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| 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](https://seec.ct.gov/Portal/data/forms/ContrForms/SEECStateContractorNotice.pdf) *prior to completing this certification* |
|  | **Attachment 4B**  *(pension fund consultants only)* | **Conflict of Interest - CRPTF Consultant Addendum** *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**  *(real estate investment managers only)* | **Sustainable Principles – Real Estate Addendum**  *Respondents who manage real estate asset classes for the CRPTF complete this supplemental addendum to Attachment 7A* |

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| **II.** | **Annual vendor compliance certifications** | |
|  | **A.** | **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](https://portal.ct.gov/OTT/Doing-Business/Investment-Restrictions-List)].  **Annual Disclosures – Vendors are required to confirm annually for each fiscal year (July 1-June 30):** |
|  |  | 1. Conflicts of interest [and gift certifications] (all vendors); 2. Third-party fees disclosure and certification (investment services providers only); and |
|  | 1. **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](mailto: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).