

Compliance Reporting

Pursuant to Connecticut law and Office of Treasurer policies, vendors and prospective vendors of the Office of the Treasurer are required to provide the following compliance documents.

Many documents have been updated as of August 29, 2022. Read each form carefully.

I. Prior to contracting with the Office of the Treasurer

As part of the RFP/contract procurement process of the Office of the Treasurer, prospective vendors must complete the following Legal and Policy attachments:

Attachment 1A CHRO Contract Compliance Report Parts I, II, III and V

Attachment 1B CHRO Contract Compliance Report Part V (EIR - Employer Information Report)

*Part V of the CHRO Contract Compliance Report is an excel file. **Submit in excel format and do not alter formulas***

Attachment 2 Diversity, Equity and Inclusion and Connecticut Nexus Questionnaire

Attachment 3 Third-Party Fees Affidavit

Attachment 4A Conflict of Interest Certification

Review the [State Election Enforcement Commission Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations](#) prior to completing this certification

Attachment 4B Conflict of Interest - CRPTF Consultant Addendum

(pension fund consultants only)

Respondents who provide consulting services to the CRPTF complete this supplemental addendum to Attachment 4A

Attachment 5 Legal Proceedings and Organization Certification

Attachment 6 Campaign Contribution Affidavit

Attachment 7A Evaluation and Implementation of Sustainable Principles

Attachment 7B Sustainable Principles – Real Estate Addendum

(real estate investment managers only) Respondents who manage real estate asset classes for the CRPTF complete this supplemental addendum to Attachment 7A

II. Annual Compliance Requirements

A. Annual vendor compliance certifications:

Global Risk Assessment Certification – Annual certification by investment services providers confirming compliance with investment contract global securities risk and restricted investment requirements for prior calendar year. See Restricted Investments Page [make “Restricted Investments Page” a hyperlink to: [Investment Restrictions by State Law](#)].

Annual Disclosures – Vendors are required to confirm annually for each fiscal year (July 1-June 30):

- a. Conflicts of interest [and gift certifications] (all vendors);
- b. Third-party fees disclosure and certification (investment services providers only); and

B. Other contractually required contract submissions

Insurance Certificates - Any vendor contractually required to maintain insurance must submit proof of insurance annually, which may consist of a copy of the insurance policy or an insurance certificate. Submit to CRPTFCompliance@ct.gov

All other contractually required reports - Submit as directed by the relevant contact person within the Office of the Treasurer

If you have any questions regarding compliance reporting, please call the Chief Compliance Officer for the Office of the Treasurer at [\(860\) 702-3030](tel:8607023030).