	Rogers & Wells	57,177.18	1999	Hourly rates, plus expenses	Services rendered respecting potential investors	No	No	No	PFM
Apollo Real Estate Investment Fund III, L.P.	10/18/1999	Yes	Rogers & Wells	245,270.99	1998	Hourly rates, plus expenses; quarterly payments of result fee	Services rendered respecting potential investors	No	No	No	PFM
Apollo Real Estate Investment Fund III, L.P.	10/18/1999	Yes	Rogers & Wells	144,850.00	1999	Balance of result fee	Services rendered respecting potential investors	No	No	No	PFM
AXA Rosenberg Investment Management	10/7/1999	No	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Banc One Capital Markets	10/8/99 & 10/13/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Bank of America	11/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Bank of Montreal	11/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Bank of Tokyo	11/16/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
BankBoston, N.A.	10/25/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Bankers Trust Company (see response of Deutchebank, its parent corporation)	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
BARRA/Rogers Casey, Inc.	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Bayerische Landesbank Girozentrale	11/12/1999	Yes	R.S Lynch & Company	15,000.00	1997	Transaction Expenses	The GIC provider for the STO Bonds Series 94A&B and 96B&C, the GIC provider paid certain of the expenses related to the transiacion	Unknown	Unknown	Unknown	DEBT
Bayerische Landesbank Girozentrale	11/12/1999	Yes	Lamont Financial Services Corporation	10,000.00	1997	Transaction Expenses related to FA services	The GIC provider for the STO Bonds Series 94A&B and 96B&C, the GIC provider paid certain of the expenses related to the transiacion	Unknown	Unknown	Unknown	DEBT

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Bayerische Landesbank Girozentrale	11/12/1999	Yes	LPL Financial Services	10,000.00	1997	Transaction Expenses	The GIC provider for the STO Bonds Series 94A&B and 96B&C, the GIC provider paid certain of the expenses related to the transaction	Unknown	Unknown	Unknown	DEBT
BB&T Capital Markets	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	Jay Lennon (previously disclosed to OTT in 12/83)	109,500.00	1991	25% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	David Epstein (previously disclosed to OTT in 12/83)	52,937.91	1991	11.67% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	Jay Lennon (previously disclosed to OTT in 12/83)	116,500.00	1992	25% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	David Epstein (previously disclosed to OTT in 12/83)	72,091.00	1992	11.67% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	Jay Lennon (previously disclosed to OTT in 12/83)	114,000.00	1993	25% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	David Epstein (previously disclosed to OTT in 12/83)	44,446.77	1993	11.67% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	Jay Lennon (previously disclosed to OTT in 12/83)	125,202.00	1994	25% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	David Epstein (previously disclosed to OTT in 12/83)	63,241.54	1994	11.67% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	Jay Lennon (previously disclosed to OTT in 12/83)	88,700.00	1995	25% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Bear Stearns & Co., Inc. and Bear Stearns Asset Management Inc.	10/14/1999	Yes	David Epstein (previously disclosed to OTT in 12/83)	33,514.75	1995	11.67% BSAM fees; payment pursuant to a 1983 contract	Introduced client	Unknown	Unknown	Unknown	DEBT
Belle Haven Investments, L.P.	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Beneficial Investigation Services, Inc.	10/5/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
BGI-Barclays	10/28/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Bingham Dana LLP	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
BlackRock Financial Management	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Blackstone Capital Partners III Merchant Banking Fund, LP	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM

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Booty, Jeremy D., Esq.	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Brandner & Ponzini <i>(NOTE: Failed to file proper form.)</i>	10/9/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Brown & Wood LLP	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Brown Capital Management	10/18/1999	Yes	Ben F. Andrews, Jr.	1,448.10	1996	Y-1(20%), Y-2,3 (15%), Y-4-8 (10%) of gross fees + add ons	Investment management marketing consulting services, incld. Development of marketing plan, review and monitoring objectives and progress	No	No	No	PFM
Brown Capital Management	10/18/1999	Yes	Ben F. Andrews, Jr.	377,774.44	1997	Y-1(20%), Y-2,3 (15%), Y-4-8 (10%) of gross fees + add ons	Investment management marketing consulting services, incld. Development of marketing plan, review and monitoring objectives and progress	No	No	No	PFM
Brown Capital Management	10/18/1999	Yes	Ben F. Andrews, Jr.	294,825.73	1998	Y-1(20%), Y-2,3 (15%), Y-4-8 (10%) of gross fees + add ons	Investment management marketing consulting services, incld. Development of marketing plan, review and monitoring objectives and progress	No	No	No	PFM
Brown Capital Management	10/18/1999	Yes	Ben F. Andrews, Jr.	25,747.45	1999	Y-1(20%), Y-2,3 (15%), Y-4-8 (10%) of gross fees + add ons	Investment management marketing consulting services, incld. Development of marketing plan, review and monitoring objectives and progress	No	No	No	PFM
Brown Rudnick Freed & Gesmer	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Brown, Paindiris & Scott	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
C.S. First Boston, Inc.	11/23/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Carlyle Asia Partners, L.P.	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Carlyle European Partners	11/15/1999	Qualified No	The partnership did not pay a fee. An affiliate, Carlyle Group (General Partner) compensated Berman Enterprises.	1,000,000EU	1998	1% of contributed capital	Per 1995 agreement, Carlyle Group (General Partner) engaged Berman Enterprises to consult in re: potential investors in various Carlyle funds; services included advice in re: potential investors.	Unknown	Unknown	Unknown	PFM
Carmody & Torrance LLP	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
CDC Funding Corp.	10/14/1999	Yes	Eurobrokers Maxcor Inc.	26,261.00	1997	broker's commission not in excess of ordinary fee paid	GIC	Not applicable	Not applicable	Not applicable	DEBT
CDC Funding Corp.	10/14/1999	Yes	Tradition (North America) Inc.	45,403.00	1999	broker's commission not in excess of ordinary fee paid	GIC	Not applicable	Not applicable	Not applicable	DEBT
Chapman Company (The)	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Chase Securities, Inc.	11/16/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
CIBC World Markets	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH

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CIGNA Investment Management	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Citizens Bank	10/6/99 & 10/7/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Commerzbank	10/12/1999	No	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Compass Partners European Equity Fund <i>REVISED DISCLOSURE</i>	10/18/1999	Yes	David M. Kirby	225,000.00	1998	.15% of total commitment	Financial Advisory Services	No	No	No	PFM
Concentra	10/25/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Connecticut Future Fund	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Connecticut Green Ventures LP	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Conning & Company (on behalf of Conning Insurance Capital Limited Partnership V, LP)	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Continuum National Services Group, d/b/a CareSys	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Cooney, Scully & Dowling <i>(NOTE: Failed to file proper form.)</i>	10/10/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Cowen Asset Management	11/9/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Credit Agricole Indosuez	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Crescendo Venture Management, LLC on behalf of Crescendo Ventures III, L.P. & Crescendo World Fund, LLC	11/22/1999	Yes	Truro Associates, LLC	\$120,329	1997	20% of annual management fee for Crescendo World Fund	Investor introductions and advisory services to Crescendo	No	No	No	PFM
Crescendo Venture Management, LLC on behalf of Crescendo Ventures III, L.P. & Crescendo World Fund, LLC	11/22/1999	Yes	Truro Associates, LLC	\$320,000	1998	20% of annual management fee for Crescendo World Fund	Investor introductions and advisory services to Crescendo	No	No	No	PFM
Crescendo Venture Management, LLC on behalf of Crescendo Ventures III, L.P. & Crescendo World Fund, LLC	11/22/1999	Yes	St. James Associates, LLC	\$83,934	1998	20% of annual management fee for Crescendo III, LP investments	Investor introductions and advisory services to Crescendo	No	No	No	PFM
Crescendo Venture Management, LLC on behalf of Crescendo Ventures III, L.P. & Crescendo World Fund, LLC	11/22/1999	Yes	Truro Associates, LLC	\$240,000	1999	20% of annual management fee on Crescendo World Fund	Investor introductions and advisory services to Crescendo	No	No	No	PFM

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Crescendo Venture Management, LLC on behalf of Crescendo Ventures III, L.P. & Crescendo World Fund, LLC	11/22/1999	Yes	St. James Associates, LLC	\$337,500	1999	20% of annual management fee for Crescendo III, LP investments	Investor introductions and advisory services to Crescendo	No	No	No	PFM
Crossroads Investment Company, LP/Crossroads Constitution, LP	10/14/1999	Yes	Finley Associates, Inc. & George C. Finley	580,337.50	1999	May 1999 488,250 + 20 Qtrs. @ up to 92,087.50 per Qtr	Per terms of Settlement Agreement lawsuit (CV-98-0491226-S)/claim from Crossroads Mgmt Partners 1987 agreement (20% of gross fees)	Unknown	Unknown	Unknown	PFM
CW Resources	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Dain Rauscher/Artemis Capital Group, Inc.	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Dataprep, Inc.	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	UCP
David Lerner Associates, Inc.	10/25/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Day, Berry & Howard LLP	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Deloitte & Touche, LLC	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Deutsche Bank	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
DLJ Merchant Banking Partners II, LP	10/18/1999	Yes	DLJ Securities Corporation	300,000.00	1996	2% of aggregate principal of securities sold	Exclusive financial advisor and placement agent services	Yes	Yes	No	PFM
Drake & Kaufman	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Dredner RCM Capital Management	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
DSI International Management, Inc.	10/5/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Duhamel & Schoolcraft, LLC	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Edwards & Carstarphen	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Epstein, David J., Esq.	11/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	UCP
EQUIFAX	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	UCP

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Euro Brokers, Inc.	11/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Fahnestock & Co., Inc.	10/7/99 & 12/2/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
FGIC	10/22/1999	Yes	Brown & Wood, LLP	\$20,000	1993	Not applicable	Fees paid to transaction counsel in connection with the generation of transaction documentation	Not applicable	Not applicable	Not applicable	DEBT
Fidelity Capital Markets	10/8/99 & 10/14/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Fifth Third Bank	11/10/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Financial Security Assurance Inc.	10/25/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
First Albany Corporation	10/8/99 & 10/15/99	Yes	Tracey Stangle/Tim Sullivan/Tom Hall (First Albany employees)	10,429.27	1991	retail commissions	securities brokerage services	Yes	Yes	No	DEBT
First Albany Corporation	10/8/99 & 10/15/99	Yes	Tracey Stangle/Tim Sullivan/Tom Hall (First Albany employees)	24,438.88	1992	retail commissions	securities brokerage services	Yes	Yes	No	DEBT
First Albany Corporation	10/8/99 & 10/15/99	Yes	Tracey Stangle/Tim Sullivan/Tom Hall (First Albany employees)	16,259.07	1993	retail commissions	securities brokerage services	Yes	Yes	No	DEBT
First Albany Corporation	10/8/99 & 10/15/99	Yes	Tracey Stangle/Tim Sullivan/Tom Hall (First Albany employees)	17,588.05	1994	retail commissions	securities brokerage services	Yes	Yes	No	DEBT
First Albany Corporation	10/8/99 & 10/15/99	Yes	Tracey Stangle/Tim Sullivan/Tom Hall (First Albany employees)	1,406.27	1995	retail commissions	securities brokerage services	Yes	Yes	No	DEBT
First Albany Corporation	10/8/99 & 10/15/99	Yes	Neil Dempsey (First Albany registered representative)	13,000.00	1998	finder's fee	Referral of negotiated underwriting of U Conn 1998 Series A Bonds	Yes	Yes	No	DEBT
First Albany Corporation	10/8/99 & 10/15/99	Yes	Laurent Bouley, Jr. (First Albany employee)	16,622.80	1998	retail commissions	securities brokerage services	Yes	Yes	No	DEBT
First Albany Corporation	10/8/99 & 10/15/99	Yes	Laurent Bouley, Jr. (First Albany employee)	10,000.00	1999	retail commissions	securities brokerage services	Yes	Yes	No	DEBT
First National Bank of Litchfield (The)	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
First Tennessee Capital Markets	11/5/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
First Union Capital Markets, Inc. /First Union Securities, Inc. <i>REVISED DISCLOSURE</i>	10/8/99, 11/15/99	Yes	James Carpenter	\$16,628.04 credits applied - no bonus paid as of 9/30	1999	Credit toward potential bonus for referral of public finance business	With respect to state, county and municipal governmental entities, FUNB provides marketing services to FUSI regarding public finance projects for which FUSI seeks to serve as senior manager, co-senior manager or co-manager	No	No	No	CASH

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First Union Capital Markets, Inc. /First Union Securities, Inc. <i>REVISED DISCLOSURE</i>	10/8/99, 11/15/99	Yes	James Carpenter	\$5,338.95	1998	Credit toward potential bonus for referral of public finance business	With respect to state, county and municipal governmental entities, FUNB provides marketing services to FUSI regarding public finance projects for which FUSI seeks to serve as senior manager, co-senior manager or co-manager	No	No	No	CASH
Fleet Bank Capital Markets	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Fleet National Bank	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Fleet Securities, Inc.	10/8/99 & 10/13/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Forstmann Little & Co. Equity Fund VI <i>REVISED DISCLOSURE</i>	10/12/99, 11/15/99	Yes	Robert Johnson/Beacon Hill Financial Corporation ("BHFC")	436,871.00	1998	Placement agent fee in 5 installments, >\$2B = \$1.5M//<\$2B = \$1.5M + 20 bp of aggregate capital commitments	Consultation in connection with the formation of the Funds (No contact with the Connecticut Office of the Treasurer)	Yes	Yes, but not in Connecticut	No	PFM
Forstmann Little & Co. MBO VIII <i>REVISED DISCLOSURE</i>	10/12/99, 11/15/99	Yes	Robert Johnson/Beacon Hill Financial Corporation ("BHFC")	436,871.00	1999	Placement agent fee in 5 installments, >\$2B = \$1.5M//<\$2B = \$1.5M + 20 bp of aggregate capital commitments	Consultation in connection with the formation of the Funds (No contact with the Connecticut Office of the Treasurer)	Not applicable	Yes, but not in Connecticut	No	PFM
GarMark Partners, L.P.	11/10/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Gates Capital Corporation <i>REVISED DISCLOSURE</i>	10/12/99 & 11/18/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
GE Capital Corporation	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Gilbert Global Equity Partners, LP	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Gilford Securities, Inc.	10/18/99 &11/16/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
GMAC	11/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
GMO	11/5/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Goldman Sachs & Company	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH, DEBT
Goldman, Sachs Private Equity Fund	11/16/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM

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Grantham, Mayo, Van Otterloo & Co., Inc.	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Great Pacific Securities	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Green Equity Investors III, L.P.	10/12/1999	Yes	DLJ Securities Corporation	\$500,000	1999	2% of P'ship interest sold to new investor	Private Placement Agent	Yes	Yes	No	PFM
Greenwich Capital Markets, Inc.	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Greenwich Partners, LLC	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Greenwich Street Capital Partners II, L.P.	11/16/1999	Yes	Salomon Smith Barney, Inc.	\$375,000 Retainer	1998	Arrangement not provided	Marketing Greenwich Street Capital Partners II, LP limited partnership interests (Note: SSB was paid by Greenwich Street Capital Partners, Inc., a subsidiary of Travelers Group, Inc.)	Yes	Yes	No	PFM
Greenwich Street Capital Partners II, L.P.	11/16/1999	Yes	Atlantic-Pacific Capital	\$375,000	1998	retainer of \$750,000 + fee of 1.25% on 1st \$250MM, 1.375% on next \$250MM and 1.5% thereafter	Served as co-agent to provide comprehensive assistance in the placement of limited partnership interests of GSCP II	Yes	Yes	No	PFM
Greenwich Street Capital Partners II, L.P.	11/16/1999	Yes	Atlantic-Pacific Capital	\$2,300,000	1999	retainer of \$750,000 + fee of 1.25% on 1st \$250MM, 1.375% on next \$250MM and 1.5% thereafter	Served as co-agent to provide comprehensive assistance in the placement of limited partnership interests of GSCP II	Yes	Yes	No	PFM
Grotech Partners V, L.P.	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Guest & Savage	11/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Hardwick Law Firm, LLC	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Harris Capital Advisors, Inc	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Hassett, George & Siegel	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Hawkins, Delafield & Wood	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Herbert J. Sims & Co., Inc.	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Hicks, Muse, Tate & Furst, Equity Fund III, LP <i>REVISED DISCLOSURE</i>	10/18/1999	Yes	Donaldson Lufkin & Jenrette (DLJ) and Farrel Capital Corp. (FCC)	2,978,928.00	1997	range of .5%-2% based upon service provided	Financial advisory services	Not disclosed	Not disclosed	Not disclosed	PFM

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Hunton & Williams	10/12/99; 10/13/99 & 10/14/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
ING Barings (US) Capital Markets	11/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Intracorp	11/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Irwin Tepper Associates, Inc.	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
J.C. Bradford & Company	11/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
J.P. Morgan Investment Management, Inc.	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
J.P. Morgan Securities, Inc.	10/14/99 & 11/15/99	Yes	Robinson & Cole	43,450.00	1999	\$5,000 monthly retainer	Legal Advice and consultation on state legislative, budgetary & municipal matters in the State of Connecticut and other jurisdictions.	No	No	Yes	DEBT
Jackson Securities Incorporated	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Janney Montgomery Scott Inc.	10/6/99 & 10/12/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Jewett City Savings Bank	10/6/99 & 10/7/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Kelso Investment Associates, LP	10/13/1999	Yes	Donaldson Lufkin & Jenrette Securities Corporation	4,328,219	1999	Total payment of 8,304,247 (balance of 3,976,028 payable in 2000)	Assisted in drafting private placement memo, identified potential investors, met w/ investors & responded to investor questionnaires	Yes	Yes	No	PFM
Keystone Ventures V, L.P.	11/5/1999	Yes	Tobin, Carberry, O'Malley, Riley & Seliger, P.C.	99,375.00	1999	1% of CT's capital contribution	Meetings and communications with OTT concerning potential allocation to fund. Introduced Keystone to Treasurer	No	No	Yes	PFM
Keystone Ventures V, L.P.	11/5/1999	Yes	NLEC Support Systems, LLC (owned by Patrick McCarthy)	120,000.00	1999	consulting fee, \$120,000, plus bonus	Consulting services including: advice re capital raising activities, amount and structure of investments and operations and public relations	No	No	No	PFM
Keystone Ventures V, L.P.	11/5/1999	Yes	Tobin, Carberry, O'Malley, Riley & Seliger, P.C.	26,500.00	1998	1% of CT's capital contribution	Meetings and communications with OTT concerning potential allocation to fund. Introduced Keystone to Treasurer	No	No	Yes	PFM
Keystone Ventures V, L.P.	11/5/1999	Yes	NLEC Support Systems, LLC (owned by Patrick McCarthy)	140,953.00	1998	consulting fee, \$120,000, plus bonus	Consulting services including: advice re capital raising activities, amount and structure of investments and operations and public relations	No	No	No	PFM
Keystone Ventures V, L.P.	11/5/1999	Yes	National Strategic Public Relations (owned by Patrick McCarthy)	68,750.00	1998	25 bp of CT commitment	Consulting services including: advice re capital raising activities, amount and structure of investments and operations and public relations	No	No	No	PFM
Kohlberg Kravis & Robert 1996 Fund	11/1099	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM

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Lamont Financial Services Corporation	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Landmark Private Equity Fund VIII, L.P. (LPEF)/Landmark Partners, Inc. (LPI)	10/18/1999	Compensation paid by LPI	Rogers & Wells (Jerome L. Wilson, Partner) engaged Ben Andrews as a marketing consultant for a fee = 1% of investment)	625,000.00	1998	\$335/hr + result fee of .75% of invest/.25% if local counsel used	Advised on potential investors, introduced prospective investors (hourly fees paid promptly, result fees paid 20% at closing, 20% 6 mo install.)	Not disclosed	Not disclosed	Not disclosed	PFM
Lapera, Patrick J., Esq.	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Law Offices of Joseph C. Reid, P.A.	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Lehman Brothers	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH, DEBT
Levy & Droney, P.C.	10/5/99 & 10/6/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Lewis & Munday	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Lexington Partners, Inc./Lexington Capital Partners II	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Litchfield Bancorp	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Loomis, Sayles & Co.	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Loop Capital Markets, LLC	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
M.R. Beal & Company	10/15/1999	Yes	Ben F. Andrews, Jr.	6,250.00	1995	Retainer	Marketing services in connection w/ 1995 STO	Not disclosed	Not disclosed	Not disclosed	DEBT
May Davis Group	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
MBIA Insurance	10/22/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
McDonald Investments, Inc	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
McGhee & Associates	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
McHugh Law Offices	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Mechanics Savings Bank	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH

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Merrill Lynch & Company	10/8/1999	Yes	Brian Campbell (Merrill Lynch employee)	40,000.00	1995	No specific arrangements with ML employees	Liason btwn ML bankers and OTT	Not disclosed	Not disclosed	Not disclosed	CASH, DEBT
Merrill Lynch & Company	10/8/1999	Yes	Brian Campbell (Merrill Lynch employee)	10,000.00	1996	No specific arrangements with ML employees	Liason btwn ML bankers and OTT	Not disclosed	Not disclosed	Not disclosed	CASH, DEBT
Milestone Capital Management	11/9/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Mintz, Levin, Cohn, Ferris, Glovsky	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Mitchell Hutchins			See response for PaineWebber								PFM
Morgan Stanley & Co., Inc.	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH, DEBT
Morgan Stanley Dean Witter Investment Management, Inc.	10/5/99; 10/8/99; 10/13/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Mosley & Sinclair	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Multi-Bank Securities, Inc.	11/10/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Murtha, Cullina, Richter & Pinney LLP	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
N/W Capital, Inc.	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
National Abandoned Property Processing Corp.	11/16/1999	Yes	Findley Associates	\$ 0	1991	10% of fee received for return of abandoned property	Services related to signing of abandoned property processing agreement	Unknown	Unknown	Unknown	UCP
National Abandoned Property Processing Corp.	11/16/1999	Yes	Findley Associates	\$ 0	1992	10% of fee received for return of abandoned property	Services related to signing of abandoned property processing agreement	Unknown	Unknown	Unknown	UCP
National Abandoned Property Processing Corp.	11/16/1999	Yes	Findley Associates	\$14,470	1993	10% of fee received for return of abandoned property	Services related to signing of abandoned property processing agreement	Unknown	Unknown	Unknown	UCP
National Abandoned Property Processing Corp.	11/16/1999	Yes	Findley Associates	\$7,781	1994	10% of fee received for return of abandoned property	Services related to signing of abandoned property processing agreement	Unknown	Unknown	Unknown	UCP
National Abandoned Property Processing Corp.	11/16/1999	Yes	Findley Associates	\$10,194	1995	10% of fee received for return of abandoned property	Services related to signing of abandoned property processing agreement	Unknown	Unknown	Unknown	UCP
National Abandoned Property Processing Corp.	11/16/1999	Yes	Findley Associates	\$10,198	1996	10% of fee received for return of abandoned property	Services related to signing of abandoned property processing agreement	Unknown	Unknown	Unknown	UCP
National Iron Bank of Salisbury	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH

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NBC Capital Markets	11/10/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
New Boston Real Estate Investment Fund, IV LP	10/15/1999	Yes	Christine D. Powers	61,038.88	1998	2% of aggregate gross proceeds of LP units purchased	Engaged as a finder for the purpose of providing introductions to accredited investors	Yes	No	No	PFM
New Boston Real Estate Investment Fund, IV LP	10/15/1999	Yes	Christine D. Powers	233,961.12	1999	2% of aggregate gross proceeds of LP units purchased	Engaged as a finder for the purpose of providing introductions to accredited investors	Yes	No	No	PFM
New England Bank & Trust	10/19/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
New Milford Bank & Trust Company (The)	11/9/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Nixon Peabody LLP	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Oaktree Capital Management	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
O'Brien, Tanski & Young	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
O'Melveny & Myers LLP	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Ormes Capital Markets, Inc.	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Orrick, Herrington & Sutcliffe LLP	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
P.G. Corbin & Company, Inc.	10/8/99 & 10/13/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
PaineWebber, Inc.	10/15/1999	Yes	Ben F. Andrews, Jr. (reporting entity is unclear as to whether \$6000 of the fees disclosed are related to non-CT transactions. \$750 paid in 1992)	9,475.16	1991	5,000 retainer + 10% of co-mngr fees & 15% of sen. mngr fees	Municipal investment banking consulting services including monitoring legislation affecting muni investment banking	Unknown	Unknown	Unknown	DEBT
PaineWebber, Inc.	10/15/1999	Yes	Ben F. Andrews, Jr.	300.00	1992	10% of co-mngr fees & 15% of sen. mngr fees	Municipal investment banking consulting services including monitoring legislation affecting muni investment banking	Unknown	Unknown	unknown	DEBT
PaineWebber, Inc.	10/15/1999	Yes	Ben F. Andrews, Jr.	300.00	1993	10% of co-mngr fees & 15% of sen. mngr fees	Municipal investment banking consulting services including monitoring legislation affecting muni investment banking	Unknown	Unknown	Unknown	DEBT
PaineWebber, Inc.	10/15/1999	Yes	Rome, Case, Kennelly & Klebanoff	120,030.00	1991 - 1995	oral contract	Legal services in connection with muni finance business, including RFP responses; some general consulting	No	No	Unknown	DEBT
PaineWebber, Inc.	10/15/1999	Yes	M.P. Guinan Associates (disclosed to OTT in 4/99)	39,200.00	1999	\$5,000/mo retainer + sales taxes	advice in connection with the firm's muni finance business in Connecticut	No	No	No	DEBT

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Palmer & Dodge LLP	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
People's Bank	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Phoenix Investment Counsel, inc.	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Pictet International Management	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Pioneer Ventures Associates, LP <i>Failed to File Proper Form</i>	10/15/1999	Qualified Yes	Pioneer's attorney refused to respond in the certificate form and qualified the "no" response reporting an engagement of Sullivan & LeShane	Not provided	1998	30,000 (5,000/month + tax from 4/98 -- 10/98)	Providing municipal services	Not provided	Not provided	Not provided	PFM
Pioneer Ventures Associates, LP <i>Failed to File Proper Form</i>	10/15/1999	Qualified Yes	Sullivan & LeShane	Not provided	1999	60,000 (5,000/month + tax from 1/99 -- 12/99)	Providing municipal services	Not provided	Not provided	Not provided	PFM
Prebon Yamane	11/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Prospect Street CT Capital, Inc.	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Prudential Securities Incorporated	10/13/99 & 10/14/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
PSI Institutional Realty	10/12/99 & 10/18/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Public Financial Management	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Public Resources Advisory Group	10/20/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Pullman & Comley	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
R.W. Presspritch	10/15/1999	No	Not applicable	Not applicable		Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Ramirez & Co., Inc.	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Raymond James & Associates, Inc.	10/15/1999	Yes	Mario Marsano (CT broker with Raymond James & Associates, Inc.)	3,680.98	1995	10% of mgmt fee and inst. sales credits paid to R. James	Assisted in the procurement and sale of bonds	Yes	Yes	No	DEBT
Raymond James & Associates, Inc.	10/15/1999	Yes	Mario Marsano (CT broker with Raymond James & Associates, Inc.)	1,319.19	1997	6% of mgmt fee and inst. sales credits paid to R. James	Assisted in the procurement and sale of bonds	Yes	Yes	No	DEBT
Raymond James & Associates, Inc.	10/15/1999	Yes	Mario Marsano (CT broker with Raymond James & Associates, Inc.)	1,284.23	1998	6% of mgmt fee and inst. sales credits paid to R. James	Assisted in the procurement and sale of bonds	Yes	Yes	No	DEBT

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Raymond S. Nichols, FCAS	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Redwood Securities	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Reich & Tang	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Republic National Bank of New York	11/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
RFE Investment Partners VI, L.P.	10/15/1999	Yes	Law Offices of Jay F. Malcynsky, P.C.	66,250.00	1998	\$75,000/year for 1998 -- 2001	Legal advice and counsel concerning potential investments in CT ventures and private or public sector invesments in RFE's funds	Unknown	Unknown	No	PFM
RFE Investment Partners VI, L.P.	10/15/1999	Yes	Law Offices of Jay F. Malcynsky, P.C.	46,250.00	1999	\$75,000/year for 1998 -- 2001	Legal advice and counsel concerning potential investments in CT ventures and private or public sector invesments in RFE's funds	Unknown	Unknown	No	PFM
Ridgefield Bank	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Robinson & Cole	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Rogers & Wells LLP	11/12/1999	Yes	Benjamin Andrews	\$100,000	1998	1% of commitment	Fees payable in 20% increments over a two year period. 20% at closing, 20% in 6 mo., 20% 12 mo., 20% 18 mo., 20% 24 mo.	Unknown	Unknown	Unknown	DEBT
Rogers & Wells LLP	11/12/1999	Yes	Benjamin Andrews	\$150,000	1999		Fees payable in 20% increments over a two year period. 20% at closing, 20% in 6 mo., 20% 12 mo., 20% 18 mo., 20% 24 mo.	Unknown	Unknown	Unknown	DEBT
Rogers & Wells LLP	11/12/1999	Yes	KCATS LLC	\$150,000	1999	When warranted, 50% of fees earned under B. Andrews agreement	50% of fees earned under B. Andrews arrangement	Unknown	Unknown	Unknown	DEBT
Rome McGuigan Sabanosh, P.C.	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Roosevelt & Cross, Inc.	10/21/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
RREEF America, LLC/RREEF Funds (The)	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Salomon Smith Barney	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Salomon Smith Barney on behalf of Smith Barney Capital Management	11/1/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Sandler Goldstein & Mara, P.C.	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
SBK-Brooks Investment Corp.	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH

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Scotia Capital Markets (USA, Inc.)	11/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
SCP Private Equity Partners, LP	10/18/1999	Yes	Potomac Investment Services L.P.	1,125,000.00	1997	1.5% of amts raised; pay 1/2 closing & 1/2 over 6 quarters	Exclusive domestic financial advisor, arranger and placement agent to institutional investors	Yes	Yes	No	PFM
Sentinel Real Estate Corporation	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Shawmut Capital Partners LLC	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Shipman & Goodwin LLP	10/7/99 & 10/8/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Siebert Brandford Shank & Company	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Societe Generale	10/18/1999	Yes	Eurobrokers	266,349.50	1996	None	GIC/advisory fee	Unknown	Unknown	Unknown	CASH, DEBT
Societe Generale	10/18/1999	Yes	Eurobrokers	35,689.00	1997	None	GIC/advisory fee	Unknown	Unknown	Unknown	CASH, DEBT
South Trust Securities, Inc.	10/28/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Squire, Sanders & Dempsey LLP	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
State Street Capital Markets	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
State Street Corporation/State Street Bank & Trust Company	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH, DEBT, PFM, UCP
Sumitomo Bank Capital Markets	11/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
SW Pelham Fund, L.P.	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Thayer Equity Investors IV, L.P.	10/19/1999	Yes	Merrill Lynch & Company	\$2M (of which -0- was paid in 1998)	1998	.60% of commitment	Placement Agent	Unknown	Unknown	Unknown	PFM
Thayer Equity Investors IV, L.P.	10/19/1999	Yes	North Cove Ventures (William DiBella)	\$374,500 (of which \$25,000 was paid in 1998)	1998	.70% of net commitment	Documentation, negotiation & investor relations	Unknown	Unknown	Unknown	PFM
Thayer Equity Investors IV, L.P.	10/19/1999	Yes	Merrill Lynch & Company	\$1M paid of total fee of \$2M earned in 1998) plus \$55K in interest & \$44,058.12 in expenses	1999	.60% of commitment	Placement Agent	Unknown	Unknown	Unknown	PFM

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Thayer Equity Investors IV, L.P.	10/19/1999	Yes	North Cove Ventures (William DiBella)	\$349,500 of total fee of \$374,500 earned in 1998)	1999	.70% of net commitment	Documentation, negotiation & investor relations	Unknown	Unknown	Unknown	PFM
The Paris Group	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Thomas H. Lee Equity Fund IV, LP	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
TIMCO	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Tishman Hotel Corporation	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Tradition (North America) Inc.	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Triumph Capital Group, Inc	10/18/1999	Yes	Merrill Lynch, Pierce Fenner & Smith	725,000.00	1997	advisory fee	agent in connection with the private placement of limited partnership interests	Yes	BD & IA	Unknown	PFM
Triumph Partners III	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Triumph-Connecticut II, LP	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Triumph-Connecticut, LP	10/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Tucker Anthony Incorporated	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT, UCP
Tyler Cooper & Alcorn, LLP	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
U. S. Trust Company of CT	11/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Union Bank of California – Treasury Division	10/6/99 & 10/7/99	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Updike, Kelly & Spellacy, P.C.	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Utendahl Capital Partners, L.P.	11/18/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
ValueQuest/TA LLC	10/8/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Veritas Capital Fund	10/15/1999	Yes	KCATS LLC/Christopher Stack	281,250.00	1997	base \$375,000 + \$75,000 - \$100,000 annually + FL and MA	General advice and assistance in development of funding; exclusive marketer in FL and MA	Not disclosed	Not disclosed	Not disclosed	PFM

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Veritas Capital Fund	10/15/1999	Yes	KCATS LLC/Christopher Stack	206,250.00	1998	base \$375,000 + \$75,000 - \$100,000 annually + FL and MA	General advice and assistance in development of funding; exclusive marketer in FL and MA	Not disclosed	Not disclosed	Not disclosed	PFM
Veritas Capital Fund	10/15/1999	Yes	KCATS LLC/Christopher Stack	187,500.00	1999	base \$375,000 + \$75,000 - \$100,000 annually + FL and MA	General advice and assistance in development of funding; exclusive marketer in FL and MA	Not disclosed	Not disclosed	Not disclosed	PFM
Vining Sparks	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
W. R. Huff Asset Management	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Wachovia Bank	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Wachovia Bank of Georgia, N.A.	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Walton Street Real Estate Fund II, L.P.	10/14/1999	Yes	Christopher Stack/KCATS, LLC	265,781.00	1998	.75% of commitment	Marketing and consulting services	Unknown	Unknown	Unknown	PFM
Walton Street Real Estate Fund II, L.P.	10/14/1999	Yes	Christopher Stack/KCATS, LLC	228,281.00	1999	.75% of commitment	Marketing and consulting services	Unknown	Unknown	Unknown	PFM
Warburg Dillion Read, LLC (11/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Weber and Carrier (f/k/a Weber & Marshall)	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	SIF
Webster Bank	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Wellington Management Company, LLP	10/15/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Wellspring Capital Partners II, LP	10/14/1999	Yes	Potomac Investment Services L.P.	312,500.00	1998	1.5% committed capital raised by PI less fees paid to NYCP	Raise equity commitments with Potomac Investors	Yes	Yes	Unknown	PFM
Wellspring Capital Partners II, LP	10/14/1999	Yes	New York Capital Partners, F.L. Inc.	437,500.00	1998	.75% of committed capital raised by NYCP + \$62,500	Identify potential purchasers of limited partnership interests	Unknown	Unknown	Unknown	PFM
Welsh Carson Anderson & Stowe III, L.P.	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Welsh Carson Anderson & Stowe VIII, L.P.	10/6/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Western Asset Management	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	PFM
Westport Senior Living Investment Fund, L.P. c/o Westport Realty Advisors	10/18/1999	Yes	Andrew Moses, New York Capital Partners, F.L., Inc.	437,500.00	1998	1.75% of commitment payable in 8 quarterly installments	Assisted in raising capital	No	No	No	PFM

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Westport Senior Living Investment Fund, L.P. c/o Westport Realty Advisors	10/18/1999	Yes	Andrew Moses, New York Capital Partners, F.L., Inc.	656,250.00	1999	1.75% of commitment payable in 8 quarterly installments	Assisted in raising capital	No	No	No	PFM
Westport Senior Living Investment Fund, L.P. c/o Westport Realty Advisors	10/18/1999	Yes	Mary Phil Guinan/MP Guinan Associates	16,960.00	1999	24 month agreement	Government relations services; managing relationship with the State	No	No	Unknown	PFM
White & Watson, L.C.	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Whitman Breed Abbott & Morgan, LLP	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Wiggin & Dana	10/7/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Wilder & Gregory	10/12/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	DEBT
Williams Capital Group, LP	10/14/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
Winter Associates	10/13/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	UCP
Zions Bank	10/21/1999	No	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable	CASH
ZZZ Color Code/1 LAVENDAR denotes that firm disclosed that NO FEES WERE PAID											
ZZZ Color Code/2 LIGHT GREEN denotes FEES PAID to employees, GIC brokers, financial advisors or transaction counsel legal fees											
ZZZ Color Code/3 YELLOW denotes FEES PAID											
ZZZ Color Code/4 LIGHT BLUE denotes QUALIFIED ANSWER											