



**Request for Proposals**

**FOR  
BOND COUNSEL, DISCLOSURE COUNSEL, AND TAX COUNSEL  
SERVICES**

**September 3, 2015**

**State of Connecticut  
Office of the Treasurer**

**Deadline: October 15, 2015, 3:00 p.m.**

**STATE OF CONNECTICUT  
OFFICE OF THE TREASURER**

**REQUEST FOR PROPOSALS  
FOR  
BOND COUNSEL, DISCLOSURE COUNSEL, AND TAX COUNSEL SERVICES**

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## **Section I - Introduction and Purpose of the RFP**

The State of Connecticut acting through its Treasurer (hereinafter “State” or “Treasurer” or “Agency”) requests proposals from qualified law firms (each a “Respondent”) interested in providing Bond Counsel services in connection with all of its major debt issuance programs including: General Obligation, Special Tax Obligation (Transportation Infrastructure), Clean Water Fund/Drinking Water Fund, Bradley International Airport Bonding Program, and the UCONN Bonding Program.

The Treasurer also requests proposals from qualified law firms interested in serving in the positions of Disclosure Counsel and Tax Counsel. As more fully described in Section II, herein, Disclosure Counsel will be expected to prepare disclosure information in connection with the State’s General Obligation financings and to advise the State in complying with appropriate state and federal laws relating to disclosure. Tax Counsel will be expected to coordinate the efforts of General Obligation Series Counsel, prepare tax regulatory agreements for General Obligation financings, and advise the State in complying with state and federal laws relating to tax-exempt financing. The State has made in the past, and may continue to make in the future, co-bond counsel assignments to encourage the development of emerging Connecticut-based or woman- and minority-owned law firms.

Firms may submit proposals relating to one or more of the positions to be selected through this RFP process. The State expects to enter into contracts with one or more law firms to provide legal services for its financing programs for a four-year period. The selected respondent(s) will be expected to execute a personal service agreement with the Treasurer and the State Attorney General. The State reserves the right to negotiate the final contract terms (including pricing) with any Respondent.

### Qualification for Underwriters’ Counsel Only

Firms applying to serve only as Underwriters’ Counsel on State financings should submit a letter to Treasurer Denise L. Nappier, by October 15, 2015, expressing their interest and providing the information included in Section VII – Submission of Proposals, II – Respondent Information, Part A: General Information; and Part J: Compliance. A copy of the letter and the materials should also be sent to Sarah K. Sanders, Assistant Treasurer for Debt Management. The State may request additional information after receiving these materials. If a firm is currently on the approved Underwriters’ Counsel list and does not reapply, it will be assumed the firm no longer wishes to be engaged in this capacity and will be taken off that list.

## **Section II - Scope of Services**

### **A. Bond Counsel**

Bond Counsel will be expected to provide complete legal representation on all issues of state and federal law, including taxation, with respect to the issuance of General Obligation debt, Special Tax Obligation (Transportation Infrastructure) debt, Clean Water Fund/Drinking Water Fund debt, the Bradley International Airport Bonding Programs, and the UCONN Bonding Program.

Bond Counsel services will include, but not be limited to, the following:

1. Advise the State in structuring general obligation and revenue debt issuances including tax-exempt and taxable financings, credit-enhanced financings, financings incorporating derivative structures, and other forms of debt financings.

2. Draft or review legal documentation necessary to issue debt including, as appropriate, bond resolutions, State Bond Commission materials, preliminary and official statements, notice of sale and bid forms, bond purchase agreements, Indentures, Supplemental Indentures, and tax regulatory agreements.
3. Render unqualified legal opinions concerning the validity and the tax-exempt status of the State's debt issuances.
4. Prepare and distribute closing documentation and coordinate and conduct the closing of bond, note, or other financing transactions.
5. Draft or review legislation relating to the issuance of State debt.
6. Seek, on behalf of the State, any necessary opinions, letter rulings, or other documentation from the Internal Revenue Service or other bodies.
7. Provide sophisticated legal advice on federal tax matters including, but not limited to, reimbursement, arbitrage, and private activity.
8. As necessary, assist the State in resolving issues regarding the State's debt that are raised by bondholders, rating agencies, or public officials.

## **B. Disclosure Counsel**

Disclosure Counsel will be expected to prepare, on an ongoing basis, disclosure information in connection with the State's issuance of general obligation debt. In this capacity, Disclosure Counsel will be responsible for preparation of the State's official statements relating to its General Obligation debt. Disclosure Counsel will not be expected to prepare the official statements relating to programs other than the General Obligation Program, but will be expected to work with Bond Counsel assigned to those other programs and to provide the specific State disclosure information required for their disclosure documents. In addition, Disclosure Counsel will be responsible for preparing disclosure information for any financing program that includes the Special Capital Reserve Fund and other transactions that are supported by the State and require disclosure information from the State.

Disclosure Counsel will be expected to work with appropriate state agencies, including the Office of Policy and Management, the Office of the Comptroller, the Office of the Attorney General, the Auditors of Public Accounts, and various quasi-public agencies in addition to the Office of the Treasurer to ensure that the State's disclosure document is updated on a timely basis. Disclosure Counsel will be expected to conduct and manage all necessary due diligence activities with respect to preparation of the State's annual disclosure information and will be expected to render an opinion with respect to the State's disclosure. Disclosure Counsel will advise and assist the State in complying with all appropriate state and federal securities laws.

Disclosure Counsel will act as lead counsel on all General Obligation bond sales and coordinate the work of the General Obligation Series Counsel.

## **C. Tax Counsel**

Tax Counsel will be expected to coordinate the efforts of General Obligation Series Counsel, prepare tax regulatory agreements for General Obligation bond issues, and advise the State in complying with state and federal laws relating to tax-exempt financing. Tax Counsel will be expected to consult with and lead General Obligation Series Counsel on the analysis of tax matters for both new money and refunding bond issues. Tax

Counsel will respond and consult with the State on tax issues and current developments on the use of proceeds, private activity, arbitrage, and other matters related to the federal tax exemption. Tax Counsel will provide full tax analysis and opinions on General Obligation bond issues.

### **Section III - Fees**

Please provide your fee proposal for the requested services as outlined in Section II in accordance with instructions in Section VII, Subsection B, Part I.

### **Section IV – Contract Term**

The Office of the Treasurer intends to enter into a contract for a four-year term, beginning April 1, 2016. The Office of the Treasurer, in its sole discretion, may request up to two (2) one-year extensions of the contract.

### **Section V – Minimum Contractor Qualifications**

Qualified Respondents must have experience in public finance and federal taxation and should also be listed in the Spring 2015 edition of The Bond Buyer’s Municipal Marketplace, commonly referred to as the “Red Book.”

### **Section VI – Evaluation Criteria**

Respondents will be evaluated against the following criteria on the basis of their written responses to this RFP, additional written information requested by the State, if any, references, and oral interviews, if any:

1. Experience of the Respondent in serving as bond counsel to large, frequent state-level issuers including the firm’s understanding and level of competence in state and federal taxation, legislative, and regulatory procedures. Knowledge of innovative or alternative financing structures in both the tax-exempt and taxable municipal bond markets is desired.
2. Qualifications of personnel including the experience and availability of the day-to-day attorney and the breadth and depth of other partners, associates, and other professionals available to provide services to the State.
3. Team organization and approach including the ability of the Respondent to adequately staff and complete time-sensitive transactions and to interact effectively with the State, underwriters and their counsel, financial advisors, trustees and their counsel, and other professionals involved in the State’s financings.
4. Respondent’s demonstrated commitment to understanding and serving client needs and their responsiveness to client requests for assistance.
5. Fee proposal. Fees and compensation will be an important factor in the evaluation process. The Treasurer, however, is not required to select the lowest cost response.
6. Connecticut presence as evidenced by the location of the lead partner, number of offices the Respondent maintains in Connecticut, and the number of Connecticut residents employed in those offices.

7. Equal employment opportunity record as evidenced by the composition of Respondent’s personnel and the Respondent’s Affirmative Action and Equal Employment Opportunity policies and practices. This is an important consideration in the review process, and Respondents should be prepared to address these matters during an interview.
8. Corporate Citizenship policies, as reflected in Respondent’s response to the Corporate Citizenship disclosure, **Legal and Policy Attachment F** hereto. This is an important consideration in the review process, and Respondents should be prepared to address these matters during an interview.
9. Overall compliance with state and federal laws and policies as evidenced in the completion of the **Legal and Policy Attachments** and the required submissions. This is an important consideration in the review process, and Respondents should be prepared to address these matters during an interview.

## Section VII – Submission of Proposals

### A. Instructions

1. **Official Agency Contact.** All communications with the Office of the Treasurer regarding the RFP must be in writing 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, who may be reached at: Office of the Treasurer, 55 Elm Street, 6<sup>th</sup> Floor, Hartford, Connecticut 06106; 860-702-3288. **All email communications for the RFP must be directed to [ct-debt-rfp@ct.gov](mailto: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 FAX numbers, and e-mail address for the representative and the alternate.
3. **Communications Notice.** All communications with the Agency or any person representing this Agency 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.

September 3, 2015	RFP Released
September 18, 2015	Deadline for Questions
September 30, 2015	Official Answers Released
October 15, 2015 at 3:00 PM	Deadline for Submitting Proposals
December 2015/January 2016	Meetings/Interviews with Respondents
February 2016	Contractor Selection
February 2016	Start of Contract Negotiations
April 1, 2016	Start of Contract

5. **Inquiry Procedures.** Respondents may submit questions about the RFP to the Official Agency Contact on or before September 18, 2015. Questions must be in writing and submitted by e-mail to [ct-debt-rfp@ct.gov](mailto:ct-debt-rfp@ct.gov). Questions regarding Attachments A-L ONLY must be in writing and submitted to the Chief Compliance Officer by e-mail at [christine.shaw@ct.gov](mailto:christine.shaw@ct.gov). Clearly indicate “Proposal for Bond Counsel, Disclosure Counsel, and Tax Counsel Services” in the subject line of your

email. Questions will not be accepted over the telephone. Communication with other Agency personnel regarding this RFP is prohibited and may result in disqualification of your firm. Anonymous questions will not be considered or answered. The Agency reserves the right to provide a combined answer to similar questions and to decline to answer any question. The Agency will distribute official answers to the questions, in the form of a written amendment posted on the Agency's website at [www.ott.ct.gov](http://www.ott.ct.gov) and the Attorney General's website at [www.ct.gov/ag](http://www.ct.gov/ag) not later than September 30, 2015.

6. **Confidential Information.** Respondents are advised that the Office of the Treasurer is a constitutional office of the State and its records, including responses to this RFP, are public record.

All responses to this RFP shall become the property of the Treasurer and will be kept confidential until such time as a contract is executed or negotiations for the award of such contract have ended. 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 under FOIA, then, in order to maintain confidentiality, the Respondent (i) should include an explanation containing the precise statutory basis for such exemption from disclosure under FOIA and (ii) the material claimed to be exempt 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 intentional 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.

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) satisfy the packaging and labeling requirements, (4) be complete, and (5) include the required Legal and Policy Attachments. Proposals that fail to meet these minimum submission requirements may be disqualified and not reviewed further.
8. **Contract 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 bidder employment information 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.

9. **Consultants.** Any Respondent that has entered into any consulting agreement(s) whereby the duties of the consultant include communications concerning business of the Office of the Treasurer, whether or not direct contact with the Agency, any 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.
  10. **Packaging, Labeling, and Delivery Requirements.** All proposals must be submitted both electronically and by hard copy. All hard copy proposals must be submitted in sealed envelopes or packages and be addressed to the Official Agency Contact. The name and address of the Respondent must appear in the upper left-hand corner of the envelope or package. The package must include: one original proposal; six (6) conforming copies, separately bound; one executed original and three (3) copies of the Required Legal and Policy Attachments; and one copy of the proposal and the Legal and Policy Attachments in Word and PDF format on a CD disk. One copy of the proposal and one copy of the Legal and Policy Attachments must be received via electronic delivery at [ct-rfp-debt@ct.gov](mailto:ct-rfp-debt@ct.gov) by 3 p.m. on October 15, 2015. Hard copy must be received by the Office of the Treasurer, 55 Elm Street, 6<sup>th</sup> Floor, Hartford, Connecticut 06106, Attention: Sarah K. Sanders, no later than 5 p.m. on October 16, 2015.
  11. The original proposal must be clearly identified as such and be signed by the Respondent. Unsigned proposals will be rejected. Proposals transmitted by FAX will not be accepted or reviewed.
  12. **Meetings with Respondents.** At its discretion, the Agency may convene meetings with Respondents in order to gain a fuller understanding of the proposals. The meetings may involve interviews, presentations, or site visits. If the Agency decides meetings are warranted, the Respondent will be contacted to make an appointment.
  13. **Iran Certification.** Any Respondent whose principal place of business is outside of the United States and who is not a U.S. subsidiary of a foreign corporation must complete the required certification. See **Legal and Policy Attachments, Attachment L**.
- B. **Required Format and Content 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 disqualification.

I. **Cover Letter**

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

a. Respondent Information

- i. Name of Respondent
- ii. Business Location of Headquarters and Connecticut Office if different
- iii. Mailing Addresses

b. Respondent's Representatives

The Respondent must designate an authorized representative and one alternate who may speak and act on behalf of the Respondent in all dealings with the Agency, if necessary. Provide the following information for each individual.

- i. Names and titles
  - ii. Telephone Numbers
  - iii. Email addresses
- c. A statement that the Respondent has thoroughly reviewed the RFP and acknowledges and accepts all terms and conditions included in the RFP.
  - d. A statement that the Respondent has read and accepts the Agency's standard contract and conditions in their entirety and without amendment.
  - e. A statement that the Respondent has read and accepts the State's contract compliance requirements.

## II. **Respondent Information**

Requested Information consists of ten parts: Part A: General Information, Part B: General Obligation Bond Counsel, Part C: Special Tax Obligation Bond Counsel, Part D: Clean Water Fund/Drinking Water Fund Bond Counsel, Part E: Bradley International Airport Bond Counsel, Part F: UCONN Bond Counsel, Part G: Disclosure Counsel, Part H: Tax Counsel, Part I: Fee Proposal, and Part J: Compliance.

All firms submitting a response must provide the information requested under Parts A, I, and J. Firms have the option of responding to Parts B through H, depending on their interests and qualifications in these areas.

### **Part A: General Information**

All firms must respond to Part A. Responses to Part A must not exceed ten pages.

1. Provide a brief description of your firm, its history, and its main areas of practice. Describe any recent significant changes in the organization of your firm in the last three (3) years. Provide information on the number of offices your firm maintains in Connecticut and the number of Connecticut residents employed in those offices. Provide a detailed description of your firm's public finance practice including the number of partners and other staff versus the total number of partners and staff in the firm and the importance within your firm. How long has your firm had a public finance department?
2. Discuss the primary individuals who would work with the State, including experience, relevant background, and anticipated duties. Please give brief resumes for each attorney.
3. Describe your firm's experience as bond counsel, general or special counsel, or underwriters' counsel for large governmental entities other than the State of Connecticut. Detail what percentage of your firm's total annual revenue is derived from the public finance law practice.
4. Describe any recent legislation related to the debt issuance of any Connecticut governmental entity that your firm had a principal role in preparing.
5. Discuss any federal tax and state law issues that the State should be mindful of in evaluating and incorporating derivative structures into its financings.

6. Provide information regarding your firm's professional liability insurance including the level of deductible and the coverage levels per occurrence and overall limits.
7. Provide a summary of the key strengths and qualifications of your firm to serve as Bond Counsel, Tax Counsel, Disclosure Counsel, and/or Underwriters' Counsel to the State. (Your response to this question should not exceed one page.)

**Part B: General Obligation Bond Counsel**

Firms have the option of providing the information requested under Part B. Responses to Part B must not exceed four pages.

1. Describe your understanding of Connecticut constitutional and statutory law relating to the issuance of General Obligation debt of the State.
2. Describe no more than four recent financings on which your firm served as either bond counsel or disclosure counsel (other than the State of Connecticut) that are most relevant to this RFP. For each financing, include the name of the issuer, date and amount of issue, method of sale, lead underwriter and underwriters' counsel (if applicable), issue structure, co-bond counsel (if any), and issuer contact and telephone number. Also indicate the lead partner from your firm on these financings.
3. Describe your firm's experience with working capital financings and cash flow borrowing programs on behalf of governmental issuers (other than the State of Connecticut). Discuss your firm's view of the major tax compliance issues involved in such financings.
4. Please describe any experience your firm has had implementing a new Personal Income Tax or Sales Tax Credit for an issuer.

**Part C: Special Tax Obligation Bond Counsel**

Firms have the option of providing the information requested under Part C. Responses to Part C must not exceed four pages.

1. Briefly describe your understanding of Connecticut constitutional and statutory law relating to the issuance of Special Tax Obligation debt of the State.
2. Describe your firm's expertise with special tax and revenue bond programs for transportation funding. Include experience your firm has had with federal transportation financing programs backed by federal funding, such as GARVEES, TIFIA, RRIF, TIGRs etc.
3. Describe no more than four recent financings on which your firm served as bond counsel on a special tax or revenue bond financing that is most relevant to this RFP. For each financing, include the name of the issuer, date and amount of issue, method of sale, lead underwriter and underwriters' counsel (if applicable), issue structure, co-bond counsel (if any), and issuer contact and telephone number. Also indicate the lead partner from your firm on these financings.

**Part D: Clean Water Fund/Drinking Water Fund Bond Counsel**

Firms have the option of providing the information requested under Part D. Responses to Part D must not exceed four pages.

1. Describe your understanding of Connecticut constitutional and statutory law relating to the issuance of Clean Water Fund/Drinking Water Fund debt of the State.
2. Describe your firm's experience with clean water fund/drinking water fund programs or other revolving fund programs financed with tax-exempt bond proceeds. For each program, include the name of the issuer, description of the program, the role of your firm and the length of your firm's involvement with the program.
3. Describe no more than four recent financings on which your firm served as bond counsel on a clean water fund/drinking water fund or revolving fund financing that are most relevant to this RFP. For each financing, include the name of the issuer, date and amount of issue, method of sale, lead underwriter and underwriters' counsel (if applicable), issue structure, co-bond counsel (if any), and issuer contact and telephone number. Also indicate the lead partner from your firm on these financings.
4. Describe how your firm would assist the State in monitoring changes in laws related to state revolving fund programs.
5. Provide examples of where your firm has assisted with an IRS audit related to a revolving fund financing.

**Part E: Bradley International Airport Bond Counsel**

Firms have the option of providing the information requested under Part E. Responses to Part E must not exceed four pages.

1. Describe your understanding of Connecticut constitutional and statutory law relating to the issuance of Bradley International Airport Revenue bonds and special facility bonds at Bradley International Airport.
2. Describe your firm's expertise with general airport revenues bonds, special facility bonds for airport facilities, Customer Facility Charge (CFC) revenue bonds and Passenger Facility Charge (PFC) revenue bonds including issues of alternative minimum tax, FAA approval and other tax, legal, or regulatory issues unique to these airport financings.
3. Describe no more than four recent financings on which your firm served as bond counsel on general airport revenue bonds, special facility bonds, CFC bonds or PFC bonds that are most relevant to this RFP. For each financing, include the name of the issuer, date and amount of issue, method of sale, lead underwriter and underwriters' counsel (if applicable), issue structure, co-bond counsel (if any), and issuer contact and telephone number. Also indicate the lead partner from your firm on these financings.

**Part F: UCONN Bond Counsel**

Firms have the option of providing the information requested under Part F. Responses to Part F must not exceed four pages.

1. Describe your understanding of Connecticut constitutional and statutory law relating to the issuance of bonds under the UCONN program.
2. List your firm's experience in university financing programs for public universities of the size and caliber of the University of Connecticut. For each program, include the name of the issuer, the description of the program, the role of your firm, and length of your firm's involvement with the issue.
3. Describe no more than four recent financings on which your firm served as bond counsel on a university financing most relevant to this RFP. For each financing, include the name of the issuer, date and amount of the issue, method of sale, lead underwriter and underwriters' counsel, issue structure, and co-bond counsel. Please include the issuer's contact name and telephone number. Also indicate the lead partner from your firm on these financings.
4. Please detail any bond counsel experience your firm has had with university hospital financings.

**Part G: Disclosure Counsel**

Firms have the option of providing the information requested under Part G. Responses to Part G must not exceed four pages.

1. What suggestions do you have to improve the organization and content of the State's official statement? (Refer to the 2015 Series E & B General Obligation Official Statement at [www.buyctbonds.com](http://www.buyctbonds.com).)
2. Comment on the adequacy of the State's disclosure in light of current laws and regulations. Describe any potential changes to disclosure requirements that are being discussed, and evaluate their impact on the State's disclosure process and product.
3. Describe no more than two recent financings by a state or local general obligation issuer where your firm had the principal role in preparing the disclosure information. For each financing, include the name of the issuer, date and amount of issue, method of sale, lead underwriter and underwriters' counsel (if applicable), issue structure, bond counsel (if separate from disclosure counsel), and issuer contact and telephone number. Discuss any unusual or difficult issues you confronted in preparing the disclosure and how such issues were resolved. Describe what opinions your firm gave with respect to the disclosure information.
4. The State is interested in utilizing its website and the internet for disclosure purposes. What experience does your firm have with website disclosure? Has your firm created or participated in the development of any website disclosure for large, state-level issuers (other than the State of Connecticut)? If so, please provide no more than two examples. What legal issues should be considered relative to such an effort?
5. Has your firm developed any innovations in disclosure documents for other clients that could be considered by the State? If so, please provide no more than two examples.

**Part H: Tax Counsel**

All firms have the option of providing the information requested under Part H. Responses to Part H must not exceed five pages.

1. Describe no more than two recent financings (other than the State of Connecticut) where your firm served as tax or bond counsel in a multi-purpose transaction in which your role included obtaining the consensus of other counsel and the issuer on the federal income tax principles, which would guide the transaction.
2. Describe the major federal tax principles that affect the uses of proceeds in a multi-purpose general obligation tax-exempt bond issue.
3. Describe your understanding of Connecticut law regarding the exemption of interest on state and local bonds from the various taxes of the State of Connecticut.
4. Describe you firm's experience with cash flow and deficit financing and any tax issues relative to the financings.
5. Provide examples of where your firm has assisted clients with an IRS audit.

**Part I: Fee Proposal**

All firms must provide the fee proposal information requested herein. Responses to Part I must not exceed two pages.

1. Please provide your firm's proposed hourly fees for legal services based on level of legal professionals employed.
2. Please identify any alternate fee structures, other than hourly rates, that would be acceptable to your firm. Include specific charges or prices. Discuss the benefit to the State of such arrangements and any limitations thereon.
3. Discuss the approach your firm takes to efficiently allocate the legal work assignments to professionals of various levels (i.e. Partner, Associate, and Paralegal) in order to meet client needs for high-quality legal services at an effective cost.

**Part J: Compliance**

**Legal and Policy Attachments.** Complete all 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. **Legal and Policy Attachments should be separately bound.**

**Section VIII - RFP Conditions**

1. All proposals submitted in response to this RFP will become the sole property of the Office of the Treasurer.

2. The Treasurer is required, as a part of the procurement process, to certify that the Respondent awarded this contract was not selected 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 execute certain Legal and Policy Attachments at the time of contract execution. The failure to provide such additional affidavits shall be grounds for disqualification.
4. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of the RFP will become the sole property of the Office of the Treasurer.
5. Timing and sequence of events resulting from this RFP will ultimately be determined by the Office of the Treasurer.
6. 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.
7. By submitting its proposal, the Respondent warrants that all information provided in response to this RFP is accurate and complete as of the date of submission. Respondent has an ongoing obligation during the pendency of this RFP to inform the Office of the Treasurer if any information previously provided is no longer true or complete, and to provide updated information. Failure to do so is grounds for disqualification.
8. The Office of the Treasurer may amend or cancel this RFP at any time, if the Agency 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.
9. Any costs and expenses incurred by Respondents in preparing or submitting proposals, including travel expenses incurred to attend Respondent's 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 Office of the Treasurer 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 Office of the Treasurer participated directly in the Respondent's proposal preparation.
12. All responses to the RFP must conform to instruction. Failure to include any required signatures, to provide the required number of copies, to meet deadlines, to answer all questions, to follow the required format, or to comply with any other requirements of this RFP may be considered appropriate cause for rejection of the response.
13. The Respondent must accept the Office of the Treasurer's standard contract language and conditions. See Standard Contract, attached hereto as Attachment M.
14. The Office of the Treasurer reserves the right to award in part or to reject any and all proposals in whole or in part for misrepresentation or if the Respondent is in default of any prior State contract, or if the

proposal limits or modifies any of the terms and conditions and/or specifications of the RFP. The Office of the Treasurer also reserves the right to waive technical defects, irregularities, and omissions if, in its judgment, the best interest of the State will be served.

15. The Office of the Treasurer reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a Respondent and subsequently awarding the contract to another Respondent. Such action on the part of the Office of the Treasurer shall not constitute a breach of contract on the part of the Agency since the contract with the initial Respondent is deemed to be void *ab initio* and of no effect as if no contract ever existed between the Office of the Treasurer and the Respondent.
16. Prior to its engagement by the Office of the Treasurer, the successful Respondent shall furnish the Office of the Treasurer with a current and valid Letter of Good Standing issued by the State of Connecticut Department of Revenue Services, pursuant to Connecticut General Statutes 12-2. The failure of the successful Respondent to timely provide a Letter of Good Standing prior to engagement may result in the removal and replacement of the successful Respondent.



**State of Connecticut**  
**Office of the Treasurer**  
**Legal and Policy Attachments**

Directions for completion of Legal and Policy Attachments

**A link to each of the statutes cited is provided beginning on page 4. Documents to be completed begin on page 5.**

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 her 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, mental retardation, 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. §3-13j: <http://www.state.ct.us/ott/disclosure/amendedregulations.pdf>

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 her 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 her 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](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](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](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](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](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](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](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](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](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](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](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](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](http://www.ct.gov/chro/lib/chro/Contract_Compliance_Regs.pdf)

**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES  
CONTRACT COMPLIANCE REGULATIONS  
NOTIFICATION TO BIDDERS**

(Revised 09/17/07)

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 bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding 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 Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

**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 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 includes 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; dieticians; 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.

<p><u>White</u> (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.</p> <p><u>Black</u>(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</p> <p><u>Hispanic</u>- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p>	<p><u>Asian or Pacific Islander</u>- 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.</p> <p><u>American Indian or Alaskan Native</u>- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p>
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## 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 CT Yes__ No__
Other Locations in Ct. (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__	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__
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes__ No__	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes__ No__
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes__ No__	9. Does your company have a mandatory retirement age for all employees? Yes__ No__
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? 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__ NA__
5. Do you notify the Ct. State Employment Service of all employment openings with your company? 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__
6. Does your company have a collective bargaining agreement with workers? Yes__ No__ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes__ No__	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**

(Page 4)

1. Will the work of this contract include subcontractors or suppliers? Yes\_\_ No\_\_

1a. 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)

1b. 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.state.ct.us/ott](http://www.state.ct.us/ott) and click on the doing business link and then on the “compliance” tab to download a fillable **EMPLOYER INFORMATION REPORT**. Provide employment data for the current year and each of the previous 2 years (for a total of **3 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)				2. Check (X) any of the below listed requirements that you use as a hiring qualification  (X)		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					Work Experience	
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 TREASURER

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EMPLOYMENT PRACTICES INFORMATION

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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 \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

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

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Commissioner of the Superior Court/  
Notary Public

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Commission Expiration Date

STATE OF CONNECTICUT  
OFFICE OF THE TREASURER

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:

- I am over eighteen (18) years of age and believe in the obligations of an oath.
- \_\_\_\_\_ (firm name) intends to enter into a contract to furnish services to the Office of the State Treasurer (the "Contract").
- 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 <sup>1</sup>

(Attach additional copies of this page as necessary.)

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

- 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: \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court

<sup>1</sup> Please attach documents evidencing the terms of the fee arrangement and services.

**FORM A3A: FOR COMPLETION BY ALL VENDORS BEFORE  
CONTRACTING**

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

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**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**

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**GIFT AFFIDAVIT**

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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(e), including a life event gift as defined in Conn. Gen. Stat. § 1-79(e)(12), 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.

**Certifying Official:**

Signature \_\_\_\_\_

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*

---

**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

COMPANY (“Respondent”) \_\_\_\_\_

I \_\_\_\_\_ hereby represent that:  
(name and title)

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.
3. Except as disclosed in the Supplemental Information attached hereto, I am not aware of any activities of the Respondent, its affiliates, or any officers, directors or employees of the Respondent or its affiliates, that are likely to result in any of the above investigations or proceedings.
4. Respondent has adequate procedures in place to undertake internal investigations of its employees, officers and directors, which procedures are described in the Supplemental Information attached hereto.

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

**Certifying Official:**

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

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** \_\_\_\_\_

**2a.**

**2b.**

**2c.**

**4.**

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 or solicited contributions on behalf of an exploratory committee or candidate committee established or controlled by the State Treasurer for her nomination or election to the Office of the Connecticut State Treasurer;

(2) (a) made a contribution to or (b) knowingly solicited contributions from Respondent's employees, subcontractors, or principals of subcontractors 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, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) 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 before me on this      day of      , 20\_\_.

\_\_\_\_\_  
Commissioner of the Superior Court/  
Notary Public

\_\_\_\_\_  
Commission Expiration Date

## 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*

This notice is provided under the authority of Connecticut General Statutes §9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

### 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.

# SEEC FORM 10

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

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## 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

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**ACKNOWLEDGEMENT OF RECEIPT**

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE (mm/dd/yyyy)

**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.

**Certifying Official:**

Signature \_\_\_\_\_

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*

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**CONFLICTS OF INTEREST**

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**COMPANY (“Respondent”)** \_\_\_\_\_

In accordance with the State of Connecticut laws and regulations, for the years 2010 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 firm, 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.

**Certifying Official:**

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

**Sworn and subscribed to before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.**



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

Commissioner of the Superior Court/ Notary Public Commission Expiration Date

**PROFESSIONAL EMPLOYMENT AGREEMENT  
BETWEEN THE STATE OF CONNECTICUT,  
ACTING BY ITS ATTORNEY GENERAL and ITS TREASURER,  
AND**

---

This agreement (this "Agreement") is made by and between the STATE OF CONNECTICUT, acting by its ATTORNEY GENERAL, George C. Jepson, duly authorized pursuant to Section 3-125 of the Connecticut General Statutes and its TREASURER, Denise L. Nappier, duly authorized pursuant to Section 3-11a of the Connecticut General Statutes, both with offices at 55 Elm Street, Hartford, CT 06106 and \_\_\_\_\_ ("COUNSEL") acting by its \_\_\_\_\_, with its principal place of business at \_\_\_\_\_.

In consideration of these premises and for other good and valuable consideration, the receipt and sufficiency of which are acknowledged, the parties agree as follows:

**SECTION I: SCOPE OF SERVICES**

- 1.1 See Section II - Scope of Services in the RFP for Bond Counsel, Disclosure Counsel and Tax Counsel Services.

**SECTION 2: AGREEMENT ADMINISTRATION**

- 2.1 The person in charge of administering this Agreement on behalf of the ATTORNEY GENERAL is Mark F. Kohler and his successors in office, whose address and telephone number are as follows:

TITLE: Assistant Attorney General  
ADDRESS: 55 Elm Street  
Hartford, CT 06106  
TELEPHONE: (860) 808-5020  
FAX: (860) 808-5347

- 2.2 The person in charge of administering this Agreement on behalf of the TREASURER is Sarah K. Sanders and her successors in office, whose address and telephone number are as follows:

TITLE: Assistant Treasurer for Debt Management  
ADDRESS: 55 Elm Street  
Hartford, CT 06106  
TELEPHONE: (860) 702-3288  
FAX: (860) 702-3034

2.3 The person in charge of administering this Agreement on behalf of the COUNSEL is \_\_\_\_\_ whose title, address, telephone number and facsimile number is as follows:

TITLE: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
TELEPHONE: \_\_\_\_\_  
FAX: \_\_\_\_\_

2.4 The professional staff member/s of COUNSEL primarily responsible for managing the performance of this Agreement is \_\_\_\_\_. Each of COUNSEL's professional staff expected to perform services under this agreement and his/her respective hourly billable rate is listed on Appendix C attached hereto. The parties hereby agree that, without amending this Agreement, the COUNSEL may, from time to time, but solely upon prior written notice to the TREASURER or her designee, change Appendix C to reflect the then current staffing and hourly billing rates of attorneys performing the Services provided under this Agreement. Provided however, that no change may validly be made to Appendix C if such change does not strictly conform to the terms of subsection 3.1 of Section 3 of this Agreement. (Compensation and Reimbursement) COUNSEL hereby expressly agrees that: (a) any bill submitted by COUNSEL that does not accurately reflect such staff and his/her respective hourly billing rate listed on Appendix C may be rejected by the State and (b) any bill submitted by COUNSEL for Services performed by COUNSEL's staff during a period of time that such staff is or was not listed on Appendix C may be rejected and remain unpaid by the State.

2.5 Within seven days after receiving a request by the ATTORNEY GENERAL or the TREASURER, the COUNSEL shall remove from assignment to this Agreement any specified professional or other staff and, at the ATTORNEY GENERAL'S or the TREASURER'S request, shall augment the remaining staff with such other staff as is acceptable to the ATTORNEY GENERAL and the TREASURER.

**SECTION 3: COMPENSATION AND REIMBURSEMENT**

3.1 The ATTORNEY GENERAL and the TREASURER agree to compensate the COUNSEL for Services solely in accordance with the following hourly rate schedule:

- (a) Partners \$\_\_\_\_\_ per hour
- (b) Members \$\_\_\_\_per hour
- (c) Associates \$\_\_\_\_ per hour
- (d) Paralegals \$\_\_\_\_\_ per hour
- (e) Office Clerk \$\_\_\_\_ per hour

The above hourly rates shall be charged only for actual time spent rendering such Services; the COUNSEL shall not "round off" time. The time spent rendering Services shall be billed to the tenth of an hour within any single workday. The ATTORNEY

GENERAL and the TREASURER shall not be charged for any other time expended by the COUNSEL during travel, overnight stays, or the like associated with the performance of the Services.

- 3.2 Compensation will be paid only after the submission of itemized documentation, in a form acceptable to the ATTORNEY GENERAL, the TREASURER, the Assistant Attorney General and the Treasurer's General Counsel. Billings are to be on a monthly basis. The billings must contain, at a minimum, a detailed description of the work performed, the date of performance, the actual time spent performing the work, the name and position of the person(s) rendering the Service and the rate charged for that Service. The monthly bill must also be accompanied by a summary of time and charges billed for each attorney and paralegal itemized on the invoice. Upon the request of the ATTORNEY GENERAL, or the Treasurer, COUNSEL must submit a summary memorandum describing how the Service rendered furthered resolution of the matter and the current status of the matter. The ATTORNEY GENERAL, the TREASURER or their respective designees may, prior to authorizing payment under this Section, require the COUNSEL to submit such additional accounting and information as is deemed to be necessary or appropriate. The COUNSEL shall not be compensated for any time spent preparing any billing documentation, including but not limited to such documentation and accompanying memoranda required by this Section and the Status Reports and Records Section of this Agreement. All bills must be sent to **Office of the Attorney General-Business Office, 55 Elm Street-4th Floor Annex, Hartford, Connecticut 06106-1774, with a copy to the Office of the Treasurer, c/o its General Counsel, 55 Elm Street, Hartford, CT 06106.**
- 3.3 [Intentionally left blank]
- 3.4 The ATTORNEY GENERAL and the TREASURER agree to reimburse the COUNSEL for actual, necessary and reasonable out-of-pocket disbursements and expenses, including filing fees, court costs, computerized research (at cost), commercial messenger and delivery services (at cost), expert witnesses, consultants, mediators, investigative services, long distance telephone calls, and transcript or deposition costs. The ATTORNEY GENERAL and the TREASURER shall not reimburse the COUNSEL for any overhead related expenses, including, but not limited to, duplicating, secretarial, facsimile (other than long-distance telephone line charges), clerical staff, library staff, proofreading staff, meals and in-state transportation costs or expenses unless they are otherwise approved by the ATTORNEY GENERAL, the TREASURER or their respective designees. The COUNSEL shall be reimbursed for reasonable expenses for transportation, specifically excluding first class airfare, parking and reasonable lodging and meals associated with interstate travel as approved in advance by the ATTORNEY GENERAL, the TREASURER or their respective designees. Reimbursable interstate travel shall not include travel to meet with staff of the TREASURER or the ATTORNEY GENERAL, and all such meetings shall be conducted in Hartford, Connecticut, unless otherwise specified by the TREASURER or the ATTORNEY GENERAL.

- 3.5 The COUNSEL shall not be compensated for time spent on background or elementary legal research or any legal training without the prior written consent of the ATTORNEY GENERAL and the TREASURER. For the purposes of this Agreement, elementary legal research includes, but is not limited to, any matter which is addressed in Connecticut Lawyers Basic Practice Manual (1986) and Connecticut Lawyers Basic Practice Manual (1989). Charges for legal research must be accompanied by a detailed description setting forth the purpose of the research and summarizing its nature. Any written material produced as a result of such research shall be available to the ATTORNEY GENERAL, the TREASURER or their respective designees immediately upon request. The ATTORNEY GENERAL and the TREASURER or their respective designees shall have the final decision in all disputes between the parties to this Agreement under this subsection.
- 3.6 The COUNSEL shall not be compensated for time spent in consultation with any attorney or other employee of the ATTORNEY GENERAL, the TREASURER or their respective designees concerning the administration of this Agreement and/or issues relating to billing. Unless otherwise authorized by the ATTORNEY GENERAL, the TREASURER or their respective designees, compensation for communication between or among attorneys and/or staff within the COUNSEL'S law firm is limited to the time and billing rate of the most senior attorney or staff member participating in the communication. These charges must be accompanied by a detailed description setting forth the purpose of the communication and summarizing its details. The ATTORNEY GENERAL, the TREASURER or their respective designees shall make the final determination, in his or her sole discretion, as to the adequacy of such description.
- 3.7 Absent the consent of the ATTORNEY GENERAL, the TREASURER or their respective designees, the COUNSEL shall not be compensated for the attendance or participation of more than one attorney representing the State of Connecticut at or during any meeting, conference or proceeding, in person or otherwise, in any forum, in connection with performing the Services. Where more than one attorney has attended or participated in any such meeting, conference or proceeding without the consent of the ATTORNEY GENERAL, the TREASURER or their respective designees, the COUNSEL shall be compensated only for the time of the most senior attorney in attendance or participating.
- 3.8 Except for arrangements agreed to pursuant to sub section 3.2 above, absent the consent of the ATTORNEY GENERAL, the TREASURER or their respective designees, the COUNSEL shall not be compensated for the attendance or participation of more than one attorney representing the State of Connecticut at or during any meeting, conference or proceeding, in person or otherwise, in any forum, in connection with performing the Services. Where more than one attorney has attended or participated in any such meeting, conference or proceeding without the consent of the ATTORNEY GENERAL, the TREASURER or their respective designees, the COUNSEL shall be compensated only for the time of the most senior attorney in attendance or participating.

- 3.9 Except for arrangements agreed to pursuant to sub section 3.2 above, the COUNSEL shall not be compensated for the performance of paralegal or clerical type duties performed by an attorney. Paralegal duties or clerical duties include, by way of example and not limitation, routine proofreading of pleadings and other correspondence, preparation of trial or closing binders or notebooks, photocopying and coordinating the schedules of others.
- 3.10 Except for arrangements agreed to pursuant to sub section 3.2 above, the ATTORNEY GENERAL and the TREASURER shall approve for payment all undisputed fees and costs, as soon as the documentation can properly be processed in accordance with usual State practice.
- 3.11 Except for arrangements agreed to pursuant to subsection 3.2 above, maximum payments under this Agreement shall not exceed \_\_\_\_\_ Dollars (\$\_\_\_\_\_).
- 3.12 The ATTORNEY GENERAL shall have the right, without the need of prior notice to the COUNSEL, to assign the performance of some aspect of the Services to an Associate or Assistant Attorney General where the ATTORNEY GENERAL, the TREASURER or their respective designees, in their discretion, find that such an assignment would best serve the interests of the State of Connecticut. This assignment shall not be deemed to be a breach of contract, the TREASURER or their respective designees.
- 3.13 Compensation and reimbursement provided under this Section constitutes full and complete payment for all costs and expenses incurred or assumed by the COUNSEL in performing this Agreement. No other costs, expenses or overhead items shall be reimbursed by the ATTORNEY GENERAL, the TREASURER or their respective designees.

#### **SECTION 4: TERMINATION OF AGREEMENT**

- 4.1 Notwithstanding any provisions in this Agreement, the ATTORNEY GENERAL, the TREASURER or their respective designees, may terminate this Agreement whenever the ATTORNEY GENERAL, the TREASURER or their respective designees make a written determination that such termination is in the best interests of the State. The ATTORNEY GENERAL, the TREASURER or their respective designees shall notify the COUNSEL in writing of termination pursuant to this Section, which notice shall specify the effective date of termination and the extent to which the COUNSEL must complete performance of the Services prior to such date.
- 4.2 Upon receipt of a written notice of termination from the ATTORNEY GENERAL, or the TREASURER of termination, the COUNSEL shall immediately cease operations as directed by the ATTORNEY GENERAL, the TREASURER or their respective designees in the notice, and take all actions that are necessary or appropriate, or that the ATTORNEY GENERAL, the TREASURER or their respective designees may reasonably direct, for the protection and preservation of the Records, as defined in the

Indemnification Section of this Agreement. Except for any work which the ATTORNEY GENERAL, the TREASURER or their respective designees direct the COUNSEL to perform in the notice prior to the effective date of termination, and except as otherwise provided in the notice, the COUNSEL shall terminate or conclude all existing subcontracts.

- 4.3 In the case of any termination, the ATTORNEY GENERAL shall, within forty-five (45) days of final billing after the effective date of termination, pay the COUNSEL for its performance rendered and accepted by the ATTORNEY GENERAL, in addition to all actual and reasonable costs incurred after notice of termination in completing those portions of the Services which the COUNSEL was required to complete by the notice. However, the COUNSEL is not entitled to receive and the ATTORNEY GENERAL is not obligated to tender to the COUNSEL any payments for anticipated or lost profits.
- 4.4 Upon termination of this Agreement, all rights and obligations hereunder shall be null and void, so that no party shall have any further rights or obligations to any other party, except with respect to the sections and provisions which survive termination. All representations, warranties, agreements and rights of the parties under this Agreement shall survive such termination to the extent not otherwise limited in this Agreement and without each one of them having to be specifically mentioned in this Agreement.
- 4.5 Termination of this Agreement pursuant to this Section shall not be deemed to be a breach of contract by the ATTORNEY GENERAL, the TREASURER or their respective designees.
- 4.6 Upon receipt of written notification from the ATTORNEY GENERAL, the TREASURER or their respective designees of termination, the COUNSEL shall immediately cease to perform the Services unless otherwise directed by the ATTORNEY GENERAL, the TREASURER or their respective designees or to the extent necessary to prevent the State from failing to make timely filings or otherwise failing to comply with court orders or the law. The Records are deemed to be the property of the State. The COUNSEL shall assemble and deliver to the ATTORNEY GENERAL all Records in electronic, magnetic, paper or any other form, that may be in the COUNSEL'S possession or custody, and shall transmit the same to the ATTORNEY GENERAL or his designee as soon as possible in a non-proprietary format no later than the fifteenth day following the receipt of the above written notice, together with a detailed hourly description of the Services performed and expenses reasonably incurred.
- 4.7 The parties mutually agree that COUNSEL may terminate this Agreement upon sixty (60) days' written notice delivered to ATTORNEY GENERAL or the TREASURER by certified or registered mail to the addresses provided in Section 2 of this Agreement. Following the delivery of any notice of termination hereunder, the COUNSEL shall perform all of its obligations hereunder in good faith as directed by the State and will cooperate fully with the State in taking all necessary or appropriate steps in order to

effectuate the orderly transfer of management functions to third parties designated by the State. If COUNSEL terminates this Agreement, COUNSEL shall not be entitled to any compensation for Services that are rendered or payment for expenses that are incurred subsequent to the date of termination.

- 4.8 On the effective date of COUNSEL's termination, the COUNSEL shall immediately cease to perform the Services except to the extent necessary to prevent the State from failing to make timely filings or otherwise failing to comply with court orders or the law. The Records are deemed to be the property of the State. The COUNSEL shall assemble and deliver to the ATTORNEY GENERAL all Records in electronic, magnetic, paper or any other form, that may be in its possession or custody, and shall deliver the same to the ATTORNEY GENERAL or his designee as soon as possible in a non-proprietary format, such as, but not limited to, ASCII or .TXT, but no later than the fifteenth day following the transmittal of the written notice, together with a description of the cost of the Services performed and expenses reasonably incurred.
- 4.9 Except for arrangements agreed to pursuant to subsection 3.2 above; if COUNSEL terminates this Agreement, COUNSEL shall not be entitled to any compensation for Services that are rendered or payment for expenses that are incurred subsequent to the date of termination.

#### **SECTION 5: TIME OF PERFORMANCE**

- 5.1 The COUNSEL shall perform the Services at such times and in such sequence as may be reasonably directed by the ATTORNEY GENERAL and the TREASURER.
- 5.2 This Agreement will run from its effective date until the tasks set forth in the Scope of Services Section of this Agreement are performed or completed to the satisfaction of the ATTORNEY GENERAL and the TREASURER, or unless sooner terminated in accordance with Section 4 hereof (Termination of Agreement), but in no event beyond November 30, 2016, unless otherwise amended.

#### **SECTION 6: SETOFF**

- 6.1 In addition to all other remedies that the ATTORNEY GENERAL and the TREASURER may have, the ATTORNEY GENERAL and the TREASURER, in their sole discretion, may setoff (1) any costs or expenses that the State incurs resulting from the COUNSEL's unexcused non-performance under this Agreement and under any other agreement or arrangement that the COUNSEL has with the State and (2) any other amounts that are due or may become due from the State to the COUNSEL, against amounts otherwise due or that may become due to the COUNSEL under this Agreement, or under any other agreement or arrangement that the COUNSEL has with the State. The State's

right of setoff shall not be deemed to be the State's exclusive remedy for the COUNSEL's breach of this Agreement, all of which shall survive any setoffs by the State.

## **SECTION 7: CROSS DEFAULT**

- 7.1 If the COUNSEL breaches, defaults or in any way fails to perform satisfactorily under this Agreement, then the ATTORNEY GENERAL and the TREASURER may, in their sole discretion, without more and without any action whatsoever required of the ATTORNEY GENERAL and the TREASURER, treat any such event as a breach, default or failure to perform under any or all other agreements or arrangements ("Other Agreements") that the COUNSEL has with the State. Accordingly, the ATTORNEY GENERAL and the TREASURER may then exercise at their sole option any and all of their rights or remedies provided for in this Agreement or Other Agreements, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the ATTORNEY GENERAL and the TREASURER, as if the COUNSEL had suffered a breach, default or failure to perform under the Other Agreements.
- 7.2 If the COUNSEL breaches, defaults or in any way fails to perform satisfactorily under any or all Other Agreements with the State, then the ATTORNEY GENERAL and the TREASURER may, in their sole discretion, without more and without any action whatsoever required of the State, treat any such event as a breach, default or failure to perform under this Agreement. Accordingly, the ATTORNEY GENERAL and the TREASURER may then exercise at their sole option any and all of its rights or remedies provided for in the Other Agreements or this Agreement, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the State, as if the COUNSEL had suffered a breach, default or failure to perform under this Agreement.

## **SECTION 8: REPRESENTATIONS AND WARRANTIES**

- 8.1 The COUNSEL represents and warrants to the ATTORNEY GENERAL and the TREASURER for itself and for the COUNSEL'S Agents, as defined in the Indemnification Section of this Agreement, as applicable, that:
- (a) COUNSEL duly and validly exists under the laws of its state of organization and is authorized to conduct business in the State of Connecticut in the manner contemplated by this Agreement. Further, it has taken all necessary action to authorize the execution, delivery and performance of the proposal and this Agreement and has the power and authority to execute, deliver and perform its obligations under this Agreement;
  - (b) it will comply with all applicable State and Federal laws and municipal ordinances in satisfying its obligations under and pursuant to this Agreement, including, but not limited to Connecticut General Statutes Title 1, Chapter 10,

- concerning the State's Codes of Ethics;
- (c) the execution, delivery and performance of this Agreement will not violate, be in conflict with, result in a breach of or constitute (with or without due notice and/or lapse of time) a default under any of the following, as applicable: (1) any provision of law; (2) any order of any court or the State; or (3) any indenture, agreement, document or other instrument to which it is a party or by which it may be bound;
  - (d) it is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any governmental entity;
  - (e) COUNSEL and COUNSEL'S Agents have not, within the three years preceding this Agreement, in any of their current or former jobs, been convicted of, or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a transaction or contract with any governmental entity. This includes, but is not limited to, violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (f) COUNSEL and COUNSEL'S Agents are not presently indicted or, to the best of their knowledge, under investigation for or otherwise criminally or civilly charged by any governmental entity with commission of any of the offenses listed above;
  - (g) COUNSEL and COUNSEL'S Agents have not within the three years preceding this Agreement had one or more contracts with any governmental entity terminated for cause;
  - (h) to the best of its knowledge, there are no Claims, as defined in the Indemnification Section of this Agreement, involving the COUNSEL that might reasonably be expected to materially adversely affect its businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under this Agreement;
  - (i) it shall disclose, to the best of its knowledge, to the ATTORNEY GENERAL and the TREASURER in writing any Claims involving them that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under this Agreement, no later than ten (10) days after becoming aware or after they should have become aware of any such Claims;
  - (j) its participation in the request for proposal process is not a conflict of interest or a breach of ethics under the provisions of Title 1, Chapter 10 of the Connecticut General Statutes concerning the State's Code of Ethics;
  - (k) the proposal was not made in connection or concert with any other person, entity or proposer submitting a proposal and is in all respects fair and without collusion or fraud;
  - (l) it has paid all applicable workers' compensation second injury fund assessments concerning all previous work done in Connecticut;
  - (m) it owes no past due unemployment compensation contributions;

- (n) it is not delinquent in the payment of any taxes owed to the State of Connecticut.
- (o) it shall not copy or divulge to any third party any information or any data in any form obtained or produced in connection with the performance of its duties and responsibilities pursuant to this Agreement other than in connection with the performance of those duties and responsibilities. The COUNSEL shall keep all confidential or privileged the Records in secured areas and shall take reasonable precautions to protect the Records from the dangers of fire, theft, flood, natural disasters and other physical threats, as well as unauthorized access.
- (p) During the course of this Agreement, the COUNSEL shall not represent any other client if such representation will materially affect its duties or obligations to the State of Connecticut or the ATTORNEY GENERAL or the TREASURER or create an appearance of impropriety.

The COUNSEL will not knowingly enter into or retain any business relationships or enterprise in which an employee of the office of the Attorney General holds an interest, other than a nominal interest in a publicly held corporation, without the prior written consent of the ATTORNEY GENERAL or the TREASURER

## **SECTION 9: STATUS REPORTS AND RECORDS**

- 9.1 Upon written or oral request by the ATTORNEY GENERAL or his designee, the COUNSEL will promptly report on the status of the Services performed, including, but not limited to, problems, strategy, analysis and the like. A copy of any such report shall be furnished to the TREASURER, or her designee.
- 9.2 The above-described reports shall be provided in writing or orally, as directed by the person requiring a work status report.
- 9.3 The COUNSEL, upon the request of the ATTORNEY GENERAL or his designee, shall give to the ATTORNEY GENERAL, the TREASURER or their respective designees all original documentation, or, in the sole discretion of the ATTORNEY GENERAL, the TREASURER or their respective designees, copies thereof, filed in the course of, or arising out of, the COUNSEL'S performance of the Services. The COUNSEL shall otherwise maintain all original documentation, or copies thereof in the manner specified in the Representation and Warranties Section of this Agreement, for a period of six (6) years after the termination of this Agreement.

## **SECTION 10: INSURANCE**

- 10.1 Before commencing performance of the Services, the COUNSEL shall obtain and maintain at its own cost and expense for the duration of this Agreement, the following insurance:
  - (a) Commercial General Liability: \$1,000,000 combined single limit per occurrence for bodily injury, personal injury and property damage. Coverage shall include,

Premises and Operations, Independent Contractors, Products and Completed Operations, Contractual Liability and Broad Form Property Damage coverage. If a general aggregate is used, the general aggregate limit shall apply separately to the work covered by this Agreement or the general aggregate limit shall be twice the occurrence limit.

- (b) Automobile Liability: \$1,000,000 combined single limit per accident for bodily injury. Coverage extends to owned, hired and non-owned automobiles. If the COUNSEL does not own an automobile, but one is used in the performance of the Services, then only hired and non-owned coverage is required. If a vehicle is not used in the performance of the Services, then automobile coverage is not required.
- (c) Workers' Compensation and Employers Liability: coverage in compliance with applicable workers compensation laws. Coverage shall include Employer's Liability with minimum limits of \$100,000 each accident, \$500,000 Disease - Policy limit, \$100,000 each employee.
- (d) Professional Liability: The COUNSEL shall secure and maintain, at no cost or expense to the State, a professional liability insurance policy in a form acceptable to the ATTORNEY GENERAL in the minimum amount of Five Million dollars (\$5,000,000) with a deductible not to exceed Five Hundred Thousand dollars (\$500,000). This policy shall insure the COUNSEL against damages and costs resulting from negligent acts, errors, and omissions in the work performed by the COUNSEL on and after the effective date of, and under the terms of, this Agreement. The COUNSEL may, at its election, obtain a policy containing a maximum Five Hundred Thousand dollars (\$500,000) deductible clause, but if so, the COUNSEL shall be liable, as stated above herein, to the extent of the deductible amount.

10.2 No later than thirty (30) days after the effective date of this Agreement, the COUNSEL shall furnish to the ATTORNEY GENERAL, the TREASURER or their respective designees on a form or forms acceptable to the ATTORNEY GENERAL, the TREASURER or their respective designees, a Certificate of Insurance, including amendment(s), fully executed by an insurance company or companies satisfactory to the ATTORNEY GENERAL, the TREASURER or their respective designees for the insurance policy or policies required in the Status Reports and Records Section of this Agreement, which policy or policies shall be in accordance with the terms of the Certificate of Insurance.

## **SECTION 11: INDEMNIFICATION**

11.1 The COUNSEL shall indemnify, defend and hold harmless the State and its successors and assigns from and against all actions (pending or threatened and whether at law or in equity in any forum), liabilities, damages, losses, costs and expenses, including but not limited to reasonable attorneys' and other professionals' fees, resulting from (i) misconduct or negligent or wrongful acts (whether of commission or omission) of the COUNSEL or any of its members, directors, officers, shareholders, representatives,

agents, servants, employees or other persons or entities under the supervision or control of the COUNSEL while rendering professional services to the State under this Agreement, or (ii) any breach or non-performance by the COUNSEL of any representation, warranty, duty or obligation of the COUNSEL under this Agreement ((i) and (ii), each and collectively, the "Acts"). The COUNSEL shall use counsel reasonably acceptable to the State in carrying out its obligations under this Section. The COUNSEL's obligations under this Section to indemnify, defend and hold harmless against Claims includes Claims concerning confidentiality of any part of or all of the proposal or any Records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions or articles furnished or used in the performance of this Agreement.

- 11.2 The COUNSEL shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the COUNSEL or any COUNSEL Agents. The State shall give the COUNSEL reasonable notice of any such Claims.
- 11.3 The COUNSEL's duties under this Section shall remain fully in effect and binding in accordance with the terms and conditions of this Agreement, without being lessened or compromised in any way, even where the COUNSEL is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.
- 11.4 The rights provided in this Section for the benefit of the State shall encompass the recovery of attorneys' and other professionals' fees expended in pursuing a Claim against a third party.
- 11.5 This section shall survive the termination, cancellation or expiration of this Agreement, and shall not be limited by reason of any insurance coverage.
- 11.6 The term "Claims" means all actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmaturing, contingent, known or unknown, at law or in equity, in any forum.
- 11.7 The term "COUNSEL'S Agents" means the COUNSEL's members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the COUNSEL is in privity of oral or written contract and the COUNSEL intends for such other person or entity to perform under this Agreement in any capacity.
- 11.8 The term "Records" means all working papers and such other information and materials as may have been accumulated by the COUNSEL or COUNSEL Agents in performing this Agreement, including but not limited to, documents, data, plans, books, computations, drawings, specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.

- 11.9 The COUNSEL shall not use, raise, or plead the defense of sovereign or governmental immunity in the adjustment or settlement of any Claims against the COUNSEL arising out of the work performed under this Agreement, or as a defense in any Claims, unless specifically authorized to do so in writing by the ATTORNEY GENERAL, the TREASURER or their respective designees.

## **SECTION 12: CHANGES TO THIS AGREEMENT**

- 12.1 Any and all amendments, changes, extensions, revisions or discharges of this Agreement, in whole or in part, on one or more occasions, must be in writing and executed by all the parties to this Agreement in order to be enforceable.

## **SECTION 13: REQUIRED PERSONNEL/OFFICE**

- 13.1 On or before the effective date of this Agreement, the COUNSEL shall have secured, and shall maintain during the term of this Agreement, all at its sole cost and expense (i) such appropriately skilled and competent personnel and supporting staff in adequate numbers; and (ii) such equipment as are reasonably necessary or appropriate to fully perform the Services to the satisfaction of the ATTORNEY GENERAL, the TREASURER or their respective designees.
- 13.2 The personnel shall not be employees of or have any contractual relationship with the Office of the Attorney General, or the Office of the State Treasurer.
- 13.3 All the Services shall be performed by the COUNSEL or under its supervision, and all personnel engaged in the Services shall be fully qualified and shall be authorized or permitted under law to perform the applicable Services.

## **SECTION 14: NONDISCRIMINATION AND AFFIRMATIVE ACTION PROVISIONS**

- 14.1 (a) For purposes of this Section, the following terms are defined as follows:
- i. "Commission" means the Commission on Human Rights and Opportunities;
  - ii. "Contract" and "contract" include any extension or modification of the Contract or contract;
  - iii. "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;
  - iv. "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other

- evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose.
- v. "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
  - vi. "good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
  - vii. "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
  - viii. "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
  - ix. "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the 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 Connecticut General Statutes § 32-9n; and
  - x. "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and "contract" do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

The following subsections are set forth here as required by Section 4a-60, as amended by State of the Connecticut General Statutes; references in this Section 14 references to "contractor" shall mean the COUNSEL; and references to "commission" shall mean the Connecticut Commission on Human Rights and Opportunities:

- 14.2 (1) The contractor agrees and warrants that in the performance of the Agreement such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. The contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed

without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (2) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (3) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (5) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56.

- 14.3 If the Agreement is a public works contract, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.
- 14.4 Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- 14.5 The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.
- 14.6 The contractor shall include the provisions of subsection 14.2 above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or

vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

- 14.7 As required by section 4a-60a of the Connecticut General Statutes, as amended:
- 14.8 The contractor agrees and warrants that in the performance of the Agreement such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56; and (4) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56.
- 14.9 The contractor shall include the provisions of subsection 14.6 above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.
- 14.10 For the purposes of this entire Non-Discrimination section, "Agreement" includes any extension or modification of the Agreement, "contractor" includes any successors or assigns of the Contractor, "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced, and "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders.

- 14.11 In accordance with the foregoing acknowledgements and agreements, attached hereto as Appendix B is a certificate confirming that the Contractor has adopted a resolution in support of certain agreements and warranties set forth in this Section 14.

## **SECTION 15: CERTAIN STATE ETHICS REQUIREMENTS**

- 15.1. For all State contracts as defined in P.A. 07-01 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Agreement expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contributions and solicitation prohibitions, and will inform its principals of the contents of the notice.
- 15.2 Pursuant to Governor M. Jodi Rell's Executive Order No. 1, paragraph 8, and Governor M. Jodi Rell's Executive Order No. 7C, paragraph 10(a), the COUNSEL must submit a contract certification annually to update previously submitted certification forms for state contracts. Contractors must use the Gift and Campaign Contribution Certification (OPM Ethics Form 1) for this purpose, attached as Appendix A. The first of these OPM Ethics Form 1 certifications is due on the first annual anniversary date of the execution of this Agreement and then every succeeding annual anniversary date during the time that this Agreement is in effect, including the first anniversary date following the termination or expiration of this Agreement or conclusion of the Services. This provision shall survive the termination or expiration of this Agreement in order for the COUNSEL to satisfy its obligation to submit the last certification.

## **SECTION 16: APPLICABLE EXECUTIVE ORDERS OF THE GOVERNOR**

- 16.1 The COUNSEL shall comply, to the extent applicable, with the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace and Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms. These Executive Orders are incorporated into and are made a part of this Agreement as if they had been fully set forth in it. At the COUNSEL'S request, the ATTORNEY GENERAL shall provide a copy of these orders to the COUNSEL. .

## **SECTION 17: CONFIDENTIALITY**

- 17.1 All of the reports, information, data, and other papers and materials, in whatever form, prepared or assembled by the COUNSEL under this Agreement are confidential, and the COUNSEL shall not make them available to any individual or organization, other

than in connection with the performance of those duties and responsibilities, without the prior written approval of the ATTORNEY GENERAL, the TREASURER or their respective designees.

- 17.2 The ATTORNEY GENERAL and the TREASURER will afford due regard to any request of the COUNSEL for the protection of proprietary or confidential information which the ATTORNEY GENERAL and the TREASURER receive from the COUNSEL. However, all materials associated with the this Agreement are subject to the terms of the Connecticut Freedom of Information Act ("FOIA") and all corresponding rules, regulations and interpretations. In making such a request, the COUNSEL may not merely state generally that the materials are proprietary or confidential in nature and not, therefore, subject to release to third parties. Those particular sentences, paragraphs, pages or sections that the COUNSEL believes are exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with the FOIA must accompany the request. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the COUNSEL that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the FOIA. To the extent that any other provision or part of this Agreement, especially including the Records, conflicts or is in any way inconsistent with this Section, this Section controls and shall apply and the conflicting provision or part shall not be given effect. The ATTORNEY GENERAL and the TREASURER shall not have any obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information that is sought pursuant to a FOIA request. The COUNSEL shall have the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall the ATTORNEY GENERAL or the TREASURER or the State have any liability for the disclosure of any documents or information in its possession which the ATTORNEY GENERAL and the TREASURER believe are required to be disclosed pursuant to the FOIA or other requirements of law.

## **SECTION 18: MISCELLANEOUS**

- 18.1 The sole and exclusive means for the presentation of any Claim, as defined in the Indemnification Section of this Agreement, against the State arising from this Agreement shall be in accordance with Chapter 53 of the Connecticut General Statutes (Claims Against the State). The COUNSEL shall not initiate any legal proceedings in any State or Federal Court in addition to, or in lieu of, said Chapter 53 proceedings.
- 18.2 This Agreement shall be deemed to have been made in the City of Hartford, State of Connecticut. Both Parties agree that it is fair and reasonable for the validity and construction of this Agreement to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that Chapter 53 of the Connecticut General Statutes does not apply and to the extent that any immunities provided by Federal law or the laws of the

State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor waives any objection which it may now have or will have to the laying of venue of any Claims, as defined in the Indemnification Section of this Agreement, in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.

- 18.3 The parties each bind themselves, their partners, successors, assigns, and legal representatives with respect to all covenants of this Agreement.
- 18.4 This Agreement incorporates all the understandings of the parties and supersedes any and all agreements reached by the parties prior to the effective date of this Agreement, whether oral or written.
- 18.5 If any provision of this Agreement, or application to any party or circumstances, is held invalid by any court of competent jurisdiction, the balance of the provisions of this Agreement, or their application to any party or circumstances, shall not be affected, but only if the balance of the provisions of this Agreement would then continue to conform to the requirements of applicable laws.
- 18.6 The State and the COUNSEL shall not be excused from their obligation to perform in accordance with this Agreement except in the case of force majeure events and as otherwise provided for in this Agreement. In the case of any such exception, the nonperforming party shall give immediate written notice to the other, explaining the cause and probable duration of any such nonperformance. "Force majeure events" means events that materially affect the time schedule within which to perform and are outside the control of the party asserting that such an event has occurred, including, but not limited to, labor troubles unrelated to the COUNSEL, failure of or inadequate permanent power, unavoidable casualties, fire not caused by the COUNSEL, extraordinary weather conditions, disasters, riots, acts of God, insurrection or war.
- 18.7 The COUNSEL shall not refer to services provided to the State for advertising or promotional purposes, including, but not limited to, posting any material or data on the Internet, without the ATTORNEY GENERAL'S or the TREASURER's prior written approval.
- 18.8 The COUNSEL shall notify the ATTORNEY GENERAL or the TREASURER in writing no later than ten (10) days from the effective date of any change in (1) its certificate of incorporation or other organizational document, or (2) a controlling interest in the ownership of the COUNSEL. No such change shall relieve the COUNSEL of any responsibility for the accuracy and completeness of the performance. The COUNSEL shall deliver such documents to the ATTORNEY GENERAL or the TREASURER in

accordance with the terms of the ATTORNEY GENERAL's or the TREASURER'S written request. The ATTORNEY GENERAL or the TREASURER may also require, and the COUNSEL shall deliver, a financial statement showing that solvency of the COUNSEL is maintained.

- 18.9 The parties shall provide such information, execute and deliver any instruments and documents and take such other actions as may be necessary or reasonably requested by the other party which are not inconsistent with the provisions of this Agreement and which do not involve the vesting of rights or assumption of obligations other than those provided for in this Agreement, in order to give full effect to this Agreement and to carry out the intent of this Agreement.
- 18.10 The COUNSEL shall maintain accurate Records and shall make all of the Records available at all reasonable hours for audit and inspection by the State. This includes, but is not limited to accurate records and accounts of all expenditures under this Agreement as well as satisfactory evidence of payment to assure proper accounting. Such records and accounts shall be kept in the manner specified in the Representations and Warranties Section, and made available for six years after the termination of this Agreement and shall be made available and furnished upon request to the ATTORNEY GENERAL, the TREASURER or their respective designees on or before the tenth business day following the date of the written request. The COUNSEL will cooperate fully with any and all audit or review of billing by the ATTORNEY GENERAL, the TREASURER or any other agency, person, or entity acting on behalf of the ATTORNEY GENERAL, the TREASURER or the state, and shall, upon request, provide billing in a format which will facilitate audit or review.
- 18.11 The COUNSEL shall continue to perform its obligations under this Agreement while any dispute concerning this Agreement is being resolved.
- 18.12 The COUNSEL shall be responsible for the entire performance under this Agreement. The COUNSEL shall be the sole point of contact concerning the management of this Agreement, including performance and payment issues. The COUNSEL is solely and completely responsible for adherence by the COUNSEL agents to all applicable provisions of this Agreement.
- 18.13 The waiver of a term or condition by the ATTORNEY GENERAL, the TREASURER or their respective designees shall not (i) entitle the COUNSEL to any future waivers of the same or different terms or conditions; (ii) impose any duties, obligations or responsibilities on the ATTORNEY GENERAL, the TREASURER or any department not already in this Agreement, as amended, modified or superseded; or (iii) subject the ATTORNEY GENERAL, the TREASURER or the State of Connecticut or any department or agency thereof to any Claims.
- 18.14 If a disagreement arises between the parties to this Agreement as to whether or not the COUNSEL has or may in the foreseeable future have a conflict of interest or there exists or may exist in the foreseeable future an appearance of impropriety, the ATTORNEY

GENERAL'S or the TREASURER'S determination shall be final and dispositive of the issue. Where the ATTORNEY GENERAL or the TREASURER determines that the COUNSEL'S representation of any client constitutes a conflict of interest, or creates an appearance of impropriety, the COUNSEL shall, within five days of the posting of notice by the ATTORNEY GENERAL, the TREASURER or their respective designees to the COUNSEL, withdraw from the representation of the client, unless such a withdrawal is barred by law or order of a court of competent jurisdiction or the ATTORNEY GENERAL or the TREASURER waives such conflict. Nothing in this subsection shall be construed as restricting or otherwise limiting COUNSEL'S rights under the termination section of this Agreement.

- 18.15 Unless the ATTORNEY GENERAL or the TREASURER designates otherwise in writing, all Records generated or collected by the COUNSEL, the COUNSEL'S agent or any subcontractor, in the scope of their work under this Agreement are the exclusive property of the State of Connecticut and no one else shall have any right, including but not limited to, intellectual property, copyright and trademark rights, in those Records.
- 18.16 The COUNSEL acknowledges that the ATTORNEY GENERAL and the TREASURER have relied upon all of COUNSEL'S representations in its proposal, submitted in response to the TREASURER'S Request for Proposals concerning the Services matter and all subsequent information supplied to the ATTORNEY GENERAL and Treasurer in writing thereafter, as the basis for entering into this Agreement with the COUNSEL. Any material misrepresentation, omission, mistake or error in those submittals shall be deemed to be a breach of this Agreement, which the ATTORNEY GENERAL and the TREASURER may, in their sole discretion, waive or afford the COUNSEL the opportunity to cure in accordance with the written notice of such breach sent to the COUNSEL.
- 18.17 References in the masculine gender shall also be construed to apply to the feminine and neuter genders, as the content requires.
- 18.18 The parties acknowledge and agree that nothing in the TREASURER'S request for proposals or this Agreement shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of this Agreement. To the extent that this Section conflicts with any other section, this Section shall govern.
- 18.19 Any notice required or permitted to be given under this Agreement shall be deemed to be given when hand delivered or one (1) business day after pickup by any express delivery service, in either case addressed to the persons identified in this Agreement Administration Section of this Agreement, or in each case to such other person and/or address as either party may from time to time designate by giving notice in writing to the other party. Telephone and facsimile numbers are for informational purposes only. Effective notice will be deemed given only as provided above. All notices, demands,

requests, consents, approvals or other communications required or permitted to be given or which are given with respect to this Agreement (for the purpose of this Section collectively called "Notices") shall be deemed to have been effected at such time as the notice is placed in the U.S. mail, first class and postage pre-paid, return receipt requested, or, placed with a recognized, express delivery service that provides for a return receipt. All such Notices shall be in writing and shall be addressed as follows:

18.20 If to the ATTORNEY GENERAL:

Mark F. Kohler  
Assistant Attorney General  
State of Connecticut  
Office of the Attorney General  
55 Elm Street  
Hartford, CT 06106

With a COPY to:

Sarah K. Sanders  
Assistant Treasurer for Debt Management  
Office of the Treasurer  
55 Elm Street  
Hartford, CT 06106

If to the COUNSEL:

\_\_\_\_\_  
\_\_\_\_\_

TELEPHONE: \_\_\_\_\_

FAX: \_\_\_\_\_

18.21 The captions in this Agreement are inserted only as a matter of convenience and for reference and in no way define, limit or describe the scope of this Agreement or the scope of content of any of its provisions.

18.22 With respect to all provisions of this Agreement that specify a time for performance, time is of the essence in this Agreement.

18.23 Annex A, attached hereto as "Appendix A," sets out certain requirements unique to the TREASURER and is an integral part of this agreement and is hereby incorporated into and made a part hereof as if set forth in full herein.

18.24 This Agreement may be executed and delivered in any number of counterparts, each of which so executed and delivered shall be deemed to be an original and all of which shall constitute one and the same instrument.

*[Signature Page Follows]*

IN WITNESS WHEREOF, the parties have executed three (3) counterparts of this Agreement.

\_\_\_\_\_  
Date

By:

\_\_\_\_\_  
[title]

STATE OF CONNECTICUT

\_\_\_\_\_  
Date

By:

\_\_\_\_\_  
George C. Jepson  
Attorney General

\_\_\_\_\_  
Date

By:

\_\_\_\_\_  
Denise L. Nappier  
State Treasurer

## Annex A

### State Treasurer Requirements

1. Campaign Contributions.
  - (a) COUNSEL represents and agrees that COUNSEL and any and all directors or persons with 5% or greater ownership in any of COUNSEL, any and all individuals employed as president, treasurer, executive vice president, senior vice president any and all employees of any of COUNSEL with managerial or discretionary responsibilities with respect to this Agreement, the spouse or dependent child of any of the foregoing, or a political committee established by or on behalf of COUNSEL or any such individuals, did not during the last election cycle contribute to or solicit contributions on behalf of, and will not (until the Agreement is terminated) contribute to, or solicit contributions on behalf of, any exploratory committee or candidate committee established by a candidate for nomination or election to the Office of the Connecticut State Treasurer.
  - (b) The Treasurer hereby gives COUNSEL notice that COUNSEL is subject to the provisions of Connecticut General Statutes Section 9-612 and 9-613 as may be amended from time to time (the “Contributions Law”), which restrict contributions to and solicitations of contributions on behalf of candidates running for Connecticut statewide office. COUNSEL hereby agrees that COUNSEL is subject to the Contributions Law and acknowledges receipt of notice of the Contributions Law by providing the Treasurer with an executed acknowledgement form attached to this Agreement as Attachment A.
2. Third-Party Fee Disclosure. COUNSEL acknowledges and agrees that, pursuant to Section 3-13j of the Connecticut General Statutes, any person or entity who would be a party to a contract for investment services with the Office of the Treasurer shall disclose to the Treasurer, in writing, all third-party fees attributable to such contract before any such contract may take effect. COUNSEL has provided such disclosure to the Treasurer in the form of a sworn affidavit as set forth hereto as Exhibit A. COUNSEL represents and warrants that the disclosure contained in such affidavit is accurate and complete as of the date of this Agreement. COUNSEL covenants to promptly report any changes to such disclosure and to file an updated affidavit with the Treasurer on an annual basis as of June 30 of each contract year.
3. Notification to Bidders. COUNSEL represents and warrants that it has provided the Treasurer with a completed and executed Notification to Bidders form as set forth hereto as Exhibit B. COUNSEL represents and warrants that information it has disclosed to the Treasurer in furthering the analysis set forth in the Notification to Bidders form is accurate and complete in all material respects as of the date hereof.
4. Gift Affidavit. COUNSEL shall complete, truthfully attest and submit herewith a Gift Affidavit in the form of OPM Ethics Form 1 of Annex B. COUNSEL represents and warrants that, as of the date hereof, the information it has disclosed in such Gift Affidavit is complete and accurate.

5. Corporate Citizenship. COUNSEL agrees and acknowledges that the Treasurer expects all of its service providers to engage in good corporate citizenship. Good corporate citizenship includes, without limitation, supporting charitable and civic organizations in the communities where COUNSEL does business, community works and procurement practices, and incorporating good corporate governance in COUNSEL's operations. During the term of this Agreement, COUNSEL agrees to furnish the Treasurer with detailed and accurate reports of its good corporate citizenship activities upon request, but no less than annually on each anniversary date of this Agreement.
  
6. Code of Ethics. None of COUNSEL, its principals, directors, members, officers, partners, employees or agents shall engage directly or indirectly in any financial or other transactions with any Treasurer, staff member, or employee of the Treasurer, or a member of the Investment Advisory Council of the State of Connecticut, which would violate the standards set forth in the State of Connecticut Code of Ethics for public officials, as codified in Chapter 10, Part 1, Sections 1-79 of the Connecticut General Statutes.

**Exhibit A to Annex A**



**AFFIDAVIT OF THIRD PARTY FEES**

Submitted to DENISE L. NAPPIER, TREASURER OF THE  
STATE OF CONNECTICUT

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) is a party to a contract for investment services  
with the Office of the State Treasurer (the "Contract").
3. All third party fees and agreements to pay third party fees attributable to the Contract are as  
follows:

NAME OF PAYEE	DOLLAR AMOUNT PAID OR VALUE OF NON-CASH COMPENSATION <u>AND</u> DATE	FEE ARRANGEMENT	SPECIFIC SERVICES PERFORMED OR TO BE PERFORMED BY PAYEE. <sup>1</sup>

*(Attach additional copies of this page as necessary.)*

**NOTE: For each third party fee arrangement described above, complete the attached Form A2a.**

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: \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_.

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court

<sup>1</sup> Please attach documents evidencing the terms of the fee arrangement and services.

STATE OF CONNECTICUT  
OFFICE OF THE STATE TREASURER

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**ADDENDUM TO AFFIDAVIT OF THIRD PARTY FEES**

For each third party fee arrangement disclosed in the attached Affidavit, please explain whether and how each such payment falls within one or more of the following categories of compensation:

- (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.

Attach additional pages as necessary.

1. The following completed forms:  
Agency Vendor Form (SP-26NB), available at [http://www.das.state.ct.us/Purchase/Info/Vendor\\_Profile\\_Form\\_\(SP-26NB\).pdf](http://www.das.state.ct.us/Purchase/Info/Vendor_Profile_Form_(SP-26NB).pdf); W-9 Form, available at <http://www.irs.gov/pub/irs-pdf/fw9.pdf>.

**A. INTRODUCTION TO BIZNET**

The Connecticut Office of the Attorney General is adhering to the new requirement of the Connecticut Department of Administrative Services ("DAS") that all firms seeking to do business with the State create a business profile, or account, on the DAS Business Network ("BizNet") system. Firms are responsible for updating firm information on a continuous basis as changes occur.

Firms create an account on BizNet by using the following link: <https://www.biznet.ct.gov/AccountMaint/Login.aspx>. Once your firm creates an account, login and select "CT Procurement" and then "Company Information" for access. If you experience difficulty establishing or otherwise managing your firm's account, please call DAS at 860-713-5095.

DAS has implemented the requirement to create a BizNet account in accordance with Public Act 11-229, enacted to make doing business with the State of Connecticut more business friendly. One benefit to using BizNet is that it will eliminate certain redundancies, such as the former requirement to complete and submit forms even though the forms had been recently submitted in response to another Request for Proposals.

In addition to eliminating redundancy, BizNet has automated the completion and submission of the Ethics Affidavits, Non-Discrimination forms and the Commission on Human Rights and Opportunities (CHRO) Workplace Analysis Affirmative Action Report/Employment Information Form. Firms must now upload these forms electronically to their BizNet account and update them on an annual basis, rather than submitting paper copies with each proposal. Firms will have the ability to view, verify and update their information, by logging in to their BizNet account, prior to submitting responses to an RFP.

For information about **how to upload** the Ethics Affidavits and Non-Discrimination forms please access the following page:  
<http://das.ct.gov/images/1090/Upload%20Instructions.pdf>

## **B. ETHICS AFFIDAVITS**

**THE FOLLOWING ETHICS FORMS MUST BE SIGNED, DATED, NOTARIZED, UPLOADED OR UPDATED ON BIZNET. TO OBTAIN THESE FORMS, YOU MUST LOGIN TO BIZNET AND FOLLOW THE INSTRUCTIONS REFERENCED ABOVE.**

1. OPM Ethics Form 1 – Gift & Campaign Contribution Certification
2. OPM Ethics Form 5 – Consulting Agreement Affidavit
3. OPM Ethics Form 6 – Affirmation of Receipt of State Ethics Laws Summary

For information about **how to complete** these forms, please access the Office of Policy & Management's website by using the following link:  
<http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038>

## **C. NON-DISCRIMINATION FORMS**

**CHOOSE ONE (1) OF THE FORMS LISTED BELOW THAT APPLIES TO YOUR BUSINESS. COMPLETE AND UPLOAD OR UPDATE THE FORM ON BIZNET ANNUALLY. TO OBTAIN A COPY OF THESE FORMS, YOU MUST LOGIN TO BIZNET AND FOLLOW THE INSTRUCTIONS REFERENCED ABOVE.**

1. Form A–Representation by Individual (Regardless of Value)
2. Form B–Representation by Entity (Valued at \$50,000 or less)
3. Form C–Affidavit by Entity (RECOMMENDED) (Valued at \$50,00 or more)
4. Form D–New Resolution by Entity
5. Form E–Prior Resolution by Entity

For information about **how to complete** these forms, including which form your firm should complete, please access the Office of Policy & Management's website by using the following link:

[http://www.ct.gov/opm/cwp/view.asp?a=2982&q=390928&opmNav\\_GID=1806](http://www.ct.gov/opm/cwp/view.asp?a=2982&q=390928&opmNav_GID=1806)

## **D. COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES (CHRO) WORKPLACE ANALYSIS AFFIRMATIVE ACTION REPORT/EMPLOYMENT INFORMATION FORM.**

For information about **how to complete** these forms you may contact Richard Campbell at [Richard.campbell@ct.gov](mailto:Richard.campbell@ct.gov) for assistance.

**THE CHRO FORMS MUST BE SIGNED, DATED AND UPLOADED OR UPDATED ON BIZNET. TO OBTAIN THESE FORMS, YOU MUST LOGIN TO BIZNET AND FOLLOW THE INSTRUCTIONS REFERENCED ABOVE.**

## Exhibit B to Annex A

### COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES CONTRACT COMPLIANCE REGULATIONS NOTIFICATION TO BIDDERS

(Revised 09/17/07)

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.

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#### 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 bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding 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

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

## 2) 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 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 includes 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.

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

White (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Black (not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.

Hispanic- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

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.

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.

## Exhibit C to Annex A

**PLEASE GO TO [WWW.STATE.CT.US/OTT](http://WWW.STATE.CT.US/OTT) AND CLICK ON THE DOING BUSINESS LINK AND THEN ON THE “COMPLIANCE” TAB TO DOWNLOAD A FILLABLE EMPLOYER INFORMATION FORM. Please complete and attach to this Exhibit C.**  
PLEASE PROVIDE EMPLOYMENT DATA FOR THE CURRENT YEAR AND EACH OF THE PREVIOUS 2 YEARS (for a total of **3 years** data).

## Exhibit D to Annex A

### SEEC FORM 10

#### NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

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

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on following pages):

#### **Campaign Contribution and Solicitation Ban**

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, or solicit contributions on behalf of (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 \$2000 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 \$2000 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 \$5000 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 will 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 or a loan to an individual for other than commercial purposes.

"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.

### **Receipt Acknowledged:**

Signature: \_\_\_\_\_

Name:

Title:

Company Name: \_\_\_\_\_

Date of Signature: \_\_\_\_\_

**Annex B**

**State of Connecticut Requirements**

**COMPLETE ONE FOR EACH OF THE TREASURER AND THE ATTORNEY  
GENERAL**

OPM Ethics Form 1 – Gift and Campaign Contributions Certification

OPM Ethics Form 3 – Certification of State Agency Official

OPM Ethics Form 5 – Consulting Agreement Affidavit

OPM Form C – Non-Discrimination Certification



## STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

*Written or electronic certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2)*

### INSTRUCTIONS:

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

For information about **how to complete** these forms, please access the Office of Policy & Management's website by using the following link:  
<http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038>

### C. NON-DISCRIMINATION FORMS

**CHOOSE ONE (1) OF THE FORMS LISTED BELOW THAT APPLIES TO YOUR BUSINESS. COMPLETE AND UPLOAD OR UPDATE THE FORM ON BIZNET ANNUALLY. TO OBTAIN A COPY OF THESE FORMS, YOU MUST LOGIN TO BIZNET AND FOLLOW THE INSTRUCTIONS REFERENCED ABOVE.**

6. Form A—Representation by Individual (Regardless of Value)
7. Form B—Representation by Entity (Valued at \$50,000 or less)

**CHECK ONE:**     Initial Certification     12 Month Anniversary Update (Multi-year contracts only.)

Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

### GIFT CERTIFICATION:

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

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

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who

participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

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

**CAMPAIGN CONTRIBUTION CERTIFICATION:**

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

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

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

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

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

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

\_\_\_\_\_  
Printed Contractor 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)**



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

*Certification to accompany a State contract, having a value of \$50,000 or more, pursuant to Connecticut General Statutes §§ 4-250 and 4-252(b), and Governor M. Jodi Rell's Executive Order 7C, Paragraph 10*

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**INSTRUCTIONS:**

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

**CERTIFICATION:**

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

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

LOWEY DANNENBERG COHEN & HART, P.C.

\_\_\_\_\_  
Contractor Name

\_\_\_\_\_  
Office of the State Treasurer

\_\_\_\_\_  
State Agency Official or Employee Signature  
By: Denise L. Nappier  
State Treasurer

\_\_\_\_\_  
Date

**Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.**

\_\_\_\_\_  
**Commissioner of the Superior Court  
or Notary Public**



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

*Certification to accompany a State contract, having a value of \$50,000 or more, pursuant to Connecticut General Statutes §§ 4-250 and 4-252(b), and Governor M. Jodi Rell's Executive Order 7C, Paragraph 10*

**INSTRUCTIONS:**

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

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

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

LOWEY DANNENBERG COHEN & HART, P.C.

\_\_\_\_\_  
 Contractor Name

\_\_\_\_\_  
 Office of the Attorney General

\_\_\_\_\_  
 State Agency Official or Employee Signature  
 By: George C. Jepsen  
 Attorney General

\_\_\_\_\_  
 Date

**Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.**

\_\_\_\_\_  
**Commissioner of the Superior Court**  
**or Notary Public**





## **Appendix C**

### **Staff List**