

**Office of State Treasurer**  
**Summary of Responses to Request for Disclosure**  
**May 1, 2001 through June 30, 2002**

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COMPANY	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3rd PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
A.G. Edwards & Sons, Inc.	DEBT	Yes	No		
ADP, Inc. (Automatic Data Processing)	SIF	No	No		
Advest, Inc.	DEBT	Yes	Yes	Lewis & Mundy were paid \$36,670 as underwriter's counsel on 12/17/01 in connection with a State of Connecticut 2001 Series G Bond Transaction for \$175,000,000.  Pullman & Comley were paid \$35,000 as underwriter's counsel on 4/18/02 in connection with a University of Connecticut Series 2002 A Bond Transaction for \$100,000,000.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. See C.G.S. § 3-131(b)(2).
AEW Capital Management, L.P. (AEW Partners III, L.P.)	PFM	Yes	No		
Affiliated Computer Services (ACS) Property Clearinghouse, Inc.	UCP	No	No		
AIG Capital Partners, Inc.	PFM	Yes	No		
AIG Financial Products Corp./AIG Matched Funding Corp.	DEBT	Yes	Yes	Disclosed payment arrangements to its outside counsel, O'Melveny & Myers, LLP, in connection with five (5) bond transactions. (See disclosure for full details.)	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. See C.G.S. § 3-131(b)(2).
AMBAC Assurance Corporation	DEBT	Yes	No		
American Capital Access (ACA) Financial Guaranty Corporation	DEBT	Yes	No		
American Express Travel Related Services Company, Inc.	CASH	No	No		
Apex Pryor Securities	DEBT	Yes	No		

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Apollo Real Estate Capital Advisors III, Inc. (Apollo Real Estate Investment Fund IV, L.P.)	PFM	Yes	No		
AXA Rosenberg Investment Management	PFM	Yes	No		
B&Y Capital Markets	CASH	Yes			Vendor failed to furnish disclosure. Vendor services will no longer be utilized.
Banc One Capital Markets, Inc.	CASH	Yes	No		
BankAmerica	CASH	Yes	No		
Bank of Montreal	CASH	Yes	No		
Bank of New York (The)	DEBT	Yes	Yes	Emmet Marvin & Martin were paid \$2,500 in May of 2002, and \$250 in June of 2002, as bond counsel to The Bank of New York.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. See C.G.S. § 3-131(b)(2).
Bank of Tokyo - Mitsubishi Ltd.	CASH	Yes	No		
Barclays Global Investors	PFM	Yes	No		
Bayerische Landesbank Girozentrale (f.k.a. Credit Agricole Indosuez)	DEBT	Yes	No		
BB&T Capital Markets	CASH	Yes	No		
Bear, Stearns & Co., Inc.	CASH & DEBT	Yes	Yes	Disclosed nine (9) payments to various firms in connection with State of Connecticut General Obligation bond issues (see disclosure for full details).	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. See C.G.S. § 3-131(b)(2).
Belle Haven Investments, L.P.	DEBT	Yes	No		
Beneficial Investigation Services, Inc.	SIF	No	No		
Black Rock Financial Management, Inc.	PFM	Yes	No		

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Blackstone Capital Partners III Merchant Banking Fund, L.P. ("BCP III")	PFM	Yes	Yes	Management fee totalling \$359,001 paid to Blackstone Management Partners III, LLC during the reporting period.	Vendor identified exemption. Management fee is a permissible third party payment (see C.G.S. § 3-131(b)(2)).
Brown Capital Management, Inc,	PFM	Yes	Yes	Ben Andrews was paid \$649,633.91 as an "investment manager marketing consultant" during the reporting period.	Vendor identified exemption. Placement agent fees are permissible third party payments (see C.G.S. § 3-131(b)(3)).
Buchanan Ingersoll, LLP	EXEC	No	No		
Carlyle Group (The)	PFM	Yes	No		
CDC Funding Corp.	DEBT	Yes	Yes	Tradition (North America) Inc. was paid \$25,000 for GIC brokerage services on 6/12/01.	Vendor identified exemption. GIC brokerage fees connected to the issuance of debt are permissible third party payments. See C.G.S. § 3-131(b)(2).
Chapman Company (The)	CASH & DEBT	Yes	No		
CIBC Oppenheimer	DEBT	Yes	No		
CIBC World Markets	CASH	Yes	No		
Citizens Bank of Connecticut	CASH	No	No		
Commerzbank AG, NY Branch	CASH	Yes	Yes	Disclosed fees pursuant to a letter of credit reimbursement.	Vendor identified exemption. Fees related to the issuance of debt are permissible third party payments. See C.G.S. § 3-131(b)(2).
Compass Partners European Equity Fund, L.P.	PFM	Yes	No		
CompWorks, Inc. (Concentra Managed Care Services)	SIF	No	No		
Connecticut Futures Fund, L.P. (The)	PFM	Yes	No		
Connecticut-Greene Ventures, LP	PFM	Yes	No		
Conning & Company as Conning Capital Partners	PFM	Yes	No		

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Corvel Corporation (3 Contracts)	SIF	No	Yes	Disclosed approximately fifty (50) payments to various doctors in connection with independent medical exams.	Vendor identified exemption. Vendor contract obligations require such payments to be made. The service provided includes management of medical payouts.
CRA RogersCasey, Inc.	PFM	No	No		
Credit Suisse First Boston	CASH	Yes	No		
Credit Suisse First Boston Private Equity/DLJ Merchant Banking Partners	PFM	Yes	Yes	Management fee totalling \$599,675.29 paid to DLJMB II during the reporting period pursuant to the limited partnership agreement.	Vendor identified exemption. Management fee is a permissible third party payment (see C.G.S. § 3-131(b)(2)).
Crescendo Ventures III, LP Crescendo World Fund, LLC	PFM	Yes	Yes	Crescendo Ventures III, L.P. escrowed four (4) payments payable to St. James Associates and four (4) payments payable to Truro Associates pursuant to an agreement with the State Ethics Commission. (See disclosure for full details.)	
Crossroads Investment Company, L.P.	PFM	Yes	Yes	Capital Analytics, L.P was paid \$474,616.92 in connection with accounting services.  e-Valuate, L.P was paid \$149,744.00 in connection with electronic investment research.  Bingham Dana was paid \$84,088.31 in connection with legal services. Richards, Layton & Finger was paid \$61,075.26 in connection with legal services.	Vendor identified exemption. All are permissible third party payments.

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CT Financial Developments, L.P. (f.k.a. Prospect Street Ventures)	PFM	Yes	Yes	Siegel Sacks, Press & Lacher, PC were paid \$28,000 during the reporting period in connection with auditing and accounting services.  Ernst and Young were paid \$28,000 in connection with a 2000 audit.	Vendor identified exemption. All are permissible third party payments.
CW Resources	SIF	No	No		
DataPrep, Inc.	UCP	No	No		
David Lerner Associates, Inc.	DEBT	Yes	No		
Day, Berry & Howard, LLP	DEBT & PFM	Yes	No		
Deloitte & Touche, LP	CASH & SIF	No	No		
Deutsche Bank	CASH	Yes	No		
Dexia Bank	DEBT	Yes	No		
DiSanto & Bertoline Company, P.C.	DEBT	No	No		
DSI International Management, Inc.	PFM	Yes	No		
Equifax Credit Information Services	UCP	No			Vendor failed to furnish disclosure. Vendor services will no longer be utilized.
Euro Brokers, Inc.	CASH	Yes			Vendor failed to furnish disclosure. Vendor services will no longer be utilized.
Fahnestock & Co., Inc.	DEBT	Yes	No		
Fidelity Capital Markets	DEBT	Yes	No		
Fidelity Investments	CASH	Yes	No		

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Fifth Third Securities, Inc.	CASH	Yes	No		
Fimat USA, Inc.	CASH	Yes	No		
Financial Guaranty Insurance Company (FGIC)	DEBT	Yes	No		
Financial Security Assurance, Inc.	DEBT	Yes	No		
First Albany Corporation	DEBT	Yes	Yes	Pullman & Comley, LLC was paid \$75,000 for legal services provided during the reporting period.	Vendor identified exemption. Legal fees are permissible third party payments. See C.G.S. § 3-131(b)(2).
First Union National Bank	CASH	Yes	No		
Fleet Boston	CASH, UCP	Yes	No		
Forstmann Little & Co.	PFM	Yes	Yes	Robert Johnston/Beacon Hill Financial Corp. was paid \$1,112,871 for "consultation in connection with the formation of Funds."	Vendor identified exemption. Placement agent engaged in the ongoing business of representing providers of investment services.
FTN Financial Markets (f.k.a. First Tennessee Capital Markets)	CASH	Yes	No		
G.E. Capital Corporation	CASH	Yes	No		
GarMark Partners, L.P.	PFM	Yes	No		
Gates Capital Corporation	DEBT	Yes	No		
General Motors Acceptance Corporation	CASH	Yes	No		
Gilbert Global Equity Partners, L.P.	PFM	Yes	No		
Global Payments, Inc.	CASH	No	No		
Goldman, Sachs & Company	CASH & DEBT	Yes	No		

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Goodkind, Labaton, Rudoff & Sucharow, LLP	PFM	Yes	Yes	Paid \$1,714,361 to eleven (11) firms in connection with Waste Management securities litigation (see disclosure for full details).	Vendor identified exemption. Legal fees are permissible third party payments. See C.G.S. § 3-131(b)(2).
Grantham, Mayo, Van Otterloo & Company	PFM	Yes	No		
Great Pacific Securities	CASH	Yes	No		
Green Equity Investors, III, L.P.	PFM	Yes	No		
Greenwich Street Capital Partners II, L.P.	PFM	Yes	No		
Greystone Capital Management	PFM	Yes	No		
Groom Law Group	PFM	Yes	No		
Grotech Partners V, L.P.	PFM	Yes	Yes	Management fee totalling \$930,633 paid to Grotech Capital Group V, LLC during the reporting period pursuant to the limited partnership agreement.	Vendor identified exemption. Management fee is a permissible third party payment (see C.G.S. §3-131(b)(2)).
Hardwick Law Firm, LLC	DEBT	Yes	No		
Hawkins, Delafield & Wood	DEBT	Yes	No		
Herbert J. Sims	DEBT	Yes	No		
Hicks, Muse, Tate & Furst, Inc.	PFM	Yes	No	While the affidavit indicated that no specific third party payments were made, there was a footnote that read "[t]he Fund has incurred third party fees for routine legal and accounting services at prevailing market rates for such services."	
Hunton & Williams	DEBT	Yes	No		

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ImageMaster Financial Publishers	DEBT	No	No		
ING Baring (US) Capital Markets	CASH	Yes	No		
Institutional Shareholder Services	PFM	No	No		
Intracorp	SIF	No	No		
J.P. Morgan Investment Management, Inc.	PFM	Yes	No		
J.P. Morgan Securities	CASH & DEBT	Yes	No		
Jackson Securities Incorporated	DEBT	Yes	No		
Janney Montgomery Scott, Inc.	DEBT	Yes	No		
Jeremy Booty, Esq.	SIF	No	No		
Jewett City Savings Bank	CASH	No	No		
Kelso Investment Associates VI, L.P.	PFM	Yes	Yes	Kelso & Company, L.P. were paid \$19,818,115 for management and other fees during the reporting period in accordance with the partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. See C.G.S. § 3-131(b)(2).
Keystone Venture V, L.P.	PFM	Yes	No		
KKR 1996 Fund LP	PFM	Yes	No		
KKR Millennium Fund, LP	PFM	Yes	No		
Lamont Financial Services Corporation	DEBT	Yes	No		
Landmark Partners, Inc.	PFM	Yes	No		



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Law Offices of Joesph C. Reid, P.A.	DEBT	Yes	No		
Lehman Brothers	CASH & DEBT	Yes	No		
Levy & Droney, P.C.	DEBT	Yes	No		
Lewis & Munday	DEBT	Yes	No		
Lexington Capital Partners II, L.P.	PFM	Yes	Yes	Testa, Hurwitz & Thibeault, LLP were paid \$12,780 for legal services in connection with partnership matters.  Kramer Levin Naftalis & Frankel LLP were paid \$7,750 for legal services.	Vendor identified exemption. Legal fees are permissible third party payments. See C.G.S. §3-131(b)(2).
Litchfield Bancorp	CASH	Yes	No		
Loomis, Sayles & Co.	PFM	Yes	No		
Loop Capital Markets, LLC	CASH & DEBT	Yes	No		
M.H. Myerson & Company, Inc.	CASH	Yes	No		

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M.R. Beal & Company	DEBT	Yes	Yes	<p>Brown, Rudnick, Berlack &amp; Israels were paid \$47,500 for serving as underwriter's counsel.</p> <p>John Carter was paid a \$20,000 retainer for consulting services (due diligence, analytical &amp; processing services). Mr. Carter was compensated for specific tasks. Mr. Carter did not receive transaction fees related to Connecticut's business.</p> <p>Stan Adler &amp; Associates were paid \$30,249 for advertising, marketing and media buying related to a bond financing.</p>	Vendor identified exemption. Payments to Brown, et al and Stan Adler are fees related to the issuance of debt, and are therefore permissible third party payments. See C.G.S. § 3-131(b)(2).
May Davis Group	DEBT	Yes	No		
MBIA Insurance Corporation	DEBT	Yes	No		
McDonald Investments	CASH	Yes	No		
McGladrey & Pullen	DEBT	No	No		
Medical Cost Containment Services	SIF	No	No		
Melvin Securities	DEBT	Yes	No		
Merrill Lynch & Company	CASH & DEBT	Yes	Yes	David A. Stephens and Benjamin S. Wolfe are each paid \$13,375/month as consultants to the Public Finance Group.	Vendor identified exemption. Fees related to the issuance of debt are permissible third party payments. See C.G.S. § 3-131(b)(2).
Milestone Capital Management	CASH	Yes	No		
Morgan Keegan & Company, Inc.	CASH	Yes	No		

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Morgan Stanley & Co. Incorporated	DEBT & PFM	Yes	Yes	Lewis & Munday were paid \$56,350 for serving as underwriter's counsel.  Squire, Sanders & Dempsey were paid \$10,350 for serving as co-underwriter's counsel.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. See C.G.S. § 3-131(b)(2).
Morgan Stanley Dean Witter, Inc.	CASH & DEBT	Yes	No		
Multi-Bank Securities, Inc.	CASH	Yes			Vendor failed to furnish disclosure. Vendor services will no longer be utilized.
Myerberg & Company, L.P.	CASH	Yes	No		
National Abandoned Property Processing Corporation	UCP	No	No		
National Iron Bank (The)	CASH	Yes	No		
NBC Capital Markets Group	CASH	Yes	No		
Nixon Peabody, LLP	DEBT & PFM	Yes	No		
Oaktree Capital Management, LLC	PFM	Yes	Yes	Mellon Trust, N.A. was paid \$83,815 for back office services (e.g. accounting, reconciliation, etc.).  Law Offices of Ralph Hirschmann was paid \$2,967 for legal services.  Zelle, Hofmann, Voelbel, Mason & Gette LLP were paid \$94,905.10 for legal services.	Vendor identified exemption. Payment to Mellon Bank is a permissible third party payment; other payments (legal fees) are permissible third party payments. See C.G.S. § 3-131(b)(2).
Ormes Capital Markets, Inc.	CASH	Yes	No		
P.G. Corbin & Company, Inc.	DEBT	Yes	No		
Paul Hastings, Janofsky & Walker, LLP	PFM	Yes	No		

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People's Bank	CASH	No	No		
Phoenix Investment Counsel	PFM	Yes	No		
Pictet International Management, Limited	PFM	Yes	No		
Pioneer Ventures Associates	PFM	Yes	Yes	<p>Kenneth P. Lerman was paid \$6,276 for legal services.</p> <p>Shapiro, Israel &amp; Weiner were paid \$317.63 for legal services.</p> <p>Plunkett &amp; Gibson were paid \$5,000 for legal services.</p> <p>Pavelic &amp; Levites were paid \$9,700.41 for legal services.</p>	Vendor identified exemption. Legal fees are permissible third party payments. See C.G.S. § 3-131(b)(2).
Prebon Yamane	CASH	Yes	No		
Presspritch & Company	CASH	Yes	No		
Prudential Securities, Inc.	DEBT	Yes	No		
Public Financial Management	DEBT	Yes	No		
Public Resources Advisory Group	DEBT	Yes	No		
Pullman & Company, LLC	DEBT	Yes	No		
Quick & Reilly, Inc. (f.k.a. Fleet Securities, Inc.)	DEBT	Yes	No		
Raymond James & Associates, Inc.	DEBT	Yes	No		
RBC Dain Rauscher	DEBT	Yes	No		

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Redwood Securities	CASH	Yes	No		
Reich & Tang Asset Management, LLC	DEBT	Yes	No		
RFE Investment Partners VI, L.P.	PFM	Yes	Yes	Law Offices of Jay F. Malcynsky was paid \$75,000 for calendar year 2001 for legal advice and counsel.	Vendor identified exemption. Legal fees are permissible third party payments. See C.G.S. § 3-131(b)(2).
Robinson & Cole, LLP	DEBT	Yes	No		
Roosevelt & Cross, Inc.	DEBT	Yes	No		
Salomon Smith Barney, Inc.	CASH & DEBT	Yes	No		
Samuel Ramirez & Co., Inc.	DEBT	Yes	No		
SBK-Brooks Investment Corp.	DEBT	Yes	No		
Scillia Dowling & Natarelli LLC	DEBT	Yes	No		
Scotia Capital Markets (USA, Inc.)	CASH	Yes	No		
SCP Private Equity Partners	PFM	Yes	No		
Security Services of Connecticut (SSC)	SIF	No	Yes	Disclosed eighteen (18) payments to various firms for surveillance services.	Vendor identified exemption. Payments disclosed reflect the service for which the firm was engaged.
Seward and Monde, CPAs	DEBT	Yes	No		
SG Cowen Asset Management, Inc.	PFM	Yes	Yes	Management fee totalling \$2,669,236.10 paid to TCW Asset Management Co. during the reporting period.	Vendor identified exemption. Management fee is a permissible third party payment (see C.G.S. §3-131(b)(2)).
Shawmut Capital Partners, Inc.	PFM	Yes	No		
Shipman & Goodwin, LLP	DEBT & PFM	Yes	No		

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Sidley, Austin, Brown & Wood LLP	DEBT	Yes	No		
Siebert Brandford Shank Co., LLC	DEBT	Yes	No		
SMBC Capital Markets, Inc. (f.k.a. Sumitomo Bank Capital Markets)	DEBT	Yes	No		
Smith Barney Capital Management	PFM	Yes	No		
Societe Generale	CASH & DEBT	Yes	No		
Sovereign Financial Services, Inc.	PFM	Yes	No		
Squire, Sanders & Dampsey L.L.P.	DEBT	Yes	No		
State Street Bank and Trust Co.	CASH, PFM, UCP	Yes	No		
State Street Global Advisors	CASH, PFM, UCP	Yes	No		
State Street Global Markets	CASH	Yes	No		
SW Pelham Fund, L.P.	PFM	Yes	Yes	<p>PricewaterhouseCoopers, LLP was paid \$41,598 for auditing services.</p> <p>Shipman &amp; Goodwin were paid \$56,625 for legal services related to portfolio investments.</p> <p>1st West Financial Corp. was paid \$2,275 for due diligence-related services.</p> <p>ESA1 was paid \$8,922 for due diligence-related services.</p>	<p>Vendor identified exemption.</p> <p>All are permissible third party payments.</p>

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Thayer Equity Investors IV, LP	PFM	Yes	Yes	Disclosed numerous payment arrangements with various companies and individuals, including lawyers, accountants and others that assist in legitimate due diligence process. (See disclosure for full details.)	Vendor identified exemption.
Thomas H. Lee Equity Advisors IV, LLC	PFM	Yes	No		
Thomas Weisel Asset Management (f.k.a. ValueQuest/TA)	PFM	Yes	No		
TIAA-CREF Tuition Financing, Inc.	EXEC	No	Yes	Orrick, Herrington & Sutcliffe LLP were paid \$42,310.00 for legal services.  Killian, Donohue & Shipman, LLC were paid \$1,060.00 to monitor Connecticut legislation and advise on state law.  Ernst & Young LLP were paid \$23,050 for auditing services.	Vendor identified exemption. All are permissible third party payments.
Times Square Capital Management (CIGNA)	PFM	Yes	Yes	Disclosed numerous payment arrangements related to leasing and management. (See disclosure for full details.)	Vendor identified exemption. Permissible third party payments for ordinary business expenses related to real estate operations.
Tishman Hotel Corporation	PFM	Yes	Yes	Disclosed numerous payment arrangements related to leasing and management.	Vendor identified exemption. Permissible third party payments for ordinary business expenses related to real estate operations.
Tradition (North America) Inc.	CASH & DEBT	Yes	No		
Travelers Investment Management, Company (Timco)	PFM	Yes	No		
Trinity Plus Funding Company, LLC	DEBT	Yes	No		
Triumph Capital Investors	PFM	Yes			Vendor failed to comply.

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U.S. Trust Company	DEBT	No	No		
UBS Paine Webber	CASH & DEBT	Yes	Yes	Squire, Sanders & Dempsey were paid \$34,650 in connection with legal services.  Lewis & Munday were paid \$34,650 in connection with legal services.  Shipman & Goodwin were paid \$55,000 in connection with legal services.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. See C.G.S. § 3-131(b)(2).
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
Utendahl Capital Partners, L.P.	CASH	Yes	No		
Veritas Capital Fund	PFM	Yes	No		
W. R. Huff Asset Management	PFM	Yes	No		
Wachovia Bank	CASH & DEBT	Yes	No		
Walton Street Capital, L.L.C.	PFM	Yes	No		
Webster Bank	CASH	Yes	No		
Wellington Management Company, LLP	PFM	Yes	No		
Wellspring Capital Partners II, LP	PFM	Yes	No		



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Welsh, Carson, Anderson & Stowe (WCAS)	PFM	Yes	Yes	PricewaterhouseCoopers was paid \$85,750 for auditing and tax services.  Reboul, MacMurray Hewitt Maynard & Kristol was paid \$489,341 for legal services.  Davis Polk & Warduell was paid \$131,736 for legal services.	Vendor identified exemption. Legal and audit fees are permissible third party payments. See C.G.S. § 3-131(b)(2).
Western Asset Management Company	PFM	Yes	Yes	Vendor disclosed soft dollar arrangement whereby vendor receives valuable research services to benefit the State of Connecticut.	Vendor identified exemption.
Westport Advisors, Ltd.	PFM	Yes	No		
William Blair and Company, LLC	DEBT	Yes	Yes	Paul McDonough was paid \$23,708.52 as a "marketing consultant" during the reporting period.	Vendor identified exemption. Placement agent fees are permissible third party payments (see C.G.S. § 3-131(b)(3)).
Williams Capital Group, L.P.	CASH	Yes	No		
Winter Associates	UCP	No	No		
Zions Bank	CASH	Yes	No		