

STATE OF CONNECTICUT  
DEPARTMENT OF SOCIAL SERVICES

**CONTRACT AMENDMENT**

**Contractor:** Dental Benefit Management, Inc. d/b/a BeneCare Dental Plans  
**Contractor Address:** Suite 1001, One Independence Mall  
615 Chestnut St., Philadelphia, PA 19106  
**Contract Number:** 999DBM-DEN-01/ 08DSS6602UF  
**Amendment Number:** A10  
**Amount as Amended:** \$51,644,365.00  
**Contract Term as Amended:** 8/1/2008 to 6/30/2016

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The contract between *Dental Benefit Management, Inc. d/b/a BeneCare Dental Plans* ("Contractor") and the Connecticut Department of Social Services ("Agency" or "Department"), which was last executed by the parties and approved by the Office of the Attorney General on 4/7/15, is hereby amended as follows:

1. The funding of the contract is amended because the total maximum amount payable under this contract has **increased by \$1,300,000.00** from **\$50,344,365.00** to **\$51,644,365.00** to meet the current two (2) month funding deficiency, due to unexpected growth in the Connecticut Medical Assistance Program population.
2. **All terms and conditions of the original Contract, and any subsequent amendments thereto, which were not modified by this Amendment remain in full force and effect.**

**ACCEPTANCES AND APPROVALS**  
08DSS6602UF/ 999DBM-DEN-01 A10

The contractor IS a Business Associate under the health insurance and portability and accountability act of 1996 as amended.

**CONTRACTOR** Dental Benefit Management, Inc. d/b/a BeneCare Dental Plans

  
\_\_\_\_\_  
LEE SEROTA, *President*

5/26/16  
Date

**DEPARTMENT OF SOCIAL SERVICES**

  
\_\_\_\_\_  
RODERICK L. BREMBY, *Commissioner*

5/27/2016  
Date

**OFFICE OF THE ATTORNEY GENERAL**

  
\_\_\_\_\_  
**ASST.** ~~ASSOC.~~ ATTORNEY GENERAL (*Approved as to form*)  
Robert W. Clark

6/3/16  
Date



**STATE OF CONNECTICUT  
CERTIFICATION OF STATE AGENCY OFFICIAL OR EMPLOYEE  
AUTHORIZED TO EXECUTE CONTRACT**

*Certification to accompany a State contract, having a value of \$50,000 or more, pursuant to Connecticut General Statutes §§ 4-250 and 4-252(b), and Governor Dannel P. Malloy's Executive Order 49.*

**INSTRUCTIONS:**

Complete all sections of the form. Sign and date in the presence of a Commissioner of the Superior Court or Notary Public. Submit to the awarding State agency at the time of contract execution.

**CERTIFICATION:**

I, the undersigned State agency official or State employee, certify that (1) I am authorized to execute the attached contract on behalf of the State agency named below, and (2) the selection of the contractor named below was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Dental Benefit Management, Inc. d/b/a BeneCare Dental Plans  
Contractor Name

Department of Social Services  
Awarding State Agency

State Agency Official or Employee Signature

5.27.2016

Date

Roderick L. Bremby  
Printed Name

Commissioner  
Title

Sworn and subscribed before me on this 27 day of May, 2016

Commissioner of the Superior Court  
or Notary Public

Juris No : 307252  
My Commission Expires



**STATE OF CONNECTICUT**  
**NONDISCRIMINATION CERTIFICATION – Affidavit**  
**By Entity**  
**For Contracts Valued at \$50,000 or More**

*Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended*

**INSTRUCTIONS:**

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

**AFFIDAVIT:**

I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of

an oath. I am President of Dental Benefit Management, Inc, an entity  
Signatory's Title Name of Entity

duly formed and existing under the laws of Pennsylvania.  
Name of State or Commonwealth

I certify that I am authorized to execute and deliver this affidavit on behalf of

Dental Benefit Management, Inc. and that Dental Benefit Management, Inc.  
Name of Entity Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut

General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Authorized Signatory

Lee Serata

Printed Name

Commonwealth of Pennsylvania  
County of Philadelphia

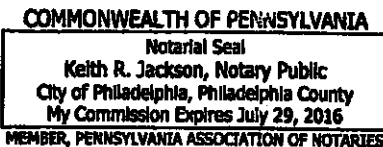
Sworn and subscribed to before me on this 26<sup>th</sup> day of May, 2016.

Keith R. Jackson

Commissioner of the Superior Court/  
Notary Public

July 29, 2016

Commission Expiration Date





**STATE OF CONNECTICUT  
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION**

*Written or electronic certification to accompany a State contract with a value of \$50,000 or more, pursuant to C.G.S. §§ 4-250, 4-252(c) and 9-612(f)(2) and Governor Dannel P. Malloy's Executive Order 49.*

**INSTRUCTIONS:**

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

- CHECK ONE:**  Initial Certification  12 Month Anniversary Update (Multi-year contracts only.)
- Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

**GIFT CERTIFICATION:**

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding Gifts by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a Gift to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

**CAMPAIGN CONTRIBUTION CERTIFICATION:**

I further certify that, on or after January 1, 2011, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(f)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(f)(2)(A). I further certify that all **lawful campaign contributions** that have been made on or after January 1, 2011 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(f)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

**Lawful Campaign Contributions to Candidates for Statewide Public Office:**

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>
<i>None</i>				

**Lawful Campaign Contributions to Candidates for the General Assembly:**

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>
<i>None</i>				

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Dental Budget Management, Inc.  
Printed Contractor Name

Lee Serota, President  
Printed Name of Authorized Official

[Signature]  
Signature of Authorized Official

Commonwealth of Pennsylvania  
County of Philadelphia

Subscribed and acknowledged before me this 26<sup>th</sup> day of May, 2016

COMMONWEALTH OF PENNSYLVANIA  
Notarial Seal  
Keith R. Jackson, Notary Public  
City of Philadelphia, Philadelphia County  
My Commission Expires July 29, 2016  
MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

Keith R. Jackson  
Commissioner of the Superior Court (or Notary Public)

July 29, 2016  
My Commission Expires



STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year. pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: \_\_\_\_]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except for the agreement listed below:

Form with fields for Consultant's Name and Title, Name of Firm (if applicable), Start Date, End Date, Cost, and Description of Services Provided.

Is the consultant a former State employee or former public official? [ ] YES [ ] NO

If YES: Name of Former State Agency, Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Dental Budget Management, Inc. Signature of Principal or Key Personnel, Date 5/26/16

Commonwealth of Pennsylvania, County of Philadelphia

Lee Scrota, President, DSS, Awarding State Agency

Sworn and subscribed before me on this 26th day of May, 2016.

COMMONWEALTH OF PENNSYLVANIA Notarial Seal Keith R. Jackson, Notary Public City of Philadelphia, Philadelphia County My Commission Expires July 29, 2016 MEMBER, PENNSYLVANIA ASSOCIATION OF NOTARIES

Keith R. Jackson Commissioner of the Superior Court or Notary Public My Commission Expires July 29, 2016