

**Summary of Disclosures by Vendors of the Office of State Treasurer
(For the period 10/1/99 through 5/4/00 [pre-Treasury Reform])**

Revised 7/17/02

COMPANY NAME	DIVISION	PAID 3rd PARTY FEES?	PAYMENT ARRANGEMENTS	NOTES
A.G. Edwards & Sons, Inc.	DEBT	No		
ACS Unclaimed Property Clearinghouse, Inc.	UCP	No		
Advest, Inc.	DEBT	No		
AEW Capital Management, LP	PFM	No		
AIG Capital Partners, Inc.	PFM	No		
AIG Financial Products Corp.	DEBT	No		
Alliance Capital Management, L.P.	PFM	No		
AMBAC Assurance Corporation	DEBT	No		
Apex, Pryor Securities	DEBT	No		
Apollo Real Estate Investment Fund III, L.P.	PFM	No		
AXA Rosenberg Investment Management	PFM	No		
Banc One Capital Markets	CASH	No		

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Bank of America Securities, Inc.	CASH	No		
Bank of Montreal	CASH	No		
Bank of Tokyo -- Mitsubishi	CASH	No		
Barclays Global Investors	PFM	No		
Bayerische Landesbank	DEBT	No		
BB&T Capital Markets	CASH	No		
Bear, Stearns & Co., Inc.	DEBT	No		
Belle Haven Investment, L.P.	DEBT	No		
Black Rock Financial Management, Inc.	PFM	No		
Blackstone Capital Partners III Merchant Banking Fund, L.P. ("BCP III")	PFM	No		
Brown Capital	PFM	Yes	Payee: Ben Andrews Amount: \$342,795.79 (attributable to contract, but not paid)	Advised by Brown Capital that funds were not paid. See Summary of Disclosures for the period of 5/5/00+E30 through 4/30/01.

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Carlyle Europe Partners, L.P.	PFM	No		
CDC Funding Corp.	DEBT	No		
CIBC World Markets	CASH	No		
Commerzbank AG, NY Branch	DEBT	No		
Compass Capital European Equity Fund, L.P.	PFM	No		
Connecticut-Greene Ventures, LP	PFM	No		
Conning & Company as Conning Capital Partners	PFM	No		
Credit Suisse First Boston, Inc.	CASH	No		
Crescendo Ventures III, LP	PFM	Yes	Payee: St. James Associates, LLC Amounts Paid: 10/6/99, \$112,500; 1/4/00, \$112,500	See Summary of Disclosures for the period of 5/5/00 through 4/30/01.
Crescendo World Fund, LLC	PFM	Yes	Payee: Truro Associates, LLC Amounts Paid: 10/1/99, \$80,000	See Summary of Disclosures for the period of 5/5/00 through 4/30/01.
Crossroads Investment Company, L.P.	PFM	No		
Crossroads Investment Company, L.P.	PFM	Yes	Payee: George C. Finley and Finley Associates, Inc. Amount: None	State Ethics Commission settled all claims against Finley on 7/15/02.

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Dain Rauscher	DEBT	No		
David LernerAssociates, Inc.	DEBT	No		
Day, Berry & Howard, LLP	DEBT	No		
Deutsche Bank	CASH	No		
Dexia Bank	DEBT			Reported that it does not have a contract for investment services (rather, revolving credit)
DLJ Merchant Banking Partners II, Inc.	PFM	No		
Dredsner RCM Capital Management	PFM	No		
DSI International Management, Inc.	PFM	No		
eBond Trade, LLC	DEBT	No		
Fahnestock & Co., Inc.	DEBT	No		
Fidelity Capital Markets	DEBT	No		
Fifth Third Bank	CASH	No		

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Fimat USA, Inc.		No		
First Albany	DEBT	No		
First Tennessee Bank - Capital Markets	CASH	No		
First Union National Bank	CASH	No		
Fleet Bank	CASH	No		
Fleet Securities, Inc./Quick & Reilly	DEBT	No		
Forstmann Little & Co.	PFM	Yes	Payee: Robert Johnston/Beacon Hill Financial Corp. Amount: \$239,129	Reported third party fees that had no connection to any Connecticut transaction.
G.E. Capital Corporation	CASH	No		
GarMark Partners, L.P.	PFM	No		
Gates Capital Corp.	DEBT	No		
Gilbert Global Equity Partners, L.P.	PFM	No		
GMAC		No		

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Goldman, Sachs & Company	CASH	No		
Grantham, Mayo, Van Otterloo	PFM	No		
Great Pacific Securities	CASH	No		
Green Equity Investors, III, L.P.	PFM	Yes	Payee: DLJ Securities Corp. Amount: \$500,000	
Greenwich Capital Markets, Inc.	CASH	No		
Greenwich Street Capital Partners II, L.P.	PFM	No		
Grotech Partners V, L.P.	PFM	No		
Guy E. Garcia	PFM	No		
Hardwick Law Firm, LLC	DEBT	No		
Harris Capital Advisors, Inc.	CASH	No		
Hawkins, Delafield & Wood	DEBT	No		
Heidrick & Struggle, Inc.	PFM	No		

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Herbert J. Sims & Co., Inc.	DEBT	No		
Hicks, Muse, Tate & Furst, Inc.	PFM	Yes	Payee: DLJ Securites Corp. & Farrell Capital Corp. Amount: \$2,978,928.00	
Hunton & Williams	DEBT	No		
ING Baring (US) Capital Management	CASH	No		
Institutional Shareholders Services	PFM	No		
J.P. Morgan Securities	DEBT	Yes	Payee: Robinson & Cole Amount: \$5,300 10/7/99 \$5,300 11/4/99 \$5,300 12/2/99 \$5,300 1/18/00 \$5,300 2/7/00 \$5,300 3/3/00 \$5,300 4/6/00	
Jackson Securities	DEBT	No		
Janney Montgomery Scott, Inc.	DEBT	No		
Kelso Investment Associates VI, L.P.	PFM	No		
Lamont Financial Services Corp.	DEBT	No		

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Landmark Partners, Inc.	PFM	No		
Law Offices of Joesph C. Reid, P.A.	DEBT	No		
Lehman Brothers	CASH & DEBT	No		
Levy & Droney, P.C.	DEBT	No		
Lewis & Munday	DEBT	No		
Lexington Capital Partners II, L.P.	PFM	No		
Litchfield Bancorp	CASH	No		
Loomis, Sayles & Co.	PFM	No		
Loop Capital Markets, LLC	DEBT	No		
M.H. Myerson & Company, Inc.	CASH	No		
M.R. Beal & Company	DEBT	No		
May Davis Group	DEBT	No		

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McDonald Investments	CASH	No		
Merrill Lynch & Company	CASH/DEBT	No		
Milestone Capital Management	CASH	No		
Morgan Keegan & Company, Inc.	CASH	No		
Morgan Stanley & Co. Incorporated	CASH/ DEBT	No		
Morgan Stanley Dean Witter, Inc.	PFM	No		
Morgan Stanley Investment Management	CASH/DEBT	No		
Multi-Bank Securities, Inc.	CASH	No		
Myerberg & Company, L.P.	CASH	No		
N/W Capital, Inc.	DEBT	Yes	Payee: Capital Access Corp. Amount: \$762.50	
National Abandoned Property Processing Corporation	UCP	No		
NBC Capital Markets	CASH	No		

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Nixon Peabody, LLP	DEBT	No		
OakTree Capital Management, LLC	PFM	No		
Ormes Capital Markets, Inc.	CASH	No		
P.G. Corbin & Company, Inc.	DEBT	No		
People's Bank	CASH			
Phoenix Investment Counsel, Inc.	PFM	No		
Pictet International Management, Ltd	PFM	No		
Pioneer Ventures Associates	PFM	Yes	See disclosure for schedule of payments.	
Prospect Street Ventures/CT Financial Developments, L.P.	PFM	No		
Prudential Securities, Inc.	DEBT	No		
Public Financial Management	DEBT	No		
Public Resources Advisory Group	DEBT	No		

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Public Financial Management	DEBT	No		
Pullman & Company, LLC	DEBT	No		
R.W. Presspritch	CASH	No		
Ramirez & Co.	DEBT	No		
Raymond James & Associates, Inc.	DEBT	No		
Redwood Securities	CASH	No		
Reich & Tang	DEBT	No		
Republic National Bank of New York	DEBT	No		
RFE Management Corp.	PFM	Yes	Payee: Law Offices of Jay F. Malcynsky Amount: Annual retainer of \$75,000 for '99 & '00	
Robinson & Cole, LLP	DEBT	No		
Roosevelt & Cross, Inc.	DEBT	No		
Salomon Smith Barney, Inc.	DEBT	No		

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SBK-Brooks Investment Corp.	CASH	No		
Scotia Capital Markets (USA, Inc.)	CASH	No		
SEI Investments, Inc.		No		
SG Cowen Asset Management, Inc.	PFM	No		
Shawmut Capital Partners	PFM	No		
Shipman & Goodwin, LLP	DEBT	No		
Sibert Brandford Shank Co., LLC	DEBT	No		
Sidley, Austin, Brown & Wood LLP	DEBT	No		
SMBC Capital Markets, Inc. (f.k.a. Sumitomo Bank Capital Markets)	DEBT	No		
Societe Generale	CASH/DEBT	No		
Sovereign Financial Services, Inc.	PFM	No		
Squire, Sanders & Dampsey L.L.P.	DEBT	No		

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State Street Bank and Trust, Co.	CASH, DEBT, PFM, UCP	No		
State Street Global Advisors	CASH, DEBT, PFM, UCP	No		
Susan B. Sweeney	PFM	No		
SW Pelham Fund, L.P.	PFM	No		
The Chapman Company	DEBT	No		
Time Square Capital Management		No		
Tishman	PFM	No		
Tradition (North America) Inc.	DEBT	No		
Travelers Investment Management, Company Times	PFM	No		
Trinity Plus Funding Company, LLC	DEBT	No		
Triumph Capital	PFM	No		
Tucker Anthony, Inc.	DEBT, UCP	No		

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UBS Paine Webber	DEBT	Yes	Payee: Mary Phil Guinan Amount: \$5,300/month (10/99 through 2/00)	
Union Bank of California	CASH	No		
Updike, Kelly & Spellacy, P.C.	DEBT	No		
Utendahl Capital Partners, L.P.	CASH	No		
ValueQuest/TA	PFM	No		
Veritas Capital Fund	PFM	No		
Vining Sparks	CASH	No		
Wachovia Bank NA	PFM	No		
Wachovia Securities f.k.a. First Union Securities f.k.a. First Union Capital Markets, Inc.	CASH	No		
Wachovia Securities, Inc.	CASH	No		
Walton Street Capital, L.L.C.	PFM	No		
Webster Bank	CASH	No		

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Wellington Management Company, LLP	PFM	No		
Welsh, Carson, Anderson & Stowe	PFM	No		
Western Asset Management Company	PFM	No		
Westport Advisors, Ltd.	PFM	Yes	Payee: New York Capital Partners Amount: \$218,750	
William Blair and Company, LLC	CASH	No		
Williams Capital Group, L.P.	CASH	No		
Zions Bank	CASH	No		