

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

COMPANY NAME		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		
Altaris Health Partners II, L.P.	PFM	Yes	Yes	Altaris Capital Partners II, LP was paid management fees totaling \$388,947 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 III, L.P.	PFM	Yes	Yes	Altaris Capital Partners III, LP was paid management fees totaling \$76,672 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.	PFM	Yes	Yes	Altaris Capital Partners, LP was paid management fees totaling \$297,539 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	Yes	Albert Risk Management Consultants, Inc. was paid a total of \$28,015 for special insurance/risk management services.	Vendor identified exemption. Fees related to insurance/risk management services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Aon Hewitt Investment Consulting, Inc.	PFM	Yes	No		
Apollo Capital Management VIII, LLC	PFM	Yes	No		
Apollo Real Estate Investment Fund, III, L.P.	PFM	Yes	No		
AQR Capital Management, LLC	PFM	Yes	No		
Arclight Energy Partners Fund V, L.P.	PFM	Yes	Yes	FAP USA LP ("FAP") was paid \$66,020 in connection with placement agent services 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 Investment Management Limited	PFM	Yes	No		
Assured Guaranty Municipal Corp.	DEBT	Yes	No		

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

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Audax Mezzanine Fund III, LP	PFM	Yes	Yes	Audax Management Company (NY), LLC was paid management fees totaling \$853,710 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
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.	DEBT	Yes	Yes	Wiggin and Dana LLP was paid \$12,500 in connection with legal services as Co-underwriter's counsel. Bryant Miller Olive was paid \$12,500 in connection with legal services as Co-underwriter's counsel.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1).
Bayerische Landesbank	DEBT	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 Beal Van LLC	DEBT	Yes	No		
BLX Group, LLC	DEBT	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 (Arle Capital Partners, Limited)	PFM	Yes	No		

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

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Cantor Fitzgerald	CASH	Yes	No		
Canyon-Johnson Urban Fund II, LP	PFM	Yes	Yes	Canyon-Johnson Urban Fund II, L.P. was paid management fees totaling \$389,153 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Canyon-Johnson Urban Fund III, LP	PFM	Yes	Yes	Canyon-Johnson Urban Fund III, L.P. was paid management fees totaling \$327,980 pursuant to the Limited Partnership Agreement.	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		
Carlyle GMS Finance, Inc.	PFM	Yes	No		
Carlyle NF Investment Corp.	PFM	Yes	No		
Castlelake, L.P. <i>(formerly TPG Credit Strategies Fund II, L.P.)</i>	PFM	Yes	Yes	Denning & Company, LLC was paid \$220,087 in connection with placement agent services 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).
CastleOak Securities, L.P.	DEBT	Yes	No		
CCP Equity Partners <i>(a.k.a. Conning Investment Partners V, LLC)</i>	PFM	Yes	No		
Charterhouse Group International, Inc.	PFM	Yes	No		
Citigroup Global Markets, Inc.	CASH & DEBT	Yes	No		
Clay Hill, LLC <i>(CT Horizon Legacy Fund, L.P.)</i>	PFM	Yes		Muller & Monroe Asset Management, LLC was paid management fees totaling \$50,000 pursuant to the Limited Partnership Agreement. Schiff Hardin LLP was paid \$13,865 in connection with legal services. RSM McGladrey was paid \$22,300 in connection with tax and auditing services. GreatBanc Trust Company was paid \$4,500 in connection with custody services.	Vendor identified exemption. Management, legal and custody fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).

*Office of the State Treasurer
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July 1, 2013 through June 30, 2014*

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Clearlake Capital Management III, L.P.	PFM	Yes	Yes	Clearlake Capital Management III, L.P. was paid management fees totaling \$313,386 pursuant to the Limited Partnership Agreement. Park Hill Group, LLC was paid \$152,876 in connection with placement agent services. Aqueduct Capital Group, LLC was paid \$51,452 in connection with placement agent services.	Vendor identified exemption. Management fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3).
Cliffwater, LLC	PFM	Yes	No		
Cohen Milstein Sellers & Toll PLLC	PFM	Yes	No		
Colchester Global Investors, Inc.	PFM	Yes	No		
Colony Realty Partners II, LP	PFM	Yes	No		
Connex Credit Union	CASH	Yes	No		
Constitution Liquidating Fund I, LP	PFM	Yes	No		
Cornerstone Patriot Fund, LP	PFM	Yes	No		
Court Square Capital Partners II, LLC	PFM	Yes	Yes	Kirkland & Ellis was paid \$1,426 in connection with legal services. Various fees including audit, tax preparation and fund administration services - \$63,109.	Vendor identified exemption. All disclosed fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2).
Court Square Capital Partners III, LLC	PFM	Yes	Yes	Kirkland & Ellis was paid \$1,630 in connection with legal services. Court Square Capital Manager III, LP was paid management fees totaling \$345,159 pursuant to the Limited Partnership Agreement. Various fees including audit, tax preparation and fund administration services - \$21,211.	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 V (Institutional - B), L.P.	PFM	Yes	Yes	Covenant Management Services, Inc. was paid management fees totaling \$236,582 pursuant to the Limited Partnership Agreement. Plante & Moran, PLLC was paid \$10,324 in connection with accounting services.	Vendor identified exemption. Management fees and accounting fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).

*Office of the State Treasurer
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July 1, 2013 through June 30, 2014*

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Covenant Apartment Fund VI, L.P.	PFM	Yes	Yes	Covenant Management Services, Inc. was paid management fees totaling \$223,632 pursuant to the Limited Partnership Agreement. Plante & Moran, PLLC was paid \$7,399 in connection with accounting services. REIT Investment Group/RCS Equities, LLC was paid an annual administrative fee of \$1,370 in connection with fund administration.	Vendor identified exemption. Management fees, accounting and administrative fees are permissible third party payments. (See C.G.S. § 3-13/(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, LLC (see footnote #2 on affidavit) was paid management fees totaling \$70,397 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
Day Pitney, LLP	DEBT & PFM	Yes	No		
Deminor International SCRL	PFM	Yes	No		
Deutsche Bank AG, New York Branch	PFM	Yes	No.		
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	Yes	Credit Suisse Securities (USA) LLC was paid \$6,477,556 for investment management services pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-13/(b)(2).
Estrada, Hinojosa & Company, Inc.	DEBT	Yes	No		
Ethos Private Equity Fund V, LP	PFM	Yes	Yes	Ethos Private Equity (PTY) Ltd was paid management fees totaling \$3,358,415 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-13/(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		
Fidelity Capital Markets	DEBT	Yes	No		

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July 1, 2013 through June 30, 2014*

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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		
Frasca & Associates, LLC	DEBT	Yes	No		
Frontier Capital Management Company	PFM	Yes	No		
FS Equity Partners V, LP	PFM	Yes	Yes	Freeman Spogli Management Co., L.P. was paid management fees totaling \$69,592 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 Co., L.P. was paid management fees totaling \$1,125,000 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
GarMark Partners II, L.P.	PFM	Yes	No		
Garmark Partners, L.P. Liquidating Trust	PFM	Yes	No		
GCM Customized Fund Investment Group, L.P.	PFM	Yes	Yes	GCM Customized Fund Investment Group, L.P. was paid management fees totaling \$72,674 pursuant to the Limited Partnership Agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
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		
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	No		
Grotech Partners V, L.P.	PFM	Yes	No		
Hardwick Law Firm, LLC	DEBT	Yes	No		
Hart Realty Advisers, Inc.	PFM	Yes	No		
Hartford Investment Management Company	PFM	Yes	No		

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July 1, 2013 through June 30, 2014*

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Hartford Life Insurance Company	EXEC	Yes	Yes	Sutherland, Asbill & Brennan LP was paid \$11,685 in connection with legal services related to 529 plans. State Street Bank and Trust Company was paid \$9,964 in connection with custodial services. Ascensus College Savings (formerly Upromise Investment Advisors, LLC) was paid \$557,214 in connection with administrative fees for 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		
Hicks, Muse, Tate & Furst Equity Fund III, LP	PFM	Yes	No		
ICV Capital Partners II, LP	PFM	Yes	No		
IL&FS India Realty Fund II, LLC	PFM	Yes	No		
ImageMaster, Inc.	DEBT	No	No		
Institutional Shareholder Services, Inc.	PFM	No	No		
J.P. Morgan Investment Management, Inc. (Nutmeg Opportunities Investment Fund, L.P.)	PFM	Yes	No		
J.P. Morgan Securities, LLC	CASH & DEBT	Yes	No		
Janney Montgomery Scott LLC	CASH & DEBT	Yes	No		
Jefferies, LLC (formerly Jefferies & Company, Inc.)	CASH & DEBT	Yes	Yes	Tobin Carberry O'Malley Riley Schinger P.C. was paid \$5,000 in connection with legal services 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 was paid \$1,013,935 in connection with placement agent services pursuant to the Limited Partnership Agreement. Debevoise & Plimpton was paid \$4,927 in connection with legal services rendered. SS&C Technologies was paid \$196,460 in connection with accounting, tax and fund administration services.	Vendor identified exemption. Legal, accounting and placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3)).
JPMorgan Chase Bank, N.A.	CASH & DEBT	Yes	No		
K2 Advisors, LLC (Prudence Crandall Fund IV, LLC)	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		

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

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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 Equity Partners XV, 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		
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 \$254,405 in connection with placement agent services 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)).
Loomis, Sayles & Company, L.P.	PFM	Yes	No		
Loop Capital Markets, LLC	CASH & DEBT	Yes	Yes	McKenna Long & Aldridge LLP was paid \$4,000 in connection with legal services as Co-Underwriter's Counsel. Hardwick Law Firm, LLC was paid \$4,000 in connection with legal services as Co-Underwriter's Counsel.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1))
Lowe & Associates, LLC	PFM	Yes	No		
MacFarlane Urban Real Estate Fund II, LP	PFM	Yes	Yes	Paul Hastings LLP was paid \$109,276 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
Mahoney Sabol & Company, LLP	DEBT	Yes	No		
Marathon Legacy Securities Public-Private Investment Fund LP	PFM	Yes	Yes	Aggregate legal fees totaling \$180,196, of which a pro rata portion of 10.1% 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)).
Marathon European Credit Opportunity Fund, L.P.	PFM	Yes	Yes	Aggregate legal fees totaling \$341,560, of which a pro rata portion of 5.1% 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		

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July 1, 2013 through June 30, 2014*

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Merrill, Lynch, Pierce, Fenner & Smith	CASH	Yes	No		
Merrill, Lynch, Pierce, Fenner & Smith <i>(d/b/a Bank of America Merrill Lynch)</i>	DEBT	Yes	Yes	Updike, Kelly & Spellacy, P.C was paid \$20,000 in connection with legal services as Co-Underwriter's Counsel. Hinkley Allen was paid \$20,000 in connection with legal services as Co-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	Updike, Kelly & Spellacy, P.C was paid \$20,000 in connection with legal services. Bryant Miller Olive 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		
Muller & Monroe Asset Management, LLC <i>(CT Emerging Private Equity Fund of Funds L.P.)</i>	PFM	Yes	Yes	Muller & Monroe Asset Management, LLC was paid management fees totaling \$7,854 pursuant to the Limited Partnership Agreement. Schiff Hardin LLP was paid \$20,167 in connection with legal services. RSM McGladrey was paid \$29,950 in connection with tax and auditing services. GreatBanc 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		
New Boston Individual and Institutional Investment Fund IV, LP	PFM	Yes	No		
New Boston Urban Strategy America Fund, L.P.	PFM	Yes	No		
Nixon Peabody LLP	PFM	Yes	No		
Nogales Investors Fund II, LP	PFM	Yes	No		
Northern Trust Investments, Inc.	PFM	Yes	No		
Oaktree Capital Management, L.P.	PFM	Yes	Yes	Bank of New York Mellon was paid \$35,000 in connection with back-office services such as accounting, reconciliation, settlement, etc. CSAG was paid \$12,500 in connection with a global security risk monitoring service.	Vendor identified exemption. Back-office services and research fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).

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Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

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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 New York LLC was paid \$2,844,987 in connection with marketing services. The Northern Trust Company (London Branch) was paid \$15,565,590 in connection with operational support/back-office services.	Vendor identified exemption. Marketing and back-office services fees 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	Yes	Hawkins, Delafield & Wood LLP 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)).
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 Financial Management	DEBT	Yes	No		
Public Resources Advisory Group, Inc.	DEBT	Yes	No		
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	DEBT	Yes	No		
RBS Securities, Inc.	CASH	Yes	No		
Reinhart, Boerner, Van Deuren, sc	PFM	Yes	No		

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Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

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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	Yes	Wiggin and Dana LLP was paid \$25,000 in connection with legal services. Various fees for advertising and marketing in connection with municipal bond underwriting services - \$127,502.	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)(2)).
Santander Bank, N.A.	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	Joseph C. Reid, P.A. was paid \$20,000 in connection with legal services as Underwriter's Counsel. Squire Sanders L.L.P. was paid \$20,000 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)).
Societe Generale	DEBT	Yes	No		
Soeder & Associates LLC	DEBT	Yes	No		

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

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Squire, Patton Boggs, LLP <i>(formerly Squire Sanders (US) LLP & Patton Boggs, LLP)</i>	DEBT	Yes	No		
Starwood Distressed Opportunity Fund IX, L.P.	PFM	Yes	Yes	Legal Services: - Bryan Cove, LLP - \$77,456 - Deloitte Corporate Finance, SLU - \$1,295,655 - Greenberg Traurig - \$322,131 - Haynes & Boone LLP - \$165,150 - Hogan Lovells US LLP - \$669,982 - King & Wood Mallesons LLP - \$1,539,777 - Kirkland & Ellis - \$4,031,628 - Latham & Watkins - \$402,170 - Linklaters LLP - \$148,961 - Marx/Okubo Associates, Inc. - \$571,766 - Mayer Brown LLP - \$195,183 - Mellersh & Harding Building Consulting - \$196,082 - Monthisa Asset Management, Inc. - \$92,728 - Paul Hastings (Europe) LLP - \$2,147,640 - Pircher, Nichols & Meeks - \$415,778 - Reed Smith, LLP - \$74,286 - Rinaldi Finklestein & Franklin, LLC - \$1,680,882 - Slaughter & May - \$100,623 - Trepp, LLC - \$71,580 - Wachtell, Lipton Rosen & Katz - \$60,000 - William J. Brennan & Co. - \$139,465	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1).
Starwood Distressed Opportunity Fund IX, L.P. (Continued)		Yes	Yes	Consulting Services: - CBRE Sweden - \$3,166,428 - DLA Piper Spain S.L.U. - \$1,117,910 - FHPP Ltd. - \$127,315 - Hatfield Phillips - \$174,389 - Key Capital Estate Ltd. - \$69,016 - Merrill Lynch International - \$456,252 - Partner Engineering Inc. - \$58,600 - Rothschild - \$335,970 - The Wolf Group, Inc. - \$457,855 Audit/Tax Advisor Services: - Deloitte LLP - \$80,430 - Frydland Stevens LLC - \$1,200,091 - FTI Consulting, Inc. - \$146,542	Vendor identified exemption. Audit, tax and consulting fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

COMPANY NAME		INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	<p>Auditing Services: - Deloitte & Touche, LLP - \$896,605</p> <p>Tax Advisor Services: - Frydland Stevens, LLC - \$326,385</p> <p>Legal Services: - Kirkland & Ellis LLP - \$1,637,209 - Ernst & Young, LLP - \$174,856 - Rinaldi, Finkelstein & Franklin - \$618,601 - Muchnick, Golleb & Golleb PC - \$53,648</p> <p>Consulting Services: Taaln Aria Advisors - \$83,335</p>	Vendor identified exemption. Legal, tax, auditing and consulting fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)(3)).
Starwood Global Opportunity Fund VIII, LP	PFM	Yes	Yes	<p>Legal Services: - Deloitte LLP - \$179,052 - Ernst & Young LLP - \$206,300 - Greenberg Traurig - \$167,526 - Kirkland & Ellis LLP - \$146,326 - Machado, Meyer, Sendacz, Opice E Biscardi - \$171,314 - Rinaldi, Finkelstein & Franklin, LLC - \$290,582</p> <p>Tax Advisor Services: - Frydland Stevens, LLC - \$656,657</p> <p>Auditing Services: - PriceWaterhouseCoopers LLP - \$1,115,132</p>	Vendor identified exemption. Legal, tax and auditing fees 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		
Stepstone Pioneer Capital Buyout Fund II, LP (f.k.a. Parish Capital Advisors Buyout Fund II, LP)	PFM	Yes	Yes	<p>Ernst & Young LP was paid \$106,941 in connection with annual audit and tax services.</p> <p>Robinson Bradshaw & Hinson was paid \$1,793 in connection with legal services.</p> <p>SEI, Inc. was paid \$113,564 in connection with annual administrator services.</p>	Vendor identified exemption. Legal, tax, auditing and administration fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).
Stepstone Pioneer Capital I, L.P. (f.k.a. Parish Capital Advisors I, L.P.)	PFM	Yes	Yes	<p>Ernst & Young LP was paid \$155,058 in connection with an annual audit and tax services.</p> <p>Robinson Bradshaw & Hinson was paid \$357 in connection with legal services.</p> <p>SEI, Inc. was paid \$172,126 in connection with annual administrator services.</p>	Vendor identified exemption. Legal, tax, auditing and fund administration fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)(2)).

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

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Sterne, Agee & Leach, Inc.	DEBT	Yes	No		
Stifel Nicolaus & Company, Inc.	DEBT	Yes	No		
Stone Castle Partners, LLC	CASH	Yes	No		
Stone Harbor Investment Partners, LP	PFM	Yes	No		
Sturdivant & Co.	DEBT	Yes	No		
Svenska Handelsbanken	CASH	Yes	No		
SW Pelham Fund II, LP	PFM	Yes	Yes	<p>Shipman & Goodwin, LLP was paid \$82,052 in connection with legal services.</p> <p>Citi Private Equity Services was paid \$57,656 in connection with back-office support for fund accounting and reporting.</p> <p>KPMG LLP was paid \$38,273 in connection with annual audit, tax preparation and specialized accounting work.</p> <p>Michael Z. Gurland was paid \$3,915 in connection with legal services.</p> <p>S&P Capital IQ was paid \$1,491 in connection with annual valuation research resources.</p> <p>Neal, Gerber, Eisenberg, LLP was paid \$32,011 in connection with legal services.</p>	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	No		
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 management fees totaling \$3,207,872 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 Bank of New York Mellon	PFM	Yes	No		
The Townsend Group	PFM	Yes	No		
The Williams Capital Group, L.P.	DEBT	Yes	No		

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

COMPANY NAME		INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
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, Asbill & Brennan LLP was paid \$24,152 in connection with legal services.	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 \$8,266 in connection with legal services. Updike, Kelly & Spellacy, P.C. was paid \$2,455 in connection with legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(1)).
UBS Global Asset Management (Americas), Inc.	PFM	Yes	No		
UBS Realty Investors, LLC	PFM	Yes	No		
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
Vining Sparks IBG, L.P.	CASH	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 was paid \$25,000 in connection with business development initiatives.	Vendor identified exemption. Consulting services are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
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		

*Office of the State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2013 through June 30, 2014*

COMPANY NAME		INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
William Blair and Company, LLC	DEBT & PFM	Yes	No		
WLR IV PPIP Co-Invest, L.P.	PFM	Yes	No		
WLR Recovery Fund IV, L.P.	PFM	Yes	No		
Xerox State & Local Solutions, Inc.	UCP	No	No		
Yucaipa American Alliance Fund II, LP	PFM	Yes	Yes	Atlantic-Pacific Capital, Inc. was paid \$450,000 in connection with placement agent and advisory services.	Vendor identified exemption. Advisory and global placement agent services are permissible third party payments. (See C.G.S. § 3-13I(b)(3)).