



REQUEST FOR PROPOSALS

FOR UNDERWRITING

AND

INVESTMENT BANKING SERVICES

March 16, 2020

State of Connecticut

Office of the Treasurer

Deadline: April 30, 2020, 5:00 p.m.

IMPORTANT NOTE: Our offices have moved. We are now located at:

165 Capitol Avenue
Hartford, CT 06106

**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

**REQUEST FOR PROPOSALS
Underwriting and Investment Banking Services**

This Request for Proposals (“RFP”) includes the following:		<u>Page</u>
Section I	Introduction and Purpose of the RFP	1
Section II	Scope of Services	1
Section III	Submission Deadline	2
Section IV	Evaluation Criteria	2
Section V	Requested Information	3
	Part A – Required Information	
	Part B – Required Legal and Policy Attachments	
	Part C – Senior Manager Information	
	Part D – General Obligation (“GO”)	
	Part E – Special Tax Obligation (“STO”) - Transportation Infrastructure	
	Part F – State Revolving Fund Programs (“SRF”)	
	Part G – University of Connecticut (“UConn”)	
Section VI	Instructions for Submission	11
Section VII	RFP Conditions	15

Attachments

Directions for Completion of Legal and Policy Attachments

Attachment A	CHRO – Contract Compliance Regulations Notification to Respondents and Bidder Contract Compliance Monitoring Report
Attachment B	Non-Discrimination Certificate
Attachment C	Employment Practices Information
Attachment D	Affidavit of Third-Party Fees and Disclosure of Consulting Agreements
Attachment E	Gift Certification
Attachment F	Corporate Citizenship
Attachment G	Notice of Legal Proceedings
Attachment H	Campaign Contribution Certification
Attachment I	Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban (SEEC Form 10)
Attachment J	Anti-Terrorism – Global Security Risk Assessment, Foreign Asset Control Regulations, Foreign Corrupt Practices Act
Attachment K	Conflicts of Interest
Attachment L	Iran Certification
Attachment M	Evaluation and Implementation of Sustainable Principles

SECTION I - Introduction and Purpose of the RFP

The Office of the Treasurer of the State of Connecticut (the “Treasurer’s Office” or “Treasurer” or the “State”) hereby requests proposals from qualified firms (each, a “Respondent”) interested in providing underwriting and investment banking services to the State in connection with its major tax-exempt and taxable bond issuance programs, including:

- General Obligation Bonds (“GO”);
- Special Tax Obligation Bonds (“STO”) - Transportation Infrastructure;
- State Revolving Fund (“SRF”) including Clean Water and Drinking Water Funds; and
- University of Connecticut (“UConn”) Bonding Program

The State intends to use this RFP process to select a pool of qualified underwriting and investment banking firms that may be appointed to serve as senior managers, co-senior managers, co-managers, and selling group members for negotiated debt offerings managed by the Treasurer’s Office. The Treasurer intends to employ a mix of both negotiated and competitive sale formats in the offering of the State’s debt.

The State expects to select Respondents to provide underwriting and investment banking services for its financing programs. This RFP process will supersede all previous underwriting and investment banking appointments.

SECTION II – Scope of Services

Senior managers will be expected to provide investment banking, syndicate leadership, and underwriting with respect to the issuance of bonds by the State.

The scope of services to be provided by senior managers will include, but not be limited to, the following:

1. Advise the Treasurer’s Office to develop an overall approach to the State’s financings including work with the Office of Policy and Management, other State agencies, bond attorneys, financial advisors, rating agencies, trustees, and other professionals involved in the State’s financings.
2. Advise the Treasurer’s Office and develop the structure of general obligation and revenue debt issuances including tax-exempt and taxable financings, credit-enhanced financings, and other forms of debt offerings.
3. As requested, assist the Treasurer’s Office in developing and presenting information to bondholders, investors, rating agencies, and/or public officials. As requested, advise the Treasurer’s Office on marketing strategies for retail and institutional distribution.

4. Manage the underwriting syndicates appointed by the Treasurer in accordance with policies and practices established by the Treasurer. Utilize the firm's capital to underwrite bonds as necessary.
5. Provide primary and secondary market support of the State's bonds.
6. Demonstrate knowledge of the State's debt and provide timely recommendations on the management of the State's debt including, but not limited to, refunding opportunities, bond fund investments, and innovative financing strategies.
7. Advise the Treasurer's Office on compliance with regulatory requirements.

Assigned **co-senior managers** will be expected to assist senior managers in all of the above activities.

Co-managers will be expected to assist in the pricing and distribution of State financings and in providing secondary market support to the State's financings.

Selling group members will be expected to assist in the distribution of the State's financings.

SECTION III – Submission Deadline

Proposals must be prepared in accordance with the instructions in this RFP and received by 5:00 p.m. on April 30, 2020, emailed to ct-debt-rfp@ct.gov with one original and four (4) hard copies of the response mailed to: State of Connecticut; Treasurer's Office; 165 Capitol Avenue, Suite 2003; Hartford, CT 06106; Attention: Sarah K. Sanders, Assistant Treasurer for Debt Management. NOTE: This is a new address.

The cover letter and responses to Section V must be sent in one file. The required Legal and Policy Attachments must be sent as a second separate file.

SECTION IV – Evaluation Criteria

Firms will be evaluated against the following criteria based on their written responses to this RFP; additional written information, if any, requested by the Treasurer's Office; and oral interviews, if any:

1. Experience of the firm in serving as managing underwriter to large state issuers, including the firm's understanding and level of competence in structuring and marketing municipal debt offerings, and in developing innovative or alternative financing structures.
2. Overall knowledge and understanding of the State, its laws relating to debt management and financing, and its credit, capital structure, and bond financing programs and contributions to the State's debt management program since January 2015.
3. Depth of experience and performance on State financings and with the specific financing programs indicated herein.

4. Qualifications of personnel including the experience and availability of the day-to-day banker and the breadth, depth, and availability of other professionals to provide services to the State. The firm's demonstrated commitment and responsiveness to serving client needs.
5. Team organization and approach, including the ability of the firm to adequately staff and complete time-sensitive transactions and to interact effectively with the State, bond/disclosure/tax counsels, financial advisors, trustees, and other professionals involved in the State's financings.
6. Financial strength, overall stability of the firm, and its capability and willingness to underwrite bonds for the State's programs.
7. Commitment to public finance and the specific program areas that the firm has included in its response to this RFP.
8. Ability to add value in the distribution of the State's bonds to institutional and retail investors.
9. Connecticut presence as evidenced by the number of offices the firm maintains in the State and the number of residents employed in those offices.
10. Equal employment opportunity record as evidenced by the composition of personnel and the firm's affirmative action and equal employment opportunity policies and practices.
11. Corporate Citizenship policies, including the charitable contribution of money and time; local procurement of goods and services; development of participation in internship programs or scholarships; policies with regard to the use of women-owned, minority-owned, and small business enterprises.
12. The firm's disclosure related to environmental, social and governance factors and, specifically, whether the firm conducts enhanced screening of current or prospective relationships with manufacturers or retailers of civilian firearms.
13. Overall compliance with State and federal laws and policies as exhibited in the responses to Part B - Required Legal and Policy Attachments.

SECTION V – Requested Information

Requested Information consists of seven parts:

Part A – Required Information

Part B – Required Legal and Policy Attachments

Part C - Senior Manager Information

Part D - General Obligation

Part E - Special Tax Obligation (Transportation Infrastructure)

Part F - State Revolving Fund Programs

Part G – University of Connecticut

ALL Respondents must provide the information requested under Part A and Part B as instructed below.

Respondents interested in selection to the pool of eligible **senior managers** must also provide the information requested under Part C – Senior Manager Information and one or more of Part D through Part G, depending on the firm's interests and qualifications in these program areas. Firms applying for senior manager on more than one program in Parts D through G must indicate the program for which they are best qualified.

The Treasurer may select Respondents to a pool of qualified **co-senior managers**. Any such selection will be made from the pool of Respondents that submit responses to the senior manager questions.

Respondents that would like to be considered as a qualified **co-manager** to the State's financing programs must respond to all of Part A and all of Part B.

Respondents that would like to be considered only as **selling group members** must respond by completing only Part A Questions No. 1, 2, 3, 4, 9, 10, 11, 12, and 13; and all of Part B.

Responses that do not include the required Legal and Policy attachments will not be considered. Please see Section VI for additional information on the submission of proposals. Official statements and other information about the State are available through <http://buyctbonds.com/>.

Part A: Required Information

All firms seeking senior manager, co-senior manager, and co-manager roles must respond to all of Part A. Responses to Part A must not exceed fifteen (15) pages. Firms requesting consideration only as **selling group members** are not required to respond to Questions No. 5, 6, 7, and 8 below.

1. Provide the name, title, address, telephone number and e-mail address of the person the State should contact in connection with your proposal. Please state whether your firm wishes to be considered for the position of senior manager, co-manager, or selling group member and for which program or programs the firm is responding. If responding for the position of senior manager on more than one program, state the program for which your firm is best qualified.
2. Provide information on the number, location, and type of offices or other facilities that your firm maintains in the State. Please provide the number of persons your firm employs in each office in the State, including a breakout of those that are registered representatives/investment brokers. Include information on the number of brokerage accounts for State residents in each office and the dollar amount of State bonds held by the accounts. What is the average daily amount of State bonds held in your firm's inventory?

3. Provide a brief description of your firm including its history, headquarters location and ownership structure. Discuss and provide your firm's capital structure including total capital, equity capital, and uncommitted excess net capital as of the close of your firm's most recent quarter. State the maximum amount your firm is capable of underwriting in a single municipal transaction. Provide examples of transactions within the past five calendar years in which your firm supported a transaction in a difficult market. Describe the manner in which your firm made a significant use of its capital to support an issuer's debt. Please also provide your firm's most recent annual report and audited financial statements as appendices. (The annual report and audited financial statements are not included in the page count.)
4. Provide a brief summary of qualifications for each of the individuals in your firm who would be assigned to the State's financings. Include only the key personnel who will be assigned and available to the State. If you are selected to give an oral presentation, only those individuals listed below may participate. Indicate, as applicable, if the individuals listed below are authorized to bind the Respondent. Please be specific for the following duties:
 - a. Investment Banking
 - i. Primary Contact
 - ii. Day-to-Day Responsibilities
 - iii. Quantitative Analysis
 - b. Underwriting
 - i. Long-term – tax-exempt/taxable
 - ii. Short-term – notes/variable rate products (FRN, VRDB, etc.)
 - c. Sales and Marketing
 - i. Institutional – tax-exempt/taxable
 - ii. Retail – individual and managed money
 - iii. Municipal credit research
 - d. Other Relevant Responsibilities
 - i. Traditional Banking Products, if applicable - Liquidity, Letter-of-Credit, Direct Purchase Bonds
 - ii. Derivatives – swaps, etc.
 - iii. Compliance Administration – Please designate the contact at the firm who has the authority to represent the firm for compliance matters with the State.

5. Complete the table below by summarizing your firm's experience as a senior manager, co-senior manager, and co-manager of 1.) negotiated and 2.) competitive - tax-exempt general obligation and revenue bond issues in the previous five full calendar years (2015 to 2019) including the number and total par amount.

(In \$ Millions)												
	2015		2016		2017		2018		2019		Totals	
	#	\$	#	\$	#	\$	#	\$	#	\$	#	\$
GO Bonds												
Senior												
Co-Senior												
Co-Manager												
Totals												
Revenue												
Senior												
Co-Senior												
Co-Manager												
Totals												

6. Complete the table below by listing: (a) the ten (10) largest issues and (b) all additional Connecticut issues for which your firm served as senior manager, co-senior manager, or co-manager for the previous five full calendar years (2015 to 2019). For purposes of this question, "largest" is defined as the *total allotments made to your firm*. Designations received by your firm should be included under priority allotments. Allotments should be expressed in dollar amount of bonds, not takedown revenues. Retail orders and allotments should be specified only if the issue had a retail order period or similar policy/procedure that recognized retail demand. Otherwise, mark the retail columns as N/A and include this information as member orders and allotments. Your response should only include negotiated tax-exempt general obligation and revenue bond issues.

			Orders (\$000)				Allotments (\$000)			
			Retail	Priority	Member /Stock	Total	Retail	Priority	Member /Stock	Total
A. Name of Issuer	Your Firm's	Your Firm's								
B. Contact person	Role:	Underwriting								
C. Par Amount (\$000)	SR	Liability (%)								
D. Pricing Date	CS	or \$000)								
E. Senior Mgr.	CM									

7. From the experience listed in Question No. 6 above, provide the one, single best example of the manner in which your firm added value to the financing program of a large public issuer. Provide a detailed description of this issuer, its financing needs, and the firm's work with this client.
8. Identify three state-level municipal clients that we may contact as references and provide the following information for each: name, title, organization, address, phone number, and e-mail. Please provide a brief overview of the issuer and the work completed for this client, including

your firm's role, the length of the relationship with this client, and the number and type of financings completed. Describe a unique solution that your firm recommended and implemented for each client reference.

9. Detail the staffing levels of your public finance and municipal bond departments by title including managing directors, directors, vice presidents, assistant vice presidents, associates, analysts, and any other titles of people that would be involved in providing professional services to the state as of the date of your proposal and for each of the previous two calendar year-ends. Explain the rationale for any significant changes in staffing and/or organization of your firm's public finance and municipal bond departments. Discuss your firm's long-term commitment to these areas.
10. Describe your firm's institutional and retail marketing capabilities: (i) include a description of your institutional sales force including the number and location of offices, number of sales professionals, and the focus of primary and secondary institutional account coverage, and (ii) include a description of your retail sales capabilities including the number of offices and registered representatives nationally and in the State.
11. Provide evidence of your secondary market support of Connecticut bonds and notes, including your firm's average daily inventory of Connecticut tax-exempt securities during the past two years.
12. Discuss any strategic alliances and any financial arrangements your firm has with other financial companies for the selling and distribution of bonds ("distribution agreements"). The State is reviewing and requires approval of such agreements on all State bond sales. If you have such an agreement and would like to seek State approval to use on State bond sales, please provide detailed information about 1.) the nature of the relationship; and 2.) the nature of any corporate affiliation between your firm and the other financial companies. Each such request will be reviewed on a case-by-case basis including a review by our Legal Department.
13. Discuss how your firm's participation in State transactions fits into your firm's long-term business goals. Please be specific regarding municipal capital markets activities.

Part B: Required Legal and Policy Attachments

Complete the Required Legal and Policy Attachments in accordance with the instructions included in this Request for Proposals.

Part C: Senior Manager Information

Firms interested in serving as senior manager to the State's bond financing programs must provide the information requested under Part C. Responses to Part C must not exceed twelve (12) pages.

1. Describe specific aspects of your firm's experience as the book-running senior manager for up to five of the issues your firm listed in your response to SECTION V, Part A, Question No. 6 of this RFP. Highlight any innovative financing techniques that your firm recommended, implemented and executed for these clients.

2. List the fixed rate products that your firm uses for municipal clients. Highlight innovative structures, call provisions, and pricing methodologies that your firm recommended, implemented and executed for clients since January 2015 and the benefits to the issuer.
3. List the variable rate products that your firm uses for municipal clients (i.e., VRDBs, SIFMA, LIBOR or SOFR index bonds, and direct purchase bonds). Highlight innovative variable rate products that your firm recommended, implemented and executed for clients since January 2015 and the benefits to the issuer.
4. Discuss the depth of your firm's quantitative capabilities, including the software programs and methodologies utilized for providing bond structuring analytics for new money and refunding transactions. Please describe the experience of the individual(s) responsible for this work at your firm.
5. The Treasurer is committed to maximizing the distribution of the State's bond offerings to Connecticut retail investors utilizing print advertisements, internet marketing, and the state's www.BuyCTBonds.com website. What resources would you employ to develop and implement a marketing strategy for a retail-focused sale? What new recommendations would you make regarding our retail marketing effort? What are the current trends in marketing bonds to retail investors?
6. Which institutional investors have been the most active for the State's bond financing programs since January 2015 (by type and name)? Provide a summary of the largest holders of bonds and notes for the State's bond financing programs in the primary market and the largest traders in the secondary market (since January 2015). Discuss recent activity of institutional investors relating to municipal bonds, in general, and specifically State of Connecticut bonds in the primary or the secondary market. Is any of this activity a signal, positive or negative, to which the State should pay attention? If so, why? What should the State do to either encourage or mitigate these investor actions?
7. Describe any changes or recent trends in the industry regarding management of bond syndicates that your firm believes are important to the State. Discuss how the State can continue to create strong demand and broad distribution for its bonds by maximizing the participation of its syndicate members, including: (a) how to continue the success of "retail" order periods given the majority of retail demand is from managed money and not the traditional individual ("mom and pop") investors, and (b) designation policies for the institutional order period that will create incentive for the senior, co-senior, and co-managers.
8. Discuss your firm's general policies on the setting of takedown levels for 20-year, fixed-rate, negotiated tax-exempt bond sales for the State's credits. Please discuss the range of appropriate takedown levels by maturity and provide details of the decision factors that the State should be considering as it sets takedowns for its bond financings in the future. Discuss current trends in takedown levels for state issuers and the market's acceptance.
9. Discuss your firm's policies on the use of women-owned, minority-owned, veteran-owned and Connecticut-based underwriters and how your firm, as senior manager, would work to increase

their participation in State bond sales. What would be your recommendation for a designation policy for these types of firms, and how would the institutional market respond to your recommendation?

10. Identify any major emerging issues, risks, or opportunities in the public finance and municipal bond industry. What should the State be considering to mitigate those risks or maximize those opportunities?

Part D: General Obligation

Firms interested in serving as a senior manager to the State for general obligation bond financings must provide the information requested under Part D. Responses to Part D must not exceed seven (7) pages.

1. Describe no more than three recent financings on which your firm served as senior manager on large, state-level general obligation tax-exempt or taxable bond financings that are most relevant to the State. For each financing include: name of the issuer, date and par amount of the bond sale, method of sale, issue structure, individual to contact at the issuer and contact information (phone and email), and a summary of the sale including the value added by your firm.
2. Discuss no more than three ideas that the State might incorporate into its debt management efforts for financing its capital program funded by the general obligation bonds. Provide a concise description of each idea and summarize its principal benefits to the State. If applicable, discuss the principal risks, any federal or State law, tax law, or other issues associated with implementation and the economic benefit to the State based on market conditions as of the date of this RFP.
3. Describe your firm's experience with working capital financings, cash flow borrowings, and other short-term funding programs on behalf of state-level issuers.
4. Discuss the major issues that are key to the State's general obligation bond credit ratings and what steps the State can take to improve its credit ratings and highlight its credit strengths.
5. Please provide the name of the investment banker who would be the lead for your firm on this bonding program.

Part E: Special Tax Obligation (Transportation Infrastructure)

Firms interested in serving as a senior manager to the State for STO bond financings must provide the information requested under Part E. Responses to Part E must not exceed seven (7) pages.

1. Summarize your firm's industry expertise with transportation infrastructure finance, including bonds backed by dedicated special tax and/or revenue streams. Please include a comparison of the STO program with other similar state-level transportation funding programs including a discussion on the credit strengths and current rating levels of the State's STO program. Include a discussion of the benefits of the STO credit structure continuing to be the funding source for all State-wide transportation projects.

2. Describe no more than three recent transportation-related special tax or revenue bond financings on which your firm served as senior manager that are most relevant to the State's STO program. For each financing include: name of the issuer or program, date and par amount of the bond sale, a summary of the financing including the purposes and credit structure, individual to contact at the issuer and contact information (phone and e-mail). Please be specific about the financing structure and/or services provided and the value added by your firm to the financing.
3. The use of tolls on the State's highways, in one form or another, has been an ongoing point of discussion during the last several years – gateway tolling, congestion mitigation tolling, high-occupancy-tolling, and truck-only tolling have been among the debates. Please discuss the merits of re-implementing tolls. Estimate the potential revenue stream, bonding capacity, and credit factors for the State to consider.
4. The State has been a significant recipient of federal grant funding from the FHWA and FTA and continues to investigate the availability of federal funding in many forms. Please provide an update on the various federal funding programs and legislative proposals for highway, rail, and public transit. Please include a detailed discussion of the financing programs through the USDOT Build America Bureau (i.e., TIFIA and RRIF) and comment on the availability and capacity of such vehicles. Provide examples of where your firm has assisted clients in accessing these funds on favorable terms, if applicable.
5. Discuss no more than three ideas the State might incorporate into its management efforts for the STO bond program. Topics might include credit structure/credit rating agency strategies, public-private partnerships or asset monetization strategies (privatization, leases, real estate, or parking securitization, etc.). Provide a brief description of each idea and summarize its principal benefits to the State. If applicable, discuss the principal risks, any State law, tax law, or other issues associated with implementation and the economic benefit to the State based on market conditions as of the date of this RFP.
6. Identify major emerging issues, opportunities, and risks in the world of municipal bonds and transportation finance. What should the State be considering to maximize those opportunities or to mitigate those risks?
7. Please provide the name of the investment banker who would be the lead for your firm on this bonding program.

Part F: State Revolving Fund Programs

Firms interested in serving as a senior manager for State's SRF programs including the Clean Water and Drinking Water Funds must provide the information requested under Part F. Responses to Part F must not exceed seven (7) pages.

1. Describe no more than three recent financings on which your firm served as senior manager on a state revolving fund bond financing most relevant to Part F. For each financing, include the name of the issuer, a brief description of the state revolving fund program, date and par amount of the bond sale, method of sale, issue structure, individual to contact at the issuer and contact information (phone and email), and the value added by your firm to the financing. The description should also include the length of your firm's involvement with the named program.

2. The State has created a general revenue financing structure for the SRF programs. Based on your understanding of the general revenue bond structure, what are your recommendations to improve the programs going forward? Discuss no more than three ideas you recommend the State consider incorporating into its debt management efforts for financing its Clean Water Fund and Drinking Water Fund programs. Provide a concise description of each idea and summarize its principal benefits to the State. If applicable, discuss the principal risks, any State law, tax law, or other issues associated with implementation and the economic benefit to the State based on market conditions as of the date of this RFP.
3. Describe how the State could incorporate the Federal WIFIA program into its existing SRF programs to increase funding capacity.
4. Describe instances where you have worked with the expanded use of the SRF programs to fund additional projects or to provide additional funding capacity. Please indicate the amount of leveraged bonds issued by the SRF programs discussed in your response.
5. Describe your ongoing monitoring of SRF programs nationally and Connecticut's program specifically. Identify major emerging issues, risks, or opportunities for SRF financing programs. What should the State be considering to address these issues or risks and how to maximize those opportunities discussed in your response?
6. Please provide the name of the investment banker who would be the lead for your firm on this bonding program.

Part G: University of Connecticut

Firms interested in serving as a senior manager for UConn financings must provide the information requested under Part G. Responses to Part G must not exceed seven (7) pages.

1. Describe no more than three recent relevant financings in which your firm served as senior manager on a university bond financing. Emphasis should be placed on your firm's experience with universities of the size and caliber of the University of Connecticut. For each financing, include the name of the issuer, date and par amount of the issue, issue structure, individual to contact at the issuer and contact information (phone and email), and the value added by your firm to the financing. The description should also include the length of your firm's involvement with the named program. At least one financing should be a student fee revenue financing.
2. Based on your understanding of the UConn 2000 initiative and the UConn 21st Century expansion, provide an assessment of the program compared to the financing programs of similarly sized state universities to date. Include your recommendations to improve the financing program going forward.
3. Evaluate the current level and capacity of student fee financing and debt secured by UConn's General Obligation (without the State debt service commitment) or other security within the UConn program.

4. Describe your ongoing monitoring of higher education debt programs nationally and the State's programs specifically. Identify major emerging issues, risks, or opportunities in higher education financing. What should the State be considering to mitigate those risks or maximize those opportunities?
5. Please provide the name of the investment banker who would be the lead for your firm on this bonding program.

SECTION VI – Instructions for Submission

1. **Official Agency Contact.** All communications with the Treasurer's Office must be directed to the Official Agency Contact. The Official Agency Contact for the purposes of this RFP is:

Sarah K. Sanders
Assistant Treasurer for Debt Management
165 Capital Avenue, Suite 2003
Hartford, CT 06106

All e-mail communications for this RFP must be directed to ct-debt-rfp@ct.gov.

2. **Respondent's Representatives.** Respondents must designate an authorized representative and one alternate. Provide the name, title, address, telephone and e-mail address for each representative.
3. **Communications Notice.** All communications with the Treasurer's Office or any person representing the Treasurer's Office concerning this RFP are strictly prohibited, except as permitted by this RFP. Any violation of this prohibition by Respondents or their representatives may result in disqualification or other sanctions, or both.
4. **RFP Timeline (Schedule of Events).** The following timeline, up to and including the Deadline for Submitting Proposals, shall be changed only by an amendment to this RFP. Dates after the Deadline for Submitting Proposals are target dates only.

RFP Released:	March 16, 2020
Deadline for Submitting Proposals:	April 30, 2020
Interviews with Respondents:	June/July 2020
Selection:	August 2020

5. **Inquiry Procedures.** Respondents may submit questions about the RFP to the Official Agency Contact on or before April 1, 2020. Questions must be submitted by e-mail to ct-debt-rfp@ct.gov. Questions will not be accepted over the telephone. Anonymous questions will not be answered. The Treasurer's Office reserves the right to provide a combined answer to similar questions. The Treasurer's Office will post official answers to the questions by April 8, 2020, on the Treasurer's Office website at <https://portal.ct.gov/OTT/Doing-Business/Requests-for-Information-Proposals-Bids>.
6. **Confidential Information.** Respondents are advised that the Treasurer's Office is a constitutional office of the State, and its records, including responses to this RFP, are public

record. Information in a response that is deemed, by the proposing respondent, to be confidential and proprietary should be clearly identified. Respondents should also provide justification as to why such information should not be disclosed by the Treasurer's Office pursuant to the State's Freedom of Information Act.

All responses to this RFP shall become the property of the Treasurer and will be kept confidential until such time as selections for the various financing programs have been announced. Thereafter, submissions are subject to public inspection and disclosure under the State of Connecticut Freedom of Information Act, Connecticut General Statutes Sections 1-200 et seq., as may be amended from time to time ("FOIA"). If a Respondent in good faith believes that any portion of its submission is exempt from public disclosure, then, in order to maintain confidentiality, (i) the Respondent should include an explanation containing the precise statutory basis for such exemption from disclosure under FOIA, and (ii) such portion should be clearly marked "Confidential." The Treasurer will use reasonable means to ensure that such confidential information is safeguarded but will not be held liable for any inadvertent or unintentional disclosure of such information, materials, or data. Submissions marked as "Confidential" in their entirety will not be honored as such, and the Treasurer will not deny public disclosure of all or any part of such submissions so marked. Only information marked "Confidential" that is accompanied with a precise statutory basis for such exemption under FOIA shall be safeguarded as described above.

By submitting information with portions marked as "Confidential," the Respondent (i) represents that it has a good faith reasonable belief that such information is exempt from disclosure under FOIA pursuant to the precise statutory basis for such exemption, and (ii) agrees to reimburse the Treasurer for, and to indemnify, defend and hold harmless the Treasurer, its officers, fiduciaries, employees, and agents from and against, any and all claims, damages, losses, liabilities, suits, judgments, fines, penalties, costs, and expenses including, without limitation, attorneys' fees, expenses, and court costs of any nature whatsoever arising from or relating to the Treasurer's non-disclosure of any such designated portions of a proposal if disclosure is deemed required by law or court order.

- 7. Minimum Submission Requirements.** At a minimum, proposals must: (1) be submitted before the deadline, (2) follow the required format, (3) be complete, and (4) include the required attachments. Proposals that fail to meet these minimum submission requirements may be disqualified and not reviewed further at the sole discretion of the Treasurer.
- 8. Affirmations Concerning Contract and Conditions.** Include a written statement that the Respondent has read and accepts the RFP's conditions and the State's compliance requirements in their entirety. The statement must be signed by an individual authorized to bind the Respondent.
- 9. Legal and Policy Attachments.** Complete all required Legal and Policy Attachments in accordance with the directions provided. Failure to complete the Legal and Policy Attachments may result in the proposal not being reviewed at the sole discretion of the Treasurer.
- 10. Compliance Requirements.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is

committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability, in admission to, access to, or operation of its programs, services, or activities.

The Treasurer is required to consider the following factors in considering the Respondent's qualifications: (1) success in implementing an affirmative action plan, (2) promise to develop and implement a successful affirmative action plan, (3) submission of EEO-1 data indicating that the composition of the Respondent's workforce is at or near parity in the relevant labor market area, or (4) promise to set aside a portion of the contract for legitimate minority business enterprises.

11. Consultants. Any respondent that has entered into any consulting agreements whereby the duties of the consultant include communications concerning business of the Treasurer, whether or not in direct contact with the Treasurer, any other agency or public official or State employee was expected or made, must disclose such consulting agreements in the **Affidavit of Third Party Fees and Disclosure of Consulting Agreements, Attachment D** of the Legal and Policy Attachments. The selected vendor will be required to provide an updated disclosure at the time the contract is executed. See the **Directions** accompanying the **Legal and Policy Attachments** for instructions.

12. Meetings and Interviews with Respondents. At its discretion, the Treasurer's Office may convene meetings with Respondents in order to gain a fuller understanding of their respective proposals. The meetings may involve presentations or site visits. If the Treasurer decides interviews are warranted, the Official Agency Contact will telephone or email Respondents to make an appointment. Any such meetings are tentatively scheduled for **June and/or July 2020**.

13. Modification or Withdrawal of Proposals. Responses to this RFP may be modified or withdrawn in writing via email, with return receipt verification, by the Respondent if such modification or withdrawal is received prior to the deadline for proposal submission noted herein. Modifications or withdrawals of a proposal received after the submission deadline will not be considered.

14. Errors. If the Respondent discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, please notify the Official Agency Contact immediately of such error by email at ct-debt-rfp@ct.gov and request a clarification of the document.

If it becomes necessary to amend any part of this RFP or if a more exact interpretation of this RFP's provisions is required prior to the submission deadline, a supplement will be posted by the Treasurer's Office on its website. If such a supplement is necessary, the Treasurer reserves the right to extend the deadline to accommodate such revisions.

If the Respondent fails to notify the Official Agency Contact of a known error or an error that reasonably should have been known prior to the Respondent's filing of an offer for submission, the Respondent shall perform in accordance with the RFP and its Proposal as submitted. If selected, the Respondent shall not be entitled to additional compensation or time by reason of such error or its late correction.

15. Required Format for Responses. All proposals must follow the required format below and address all requirements listed in the prescribed order, using the prescribed numbering system. Failure to follow the required format may result in the disqualification of a proposal.

A. Cover Letter

The proposal should contain a cover letter with the following information:

1. Contact Information:
 - a. Name of Respondent
 - b. Business Location
 - c. Mailing Address
 - d. Telephone Number
 - e. E-mail Address
2. Detail the management role(s) and specific financing programs(s) for which the Respondent is submitting the proposal;
3. Acknowledge receipt and completion of Legal and Policy Attachments;
4. Acknowledge any consulting relationship or agreement that is further disclosed in the Legal and Policy Attachments.
5. Acknowledge any business relationship with another firm which would be used in any role in providing services to the State;
6. A statement that the Respondent meets the minimum qualifications set out in Section IV. If a Respondent does not meet one or more of the minimum qualifications, they must identify which qualification(s) they do not meet and make a detailed case as to why the Treasurer should consider their firm.
7. A Statement that the Respondent has thoroughly reviewed the RFP and acknowledges and accepts all terms and conditions included in the RFP.

The cover letter must be signed by a person authorized to bind the firm to all commitments made in its proposal.

B. Respondent Information

Requested information consists of seven parts as outlined in SECTION V - Requested Information.

C. Compliance

Legal and Policy Attachments - Complete the Legal and Policy Attachments in accordance with the directions.

SECTION VII – RFP Conditions

1. All proposals submitted in response to this RFP will become the sole property of the Treasurer's Office.
2. The Treasurer shall be required, as a part of the procurement process, to certify that the Respondent selected was not chosen as a result of collusion, the giving of a gift or the promise of a gift, compensation, fraud, or inappropriate influence from any person.
3. The successful Respondent will be required to complete Attachment E of the Legal and Policy Attachments regarding the giving of gifts. The failure to provide such affidavit shall be grounds for disqualification.
4. Inclusion of Taxes in Prices – The Treasurer's Office is exempt from the payment of excise, transportation, and sales and use taxes imposed by the Federal Government or any state or local government. Such taxes must not be included in your fee proposal.
5. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of the RFP will become the sole property of the Treasurer's Office.
6. Timing and sequence of events resulting from this RFP will ultimately be determined at the sole discretion of the Treasurer's Office.
7. The Respondent agrees that the proposal will remain valid for a period of 180 days after the deadline for submission and may be extended beyond that time by mutual agreement.
8. The Treasurer's Office may amend or cancel this RFP, prior to the due date and time, if the Treasurer's Office deems it to be necessary, appropriate or otherwise in the best interests of the State. Failure to acknowledge receipt of amendments, in accordance with the instructions contained in the amendments, may result in a proposal not being considered at the sole discretion of the Treasurer.
9. Any costs and expenses incurred by Respondents in preparing or submitting proposals, including travel expenses incurred to attend Respondents' meetings or interviews are the sole responsibility of the Respondent.
10. No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, clarification of proposals may be required by the Treasurer's Office at the Respondent's sole cost and expense.
11. The Respondent represents and warrants that the proposal is not made in connection with any other Respondent and is in all respects fair and without collusion or fraud. The Respondent further represents and warrants that the Respondent did not participate in any part of the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no agent, representative or employee of the Treasurer's Office participated directly in the Respondent's proposal preparation.

12. All responses to the RFP must conform to instruction. Failure to include any required signatures, provide the required number of copies, meet deadlines, answer all questions, follow the required format, or comply with any other requirements of this RFP may be considered appropriate cause for rejection of the response.



**State of Connecticut
Office of the Treasurer**

Directions for completion of Legal and Policy Attachments

Revised 8/2019

A link to each of the statutes cited is provided beginning on page 4.

A. Attachment A **CHRO CONTRACT COMPLIANCE REGULATIONS NOTIFICATION TO RESPONDENTS and BIDDER CONTRACT COMPLIANCE MONITORING REPORT**. Please provide requested information and sign where indicated.

AND

Employer Information Report--- Complete an Employment Information Report for the current year and each of the 2 prior reporting periods (**for a total of 3 years of data**).

The forms in Attachment A are required to fulfill the Treasurer's obligation to consider certain factors relating to equal opportunity and affirmative action in his review of all respondents' qualifications, as required under Regulations of the Commission on Human Rights and Opportunities, Conn. Agency Regs. §§46a-68j-21 through 43.

B. Attachment B **NONDISCRIMINATION CERTIFICATION**: Any entity or individual entering into a contract with the state is required to provide documentation that the entity or individual has a policy that complies with the nondiscrimination agreement and warranty under Connecticut General Statutes § 4a-60(a)(1) (which prohibits discrimination based on race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, status as a veteran, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents the performance of the work involved) and § 4a-60a(a)(1) (which prohibits discrimination based on sexual orientation). Conn. Gen. Stat. §4a-60(d) defines "marital status" and "mental disability". Conn. Gen. Stat. §46a-51 defines "gender identity or expression." Connecticut recognizes same sex marriages. See Conn. Gen. Stat. §46b-20, which defines "marriage" as the "legal union of two persons."

An authorized signatory must execute a **NONDISCRIMINATION CERTIFICATION** on behalf of corporate or business entities, evidencing compliance with the above requirements at the time the contract is signed. A sample Certification is included.

We are asking at this time for your firm to provide us with a written statement that if your firm is selected, you will provide the Office of the Treasurer with an executed certification document. A firm that cannot provide the requested written statement will be eliminated from further consideration.

C. Attachment C **EMPLOYMENT PRACTICES INFORMATION:**

The information requested expands on the information provided in Attachment A, by asking for information on the demographics of Respondents' upper level management, recent promotion statistics, and equal opportunity and affirmative action policy.

D. Attachment D **AFFIDAVIT OF THIRD PARTY FEES AND DISCLOSURE OF CONSULTING AGREEMENTS:**

Any person or entity wishing to do business with the State Treasurer must disclose in writing any payment or receipt of third party fees, or agreement to pay or receive third party fees attributable to the contract. This includes direct and indirect payments, including any payments made or to be made to subagents, and Respondent has a duty to inquire with respect to indirect payments. This disclosure requirement is imposed by Conn. Gen. Stat. § 3-13j for all investment services contracts. The following link will provide useful guidance on the types of payments that must be reported and those fees that are impermissible under Conn. Gen. Stat. §3-13l: https://www.cga.ct.gov/current/pub/chap_032.htm#sec_3-13l

In addition, Respondents must report on this affidavit any "consulting agreement" entered into in connection with this contract, pursuant to the requirements of Conn. Gen. Stat. § 4a-81. "Consulting agreement" means "any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the state, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the state, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 of the general statutes as of the date such affidavit is submitted." If the consultant identified is a former Connecticut public official or state employee, report the former agency of such consultant and his/her employment termination date. Such affidavit shall be amended whenever the vendor awarded the contract enters into any new consulting agreement during the term of the contract.

This affidavit must be signed by the chief official of the Respondent. If Respondent has no fees or agreements to report, please insert "none" on the affidavit.

E. Attachment E **TREASURY GIFT AFFIDAVIT:**

State law prohibits state agencies from executing a contract with a person or firm, having a total cost to the state of more than \$500,000 in a calendar or fiscal year unless the agency receives an affidavit from the person or firm attesting that no gifts as defined in Conn. Gen. Stat. § 1-79 were given by the firm or by any principals or key personnel of the firm. See Conn. Gen. Stat. §4-250 et seq. The Treasurer requires **all** selected vendors to complete a Gift Certification when the

contract is executed, regardless of the value of the proposed contract. Respondents are required to perform the necessary inquiry to complete this affidavit.

F. Attachment F **CORPORATE CITIZENSHIP:**

All Respondents are asked to demonstrate their commitment to being a good corporate citizen by providing information on their policies on charitable giving and civic activities they sponsor or participate in which improve the communities in which they are located and do business. Attachment F includes a list of questions, and Respondents are encouraged to report any other activities evidencing their commitment to being a good corporate citizen.

G. Attachment G **NOTICE OF CERTAIN LEGAL PROCEEDINGS:**

The purpose of this disclosure is to inform the Treasurer of any legal proceedings or investigations in the recent past or that are ongoing that could have a material effect on Respondent's ability to perform services for the Treasury or affect its business relationship with this office. Please do not respond by referring the State Treasurer to online filings with public agencies, such as the SEC. It is Respondent's obligation to provide the information. Respondents having no information to report in response to any of the disclosure requests may indicate "none" on the Supplemental Information attachment.

H. Attachment H **CAMPAIGN CONTRIBUTION AFFIDAVIT:**

State law prohibits the State Treasurer from entering into a contract for investment services with any firm when a political committee established by the firm, or any "principal of the investment services firm," as defined in the law, has contributed to or solicited contributions on behalf of an exploratory or candidate committee established by the State Treasurer for his nomination or election to the Office of State Treasurer. See Conn. Gen. Stat. §§1-84(n), 9-612(e). In addition, state law prohibits certain entities and individuals from making contributions to or knowingly soliciting contributions from employees, subcontractors or principals of subcontractors on behalf of candidates for statewide office or the General Assembly. Respondents that do not maintain in the ordinary course of business the information needed to complete the required attestation, are required to perform the inquiry necessary to complete this affidavit.

I. Attachment I **NOTICE TO STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN:**

Pursuant to Conn. Gen. Stat. § 9-612(f), all state agencies are required to provide a Notice to their Prospective State Contractors, informing them of (1) the ban on campaign contributions to and limits on solicitation of contributions on behalf of candidates for statewide elective office, (2) their duty to inform their principals of the law, and (3) the possible consequences of violation of the law. An authorized signatory of the firm must acknowledge receipt of the State Elections Enforcement Commission's Notice (Attachment I) as indicated.

J. Attachment J **ANTI-TERRORISM: FOREIGN ASSET CONTROL REGULATIONS: FOREIGN CORRUPT PRACTICES ACT:**

The purpose of this attachment is to assist the Treasurer in fulfilling his statutory duty under Conn. Gen. Stat. §3-13d(a) to consider the implications of any investment in relation to the foreign policy and national interests of the United States and to avoid the investment of pension funds in entities that are contributing to the threat of global terrorism.

K. Attachment K **CONFLICTS OF INTEREST:**

Any material conflicts of interest must be disclosed. Respondents with no conflicts to report, please insert “None”.

L. Attachment L **IRAN CERTIFICATION:**

Pursuant to Conn. Gen. Stat. §4-252a, any contract valued at more than \$500,000 in a calendar or fiscal year between an entity whose principal place of business is not in the United States (but not including a U.S. subsidiary of a foreign corporation) and a state agency must include this certification. Contracts of the Treasurer as Trustee of the Connecticut Retirement Plans and Trust Funds are exempt from this requirement.

Links to Statutes

Conn. Gen. Stat. § 1-79 http://www.cga.ct.gov/current/pub/chap_010.htm#sec_1-79

Conn. Gen. Stat. § 1-84 http://www.cga.ct.gov/current/pub/chap_010.htm#sec_1-84

Conn. Gen. Stat. § 3-13d http://www.cga.ct.gov/current/pub/chap_032.htm#sec_3-13d

Conn. Gen. Stat. § 3-13j http://www.cga.ct.gov/current/pub/chap_032.htm#sec_3-13j

Conn. Gen. Stat. § 3-13l http://www.cga.ct.gov/current/pub/chap_032.htm#sec_3-13L

Conn. Gen. Stat. § 4-250 et seq. http://www.cga.ct.gov/current/pub/chap_055c.htm

Conn. Gen. Stat. § 4-252a http://www.cga.ct.gov/current/pub/chap_055c.htm#sec_4-252a

Conn. Gen. Stat. § 4a-60 http://www.cga.ct.gov/current/pub/chap_058.htm#sec_4a-60

Conn. Gen. Stat. § 4a-81 http://www.cga.ct.gov/current/pub/chap_058.htm#sec_4a-81

Conn. Gen. Stat. § 9-612 http://www.cga.ct.gov/current/pub/chap_155.htm#sec_9-612

Conn. Gen. Stat. § 46a-51 http://www.cga.ct.gov/current/pub/chap_814c.htm#sec_46a-51

Conn. Gen. Stat. § 46b-20 http://www.cga.ct.gov/current/pub/chap_815e.htm#sec_46b-20

Conn. Agency Regs. §§46a-68j-21 et seq.

http://www.ct.gov/chro/lib/chro/Contract_Compliance_Regs.pdf

Link to Attachments

<https://portal.ct.gov/OTT/Doing-Business/Compliance-Reporting> *(The attachments are PDF writeable documents)*



STATE OF CONNECTICUT OFFICE OF THE TREASURER

COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES CONTRACT COMPLIANCE REGULATIONS NOTIFICATION TO RESPONDENTS AND BIDDER CONTRACT COMPLIANCE MONITORING REPORT

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors, and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10) (E) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidder's compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding an equal employment opportunity, and the bidder's good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1. Definition of Small Contractor

2. Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a contractor, subcontractor, manufacturer, service company or nonprofit corporation that has been doing business under the same management and control and maintains its principal place of business in Connecticut, had gross revenues not exceeding fifteen million dollars, and is independent.

3. Description of Job Categories (for Part IV Bidder Employment Information)

DEFINITIONS

Executive/Senior Level Officials and Managers. Individuals who plan, direct and formulate policies, set strategy and provide the overall direction of enterprises/organizations for the development and delivery of products or services, including investment management services, within the parameters approved by boards of directors or other governing bodies. Residing in the highest levels of organizations, these executives plan, direct or coordinate activities with the support of subordinate executives and staff managers. They include, in larger organizations, those individuals within two reporting levels of the CEO, whose responsibilities require frequent interaction with the CEO. Examples of these kinds of managers are: chief executive officers, chief operating officers, chief financial officers, line of business heads, presidents or executive vice presidents of functional areas or operating groups, chief information officers, chief investment officers and/or senior portfolio managers, chief human resources officers, chief marketing officers, chief legal officers, management directors and managing partners.

First/Mid Level Officials and Managers. Individuals who serve as managers, other than those who serve as Executive/Senior Level Officials and Managers, including those who oversee and direct the delivery of products, services or functions at the group, regional or divisional levels of organizations. These managers receive directions from the Executive/Senior Level management and typically lead major business units. They implement policies, programs and directives of executive/senior management through subordinate managers and within the parameters set by Executive/Senior Level management. Examples of these kinds of managers are vice presidents and directors, group, regional or divisional controllers; treasurers; human resources, information systems, marketing, and operations managers. The First/Mid Level Officials and Managers subcategory also include those who report directly to middle managers. These individuals serve at functional, line of business segment or branch levels and are responsible for directing and executing the day-to-day operational objectives of enterprises/organizations, conveying the directions of higher level officials and managers to subordinate personnel and, in some instances, directly supervising the activities of exempt and non-exempt personnel. Examples of these kinds of managers are: portfolio managers; first-line managers; team managers; unit managers; operations and production managers; branch managers; administrative services managers; purchasing and transportation managers; storage and distribution

managers; call center or customer service managers; technical support managers; and brand or product managers.

Professionals. Most jobs in this category require bachelor and graduate degrees, and/or professional certification. In some instances, comparable experience may establish a person's qualifications. Examples of these kinds of positions include: accountants and auditors; airplane pilots and flight engineers; analysts (budget, credit, financial, management); architects; artists; chemists; computer programmers; designers; dietitians; economists; editors; engineers; human resource specialists; lawyers; librarians; mathematical scientists; natural scientists; registered nurses; physical scientists; physicians and surgeons; social scientists; teachers; and surveyors.

Sales Workers. These jobs include non-managerial activities that wholly and primarily involve direct sales. Examples of these types of positions include advertising sales agents; insurance sales agents; real estate brokers and sales agents; wholesale sales representatives; securities, commodities, and financial services sales agents; telemarketers; demonstrators; retail salespersons; counter and rental clerks; and cashiers.

Administrative Support Workers. These jobs involve non-managerial tasks providing administrative and support assistance, primarily in office settings. Examples of these types of positions include office and administrative support workers; bookkeeping; accounting and auditing clerks; cargo and freight agents; dispatchers; couriers; data entry keyers; computer operators; shipping, receiving and traffic clerks; word processors and typists; proofreaders; desktop publishers; and general office clerks.

4. Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

- a. White (not of Hispanic Origin) - All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- b. Black (not of Hispanic Origin) - All persons having origins in any of the Black racial groups of Africa.
- c. Hispanic- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.
- d. Asian or Pacific Islander- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.
- e. American Indian or Alaskan Native- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.
- f. Iberian Peninsula – All persons having origins in the Iberian Peninsula, including Portugal, regardless of race.

BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

Company Name: Street Address: City & State: Chief Executive:	Bidder Federal Employer Identification Number_____ Or Social Security Number_____
Major Business Activity: (brief description)	Bidder Identification: (response optional/definitions on page 1) Bidder is a small contractor. Yes__ No__ Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black__ Hispanic__ Asian American__ American Indian/Alaskan ____ Native__ Iberian Peninsula__ Individual(s) with a Physical Disability__ Female__
Bidder Parent Company: (If any)	Bidder is certified as above by State of Connecticut: Yes____ No____
Other Locations in Connecticut (If any)	DAS Certification Number _____

PART II - Bidder Nondiscrimination Policies and Procedures

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards?
Yes__ No__
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards?
Yes__ No__
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy?
Yes__ No__
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes__ No__
5. Do you notify the CT State Employment Service of all employment openings with your company?
Yes__ No__
6. Does your company have a collective bargaining agreement with workers? Yes__ No__

- a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__
 - b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of CT? Yes__ No__
7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes__ No__
8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes__ No__
9. Does your company have a mandatory retirement age for all employees?
Yes__ No__
10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes__ No__
11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor?
Yes__ No__ NA__
12. Does your company have a written affirmative action Plan? Yes__ No__ If no, please explain.
13. Is there a person in your company who is responsible for equal employment opportunity?
Yes__ No__
If yes, give name and phone number.

Part III - Bidder Subcontracting Practices

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__
 - a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)
 - b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes__ No__

PART IV - Bidder Employment Information

PLEASE GO TO WWW.OTT.CT.GOV AND CLICK ON THE DOING BUSINESS LINK AND THEN ON THE "COMPLIANCE" TAB TO DOWNLOAD A FILLABLE EMPLOYER INFORMATION FORM.

PLEASE PROVIDE EMPLOYMENT DATA FOR THE CURRENT YEAR AND EACH OF THE PREVIOUS TWO YEARS (for a total of three years data).

PART V - Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination	
SOURCE	YES	NO	% of applicants provided by source		
State Employment Service					
Private Employment Agencies				Ability to Speak or Write English	
Schools and Colleges				Written Tests	
Newspaper Advertisement				High School Diploma	
Walk Ins				College Degree	
Present Employees				Union Membership	
Labor Organizations				Personal Recommendation	
Minority/Community Organizations				Height or Weight	
Others (please identify)				Car Ownership	
				Arrest Record	
				Wage Garnishments	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date signed)	(Telephone)
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State of Connecticut
Office of the State Treasurer
EMPLOYER INFORMATION REPORT

Rev. 6/7/2017

Company Name: _____

Period Ending: _____

Job Categories	TOTALS	MALE							FEMALE						
		Total Male	White (not of Hispanic Origin)	Black (not of Hispanic Origin)	Hispanic	Asian/ Pacific Islander	American Indian or Alaskan Native	Two or More Races	Total Female	White (not of Hispanic Origin)	Black (not of Hispanic Origin)	Hispanic	Asian/ Pacific Islander	American Indian or Alaskan Native	Two or More Races
Executive/Senior Level Officials and Managers	0	0							0						
First/Mid-Level Officials and Managers	0	0							0						
<i>Subtotal - Management</i>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Professionals	0	0							0						
Sales & Marketing	0	0							0						
<i>Subtotal - Professional Staff</i>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Administrative Support Workers	0	0							0						
TOTAL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

<u>Executive/Senior Level</u>	
% Male	#DIV/0!
% Female	#DIV/0!
Total	#DIV/0!
White	#DIV/0!
Black	#DIV/0!
Hispanic	#DIV/0!
Asian	#DIV/0!
Am. Ind.	#DIV/0!
2 or more	#DIV/0!
Total	#DIV/0!

<u>All Management</u>	
% Male	#DIV/0!
% Female	#DIV/0!
Total	#DIV/0!
White	#DIV/0!
Black	#DIV/0!
Hispanic	#DIV/0!
Asian	#DIV/0!
Am. Ind.	#DIV/0!
2 or more	#DIV/0!
Total	#DIV/0!

<u>Professional Staff</u>	
% Male	#DIV/0!
% Female	#DIV/0!
Total	#DIV/0!
White	#DIV/0!
Black	#DIV/0!
Hispanic	#DIV/0!
Asian	#DIV/0!
Am. Ind.	#DIV/0!
2 or more	#DIV/0!
Total	#DIV/0!

<u>Firm Overall</u>	
% Male	#DIV/0!
% Female	#DIV/0!
Total	#DIV/0!
White	#DIV/0!
Black	#DIV/0!
Hispanic	#DIV/0!
Asian	#DIV/0!
Am. Ind.	#DIV/0!
2 or more	#DIV/0!
Total	#DIV/0!

Certificate

I hereby certify that the information on this **EMPLOYER INFORMATION REPORT** is complete and true, to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in noncompliance with Sections 4a-60, 4a-60a, and related sections of the Connecticut General Statutes.

(Signature)	(Print Name and Title)	(Date Signed)	(Telephone)
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**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

NONDISCRIMINATION AFFIDAVIT

(To be 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)

AFFIDAVIT:

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

_____ of _____, an entity
Signatory's Title Name of Entity

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

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

_____ and that _____
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

Printed Name

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

Commissioner of the Superior Court/
Notary Public

Commission Expiration Date



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

EMPLOYMENT PRACTICES INFORMATION

COMPANY Name _____ (**“Respondent”**)

Please provide the following information:

- a. A current list of the titles and years of employment of women and minority key managers and/or senior officers.
- b. Documentation of any promotions in the past three (3) years among
 - i. minority professionals or managers
 - ii. women professionals and managers
- c. A copy of your firm’s equal opportunity and affirmative action policy.
- d. Any other information that would demonstrate the firm’s commitment to expanding diversity in the workplace, including recruiting initiatives, retention and promotion efforts, and ongoing assessment of the firm’s progress.

The undersigned, on behalf of the company identified above, hereby certifies that the information provided in response to this Attachment C is true and accurate to the best of his/her knowledge and belief under penalty of false statement.

Certifying Official:

Signature _____

(type name and title)

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

**Commissioner of the Superior Court/
Notary Public**

Commission Expiration Date



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

FORM A3: FOR COMPLETION BY ALL VENDORS BEFORE CONTRACTING

AFFIDAVIT OF THIRD PARTY FEES AND DISCLOSURE OF CONSULTING AGREEMENTS

I, _____, a duly authorized officer and/or representative of _____, being duly sworn, hereby depose and say that:

1. I am over eighteen (18) years of age and believe in the obligations of an oath.
2. _____ (firm name) intends to enter into a contract to furnish services to the Office of the State Treasurer (the "Contract").
3. All third party fees, agreements to pay third party fees, and consulting agreements attributable to the Contract are as follows:

NAME OF PAYEE	DOLLAR AMOUNT PAID OR VALUE OF NON-CASH COMPENSATION AND DATE	FEE ARRANGEMENT	SPECIFIC SERVICES PERFORMED OR TO BE PERFORMED BY PAYEE ¹

(Attach additional copies of this page as necessary.)

NOTE: For each third party fee or consulting arrangement described above, complete the attached Form A3a.

4. The information set forth herein is true, complete and accurate to the best of my knowledge and belief under penalty of perjury.

Signed: _____

Print Name: _____

Title: _____

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

Commissioner of the Superior Court/ Notary Public

Commission Expiration Date

¹ Please attach documents evidencing the terms of the fee arrangement and services.

ADDENDUM TO AFFIDAVIT OF THIRD PARTY FEES

A. For each fee arrangement disclosed in the attached Affidavit, provide the following information about the third party payee:

- (1) Name
- (2) Address
- (3) Is the person or entity registered with the Securities and Exchange Commission, a state regulatory authority or FINRA? If so, provide details
- (4) Name of the President/Chief Executive Officer
- (5) Name, telephone number and email address of the individual principally responsible for work performed in connection with the contract, investment or proposed investment with the Office of the Treasurer

B. Please explain whether and how each such payment falls within one or more of the following categories of compensation providing an exception to the prohibition on finder's fees:

- (1) Compensation earned for the rendering of legal services when provided by an attorney while engaged in the ongoing practice of law;
- (2) Compensation earned for the rendering of investment services, other than legal services, when provided by an investment professional while engaged in the ongoing business of providing investment services;
- (3) Compensation for placement agent, due diligence or comparable tangible marketing services when paid to a person who is an investment professional (i) engaged in the ongoing business of representing providers of investment services, or (ii) in connection with the issuance of bonds, notes or other evidence of indebtedness by a public agency;
- (4) Compensation earned by a licensed real estate broker or real estate salesperson while engaging in the real estate business on an ongoing basis; or
- (5) Payments for client solicitation activities meeting the requirements of Rule 206(4)-3 under the Investment Advisers Act of 1940.

C. Attach a copy of the agreement evidencing the terms of the fee arrangement and the services, **and** provide a narrative description of any services actually rendered by the third party payee in connection with the contract, investment or proposed investment with the Office of the Treasurer.

D. For each fee arrangement disclosed in the affidavit, please respond to the following:

- (1) Is the fee paid to a former state employee or public official? If so, please identify such person's former agency, position and the date such employment was terminated.

"Consulting agreement" shall have the meaning set forth in Section 4a-81(b)(1).

"Third party fees" includes those activities enumerated in Section 3-13j of the Connecticut General Statutes, and includes direct and indirect payments, such as payments by a placement agent to a subagent.

E. Respondents disclosing payments to, or agreements to pay, placement agents have a duty to inquire and shall report any payments to, or agreements to pay, subagents, and provide all information and documentation requested under A through D, above, with respect to any sub-agent.



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

TREASURY GIFT AFFIDAVIT

Company Name: _____ (“Respondent”)

I, _____ (name and title) _____, am authorized to execute a contract on behalf of the Respondent. I hereby certify that neither I, the Respondent, nor any of its principals or key personnel who participate directly, extensively and substantively in the preparation of bids or proposals or in negotiating state contracts, nor any agent of the foregoing, gave a gift, as defined in Conn. Gen. Stat. § 1-79(5), including a life event gift as defined in Conn. Gen. Stat. § 1-79(5)(L), to (1) any public official or state employee of the Office of the State Treasurer who participates directly, extensively, and substantively in the preparation of bid solicitations or requests for proposals for state contracts or in the negotiation or award of state contracts; or (2) any public official or state employee of any other state agency who has supervisory or appointing authority over the Office of the State Treasurer.

Further, neither I nor any principals or key personnel of the Respondent, nor any agent of the foregoing, knows of any action by Respondent to circumvent such prohibition on gifts by providing for any other principals, key personnel, officials, employees of Respondent, nor any agent of the foregoing, to provide a gift to any such public official or state employee.

Further, the Respondent made its bid or proposal without fraud or collusion with any person.

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

Signature

Date

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

**Commissioner of the Superior Court/
Notary Public**

Commission Expiration Date



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

CORPORATE CITIZENSHIP

COMPANY Name _____ (**“Respondent”**)

Please provide the Office of the Treasurer with information regarding the Respondent’s policies/practices that demonstrate respondent’s positive commitment to the communities in which it does business.

1. Describe the Respondent’s commitment to corporate citizenship, identifying priorities of the Respondent and providing evidence of the impact of its activities. If the Respondent has a written Corporate Citizenship policy, please provide a copy of the policy.

- (a) For the priorities identified, indicate the types of organizations the Respondent supports, and the nature of the commitment (i.e. event sponsorship; ongoing financial support; in-kind support)
- (b) Does the Respondent have policies that encourage employees’ charitable activities or contribution? Please describe such policies.
- (c) Has Connecticut benefitted from any of the Respondent’s corporate citizenship activities? Is it a component of the Respondent’s corporate citizenship policy to evaluate opportunities to make an impact in communities where it expands its business?

2. Describe the Respondent’s commitment to diversity, and education and training of the next generation of workers in your profession. Please include:

- (a) A brief description of any internship programs Respondent offers and the applicable percentage of minority and women recipients.
- (b) A brief description of any scholarships Respondent provides to students and the applicable percentage of minority and women recipients.

3. Does Respondent have a written procurement policy or program to foster business relationships with women-owned, minority-owned and/or emerging businesses? Please provide details of the program and the percentage of business conducted with women-owned, minority-owned and/or emerging businesses

4. Provide any additional information not covered above that would help give the Treasurer a better understanding of Respondent’s views on corporate citizenship.



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

NOTICE OF LEGAL PROCEEDINGS

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:

- a. 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;
- b. 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;
- c. 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.
- d. 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.**

Legal and Policy Attachment G

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.

Signature

Click here to enter text.

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/
Notary Public

Commission Expiration Date

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.



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

CAMPAIGN CONTRIBUTION DISCLOSURE

COMPANY ("Respondent") _____

I _____ (name and title) duly authorized, after diligent inquiry, hereby certify that since January 1, 2014, none of the following have

(1) made a contribution to (a) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (b) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (c) a party committee; or

(2) knowingly solicited contributions from Respondent's employees, subcontractors, or principals of subcontractors on behalf of (a) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (b) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (c) a party committee:

- a. Director of or person having an ownership interest in the Respondent of 5% or greater;
- b. The President, Treasurer, or Executive Vice President (or similar positions) of the Respondent;
- c. An officer or employee of the Respondent having managerial or discretionary responsibilities with respect to services provided to the Office of the Connecticut State Treasurer;
- d. The spouse or dependent child aged 18 or older of any individuals described in subsections a-c; or
- e. A political committee established or controlled by the Respondent or an individual identified in subsections a-d.

Sworn to as true, accurate and complete to the best of my knowledge and belief, under penalty of false statement.

Signed: _____

Print name: _____ Date: _____

Title: _____

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

**Commissioner of the Superior Court/
Notary Public**

Commission Expiration Date



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE
CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS**

Acknowledgement of Receipt of Explanation of Prohibitions for Incorporation in Contracting and Bidding Documents

SEEC FORM 10**CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION****Rev. 1/11**

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee (which includes town committees).

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall **knowingly** *solicit* contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor or principals of the subcontractor* on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

DUTY TO INFORM

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

PENALTIES FOR VIOLATIONS

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties—Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable

efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or not more than \$5,000 in fines, or both.

CONTRACT CONSEQUENCES

In the case of a state contractor, contributions made or solicited in violation of the above prohibitions may result in the contract being voided.

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State shall not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

DEFINITIONS

“State contractor” means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. “State contractor” does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Prospective state contractor” means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. “Prospective state contractor” does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Principal of a state contractor or prospective state contractor” means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political

committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

“State contract” means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. “State contract” does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

State contract solicitation” means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

“Managerial or discretionary responsibilities with respect to a state contract” means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

“Dependent child” means a child residing in an individual’s household who may legally be claimed as a dependent on the federal income tax of such individual.

“Solicit” means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

“Subcontractor” means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor's state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty first of the year in which the subcontract terminates. “Subcontractor” does not include (i) a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or (ii) an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

“Principal of a subcontractor” means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a subcontractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a subcontractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a subcontractor, which is not a business entity, or if a subcontractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an

officer or an employee of any subcontractor who has managerial or discretionary responsibilities with respect to a subcontract with a state contractor, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the subcontractor.

SEEC FORM 10

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

Rev. 1/11

Page 3 of 3



ACKNOWLEDGEMENT OF RECEIPT			
<div style="display: flex; justify-content: space-between; margin-top: 30px;"> <div style="width: 45%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="width: 45%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> SIGNATURE DATE (mm/dd/yyyy) </div>			
NAME OF SIGNER			
First Name	MI	Last Name	Suffix
TITLE			
COMPANY NAME			



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

**ANTI-TERRORISM
FOREIGN ASSET CONTROL REGULATIONS,
FOREIGN CORRUPT PRACTICES ACT**

COMPANY ("Respondent") _____

I _____ (name, title and company name) 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, for the three year period up to and including the date of this affidavit;
2. Respondent is not and has not been included on the Specially Designated Nationals and Blocked Persons List of the United States Treasury Department's Office of Foreign Assets Control.
3. By agreeing to provide, and in providing, the services pursuant to this RFP, the Respondent will not be in violation of the United State Executive Order 13224 of September 24, 2001 Blocking Property and Prohibiting Transactions With Persons Who Commit, Threaten to Commit, or Support Terrorism, (the Anti-Terrorism Order) or the provisions of The USA Patriot Act, title III, or the International Money Laundering Abatement and Anti-Terrorist Financing Act of 2001 (as it may be amended from time to time) and any regulations promulgated thereunder.
4. The Respondent is not a party with which the Treasurer is prohibited from dealing under the laws of the United States.
5. The Respondent has not made any direct or indirect payments to any foreign government official, government employee, political party or official in violation of the United States Foreign Corrupt Practices Act.

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

Signature

Date

Print name: _____

Title: _____

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

**Commissioner of the Superior Court/
Notary Public**

Commission Expiration Date



**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

CONFLICTS OF INTEREST

COMPANY (“Respondent”) _____

In accordance with the State of Connecticut laws and regulations, for the years 2009 to the present, the Respondent must provide the Office of the Treasurer with information regarding any agreements, relationships, retainers or other arrangements that your firm or any employee of your firm has with any other investment banking firm, financial advisory firm, law firm, or other person or entity that may create a conflict of interest or the appearance of a conflict of interest.

Please list any possible, known or potential conflicts of interests with the Office of the Treasurer that the Respondent may have. Please also describe the arrangement and the parties involved. If necessary, the Respondent should attach additional sheets labeled as Supplemental Information to Attachment K.

The undersigned, on behalf of the Respondent identified above, hereby certifies that the information set forth in this Attachment K and any Supplemental Information to Attachment K is true, complete and accurate.

Sworn as true to the best of my knowledge and belief, false statement punishable under law:

Signature

Date

Print name: _____

Title: _____

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

Commissioner of the Superior Court/
Notary Public

Commission Expiration Date

**STATE OF CONNECTICUT**

Written or electronic PDF copy of the written certification to accompany a large state contract pursuant to P.A. No. 13-162 (Prohibiting State Contracts With Entities Making Certain Investments In Iran)

Respondent Name: _____

INSTRUCTIONS:

CHECK ONE: ☐ Initial Certification.
☐ Amendment or renewal.

A. Who must complete and submit this form. Effective October 1, 2013, this form must be submitted for any large state contract, as defined in section 4-250 of the Connecticut General Statutes. This form must always be submitted with the bid or proposal, or if there was no bid process, with the resulting contract, regardless of where the principal place of business is located.

Pursuant to P.A. No. 13-162, upon submission of a bid or prior to executing a large state contract, **the certification portion of this form must be completed** by any corporation, general partnership, limited partnership, limited liability partnership, joint venture, nonprofit organization or other business organization **whose principal place of business is located outside of the United States**. United States subsidiaries of foreign corporations are exempt. For purposes of this form, a "foreign corporation" is one that is organized and incorporated outside the United States of America.

Check applicable box:

- ☐ Respondent's principal place of business is within the United States or Respondent is a United States subsidiary of a foreign corporation. Respondents who check this box **are not required to complete the certification portion of this form**, but must submit this form with its Invitation to Bid ("ITB"), Request for Proposal ("RFP") or contract package if there was no bid process.
- ☐ Respondent's principal place of business is outside the United States and it is not a United States subsidiary of a foreign corporation. **CERTIFICATION required.** Please complete the certification portion of this form and submit it with the ITB or RFP response or contract package if there was no bid process.

B. Additional definitions.

- 1) "Large state contract" has the same meaning as defined in section 4-250 of the Connecticut General Statutes;
- 2) "Respondent" means the person whose name is set forth at the beginning of this form; and
- 3) "State agency" and "quasi-public agency" have the same meanings as provided in section 1-79 of the Connecticut General Statutes.

C. Certification requirements.

No state agency or quasi-public agency shall enter into any large state contract, or amend or renew any such contract with any Respondent whose principal place of business is located outside the United States and is not a United States subsidiary of a foreign corporation unless the Respondent has submitted this certification.

Complete all sections of this certification and sign and date it, under oath, in the presence of a Commissioner of the Superior Court, a Notary Public or a person authorized to take an oath in another state.

CERTIFICATION:

I, the undersigned, am the official authorized to execute contracts on behalf of the Respondent. I certify that:

- ☐ Respondent has made no direct investments of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010.
- ☐ Respondent has either made direct investments of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, or Respondent made such an investment prior to October 1, 2013 and has now increased or renewed such an investment on or after said date, or both.

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

Printed Respondent Name

Printed Name of Authorized Official

Signature of Authorized Official

Subscribed and acknowledged before me this _____ day of _____, 20____.

Commissioner of the Superior Court (or Notary Public)

My Commission Expires

**ATTACHMENT M: DEBT**

**STATE OF CONNECTICUT
OFFICE OF THE TREASURER**

EVALUATION AND IMPLEMENTATION OF SUSTAINABLE PRINCIPLES

COMPANY Name: _____ ("Respondent")

Many risks and opportunities facing companies may not be captured on a balance sheet or income statement, but nonetheless have an impact on financial performance and business operations. These risks and opportunities are generally referred to as environmental, social and governance (ESG) factors. The following questions are intended to elicit disclosure of information that sheds light on how ESG factors are relevant to the Respondent and the services it provides.

1. Does your firm have a policy that addresses ESG factors? If so, please describe.
2. Please list some examples of the ESG factors that you would consider in your firm's decision-making process. How do you evaluate the potential financial impact of these ESG factors?
3. Have you designated someone within the firm ultimately responsible for sustainability policies and research?
4. Do you provide training or resources to staff to keep abreast of emerging sustainability issues? If so, what data sources do you use to access ESG-related data?
5. Are you a signatory or member of any sustainability-related initiatives or groups (e.g., UN Principles for Responsible Investment, the Carbon Disclosure Project, International Corporate Governance Network, Investor Network on Climate Risk or UK Stewardship Code)?
6. Do you have a policy for evaluating current or prospective relationships with manufacturers or retailers of civilian firearms?
7. In regards to doing business with manufacturers or retailers of civilian firearms, do you have a policy that requires safe and responsible use, ownership or production?
8. Do you conduct enhanced screening of current or prospective relationships with manufacturers or retailers of civilian firearms?
9. Do you conduct enhanced screening of current or prospective relationships with any industry or sector that may be subject to increased regulatory oversight, or that may present adverse social and/or environmental impacts?
10. Do you have merchant credit relationships with retailers of civilian firearms and accessories? If so, do you have policies in place to evaluate whether these retailers comply with applicable laws regarding sales of firearms?
11. Please provide any additional information that may be helpful in understanding your approach to evaluating ESG factors.

Official:

Signed: _____

Name: _____

Title: _____

