***STATE OF CONNECTICUT OFFICE OF THE TREASURER***

# NOTICE OF LEGAL PROCEEDINGS

Rev *1/2020*

**Directions:** Please disclose any additional information requested in this Legal and Policy Attachment G on the Supplemental Information sheet attached hereto. In the event there is no additional information for item nos. 2a, 2b, 2c, 2d and 4 below, please indicate “N/A.”

# NAME OF COMPANY/FIRM (“Respondent”): Click here to enter text.

# NAME OF PARENT COMPANY (If Any): Click here to enter text.

I Click here to enter text. (Name and title) hereby represent that:

1. I have the requisite knowledge and authority, and have made any inquiry necessary, to fully, completely and accurately provide the information requested in this affidavit;
2. I have disclosed in the Supplemental Information attached to this affidavit:
   1. any and all material lawsuits, legal or administrative proceedings or governmental investigations, criminal actions or law enforcement activities (including those by federal, state or local authorities, or self-regulatory organizations) or non-routine Securities and Exchange Commission inquiries or investigations relating to Respondent or any of Respondent’s affiliates, including any proceedings to which Respondent, its affiliates, or any of their respective officers, directors or employees is a named party or of which any of such has been the focus, that have occurred in the last five (5) years or that are currently threatened, including whether Respondent or any of its affiliates, or their respective officers, directors or employees has been censured by any regulatory body;
   2. any claim for errors & omissions, fiduciary liability and/or fidelity bond insurance coverage submitted by Respondent, its principals or any of Respondent’s affiliates in the past five (5) years;
   3. any and all ongoing internal investigations of any of Respondent’s officers, directors or employees, giving specific attention to those persons who would be closely responsible for the products or services sought by the Office of the Treasurer.
   4. i) a description of Respondent’s company/firm, including who holds controlling interest (if any) in the company/firm; ii) a description of Respondent’s organizational structure, outlining the relationship to corporate parent and affiliates; and iii) any material changes within the past two years, or pending changes, in the Respondent’s organization and corporate structure.
3. Except as disclosed in the Supplemental Information attached hereto, I am not aware of any activities of the Respondent, its affiliates, or any officers, directors or employees of the Respondent or its affiliates that are likely to result in any of the above investigations or proceedings.
4. Respondent has adequate procedures in place to undertake internal investigations of its employees, officers and directors, **which procedures are described in the Supplemental Information attached hereto.**

The undersigned, on behalf of the Respondent identified above, hereby certifies that the information set forth in response to this Attachment G, including any and all Supplemental Information, is sworn to as true, complete and accurate to the best of my knowledge and belief, under penalty of false statement.

Click here to enter text. Click here to enter text.

Signature Date

Print name: Click here to enter text.

Title: Click here to enter text.

# Sworn and subscribed to before me on this day of , 20 .

# Commissioner of the Superior Court/ Commission Expiration Date Notary Public

**SUPPLEMENTAL INFORMATION**

**TO ATTACHMENT G**

**Respondent’s Name** Click here to enter text.

**2a.** Click here to enter text.

**2b.**Click here to enter text.

**2c.** Click here to enter text.

**2d. i), ii) and iii)** Click here to enter text.

**4.**Click here to enter text.