

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2012 through June 30, 2013*

	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
A. C. Advisory, Inc.	DEBT	Yes	No		
Aberdeen Asset Management Inc.	PFM	Yes	No		
ACA Financial Guaranty Corporation	DEBT	Yes	No		
Acacia Financial Group, Inc.	DEBT	Yes	No		
Acadian Asset Management, Inc.	PFM	Yes	No		
AEW Capital Management, LP	PFM	Yes	No		
AEW Partners III, LP	PFM	Yes	No		
AIG Financial Products Corp.	DEBT	Yes	No		
AllianceBernstein Legacy Securities (Delaware) L.P.	PFM	Yes	No		
Altaris Health Partners II, L.P. <i>(formerly AIG Altaris Health Partners II, L.P.)</i>	PFM	Yes	Yes	Altaris Capital Partners, LLC was paid management fees totaling \$492,146 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Altaris Health Partners, L.P. <i>(formerly AIG Altaris Health Partners, L.P.)</i>	PFM	Yes	Yes	Altaris Capital Partners, LLC was paid management fees totaling \$329,934 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Ambac Assurance Corporation	DEBT	Yes	No		
Ambassador Capital Management	PFM	Yes	No		
American Realty Advisors	PFM	Yes	No		
AMTEC Corp.	DEBT	No	No		
Anderson, Kill & Olick	PFM	Yes	No		
Apollo Real Estate Investment Fund III, LP	PFM	Yes	No		
AQR Capital Management, LLC	PFM	Yes	No		
Arclight Energy Partners Fund V, L.P.	PFM	Yes	Yes	Barclays Capital, Inc. was paid placement agent fees totaling \$8,500,500 pursuant to the Limited Partnership Agreement. FAP USA LP was paid placement agent fees totaling \$3,451,652 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3).
Ashmore EMM, LLC <i>(formerly Emerging Markets Management, LLC)</i>	PFM	Yes	No		
Ashmore Investment Management Limited	PFM	Yes	No		
Assured Guaranty Municipal Corp.	DEBT	Yes	No		
Audax Mezzanine Fund III, LP	PFM	Yes	Yes	Audax Management Co. (NY), LLC was paid management fees totaling \$743,313 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).

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Audit Services, US, LLC	UCP	No	No		
Backstrom, McCarley, Berry & Co., L.L.C.	DEBT	Yes	No		
Baker Botts, L.L.P.	PFM	Yes	No		
Bank of America, N.A.	CASH & DEBT	Yes	No		
Barclays Capital, Inc.	CASH & DEBT	Yes	No		
Bayerische Landesbank	DEBT	Yes	No		
BB&T Capital Markets, a division of Branch Banking & Trust Company	CASH	Yes	No		
Bivium Capital Partners, LLC	PFM	Yes	No		
BlackRock Financial Management, Inc.	PFM	Yes	No		
BlackRock Institutional Trust Company, N.A.	PFM	Yes	No		
Blackstone Capital Partners III Merchant Banking Fund, LP	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 Special Situations Fund II, LP	PFM	Yes	No		
Blaylock Robert Van LLC	DEBT	Yes	No		
BLX Group, LLC	DEBT	Yes	No		
BNP Paribas Securities Corp.	CASH	Yes	No		
BNY ConvergeEx Execution Solutions, LLC	PFM	Yes	No		
Boston Ventures VII, L.P.	PFM	Yes	No		
Branch Banking & Trust Company	CASH	Yes	No		
Brown Brothers Harriman & Co.	PFM	Yes	No		
Bryant Miller Olive, PA	DEBT	Yes	No		
Cabrera Capital Markets, Inc.	DEBT	Yes	No		
Callan Associates, Inc.	PFM	Yes	No		
Cambridge International Securities, Inc.	CASH	Yes	No		
Candover 2008 Fund (The) <i>(Arle Capital Partners, Limited)</i>	PFM	Yes	No		
Cantor Fitzgerald	CASH	Yes	No		
Canyon-Johnson Urban Fund II, LP	PFM	Yes	Yes	Canyon-Johnson Urban Fund II, LP was paid quarterly management fees totaling \$575,087.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).

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Canyon-Johnson Urban Fund III, LP	PFM	Yes	Yes	Canyon-Johnson Urban Fund III, LP was paid quarterly management fees totaling \$523,985.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Capital Prospects, LLC	PFM	Yes	No		
Capri Select Income II, LLC	PFM	Yes	No		
Carlyle Asia Partners, L.P.	PFM	Yes	No		
Carlyle Europe Partners, L.P.	PFM	Yes	No		
Castlelake, L.P. (formerly TPG Credit Strategies Fund II, L.P.)	PFM	Yes	Yes	Denning & Company LLC was paid \$331,263 in connection with placement agent services pursuant to the Limited Partnership Agreement. Akin Gump Strauss Hauer & Feld was paid \$9,992 in connection with legal services.	Vendor identified exemption. Placement agent and legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(3)).
CastleOak Securities, L.P.	CASH & DEBT	Yes	No		
CCP Equity Partners (a.k.a. Conning Investment Partners V, LLC)	PFM	Yes	No		
Charterhouse Group International, Inc.	PFM	Yes	No		
Citigroup Global Markets, Inc.	CASH & DEBT	Yes	Yes	Updike, Kelly & Spellacy was paid a flat fee of \$20,000 in connection with Underwriter's Counsel services. Schiff Hardin LLP was paid a flat fee of \$20,000 in connection with Underwriter's Counsel services.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of bonds, are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Clay Hill, LLC (CT Horizon Legacy Fund, L.P.)	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid management fees totaling \$50,000 pursuant to the Limited Partnership Agreement. Schiff Hardin LLP was paid \$6,415 in connection with legal services. RSM McGladrey was paid \$13,600 in connection with accounting services. GreatBanc Trust Company was paid \$4,500 in connection with custodial services.	Vendor identified exemption. Management, legal and custody fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Clearlake Capital Management III, L.P.	PFM	Yes	Yes	Clearlake Capital Management III, LP was paid management fees totaling \$358,635 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Cohen Milstein Sellers & Toll PLLC	PFM	Yes	No		
Colchester Global Investors, Inc.	PFM	Yes	No		
Colony Realty Partners II, LP	PFM	Yes	No		
Compass Partners European Equity Fund	PFM	Yes	No		
Connecticut Bank and Trust Company (The)	CASH	Yes	unknown		The bank was acquired by Berkshire Hills Bancorp and no longer qualifies for the community bank program.

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Connecticut Community Bank, N.A.	CASH	Yes	No		
Connex Credit Union	CASH	Yes	No		
Constitution Liquidating Fund I, LP	PFM	Yes	No		
Corby Capital Markets, Inc.	DEBT	Yes	unknown		The firm is no longer a registered broker dealer and did not respond to the request .
Cornerstone Patriot Fund, LP	PFM	Yes	No		
Court Square Capital Partners II, LLC	PFM	Yes	Yes	Court Square Capital Partners LLC was paid management fees totaling \$30,213 pursuant to the Limited Partnership Agreement. Aggregate amount of \$47,257 was paid for auditing, tax, administration and insurance expenses. Kirkland & Ellis was paid \$1,815 in connection with legal services.	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Covenant Apartment Fund V (Institutional - B), L.P.	PFM	Yes	Yes	Covenant Management Services, Inc. was paid management fees totaling \$293,038 pursuant to the Limited Partnership Agreement. Plante & Moran, PLLC was paid \$9,438 in connection with accounting services. Waller Lansden Dortch & Davis, LLP were paid \$148 in connection with legal services.	Vendor identified exemption. Management, legal and accounting fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Covenant Apartment Fund VI, L.P.	PFM	Yes	Yes	Covenant Management Services, Inc. was paid management fees totaling \$297,787 pursuant to the Limited Partnership Agreement. Plante & Moran, PLLC was paid \$6,450 in connection with accounting services. Waller Lansden Dortch & Davis, LLP were paid \$580 in connection with legal services. REIT Investment Group/RCS Equities, LLC was paid \$1,370 in connection with annual administrative fees.	Vendor identified exemption. Management, legal, accounting and administrative fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Coventry Health Care Workers' Compensation, Inc.	SIF	No	No		
Crescendo Ventures III, LP	PFM	Yes	No		
CS/CT Cleantech Opportunities Fund, L.P. (a.k.a. DLJ Fund Partners, II, L.P.)	PFM	Yes	Yes	Credit Suisse Asset Management was paid management fees totaling \$163,500 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Day Pitney, LLP	DEBT & PFM	Yes	No		
Deminor International SCRL	PFM	Yes	No		

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Deutsche Bank Securities, Inc.	CASH	Yes	No		
Dimensional Fund Advisors LP	PFM	Yes	No		
DLJ Merchant Banking Partners II, LP	PFM	Yes	No		
Drexel Hamilton, LLC	DEBT	Yes	No		
Edward D. Jones & Co. L.P.	DEBT	Yes	No		
Edwards Wildman Palmer LLP	DEBT & PFM	Yes	No		
Energy Fund XV, L.P. (TCW-EIG Alternative Investments, LLC)	PFM	Yes	No		
Estrada, Hinojosa & Company, Inc.	DEBT	Yes	No		
Ethos Private Equity Fund V, LP	PFM	Yes	Yes	Ethos Private Equity Limited was paid management fees totaling \$1,827,583 (includes past deferrals of \$1,099,715) pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Fairview Constitution Fund II, LP	PFM	Yes	No		
Fairview Constitution Fund III, LP	PFM	Yes	No		
Fairview Constitution Fund IV, LP	PFM	Yes	No		
Farmington Bank	CASH	Yes	No		
Fidelity Capital Markets	DEBT	Yes	No		
Fifth Third Bank	CASH	Yes	No		
Financial Guaranty Insurance Company (FGIC)	DEBT	Yes	No		
Finn Dixon & Herling LLP	DEBT	Yes	No		
First Southwest Company	DEBT	Yes	No		
FIS Group, Inc.	PFM	Yes	No		
Franklin Park Associates, LLC	PFM	Yes	No		
Frontier Capital Management Company	PFM	Yes	No		
FS Equity Partners V, LP	PFM	Yes	Yes	Freeman Spogli Management Company LP was paid management fees totaling \$77,240 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
FS Equity Partners VI, LP	PFM	Yes	Yes	Freeman Spogli Management Company LP was paid management fees totaling \$919,953 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
G. X. Clarke & Co.	CASH	Yes	No		
GarMark Partners II, L.P.	PFM	Yes	No		
Garmark Partners, L.P. Liquidating Trust	PFM	Yes	No		

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GE Capital Corporation	CASH	Yes	No		
Gilbert Global Equity Partners, L.P.	PFM	Yes	No		
Goldman Sachs Bank USA	DEBT	Yes	No		
Goldman, Sachs & Co.	CASH & DEBT	Yes	No		
Goldman, Sachs Mitsui Marine Derivative Products, L.P.	DEBT	Yes	No		
Goodwin Capital Advisers, Inc.	PFM	Yes	No		
Grant & Eisenhofer, PA	PFM	Yes	No		
Grant Thornton LLP	DEBT	No	No		
Grantham, Mayo, Van Otterloo & Co.	PFM	Yes	No		
Great Pacific Securities	CASH	Yes	No		
Green Equity Investors, III, L.P.	PFM	Yes	No		
Greenwich Street Capital Markets	PFM	Yes	Yes	Black Diamond Capital Management was paid management fees totaling \$7,769. Sidley Austin LLP was paid \$304 in connection with legal services. Riker Danzig et al was paid \$8,120 in connection with legal services.	Vendor identified exemption. Management and legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Grigsby & Associates, Inc.	DEBT	Yes	unknown		The firm is no longer in the underwriting business.
Grotech Partners V, L.P.	PFM	Yes	Yes	Grotech Management Company was paid \$193 in connection with previously accrued management fees.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Hardwick Law Firm, LLC	DEBT	Yes	No		
Hart Realty Advisers, Inc.	PFM	Yes	No		
Hartford Investment Management Company	PFM	Yes	No		
Hartford Life Insurance Company	EXEC	Yes	Yes	Sutherland, Asbill & Brennan LLP was paid \$9,780 in connection with legal services. State Street Bank & Trust Company was paid \$13,108 in connection with custodial services. Upromise Investment Advisors, LLC was paid \$370,869 in connection with record-keeping services.	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Hawkins, Delafield & Wood, LLP	DEBT	Yes	No		
Hewitt EnnisKnupp	PFM	Yes	No		
Hicks, Muse, Tate & Furst Equity Fund III, LP	PFM	Yes	No		

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ICV Capital Partners II, LP	PFM	Yes	No		
IL&FS India Realty Fund II, LLC	PFM	Yes	No		
ImageMaster, Inc.	DEBT	No	No		
ING Investment Management Co., LLC	PFM	Yes	No		
Institutional Shareholder Services, Inc.	PFM	No	No		
J.P. Morgan Investment Management, Inc. (<i>Nutmeg Opportunities Investment Fund, L.P.</i>)	PFM	Yes	No		
J.P. Morgan Securities, LLC	CASH & DEBT	Yes	No		
Janney Montgomery Scott LLC	CASH & DEBT	Yes	No		
Jefferies , LLC (<i>formerly Jefferies & Company, Inc.</i>)	CASH & DEBT	Yes	Yes	Hawkins Delafield & Wood were paid \$20,000 to serve as Underwriter's Counsel. Lewis & Munday was paid \$20,000 to serve as Underwriter's Counsel.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of bonds, are permissible third party payments. (See C.G.S. § 3-131(b)(1).
JFL Equity Investors III, LP	PFM	Yes	Yes	Stanwich Advisors LLC was paid \$2,027,869 in connection with placement agent services. Debevoise & Plimpton was paid \$30,961 in connection with legal services.	Vendor identified exemption. Legal and placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(3).
JPMorgan Chase Bank, N.A.	CASH & DEBT	Yes	No		
K2 Advisors, LLC (<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		
KKR 2006 Fund	PFM	Yes	No		
KKR Millennium Fund	PFM	Yes	No		
Kohlberg Kravis Roberts 1996 Fund (KKR)	PFM	Yes	No		
KPS Special Situations Fund II, LP	PFM	Yes	No		
Labaton Sucharow, LLP	PFM	Yes	No		
Lamont Financial Services Corporation	DEBT	Yes	No		
Landmark Equity Partners XIV, L.P.	PFM	Yes	No		
Landmark Partners, Inc.	PFM	Yes	No		
Law Offices of Joseph C. Reid, P.A.	DEBT	Yes	No		
Lazard Asset Management, LLC	PFM	Yes	No		

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Lebenthal & Co., LLC	DEBT	Yes	No		
Leeds Equity Partners V, L.P.	PFM	Yes	No		
Levine Leichtman Capital Partners, Inc.	PFM	Yes	No		
Lewis & Munday, P.C.	DEBT	Yes	No		
Lexington Capital Partners II, L.P.	PFM	Yes	No		
Lonestar Real Estate Partners II, L.P.	PFM	Yes	Yes	UBS Securities LLC (UBS) was paid \$250,000 in connection with placement agent services.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
Loomis, Sayles & Company, L.P.	PFM	Yes	No		
Loop Capital Markets, LLC	CASH & DEBT	Yes	No		
Lowe & Associates, LLC	PFM	Yes	No		
M.R. Beal & Company	CASH & DEBT	Yes	No		
MacFarlane Urban Real Estate Fund II, LP	PFM	Yes	Yes	Paul, Hastings, Janofsky & Walker was paid \$1,217 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Marathon Legacy Securities Public-Private Investment Fund LP	PFM	Yes	Yes	Aggregate legal fees paid by the Fund are \$69,609, of which a pro rata portion is allocable to the State of Connecticut. Such pro rata portion is approximately 10.5%.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Marathon European Credity Opportunity Fund, L.P.	PFM	Yes	Yes	Aggregate legal fees paid by the Fund are \$458,023, of which a pro rata portion of the expenses incurred is allocable to the State of Connecticut.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
McCarter & English, LLP	PFM	Yes	No		
McElroy, Deutsch, Mulvaney & Carpenter, LLP	PFM	Yes	No		
Melvin Securities, LLC	DEBT	Yes	No		
Merrill, Lynch, Pierce, Fenner & Smith <i>(formerly Banc of America Securities)</i>	CASH	Yes	No		
Merrill, Lynch, Pierce, Fenner & Smith <i>(d/b/a Bank of America Merrill Lynch)</i>	DEBT	Yes	Yes	Shipman & Goodwin LLP was paid \$65,000 in connection with legal services as Underwriter's Counsel.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
MFS Institutional Advisors, Inc.	PFM	Yes	No		
Mizuho Securities USA, Inc.	CASH	Yes	No		
Morgan Stanley & Co. Incorporated	CASH & DEBT	Yes	Yes	Wiggin and Dana was paid \$20,000 in connection with legal services. Hardwick Law Firm LLC was paid \$20,000 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Morgan Stanley Investment Management	CASH	Yes	No		

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Muller & Monroe Asset Management, LLC (CT Emerging Private Equity Fund of Funds L.P.)	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid management fees totaling \$8,914 pursuant to the Limited Partnership Agreement. Schiff Hardin LLP was paid \$150,359 in connection with legal services. RSM McGladrey was paid \$18,550 in connection with accounting services. Great Banc Trust Company was paid \$31,815 in connection with custodial services.	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
National Public Finance Guarantee Corp.	DEBT	Yes	No		
NATIXIS Funding Corp.	DEBT	Yes	No		
NEPC, LLC	PFM	Yes	No		
New Boston Individual and Institutional Investment Fund IV, LP	PFM	Yes	No		
New Boston Urban Strategy America Fund, LP	PFM	Yes	No		
Nixon Peabody LLP	PFM	Yes	No		
	PFM	Yes	No		
Nomura Securities International, Inc.	CASH	Yes	No		
Northern Trust Investments, Inc.	PFM	Yes	No		
Northwest Community Bank	CASH	Yes	No		
Numeric Amplified Core Onshore Fund II, L.P.	PFM	Yes	Yes	Numeric Investors LLC was paid management fees totaling \$796,186 pursuant to the Limited Partnership Agreement. Goldman Sachs Fund Administration was paid \$105,250 in connection with administration fees. Wolf & Company PC was paid \$35,000 in connection with audit and tax preparation services. KPMG was paid \$6,130 in connection with accounting services. CT Corporation System was paid \$250 in connection with State of Delaware incorporation fees. The State of Massachusetts was paid \$1,960 in connection with various reports and certificates. The State of Delaware was paid \$450 in connection with certificate cancellation.	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).

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Oaktree Capital Management, L.P.	PFM	Yes	Yes	Bank of New York Mellon was paid \$28,000 in connection with back-office services, such as accounting, reconciliation, settlement, etc. CSAG was paid \$12,500 in connection with global security risk monitoring services.	Vendor identified exemption. Back-office and research services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Oppenheimer & Co., Inc.	CASH	Yes	No		
Orrick, Herrington & Sutcliffe, LLP	DEBT & PFM	Yes	No		
Pacific Investment Management Company (PIMCO)	PFM	Yes	No		
Pareto Investment Management Limited	PFM	Yes	Yes	Pareto NY LLC was paid \$2,964,142 in connection with marketing services. Northern Trust Investments was paid \$13,491,650 in connection with operational support/back-office services.	Vendor identified exemption. Marketing and back-office services are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3).
Payden & Rygel Investment Management	PFM	Yes	No		
Pegasus Partners IV, LP	PFM	Yes	No		
Pegasus Partners V, LP	PFM	Yes	No		
People's United Bank	CASH	Yes	No		
Permal Group, LTD (Prudence Crandall Fund I, LLC)	PFM	Yes	No		
Piper, Jaffray & Co.	DEBT	Yes	No		
PineBridge Global Emerging Markets Partners, L.L.C.	PFM	Yes	No		
Pomerantz Grossman Hufford Dahlstrom & Gross LLP	PFM	Yes	No		
Prager & Co., LLC	DEBT	Yes	No		
Prime Property Fund, LLC	PFM	Yes	No		
Prisma Capital Management, LLC (Prudence Crandall Fund II, LLC)	PFM	Yes	No		
Progress Investment Management Company, LLC	PFM	Yes	No		
Public Resources Advisory Group, Inc.	DEBT	Yes	Yes	Milliman was paid \$2,488 for an analysis of pension funding issues.	Vendor identified exemption. Actuarial services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Pullman & Comley, LLC	DEBT & PFM	Yes	No		
Pyramis Global Advisors Trust Company	PFM	Yes	No		
Rabo Securities USA, Inc.	CASH	Yes	No		
Raymond James	CASH & DEBT	Yes	No		
RBC Capital Markets, LLC	CASH & DEBT	Yes	Yes	Pullman & Comley was paid \$40,000 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1).

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RBS Citizens Bank, NA	CASH	Yes	No		
RBS Securities, Inc.	CASH	Yes	No		
Reinhart, Boerner, Van Deuren, sc	PFM	Yes	No		
RFE Investment Partners VI, L.P.	PFM	Yes	No		
RFE Investment Partners VII, L.P.	PFM	Yes	No		
RFE Investment Partners VIII, L.P.	PFM	Yes	No		
Rice Financial Products Company	CASH & DEBT	Yes	No		
Robert W. Baird & Co.	DEBT	Yes	No		
Robinson & Cole, LLP	DEBT & PFM	Yes	No		
Robbins Geller Rudman & Dowd, LLLP	PFM	Yes	No		
Rock Creek Connecticut, LLC (Prudence Crandall Fund III, LLC)	PFM	Yes	No		
Rockfleet Financial Services, Inc.	DEBT	Yes	No		
Rockwood Capital Real Estate Partners Fund V, LP	PFM	Yes	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 Implementation Services, Inc.	PFM	Yes	No		
Samuel A. Ramirez & Co., Inc.	DEBT	Yes	No		
Sandgrain Securities, Inc.	DEBT	Yes	unknown		Effective July 31, 2013, firm is no longer in business.
Santander Bank, N.A. (f.k.a. Sovereign Bank)	CASH	Yes	No		
Schroder Investment Management North America, Inc.	PFM	Yes	No		
SCP Private Equity Partners, LP	PFM	Yes	No		
Shenkman Capital Management, Inc.	PFM	Yes	No		
Shipman & Goodwin, LLP	DEBT & PFM	Yes	No		
Siebert Brandford Shank & Co., LLC	DEBT	Yes	Yes	Hardwick Law Firm was paid \$20,000 in connection with legal services as Co-Underwriters Counsel . Wiggin and Dana was paid \$20,000 in connection with legal services as Co-Underwriters Counsel.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Societe Generale	CASH & DEBT	Yes	No		

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Soeder & Associates LLC	DEBT	Yes	No		
Squire Sanders (US) LLP	DEBT	Yes	No		
Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	<p>Deloitte & Touche, LLP was paid \$548,728 in connection with auditing services.</p> <p>Frydland Stevens, LLC was paid \$483,009 in connection with tax services.</p> <p>Legal Services: - Kirkland & Ellis, LLP - \$554,702 - Greenberg Tauriq Maher - \$83,083 - Rinaldi, Finkelstein & Franklin - \$232,524 - White & Case - \$56,990</p>	Vendor identified exemption. Legal, tax and auditing services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Starwood Global Opportunity Fund VIII, LP	PFM	Yes	Yes	<p>CBRE Econometric Advisors was paid \$62,046 in connection with consulting services.</p> <p>Frydland Stevens, LLC was paid \$712,345 in connection with tax services.</p> <p>Legal Services: - Kirkland & Ellis, LLP - \$119,740 - Machado, Meyer Sendacz et al - \$321,483 - Mayer Brown LLP - \$108,508 - Paul, Hastings, Janofsky & Walker LLP - \$91,359 - White & Case - \$110,809 - Rinaldi, Finkelstein & Franklin LLC - \$793,536</p> <p>PriceWaterhouseCoopers LLP was paid \$1,181,438 in connection with auditing services.</p>	Vendor identified exemption. Legal, accounting, and consulting services are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3)).
State Street Bank & Trust Company	CASH & PFM	Yes	No		
State Street Global Advisors	PFM	Yes	No		
Stephens, Inc.	CASH	Yes	No		
Stepstone Pioneer Capital Buyout Fund II, L.P. (f.k.a. Parish Capital Advisors (Buyout) Fund II, L.P.)	PFM	Yes	Yes	<p>Ernst & Young was paid \$119,646 in connection with accounting and tax services.</p> <p>Robinson Bradshaw & Hinson was paid \$9,754 in connection with legal services.</p> <p>SEI, Inc. was paid \$134,394 in connection with annual administration services.</p>	Vendor identified exemption. Legal, accounting and fund administration fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).

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	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
Stepstone Pioneer Capital I, L.P. (f.k.a. Parish Capital Advisors I, L.P.)	PFM	Yes	Yes	Ernst & Young was paid \$122,977 in connection with accounting and tax services. Robinson Bradshaw & Hinson was paid \$624 in connection with legal services. SEI, Inc. was paid \$202,966 in connection with annual administration services.	Vendor identified exemption. Legal, accounting and fund administration fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Sterne, Agee & Leach, Inc.	DEBT	Yes	No		
Stifel Nicolaus & Company, Inc.	CASH & DEBT	Yes	No		
Stone Castle Partners, LLC	CASH	Yes	No		
Stone Harbor Investment Partners, LP	PFM	Yes	No		
Sturdivant & Co.	DEBT	Yes	No		
SW Pelham Fund II, LP	PFM	Yes	Yes	Accounting Services: - PricewaterhouseCoopers LLP - \$4,000 - Citi Private Equity Services - \$81,797 - KPMG - \$28,000 Legal Services: - Shipman & Goodwin, LLP - \$105,352 - Neil, Gerber, Eisenberg, LLP - \$99,229 S&P Capital IQ was paid \$751 in connection with annual valuation research resources. Spectrum Bridge, Inc. was paid \$850 in connection with annual valuation services.	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
SW Pelham Fund, L.P	PFM	Yes	Yes	Skadden, Arps, Slate, Meagher & Flom, LLP was paid \$45,861 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Syncom Management Company, Inc.	PFM	Yes	No		
T. Rowe Price Associates, Inc.	PFM	Yes	No		
TA XI, L.P.	PFM	Yes	Yes	TA Associates XI GP, L.P. was paid \$1,188,445 for management fees and carried interest pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
TD Bank, N.A.	CASH	Yes	No		
TD Securities (USA) LLC	DEBT	Yes	No		
Teigland-Hunt LLP	PFM	Yes	No		
Thayer Equity Investors IV, LP	PFM	Yes	No		
The Community's Bank	CASH	Yes			The bank is out of business and in receivership.
The Townsend Group	PFM	Yes	No		

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The Williams Capital Group, L.P.	DEBT	Yes	No		
Thomas H. Lee Equity Fund IV, LLC	PFM	Yes	No		
Thomas H. Lee Equity Fund VI, LLC	PFM	Yes	No		
TIAA-CREF Tuition Financing, Inc.	EXEC	Yes	Yes	Sutherland was paid \$2,731 in connection with legal services for Tuition Financing, Inc.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Toussaint Capital Partners, LLC	DEBT	Yes	No		
Trinity Plus Funding Co., LLC	DEBT	Yes	No		
U.S. Bancorp Municipal Securities Group	DEBT	Yes	No		
U.S. Bank National Association	CASH & DEBT	Yes	Yes	Shipman & Goodwin LLP was paid \$1,691 in connection with legal services for corporate trust services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
UBS Financial Services, Inc.	CASH	Yes	No		
UBS Global Asset Management (Americas), Inc.	PFM	Yes	No		
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
Vista Equity Partners Fund III, L.P.	PFM	Yes	No		
Vista Equity Partners Fund IV, L.P.	PFM	Yes	No		
Walton Street Real Estate Fund II, LP	PFM	Yes	No		
Webster Bank, N.A.	CASH	Yes	No		
Wellington Management Company	PFM	Yes	No		
Wells Fargo Bank, National Association	CASH & DEBT	Yes	No		
Wells Fargo Securities, LLC	CASH & DEBT	Yes	No		
Wellspring Capital Partners III, LP	PFM	Yes	No		
Wellspring Capital Partners V, L.P.	PFM	Yes	Yes	Channel Investment Advisors, Inc. was paid \$225,000 in connection with business development initiatives.	Vendor identified exemption. Consulting services are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Welsh Carson Anderson & Stowe Fund III, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund VIII, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund X, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund XI, LP	PFM	Yes	No		
Westport Senior Living Investment Fund, LP	PFM	Yes	No		
William Blair and Company, LLC	DEBT & PFM	Yes	No		
Windsor Federal Savings and Loan Association	CASH	Yes	No		
WLR IV PPIP Co-Invest, L.P.	PFM	Yes	No		

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WLR Recovery Fund IV, L.P.	PFM	Yes	No		
Xerox State & Local Solutions, Inc. <i>(formerly ACS State & Local Solutions)</i>	UCP	No	No		
Yucaipa American Alliance Fund II, LP	PFM	Yes	Yes	Atlantic-Pacific Capital, Inc. was paid \$450,000 in connection with global placement agent and advisory services.	Vendor identified exemption. Advisory and global placement agent services are permissible third party payments. (See C.G.S. §