

**Request for Proposals**

**FOR UNCLAIMED PROPERTY DATABASE MANAGEMENT  
and  
CLAIM PROCESSING SERVICES**

**September 6, 2019**

**State of Connecticut  
Office of the Treasurer**

**Deadline: Received by October 22, 2019 2:00 p.m. (EST)**

**STATE OF CONNECTICUT  
OFFICE OF THE TREASURER  
REQUEST FOR PROPOSALS  
FOR  
UNCLAIMED PROPERTY  
DATABASE MANAGEMENT  
AND  
CLAIMS PROCESSING SERVICES**

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

The Treasurer of the State of Connecticut (the "State" or the "Treasurer" or "OTT" requests proposals from qualified firms (each a "Respondent") interested in providing **Unclaimed Property Database Management and Claims Processing Services**.

The Treasurer, elected quadrennially, collects and safeguards money and other valuables which have been unclaimed by Connecticut residents, businesses, organizations or non-profit businesses for a specific period of time as set forth in Connecticut General Statutes sections 3-56a through 3-74a, inclusive (hereinafter the "Unclaimed Property Law").

The primary objective of the Unclaimed Property Division ("UCP") of the Office of the Treasurer is to reunite rightful owners or heirs with their unclaimed property, which is remitted to the Treasurer by business entities after the business loses contact with a customer. Unclaimed assets include, but are not limited to: deposits in savings or checking accounts; matured certificates of deposit; uncashed checks; stocks, bonds or mutual funds; travelers' checks or money orders; proceeds from life insurance policies; and certain safe deposit contents. Holders of unclaimed property are located in all states and territories and are required to transfer the assets to the state of last known address on the holder's records following loss of contact with the owner(s) of record for a period of time. These entities may include, but are not limited to banks, financial institutions, insurance companies, stock transfer agents, stock brokers, utilities, hospitals, retail, manufacturing and service companies. These assets are held in custody by the Treasurer until the rightful owner(s) come forward or are located. The rightful owner(s) or their heir(s) always have the right to the funds and there is no time limit to claim the money or property.

The Office of the Treasurer, through its UCP, is seeking proposals from Respondents wishing to supply unclaimed property database management and claims processing services to provide on-line storage in excess of 1.6 million current owner records representing more than \$909 million in assets, including securities and certain safe deposit contents. There exists no statute of limitations in regards to an owner or legal heir claiming property remitted to the UCP. The permanent retention of holder reported data records results in an unclaimed property database which increases in record size an average of 200,000 plus owner records each year; to allow for a system to system link of data information received on a daily basis from our securities custodian; allow for electronic filing of owner records in a uniform format as issued by the National Association of Unclaimed Property Administrators (NAUPA) by businesses who hold such information; allow for the electronic publication of new names every two years; run social security numbers and obtain current addresses for rightful owners, print and mail post cards alerting owner of potential unclaimed property; host and update website for unclaimed property; implement, staff and manage a telephone call center including increasing personnel to meet demands of a publication; maintain an 800#; electronic transfer of data to and from the State of Connecticut's Accounting System (CORE-CT); and, to allow electronic filing, tracking and processing of claims and holder reports; and, allow for scanning of claims and or holder information received. The Respondent's bid should set forth a turn-key solution for the State that capitalize on modern, flexible, technological solutions that efficiently handle the services outlined in the Scope of Services section of this RFP.

Over a span of twenty (20) years, the OTT returned approximately \$767 million to 333,567 individuals, businesses and organizations while collecting \$2.1 billion in unclaimed property from various holders.

During the last five fiscal years (July 1, 2015 through June 30, 2019) more than \$274 million in unclaimed property has been returned to 85,742 rightful owners.

Respondents that would like to provide database management and claims processing services, as more fully described in Section II of this RFP, may submit proposals for consideration. The State will select one Respondent to provide the services. The selected Respondent will be expected to execute a personal service agreement with the Treasurer, with an anticipated term of five (5) years with possibility of extensions.

**All responses must be received by 2:00 p.m. (EST) on October 22, 2019 to:**

**Maria Greenslade  
Assistant Treasurer  
Office of the State Treasurer  
Unclaimed Property Division  
55 Elm Street, Fifth Floor  
Hartford, CT 06106**

**Responses received after this deadline shall not be considered.**

## **SECTION II          Scope of Services**

### **1. General Information**

Respondent must provide specific details addressing each item set forth in this RFP. As part of the requirements, Respondent must adequately provide and illustrate details and documentation outlining the proposed unclaimed property database management system, database system capabilities, and details about the proposed software, computer hardware requirements and specific timelines regarding conversion, training, claim processing details, telephone call center, website hosting, publication of new names every two years, electronic receipt of holder reports, and scanning of claims and or holder report information. Failure to provide specific information setting forth Respondent's capabilities and preliminary planning regarding the proposed Unclaimed Property management database system and claim processing services will result in disqualification.

The successful Respondent shall be required to provide the following services:

A. The Respondent shall undertake to provide access to a proven, flexible, customized and secure turn-key relational database management software system, development tools and/ or utilities and claims processing services to the Connecticut State Treasurer Unclaimed Property Division which will:

- a) Ensure database integrity and software stability for the custodial records and accompanying owner data through an unclaimed property management software system;
- b) Retain data records and perform numerous accounting, database utility functions and comprehensive interfaces with other state agencies and interactive program functions;

- c) Provide access to a secure and reliable multi-facet software management system to address all aspects of Connecticut Unclaimed Property Division operations;
- d) Provide short-term and long-term computer software technical assistance and support;
- e) Provide access to a software management system that is proven, flexible, secure and customized to Connecticut Unclaimed Property Law;
- f) Provide access to a software management system which integrates online technology to include OTT and other website claim and business reporting processes;
- g) Provide access to a software management system which must have the capability to incorporate and bring online new technology aimed at program efficiency and expediency;
- h) The management software system must fully integrate with OTT's administration of the unclaimed property program;
- i) The unclaimed property management system must provide the technology and flexibility to fully implement the policies and procedures of the Connecticut Unclaimed Property Division and the Unclaimed Property Laws;
- j) Capability to interface with related software packages including but not limited to: Microsoft Office Products, State of Connecticut's Accounting System (CORE-CT), Lexis Nexis, QuickBooks; and, this project may include an imaging system;
- k) Provides efficiencies and accountability in maintaining claims and archiving closed records while maintaining report reconciliation;
- l) The ability to maintain and view holder information in real time;
- m) Ability to assist the user in managing holder report data;
- n) Maintain and view property and owner information in real time;
- o) Maintain and view safekeeping/tangible properties in real time;
- p) Provide stock and mutual fund maintenance functionality;
- q) Provide daily uploading of data information received from securities custodian;
- r) Calculate interest due, by holder type, holder address, and report date at time of payment based on interest rate established by state law;
- s) Ability to update interest due annually in real time;
- t) Provide reciprocal transfer processing capabilities;
- u) Provide a real time audit trail of data changed or deleted by users in key system areas;
- v) Ability to provide security levels to verify authorization to access the system;
- w) File a SAS70, SAE or SOC or equivalent report for the proposed software application with OTT annually;
- x) File an insurance certificate with OTT annually.

## 2. Overview

In accordance with state law, UCP is responsible to safeguard abandoned or unclaimed property and to return these funds to the rightful owner. There are several different types of unclaimed property received each year and can be separated into three main types: cash, securities and safekeeping/intangible items.

- Cash – During Fiscal Year 2019, UCP received over 6000 holder reports exceeding \$81.2 million. Each report is reconciled, a receipt is attached and the reports are cleared. Cash is the largest type of property received and maintained in our current software system.
- Securities – The types received are usually in the form of mutual funds, book entry shares, DTC whole shares and physical certificates. Securities require liquidation upon

receipt, and such sales are conducted monthly using a documented methodical process. During Fiscal Year 2019 there were nine liquidations of securities that required manual data entry of proceeds received as well as dividends and corporate actions due prior to the sale; these sales accounted for revenue totaling \$40 million.

- Safekeeping/tangibles – Certain holders also remit tangible property in the form of stock certificates that are in the name of rightful owner(s). These items are largely reported by financial institutions and must be manually entered into the database software system. Prior to 2004 UCP received other types of tangible items that may continue to be in the Treasurer's custody. A description of each item is recorded in the current computer system and must be migrated and converted into the new system.

Currently, there is more than \$909 million in unclaimed property available to be claimed by more than 1.6 million owners. Please be advised that UCP must maintain custody of unclaimed property in perpetuity provided such property is not returned to its rightful owner. Respondent's system must meet this requirement. More information about our program can be found at [https://www.otf.ct.gov/unclaimed\\_overview.html](https://www.otf.ct.gov/unclaimed_overview.html).

UCP currently has up to 100 users on the current system. During a publication the number of users can increase to accommodate additional staff hired specifically for the publication.

Respondent must assign a Project Manager for this project. OTT will assign a Project Manager for this project.

### **3. Required Functionality**

Provide a flexible, customized and secure Unclaimed Property Database Management and Claim Processing Software System developed to retain data records and perform numerous accounting, database utility functions, comprehensive interface and interactive program functions, claim processing, call center, with an 800#, website hosting, publication of names, electronic receipt of holder reports and allow for scanning of unclaimed property documents. In addition, the database management software system must provide reliability and security controls. The required functionality is listed below.

1. Ensure database integrity and software stability for the custodial records and accompanying owner data through an unclaimed property management software system.
2. Retain data records and perform numerous accounting, database utility functions and comprehensive interfaces with other state agencies and interactive program functions.
3. Provide access to a secure and reliable multi-facet software management system to address all aspects of Connecticut Unclaimed Property Division operations.
4. Provide short-term and long-term computer software technical assistance and support.
5. Provide access to a software management system that is proven, flexible, secure and customized to Connecticut Unclaimed Property Law.
6. Provide access to a software management system which integrates online technology to include OTT and other website claim and business reporting processes.
7. Provide access to a software management system which must have the capability to incorporate and bring online new technology aimed at program efficiency and expediency.

8. The management software system must fully integrate with the Treasurer's administration of the unclaimed property program.
9. The unclaimed property management system must provide the technology and flexibility to fully implement the policies and procedures of the Connecticut Unclaimed Property Division and the Unclaimed Property Laws.
10. Capability to interface with related software packages including but not limited to: Microsoft Office Products, State of Connecticut's Accounting System (CORE-CT); QuickBooks, SagePro, Call Center, Custodial vendor and Transition Manager for liquidation of securities, Lexis Nexis, and allow for implementation of an imaging system.
11. Provides efficiencies and accountability in maintaining claims, holder reporting and archiving closed records and perform report reconciliation.
12. Integration of online technology to include OTT and other website claim and business (holder) reporting processing and processes. In addition, the system must have the capability to incorporate and bring online new technology aimed at program efficiency and expediency.
13. Provides efficiencies and accountability within the computer system.
14. Must be interlinked between the numerous tables and functions and maintain detailed accounting and audit history capabilities.
15. Provide and maintain detailed balancing and reconciling functions throughout the transactions and functions of the program and data tables.
16. Provide detailed report creation capabilities to include daily, weekly, monthly and annual activity reports and date specific activity/transaction reports.
17. Provide on screen and output capabilities to support the entire OTT claim process along with the data and receipt of unclaimed property processes.
18. Provide comprehensive securities (such as stock, mutual funds, bonds) processing features, including transaction management. The system must track security information such as issue name, symbol, CUSIP, security pricing history dividends, corporate actions and detailed trade information. Respondent's software system process must provide custodial batch transactions and the ability to apply a variety of corporate actions, including but not limited to, such as dividends, splits and mergers, etc.
19. Must be interactive with State of Connecticut's Accounting System (CORE-CT), OTT's data must be interactive with other states (compatible with NAUPA format), and flexible to the program and daily operational requirements throughout the: (a) Receipt of unclaimed property data and receipts, (b) accounting, balancing and reconciling of reports, (c) claim processing and vouchering, (d) report/letter/data generation and query reports and requirements, (e) data retention and (f) incremental growth of the data.
20. Easily interface with State of Connecticut's Accounting System (CORE-CT), OTT's internal accounting systems and OTT's website along with performing routine tasks such as data import/export and provide the flexibility to produce needed tools and documents to support all aspects of the unclaimed property program.
21. Supports multiple users (could be up to 100 users simultaneously).
22. Allow for the implementation of electronic delivery of holder reports, imaging of claims and other unclaimed property documentation. If Respondent has imaging system or ability to incorporate imaging with this database management software system Respondent should separately include detailed information and pricing for imaging.
23. Provide for ability to search for a holder by holder ID, name, report date, etc.



24. Provide ability to add new holder information, update holder information, generate unique sequential numbers, delete holder information, insert new holder reports, import electronically holder reports and update information to a holder report.
25. Ability to generate unique sequential number to owner records, find a reported owner by owner's name, property id, social security number, claim ID, holder ID, report date, update existing property and owner information, add new properties and owner information, delete property and owner information.
26. Maintain tangible/safekeeping property that has been delivered to OTT.
27. Ability to find a holder report by stock issue by searching by CUSIP number, report date, holder id, update owner level records with corporate activity including but not limited to stock splits, mergers, cash exchanges and dividends, identify and create stock and mutual fund sales and liquidations based on a schedule and criteria provided by OTT, track stock and mutual fund claim activity, produce 1099 reporting on interest paid and stock claims.
28. Ability to identify property that has a state other than Connecticut, assign claim ID number, prepare a file/download of the claim and report once claim is filed.
29. Provide audit trail of data changed or deleted by user in key areas within Respondent's software system including owner, property and claim records.
30. Provide audit trails identifying all users who have added/modified/deleted specific records.
31. Provide security levels for users to verify authorization to access the system by user defined levels or job descriptions, all users to be added/modified/deleted in real time.
32. Ability to back up the system daily or more often, if possible; provide a disaster recovery plan, and timetable to recover data, if necessary.
33. Ability to create a new claim with fields such as name, mailing address, telephone number, email address, payee field with address, cash total, interest, proceeds, dividends, payment and transfer of share information and any other information necessary, assign system generated unique number to each claim, differentiate claims initiated from website, OTT, call center, maintain new, rejected, denied, duplicative claims, find claim by claim ID or claimant name, delete claim, update claim with information such as call notes, returned claim form, generate claim form that designate documents required to prove ownership of each type of property, allow for filing of multiple properties on same claim that belong to same owner, approve claims for payment based on authority by user ID; differentiate claims that were paid from those in process.
34. Ability to annually obtain names from unclaimed database that have a social security number; run those names and social security numbers through a database to obtain most current address; design a post card, print post card, mail post card, receive return mail and track outcome of mailing the post cards.
35. Ability to view status of claim and history of that claims.
36. Ability to enter and maintain notes on claims in date and time order.

#### **4. Software Application – Required Functionality**

The software application must have the capability of providing a strong audit trail for all data entries, deletions and edits, calculations, transactions and documented record history of related transactions. It must provide the ability to create reports with all fields applicable. The software application must have the ability to prevent certain functions from being updated due to human error and should be permission driven. Software application must also be secure and have strong internal controls.

Provide a menu driven, user friendly software program tailored to the specific program functions as identified below:

- A. Holder Reports – All businesses (“Holder”) filing reports with UCP are maintained in the OTT’s current software application. Holder information such as current address and contact along with an identifying number (Holder ID) is assigned which may correspond to a hardcopy holder file maintained in office. Unclaimed Property holder reports are maintained for an indefinite period of time while the software application also maintains all annual reports and associated records and remittances. In addition to housing all holder reports and owner data, the unclaimed property software application must provide the interactive and search/report capability, but not limited to, view/manage business names/data and records, record zero reports, auto-correct or populate fields, apply system-based logic to limit unacceptable data, provide means to assign batches/reports, access reports/utilities with customizable abilities (example: holder batch reports, holder email addresses with ability to send emails from software system, largest holder reporting, largest holder remittances, reporting holder count summary, holder reports not electronic, print holder letters explaining issues or statutory penalties assessed). In addition, this module must provide and maintain a strong audit trail for all data entries, calculations, and transactions and documented record history of related transactions including changes to social security number, name of an owner. The system should have the capability to allow holders to remit and file reports electronically to the OTT. The system should have capability to track extensions for filing holder reports.
- B. Receipts – All unclaimed property (ACH/Wires/checks, securities/stock certs and tangible items) are received into the OTT lockbox or at physical location of OTT offices. Once received all money received is posted to the existing software application and linked to the appropriate report(s) and reconciled under state accounting processes and procedures. Internal controls are in place to ensure all monies/property are recorded and errors are minimized in database processing. The unclaimed property software application must complete, at a minimum, the above mentioned accounting function. It must also provide the interactive and search/produce report capability, but not limited to: view/manage deposits, balance holder reports, access reports/utilities (example, report identifying “reports not balanced”, print balancing detail, improperly balanced receipts, deposit reports, deposit reports by deposit, deposits made/no report). In addition, this module must provide and maintain a strong audit trail for all data entries, calculations, transactions, and documented record history of related transactions.
- C. Securities – Unclaimed property may receive from reporting businesses securities (such as stocks, dividend reinvestment plans, mutual funds, bonds). The unclaimed property software application must have the ability to retrieve this data in association with the reported owner. In addition, the accounting process associated with securities will include the posting of the securities, sale proceeds, and other corporate action transactions such as dividends, fractional share sales, mergers and splits as some examples. The security portion of the software must also have the ability to implement an individual security transaction or batches (example: posting of corporate actions, dividends and proceeds to a single owner, all owners on a report and/or all owners on multiple reports). The software application must also allow for posting of the transactions to be limited by a specific report as well as the ability to isolate securities into separate Custodians. The software application must provide the ability to create/edit/delete information on the stock ID. The system must not allow any property linked to a stock sale to be paid until the sale has been finalized. In addition the software application must provide the interactive and search/report capability, not limited to: locate/edit/delete stock properties, batch

transactions, access and produce reports and utilities such as transaction reports, stock reconciliation reports, and utilities reports to assist in management of the data and transactions related to securities and associated data tables. In addition, this module must provide and maintain a strong audit trail for all data entries, calculation, transactions, and documented record history of related transactions. The software application would also provide the ability to generate specific correspondence by extracting pertinent information from the receipt function (example: generate a list of securities ready for liquidation or issue 1099 on claims paid with dividends).

- D. Safekeeping/Tangible Functions – The software application must house and have the ability to retrieve data entered regarding tangible property reported such as stock certificates, bonds or US Savings bonds. Specific data fields needed for inventorying such tangible property included but is not limited to owner information, reference numbers provided by holder, contents reported (hand entered or drop down box) quantity; face value, if any, and be issued a unique property identification number.
- E. Inquiry System – The software application must provide easy and quick search/result inquiries based on variables such as, but not limited to:
1. *Owner Records*: Owner name, social security number, property ID, EIN, date of death, date of birth and other identifying information provided by the holder;
  2. *Property Records*: Amount, name, social security number, EIN, report ID, property ID, holder account number, legacy property ID, date of birth, owner ID, check number, etc.;
  3. *Holder*s: holder name, EIN, holder ID, report ID, contact name, contact address, previous business name, report agent and report type;
  4. *Receipts*: Deposit number, batch date, batch ID, batch amount, Find Receipt (receipt ID, amount, shares, instrument date, description, log number, payer, CUSIP number, certificate, issue date, and batch ID.);
  5. *Reports*: Holder name, holder ID, EIN, Find Report (Report ID, remitted cash, remitted shares, legacy ID), Find Property (Property ID), reporting agent;
  6. *Deposits*: view deposit by deposit #, deposit date, business data-file ID, receipt amount;
  7. *Claims*: Claimant name, EIN, social security number, claim ID, warrant number, property ID, phone number, multiple claimant names, edit claim, approve claims at different levels based on dollar amount, deny claims, drop claims;
  8. *Securities*: search by CUSIP, symbol, company, property ID, custodian
  9. *Safekeeping*: Property ID, safekeeping ID, safekeeping location;
  10. *Audits*: search by business name, business ID#, tax ID, audit ID, Reporting Agent and Report Type.
- F. Claims – All unclaimed property received, added to the software application and reconciled, becomes eligible to be claimed by potential owners/heirs. This claim process, as governed by the Connecticut (“CT”) UCP laws is integrated and plays a fundamental part of the unclaimed property program software application requirements. The software system must be end-user friendly by providing a sound operational framework that combines optimal screen appearances, efficient transaction recording, and minimal deviations from the user’s work area. The software system must provide, at a minimum, the ability to create claim forms, maintain associated reference claim numbers, history of claims (created, mail date, status, payment date, etc.), view and manage claims, assign workflow, interface capability with Treasury’s unclaimed property website, owner identity records (Lexis), and related sites (missingmoney.com). Also, the

software system must have the ability to manage approved claims, contain an automated process for batching/vouchering claims for payment interfacing with State of Connecticut's Accounting System (CORE-CT), and view/manage paid claims and fast tracking claims. This Claims' module must be able to interface with State of Connecticut's accounting system (CORE-CT) for the submission and payment of claims by either utilizing Treasury's web services or the Treasury's prescribed file formats for the warranting process or other format as prescribed by the OTT or the agency overseeing information technology for the State of Connecticut. The software and the interface to State of Connecticut's Accounting System (CORE-CT) is required to provide electronic payment options including ACH for holder remittance and claim disbursements. Software application must also have the capability to allow claims to be initiated on the website and to import initiated claims from website to the application software. Also, duplicate claims must be deleted prior to completing the import process and a report issued noting same addresses or any other duplicate or potentially fraudulent claims. The OTT must be able to see the status of a claim at any time during its duration, also have the ability to read detailed notes applied by the OTT or Respondent's staff about the claim, call received or information obtained about a particular claim. Allow for scanning of claims and other unclaimed property documents. Allow for electronic filing of claims or fast tracking claims. Allow for the ability to track stock history and update information about the stock in software application.

- G. In addition, the software application must provide the interactive and search/produce report capabilities, including but not limited to: claim form processing/reports; and produce customer letters (additional evidence needed, correspondence letters, claim denial letters, already paid, etc.). The software system must also include claim status reports (claims generated, paid, denied by date or date range or by user, etc.), generate reports to support claim queries (filed, processed, paid and record retention). In addition, the software application must provide and maintain a strong audit trail and internal controls for all data entries, calculations, transactions, and documented record history of related transactions. Imaging for the claim processing may be included in this project; Respondent must provide detailed information about imaging (optional).
- H. Publication – In accordance with the CT law, efforts to locate the respective owners is a part of the unclaimed property program. The software application should provide a fully configurable solution, which will assist in generating publication lists, capturing publication dates and provide flexibility to manage the publication process in an efficient fashion. The system must provide utilities to produce preliminary publishing extraction files and provide the flexibility to scrub the files to produce final product. In CT, publications are conducted electronically; therefore, final extract files should be transferred to website seamlessly. The database must capture the date of each publication by property and provide flexibility to manage this process efficiently. Respondent is responsible for hosting, updating, altering and managing and maintaining the domain name for the website [www.CTBigList.com](http://www.CTBigList.com) and the electronic publication website. Respondent will be responsible for mailing postcards to owners where a more current address is located by running the owner's social security number through Lexis or another database to obtain the most current address. Post cards are printed and mailed by Respondent every year as additional outreach. The database must capture date if a post card is mailed and date of each publication by owner and provide flexibility to manage this process efficiently. Respondent must also be able to provide an extract of the website information, exclude social security numbers in a format that can be downloaded onto standalone laptops for

outreach events and have the ability to print, email or fax claim forms. These extracts are to be available through a secure server to be downloaded by the OTT at the beginning of each month.

- I. Website – All unclaimed property meeting CT's Unclaimed Property Laws should appear on the searchable website. The UCP website, as governed by CT laws, is an essential means for the public to access records 24/7. The Respondent is responsible for hosting, altering and managing such website and updating the data weekly or sooner with new names, and updating the statistics on the website the first day of each month. The data must remain current as new records are received, added and reconciled to the software system. Records must no longer appear as available for claim once a valid claim has been received by the software system. Dropped, partially paid and denied records should reappear if the property has not been paid 100%. The website must be end-user friendly by providing a sound operational framework that combines optimal screen appearances, efficient transaction recording, and minimal deviations from the user's work area. Search capabilities include but not limited to: Owner's last name/first name, business name, SSN, EIN, DOB, account number. The website application should provide but not be limited to: online user authentication, ability for the user to confirm affiliation to the reported address and automated link to identify additional properties available to claim. The website application functionality should be capable of identifying the claimant's selection (such as: Owner, Heir or Business) and provide the required documentation. Respondent should allow for changes to the claim form, instructions or signature page to maintain compliance with CT law and/or office guidelines. The integration on demand between the website and software application should allow claims based upon established criteria to import into the workflow/payment process. The website application must provide, at a minimum, the ability to create claim forms, maintain associated reference claim IDs, capture and maintain all claimant-provided information and the history of all activity (status monitoring through the entire process). The website application must contain sound cyber security protection to minimize the OTT's risk to fraud including but not limited to: hacking, phishing, breach of confidential information, exposure of sensitive data which could compromise the integrity of software application records. Respondent should also include detailed information about fast tracking claims in the software application; and, about electronic delivery of holder reports through a secure website.
  
- J. Audits/Compliance – The system must be able to track the status of ongoing and completed audits, as well as, have the ability to search holders and reporting histories. It is also required that the system generate reports including but not limited to: property types remitted by holder, holder reporting by tax ID number, holders not reporting, audit activity and status information. Also needed is the ability to track by report type and reporting agent or third party audit firm. Many of these categories need to have the capability to be broken down into date range and/or report year. These reports will need to have the capability to be exported into Excel with the proper format. The ability to designate holders as received from a third party or voluntary disclosure is important. The system should have the ability to send demand letters to businesses for compliance purposes. It needs the capability to track extensions. There should be an audit trail of any changes that are made to the holder name and tax ID. The system should also have the capability to compare holder reports to other state agencies within CT and generate lists of those companies that are authorized to do business but have not remitted unclaimed property. There should be capability to creatively search businesses for compliance with unclaimed property.

K. Administrative Reports – This software application should include a comprehensive reporting module to support recurring and ad hoc reporting needs. Respondent should be able to provide, at minimum, each report available to OTT today in the current computer system. Respondent should also be able to provide reports on demand, if necessary. Reporting will include customized data structures to facilitate reporting including but not limited to:

1. Pre-summarized data - The pattern of expected use makes it more efficient to summarize data in advance of the query. Examples of such summarization would include monthly, quarterly, and annual financial statements as well as backlog, throughput, and productivity statistics;
2. Record structures to facilitate comparative period and trend reporting (e.g. for financial outcomes, backlog statistics, productivity statistics);
3. Throughput, backlog, and productivity reporting for all major processes;
4. Historical reporting of comparative period backlog, throughput, and productivity by user selected time frame;
5. Performance reporting;
6. Security reporting for user activity (e.g. user updates, inquiries, deletes, etc.);
7. Forecasting reports;
8. Audit error reporting;
9. Development of management level dashboards.

L. Administrative Functions - provide on-line configuration, of security, setup tables and provide system maintenance utilities. Minimum administration and management requirements of unclaimed property application are:

1. Provide on-line data correction functionality and utilities;
2. Configurable System Defaults;
3. Ability to delete error reports and data;
4. Ability to move and transfer property items on a report;
5. Ability to change property statuses/property types (global/by report or individually);
6. Ability to change property or owner relation codes;
7. Identify and correct orphan owners;
8. Replace owner field type;
9. Ability to provide reporting totals;
10. Audit trail to track and report user changed item reports;
11. Audit trail to track and report invalid login attempts;
12. Administrator function providing reporting of statistics for individual or total users;
13. Month end summary reports;
14. Security program: Identify duplicate claim addresses;
15. Utility to edit address errors in voucher process;
16. Ability to search property comments;
17. Configurable user security permissions by role and user;
18. Configurable reference tables and codes for: unclaimed property, deposits, businesses, claims, securities, safekeeping, audits: (Examples: set owner types, owner relations, property types, property status, audit source, claims status, security ticker symbols, safe deposit box content/status codes, and claim approval levels);
19. Maintain US zip code reference table;
20. Maintain a current social security number reference table.

M. Other Unclaimed Property Software application requirements – (related functions of the Unclaimed Property software application). In addition to, and to reiterate the importance of, the above mentioned unclaimed property software application components, other abilities/functions of this solution must exhibit functions pro-active to provisions provided throughout the unclaimed property law and specific program administrative needs. These functions include but are not limited to:

1. Detailed error/integrity checks throughout the management system;
2. Specific reports/functions related to detail and summary of receipt and payment transactions within the program/system;
3. Specific reports/functions related to the OTT's custodial responsibilities of the program and software application;
4. Provide data entry efficiencies related to importing holder report data and receipts. In addition, the system must provide capability of data import to NAUPA format along with other state specific formats;
5. Provide data extraction capabilities specific to extracting property due and payable to other states;
6. Provide model enhancements/integration to incorporate transferable data to/from the OTT website or other internet environments;
7. Provide imaging system capabilities (optional);
8. Ability to automate processes including but not limited to: claim form batch printing and transmission of electronic holder reports/receipts;
9. Ability to generate 1099 file and the ability to export such file;
10. Ability to interface with State of Connecticut Accounting system (CORE-CT);
11. Ability to update and track interest rates charged by calendar year;
12. Ability to calculate interest paid on certain claims. Interest rates must be calculated and applied at the rate set for each distinct calendar year property is held by the OTT;
13. Ability to capture dividends received prior to 2006 and subsequently paid. These properties were data entered into the current computer system as separate and distinct properties and are not currently associated with a stock, dividend reinvest, mutual fund, etc.;
14. Ability to distinguish paid claims from those not paid;
15. Ability to show cash, interest, proceeds, dividends and total amount due on claims in a format easy to understand by the end user;
16. Ability to initiate and process reciprocal claims.

## **5. Additional Functions and Features**

1. Integration of online claimant authentication;
2. Creation of paperless claims and the ability to send/receive/scan documents from various technology sources including email, cell phone, etc.;
3. Tool to extract and cross-reference data for identity verification of holders and property owners;
4. Standardization of name and address data formats;
5. Identifying original reported share(s) and delivery date(s); and corporate actions such as dividends, mergers stock splits.

## 6. Software Application – Technology Requirements

The proposed solutions must be compatible with the following (note this is not an exclusive listing):

1. Windows
2. Browser based solution
3. IE compatible
4. Chrome compatible
5. Public interface compatible with all major browsers, and mobile platforms (both cellphones and tablet)
6. State of Connecticut Accounting System (CORE-CT)
7. SagePro or other accounting systems utilized by UCP

## 7. Training

To prepare for the implementation of the new system, Respondent must provide training for all processes. All personnel who are identified by the OTT Treasury as an end user must be trained. The training covered within the scope of this RFP includes training products as described below for proposed software system implementation. Respondent shall be responsible for on-going training of call center and claim processing personnel.

The Respondent will be required to provide curriculum and course design for training for each of the modules to be implemented. The contents of the training materials will be role-based to align with user responsibilities. The Respondent will also be responsible for developing audience-appropriate training materials for the training. All curriculum, course design, training support material, and instructors will be reviewed and approved by the OTT. The Respondent will be responsible for designing a formal process for reviewing and accepting all training materials. This design will be delivered, reviewed and approved by the OTT prior to commencement of the training sessions.

In addition to the training deliverables described above, the Respondent will also be responsible for developing a training strategy, delivery system and materials to prepare for the Post-Implementation phase. These materials will accommodate ongoing training and refresher courses as needed.

Expected Deliverables and Work Products:

1. Training Strategy
2. Training Plan
3. Course Curriculum
4. Course Design
5. Class Materials
6. Training class schedule
7. Post-Implementation support/training strategy, plan, curriculum and materials.

To help ensure training meets the OTT goals, appropriate metrics will be defined to track training attendance, personnel feedback, and user confidence. These metrics will be defined as part of the Implementation Phase.

The OTT Preferences: A mixed set of training methods maybe included such as self-paced customized instruction, tutorials via computer, webinars, and instructor-led training sessions for all aspects of the computer system.



The formal classroom instructor-led training will cover the “how to” for all business processes included in the application software. This includes all modules within the unclaimed property system. An estimate of the size of the training audiences will be less than 25 employees at a time. Several sessions of the classroom instructor-led training may need to be held especially if the OTT staff is not understanding or grasping the new database.

Training material development and the actual training of end users will be managed by the Respondent. The OTT expects the Respondent to develop all training materials.

## **8. Data Conversions**

The OTT expects Respondent to convert data from the current system to the proposed software application. All data from the current system must be migrated and converted into the new system. The Respondent shall be responsible for data mapping, conversion, translation, loading, reconciliation and verification that all data migrated from old system and loaded into proposed software application. The Respondent will identify problem areas within the current computer system data. The Respondent will be responsible for performing data loading, data validation and data reconciliation. Respondent may be required to work with existing vendor to migrate all CT data into proposed application software.

### **A. Expected Deliverables and Work Products:**

1. Data Conversion Strategy;
2. Data Mapping the current computer system to proposed software application;
3. Data Transformation Documentation;
4. Conversion Software and Related Source Code;
5. Data Load Results;
6. Documentation of issue analysis and resolutions;
7. Rectifying data integrity issues, if any;
8. Identifying and resolving data issues/gaps, if any;
9. Translation of data values from current computer system to the new software application;
10. Validating, reconciling and verifying the successful load of data;
11. Other cleanup, if required.

### **B. The strategy for managing the current system data during the migration will be as follows:**

1. Populate the new software application with all data from the OTT’s current unclaimed property system;
2. Extract, transfer, and load data from the OTT’s current system to the proposed software application system;
3. Verify all data was removed from current system and migrated to proposed software application;
4. Notify the OTT immediately of any and all data issues prior to, during and immediately following migration to proposed software application.

## **9. Scanning**

Respondents that include an imaging system as part of the response and if it is implemented the imaging system will be utilized for holder reports, all claim documents, research documents, securities documents and imported web based documents, and other related documents. It

should have an interface for document creation, retrieval, display, print, email, fax, routing, image enhancement, indexing and ability to upload/browse documents. It must provide for the electronic storage, retrieval, processing, import and export and routing of (objects) such as: Images (black & white, grayscale and color) and computer output reports data. Respondent must verify support for these features and describe any additional features: zooming in and out, redaction and reaction security, cut and paste, magnifying areas of a document, rotate and pan, inverting of document pages, document check-in/check-out, cascade and tiling, automatic scaling of images (height, width, fit to window or user defined), display black and white in grayscale, specify display fonts and print fonts, tab and toolbar features relic windows based buttons. The system must support viewing PDF files and files in native format (docx, xlsx, jpeg etc.) a full list of support viewing files will be required. It should be able to manipulate search result sets including sorting, printing, export and email. It should be able to read standard barcodes, have the ability to assign workflow, the ability to import images for web base applications. The system should be capable of generating reports to list a variety of daily, weekly and monthly reports and automatically store the reports in electronic format for retrieval. The security capabilities and functionality of the system such as user id-password authentications, roles and permissions to access the system, and security audit functionality must be documented. The system must support record retention for support of the OTT records retention policies and standards and must have data protections and disaster recovery. Respondents that include such implementation must provide detailed information on strategy for implementation and detailed training for scanning.

## **10. Generating Reports requirements**

Appendix A includes a list of reports that are needed to manage the workflow for UCP. This list is not all inclusive. UCP requires all reports available in the current computer system to be available in the proposed software application. A critical function of any canned reports received from Respondent is the ability for end users to modify the report parameters, i.e. date ranges, users, report format, etc.

Respondent must include a method to provide the OTT with the capability of running ad hoc reports.

## **11. Claim Processing Services**

The vendor will provide claims processing services to the OTT, including:

1. Receive and respond to public inquiries, including but not limited to: telephone, email, oral and written inquiries;
2. Mail claim packets to those requesting claims;
3. Receive and review claim packets for accuracy and completeness;
4. Scan documents as they are received from claimant (optional);
5. Initiate more evidence letters and follow-up with claimants for additional information, as required;
6. Prepare and send claims for approval by the OTT (the OTT conducts and applies approvals prior to sending claims to the State of Connecticut's Accounting System (CORE-CT));
7. Search the database to identify potential claimants.

In conjunction with these services the OTT requires the maintenance of an “800” telephone service, with a minimum of six available lines, staffed by personnel deemed competent by the OTT to perform this informational function for incoming claimant inquiries. This service shall be provided during the normal business hours of 8:00 a.m. to 5:00 p.m., Eastern Standard Time, Monday through Friday of every business day. Such telephone lines and personnel shall increase during publications which occur every other year – last publication was in 2018.

Respondent must establish a Connecticut mailing address (a United States Postal Service PO Box) for receipt of written inquiries, claim submission and correspondence. The system utilized must be capable of the highest security, strong internal controls and lend itself readily to audit by Treasury personnel. Billing for such services must be on a monthly basis, subject to review by the OTT.

**12. Programming Services/ System Support and Maintenance/Minimum Service Levels**

Respondent must have a support system that includes: a service line available during the OTT working hours, provide on-site representation as required, on-going training availability and documented issue escalation process. After implementation of the proposed software application the OTT requires Respondent to track, maintain the status of and provide monthly summary reports to the OTT on all change requests. Change requests will be submitted and responded to in accordance with the following matrix:

<b>Level Assessed:</b>	<b>Vendor Response Time Required:</b>	<b>Vendor Resolution Time Required:</b>
Critical	< 1 hour	< 1 business day
Priority	< 1 business day	< 5 business days
Enhancements	< 5 business days	< 15 business days unless mutually agree to longer timeframe.

All issues not meeting the above response times must be communicated in writing to the OTT with an explanation of the delay. This may result in a reduction of maintenance fees.

**13. Project Scope**

The following items are in scope:

1. Develop a Business Issues Report;
2. Develop a Business Requirements Report;
3. Develop a workflow Plan allowing for modernization;
4. Respondent will provide a database management system that will allow for flat file interfaces/exports to and from other systems and other vendors contracted with the Unclaimed Property Division;
5. Role-based security that permits users access to certain segments of the software application depending on user’s profile;
6. Respondent is responsible for refining and implementing a Project Management Plan that is reasonable and realistic for assumption of full responsibility for the implementation of this project. Respondent shall provide a comprehensive Project Management Plan which will be reviewed and adjusted, as necessary by the OTT.

**14. Respondent shall provide the following:**

1. Participate in regularly scheduled UCP project meetings;
2. Work with the UCP Project Manager to provide assistance in the areas of performance monitoring and change control management planning and implementation services;
3. Provide additional related services as requested by the OTT Project manager;
4. Time is a critical constraint in the execution of this project. Therefore, Respondent is expected to work with UCP to develop appropriate processes for the following:
  - a. Continuing project communications and reporting activities and plans;
  - b. Familiarizing itself with the computer infrastructure within UCP;
  - c. Developing an approach for managing rapid changes that may occur; UCP and Respondent must agree on the process;
  - d. Develop a process to provide issues as well as resolutions to the issues. Both UCP and Respondent must agree on the process.

**15. Design and Development Deliverables**

The documented deliverables required are set forth below:

1. Project Management Plan with Key Personnel;
2. Configuration Management Plan;
3. Requirements Matrix;
4. Updated Glossary, Acronym List and Business Rules;
5. System Security Profile;
6. Test Strategy and Plan;
7. Release Strategy and Plan;
8. System Maintenance Plan.

**16. Development and Testing Activities and Deliverables**

1. Respondent will invest significant effort in the testing and planning for implementation of a database management system. Respondent will:
  - A. Manage risks, people and other project resources effectively;
  - B. Participate in stress and system testing, if appropriate, for the database management system;
  - C. Provide a summary Test Report to document the results of testing of the database management system;
  - D. Work with UCP to develop a baseline for the testing environment; this should be as close as possible technically to the production environment.
2. The major deliverables from Respondent will be as follows:
  - A. Back out/Recovery Plan in the event an issue occurs with migration and or conversion;
  - B. Disaster Recovery;
  - C. Test Scenarios;
  - D. Training Plan;

- E. User Documentation and Training Materials;
- F. Environment Migration Checklist;
- G. Production Support and Administrative Documentation;
- H. User Acceptance Testing;
- I. Maintenance Plan.

## **17. Implementation Deliverables**

The major deliverables for the implementation phase are as follows:

1. Updated Project Management Plan;
2. Business Process Change Plan;
3. Production Implementation Plan;
4. End-user Training;
5. Request forms for system change orders by UCP management during maintenance of system.

## **Section III - Fees**

Please provide your fee proposal for the requested services as outlined in Section II in accordance with instructions set forth in Section VIII.

Fees should set forth the following:

1. Database Management and other services including migration and conversion;
2. Claim Processing and call center operations;
3. Programming Services;
4. Annual System Support and Maintenance;
5. Scanning, if included in your proposal.

All fees are to be paid annually delineated by fiscal year and shall be pro-rated per calendar year in 30 day month basis.

## **Section IV – Contract Term**

The Office of the Treasurer intends to enter into a contract for a five year term with the possibility of extensions.

## **Section V –Contractor Qualifications**

1. Respondents must thoroughly demonstrate experience in performing each of the proposed activities within this RFP.
2. References:

Respondents are also required to submit **three** references of similar projects, include person's name, title, address, telephone number, email address. The OTT may contact references for additional information.

### 3. Respondent Qualifications:

Describe how your experience, education and training, or special knowledge, skills or abilities meet the required minimum qualifications of this RFP. Examples of successful implementation of other unclaimed property database management and claim processing services would be helpful. Specifically, also provide:

#### A. List total number of clients and:

1. Over the past five (5) years, list number of new clients;
2. Over the past five (5) years, list number of clients that terminated and/or did not renew contract;
3. List the total number of years your firm has engaged in providing unclaimed property database management and claims processing services.

#### B. List total number of employees in your firm and:

1. List senior staff hires and departures over the last three (3) years;
2. Provide data relating to turnover ratios of your technical staff over the last three (3) years;
3. Describe your firm's compensation arrangement for professional staff. How does this arrangement encourage the retention of key individuals?
4. Identify and provide biographies of the firm's key personnel that would be assigned to this project.

#### C. Describe your firm's information technology capabilities and resources. How does the firm use technology to assist clients?

#### D. Describe in detail how a new client would transition to your firm's database system and claim processing services.

### 4. Organization History:

#### A. Please provide a brief history, from inception, of your firm and any parent organization and affiliates. Within the past three (3) years, have there been any significant developments in your organization, such as changes in ownership, restructuring, or personnel reorganization? Do you anticipate future significant changes in your organization? If yes, please describe the ownership structure of your organization, giving specific details with regard to any parent or affiliates, and describe the anticipated change(s).

#### B. Describe the line(s) of business of your firm, of any parent organization and of any affiliated companies. How many employees are involved in each line of business? What is the percentage breakdown of revenues from each line of business?

#### C. Within the last five (5) years, has your organization or an officer or principal been involved in any business litigation or other legal proceedings relating to your services? If so, provide an explanation and indicate the current status or disposition.

#### D. Has there been any Securities and Exchange Commission or other regulatory action against the company or its principals/owners/officers within the past five years?

#### E. Do you have any policies or procedures to address conflicts of interest?

F. Please describe the level of coverage for errors and omissions insurance, workers' compensation insurance, and provide a copy of the insurance coverage.

G. Does your firm have a business continuation and disaster recovery plan? Please describe the key features of the plan.

H. Has the company adopted a Code of Ethics and Standards of Professional Conduct?

#### 5. Organization Chart:

Provide a diagram showing the hierarchical structure of functions and positions within the organization generally, and of the personnel that will be responsible for delivering the services. Specifically: Describe the years of experience of the professional(s) that will be assigned to this project and their respective number of years with your firm.

#### 6. Financial Condition:

If the Respondent is a firm or corporation, include the two most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA). If the Respondent has been in business for less than five (5) years, such Respondent must include all financial statements prepared by a Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA) for the entire existence of the firm.

### **Section VI – Submission Deadline**

**Proposals must be received by 2:00 p. m. (EST) on October 22, 2019.** Proposals received after this deadline shall not be considered.

### **Section VII - Evaluation Criteria**

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

1. Experience of the Respondent in performing the services contained within the Scope of Services, Section II, of this RFP.
2. Experience of the Respondent in performing unclaimed property computer system implementation, customization, migration, data conversion and hosting of such systems.
3. Experience in conformance to specialized requirements included within this RFP.
4. Quality of proposal and its conformance with the terms of the RFP, including its clarity, completeness, responsiveness to requested information and demonstrated ability to complete work in a timely manner.
5. Personnel: Qualifications, availability and experience of personnel, including key personnel and day-to-day personnel assigned to this project, including the breadth and depth of professionals who may provide services to UCP as required in this RFP. Demonstrated commitment to client service; team organization and approach, including the ability to adequately staff and complete time-sensitive transactions and to interact effectively with the OTT personnel.

6. Fee proposal.
7. Quality and capacity of Respondent's systems, technology infrastructure and equipment to be used in the delivery of services.
8. 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.
9. Corporate Citizenship policies, as reflected in firm's response to the Corporate Citizenship disclosure, **Legal and Policy Attachment F** hereto.
10. Overall compliance with State and federal laws and policies as evidenced in the completion of the **Legal and Policy Attachments** and the required submissions.

The OTT reserves the right to negotiate the final contract terms (including pricing) with any Respondent.

Fees and compensation will be an important factor in the evaluation process. The Treasurer, however, is not required to select the lowest-cost response.

#### **Section VIII – Instructions for Submission of Proposals**

1. **Official Treasury Contact.** All communications with the OTT must be directed to the Official Treasury Contact. The Official Treasury Contact for purposes of this RFP is **Maria Greenslade**, whose contact information is as follows:

Maria Greenslade  
Assistant Treasurer  
Office of the State Treasurer  
55 Elm Street, Fifth Floor  
Hartford, CT 06106  
Email: maria.greenslade@ct.gov  
Phone: 860-702-3125

2. **Respondent's Representatives.** Respondents must designate an authorized representative and one alternate. Provide the name, title, address, telephone number, and e-mail address for each representative and the alternate.
3. **Communications Notice.** All communications with the Office or any person representing this Office concerning this RFP are strictly prohibited, except as permitted by this RFP. Any violation of this prohibition by Respondents or their representatives may result in disqualification or other sanctions, or both.
4. **RFP Timeline (Schedule of Events).** The following timeline, up to and including the Deadline for Submitting Proposals, shall be changed only by an amendment to this RFP. Dates after the Deadline for Submitting Proposals are anticipated target dates only.
  - a. September 6, 2019                      RFP Released
  - b. September 13, 2019                     Deadline for Questions



- |    |                           |   |
|----|---------------------------|---|
| c. | September 27, 2019        | Official Answers Released                 |
| d. | October 22, 2019          | Deadline for Submitting Proposals         |
| e. | Week of November 18, 2019 | Meetings/Interviews with Respondents      |
| f. | Week of December 16, 2019 | Anticipated Contractor Selection          |
| g. | Week of January 27, 2020  | Anticipate Start of Contract Negotiations |
| h. | April 1, 2020             | Anticipate Start of Contract              |
5. **Inquiry Procedures.** Respondents may submit questions about the RFP to the Official Treasury Contact on or before September 13, 2019. Questions must be in writing and submitted by e-mail to [maria.greenslade@ct.gov](mailto:maria.greenslade@ct.gov). Questions regarding Attachments A-L ONLY must be in writing and submitted to the Chief Compliance Officer by e-mail at [Barbara.Housen@ct.gov](mailto:Barbara.Housen@ct.gov). Clearly indicate "Proposal for Database Management and Claim Processing Services" in the subject line of your email. Questions will not be accepted over the telephone. Communication with other OTT personnel regarding this RFP is prohibited and will result in disqualification of your firm. Anonymous questions will not be considered or answered. The OTT reserves the right to provide a combined answer to similar questions and to decline to answer any question. The OTT will distribute official answers to the questions, in the form of a written amendment posted on the OTT's website at [www.state.ct.us/ott/](http://www.state.ct.us/ott/) no later than September 27, 2019.
6. **Confidential Information.** Respondents are advised that the Office of the State Treasurer is a constitutional Office of the State of Connecticut and its records, including responses to this RFP, are public record. Information in a response that is deemed by the proposing respondent to be confidential and proprietary should be clearly identified. Respondents should also provide justification as to why such information should not be disclosed by the OTT pursuant to the State of Connecticut Freedom of Information Act ("FOIA").

All responses to this RFP shall become the property of the Treasurer and will be kept confidential until such time as recommendation for award of a contract has been announced. Thereafter, submissions are subject to public inspection and disclosure under the FOIA, Connecticut General Statutes Section's 1-200 et seq., as may be amended from time to time. If a Respondent in good faith believes that any portion of its submission is exempt from public disclosure, then, in order to maintain confidentiality, (i) the Respondent should include an explanation containing the precise statutory basis for such exemption from disclosure under FOIA and (ii) such portion should be clearly marked "Confidential." The Treasurer will use reasonable means to ensure that such confidential information is safeguarded but will not be held liable for any inadvertent or 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 Attachments. Proposals that fail to meet these minimum submission requirements will be disqualified and not reviewed further.
8. **References.** Identify five (5) recent clients that we may contact as references. Provide the following information for each reference: name, title, company address, and phone number.
9. **Affirmations Concerning Contract and Conditions.** Include a written statement that the Respondent has read and accepts the RFP's conditions, the agency's standard contract and conditions, and the State's contract compliance requirements in their entirety. The statement must be signed by an individual authorized to bind the Respondent.
10. **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.
11. **Contract Compliance Requirements.** The State of Connecticut is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability, in admission to, access to, or operation of its programs, services, or activities.  
  
The Treasurer is required to consider the following factors in considering the Respondent's qualifications: (1) success in implementing an affirmative action plan; (2) promise to develop and implement a successful affirmative action plan; (3) submission of EEO-1 data indicating that the composition of the Respondent's workforce is at or near parity in the relevant labor market area; or (4) promise to set aside a portion of the contract for legitimate minority business enterprises.
12. **Consultants.** Any respondent that has entered into any consulting agreements whereby the duties of the consultant include communications concerning business of the Treasurer, whether or not in direct contact with the Treasurer, any other agency or public official or State employee was expected or made, must disclose such consulting agreements in the **Affidavit of Third Party Fees and Disclosure of Consulting Agreements, Attachment D** of the Legal and Policy Attachments. The selected vendor will be required to provide an updated disclosure at the time the contract is executed. See the **Directions** accompanying the **Legal and Policy Attachments** for instructions.
13. **Meetings and Interviews with Respondents.** At its discretion, the Office of the Treasurer may convene meetings with Respondents in order to gain a fuller understanding of their respective proposals. The meetings may involve presentations or site visits. If the OTT decides interviews are warranted, the Official Treasury Contact will telephone Respondents to make an appointment. Any such meetings are tentatively scheduled for the week of **November 18, 2019**.

14. **Surety Bond.** Include a statement that the Respondent is willing and able to furnish relevant industry security bonds and errors and omission coverage upon award of a contract. The statement must be signed by an individual authorized to bind the Respondent.
15. **Modification or Withdrawal of Proposals.** Responses to this RFP may be modified or withdrawn in writing via email, with return receipt verification, by the Respondent if such modification or withdrawal is received prior to the deadline for proposal submission noted herein.

Modifications or withdrawals of a proposal received after the submission deadline will not be considered.

16. **Errors.** If the Respondent discovers any ambiguity, conflict, discrepancy, omission or other error in this RFP, please notify the OTT immediately of such error by email at [maria.greenslade@ct.gov](mailto:maria.greenslade@ct.gov) and request a clarification or modification of the document.

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

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

17. **Packaging and Labeling Requirements.** All proposals must be submitted by hard copy in sealed envelopes or packages and be addressed to the Official Treasury 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; Respondent should include one original of the Required Legal and Policy Attachments.** Hard copies of Respondent's proposal must be received by the Office of the Treasurer, 55 Elm Street, 5th Floor, Hartford, Connecticut 06106, Attention: Maria Greenslade, no later than 2:00 p.m. (EST) on **October 22, 2019**.
18. **Required Format for Responses.** All proposals must follow the required format (below) and address all requirements listed in the prescribed order, using the prescribed numbering system. Failure to follow the required format may result in the disqualification of a proposal.

**A. Cover Letter**

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

1. Contact Information
  - a. Name of Respondent
  - b. Business Location
  - c. Mailing Address

d. Telephone Number

e. Email Address

## 2. 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 Treasury, if necessary. Provide the following information for each individual.

a. Names and titles

b. Telephone Numbers

c. Email addresses

3. A statement that the Respondent has the capability to provide the requested services.
4. A statement that the Respondent meets the contractor qualifications set out in Section V. If a Respondent does not meet any of the qualifications, they must identify which qualification(s) they do not meet and make a detailed case as to why the Treasurer should consider their firm and their product.
5. A Statement that the Respondent has thoroughly reviewed the RFP and acknowledges and accepts all terms and conditions included in the RFP.
6. Include a statement that the Respondent has read and accepts the Treasurer's standard contract and conditions in their entirety and without amendment.
7. The cover letter must be signed by a person authorized to bind the firm to all commitments made in its proposal.

## **B. Outline of Work**

### 1. Work Plan

- a. Provide a detailed, task-oriented breakdown for each activity in Section II Scope of Services. Be sure your description of your work plan matches the numbered section to which it corresponds.
- b. Respondents wishing to add activities to those specified in Section II Scope of Services must show the additions as separately numbered tasks.

### 2. Methodologies

- a. Describe how each activity (task) will be accomplished, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes. Include a description of the proposed method of working with UCP, the resources or services requested of UCP or of the Treasury (if any).
- b. Explain capabilities to perform each activity (task) included in the requirements outlined in Section II Scope of Services.

- c. Provide detailed information on Respondent's system(s) and technology infrastructure to be used in the delivery of required services.
- d. If you intend to use any subcontractors to deliver any of the services, please identify the subcontractors as follows:
  1. Name of firm
  2. Address of firm
  3. Primary contact person (Name, title and contact information)
  4. Specific services the firm will provide

### 3. Deliverables

- a. List and describe the form and content of each deliverable you would provide to the State.
- b. Include a proposed work schedule, by activity, indicating when each activity will be accomplished. Identify any significant milestones or deadlines. Include approximate due dates for all deliverables.

### 4. Personnel Resources

- a. Staffing Plan - identify the personnel resources that will be assigned to each activity delineated in the work plan (above). State the proportion of time that personnel will allocate to each task of the project.
- b. Key Personnel – Identify the key personnel that will be assigned to this project. Attach resumes reflecting their qualifications, including related work experience. (Note: The Office of the Treasure must be notified in writing and in advance regarding the departure of any key personnel from the project.)

The State retains the right to approve any and all subcontractors during the term of any contract that may result from this RFP. Respondent shall remain responsible for performance of all services, and shall indemnify the State from any claims, suits, damages, or losses caused by any subcontractor in the performance of any services.

### **C. Fee Proposal**

Provide your fee proposal for performing the requested services. The State reserves the right to negotiate fees with the selected Respondent.

### **D. Compliance**

**Legal and Policy Attachments.** Complete the Legal and Policy Attachments in accordance with the direction. PLEASE NOTE: If you are the selected vendor, you may be required to re-execute Attachment D at the time you execute your contract with the Office of the State Treasurer. Failure to complete the Legal and Policy Attachments may result in the Proposal not being reviewed. **Legal and Policy Attachments should be separately bound and submitted with the RFP response.**

1. All proposals submitted in response to this RFP will become the sole property of the Office of the State Treasurer.
2. The State Treasurer shall be 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 complete Attachment E of the Legal and Policy Attachments regarding the giving of gifts. The failure to provide such affidavit shall be grounds for disqualification.
4. Inclusion of Taxes in Prices – The OTT is exempt from the payment of excise, transportation, and sales and use taxes imposed by the Federal Government or any state or local government. Such taxes must not be included in your fee proposal.
5. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of the RFP will become the sole property of the OTT.
6. Timing and sequence of events resulting from this RFP will ultimately be determined by the OTT.
7. The Respondent agrees that the proposal will remain valid for a period of one year after the deadline for submission and may be extended beyond that time by mutual agreement.
8. The OTT may amend or cancel this RFP, prior to the due date and 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 Respondents' meetings or interviews are the sole responsibility of the Respondent.
10. No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, clarification of proposals may be required by the OTT 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 OTT participated directly in the Respondent's proposal preparation.
12. All responses to the RFP must conform to instruction. Failure to include any required signatures, provide the required number of copies, to meet deadlines, answer all questions, follow the required format, or failure to comply with any other requirements of this RFP may be considered appropriate cause for rejection of the response.

13. The Respondent must accept OTT's standard contract language and conditions. See Standard Contract and Conditions, attached hereto.
14. The OTT 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 OTT 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 OTT 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 OTT 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 OTT and the Respondent.
16. Prior to its engagement by the OTT, the successful Respondent shall furnish the OTT 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.

## Appendix

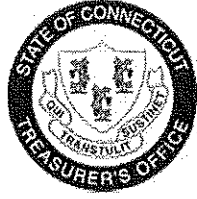
### UCP Report Requirements

This is a list of the minimal reports required by UCP. The Respondent is required to have available all reports utilized by UCP in the current database and map each report to the equivalent report in the proposed database management system. Additional reports may be requested and/or required. The below list is only a sample and should not be construed as a complete list:

1. Claim Status – Real time data of claim detail in selected status;
2. Claim Detail - List of property detail in a selected claim ID;
3. Claims Approved in Error - Detailed list of claims at a denied status that were previously approved;
4. Claims by Source- Summary or detailed listing of claims by selected criteria , source, value, type, etc.;
5. Claims Paid - Summary or detailed list of claims paid by date range, value, payee name, warrant number, county, etc.;
6. Claims Presented for Payment - Provides detailed list of claims submitted for payment;
7. Claims Status Global – Global report that should display financial information by claim including liquidated stock and liquidated safekeeping items;
8. Holder Outreach - List of active holder mailing addresses, telephone number and email addresses for outreach;
9. Holder Property Detail - Detailed list of reported property information by holder;
10. Holder Reported by Batch – list of holder and reported property in an import batch;
11. Holder Reporting by Property Type - Summary or detailed list of reported property by type;
12. Holder Reporting Summary - Provides reported property information by holder by a selected date range, FEIN;
13. Holders Reporting by Industry - Summary or detailed list of property submitted by type;
14. Legislative Outreach - Detailed list of property to be published sorted by legislative, senatorial or congressional districts;
15. Property Paid on a Report - List of property and claim ID, claim status by holder report;
16. Receipt Detail – Detailed list of receipts in a given date range;
17. Receipt Distribution – for Securities info used to identify stock issues;
18. Receipts by Type – List of receipts by report type: Annual report, Audit report, etc.;
19. Report vs Receipts – List of holder reports with detailed accounting of all applied receipts;
20. Reports Reconciled - List of reports that are balanced and available for claiming;
21. Reports Unreconciled - List of reports that are in-process;
22. Securities Received - List of securities received in a specified date range;
23. Safekeeping - Detailed list of all safekeeping items;



24. Safekeeping Inventory by Holder - Detailed list of all owner information and inventoried property by holder;
25. Safekeeping Property on a claim - List of safekeeping items with open claims;
26. Detailed list of claimed property once final approval status is applied. Request to obtain safekeeping item from storage;
27. Third party reporting fees - detailed list of fees paid to a third party for collection and submission of holder/property;
28. Third Party reports - Detailed financial history of report by property and fees by reporting agency;
29. User Productivity - Summary/detailed reporting for personnel productivity. Tracks when claims statuses were applied by user and number of transactions processed;
30. Wildcard Search - List of all records meeting criteria for owner name, email, telephone number, address;
31. Identify holders that did not submit reports, holders by reported amount, by industry type, state of incorporation;
32. Report of owner property by various methods;
33. Report of all items added, modified, deleted by user ID;
34. Report of securities and mutual funds that are ready for sale by date reported to OTT;
35. Claims sent to OTT for approval, rejected, pending, paid, stock claims pending, stock claims transferred;
36. Other reports as specified by OTT;
37. Letter to claimant announcing claim was paid. Letter lists all properties paid for that claim. Letter should print out at time claim is paid and upon request at a later date by OTT;
38. Letter to claimant stating additional information required to complete claim. Letter should be form letter and allow for customization. Letter should print at time claim is processed and upon request at a later date by OTT;
39. Letter to custodian if shares are being transferred.



**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 and the required attachments are provided on page 37.**

**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.

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)

### **Link to Attachments**

[http://www.ott.ct.gov/business\\_compliancereporting.html](http://www.ott.ct.gov/business_compliancereporting.html)

*(The attachments are PDF writeable documents)*



*STATE OF CONNECTICUT  
OFFICE OF THE TREASURER*

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

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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;
- (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
- (7) 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;
- (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 ADDITIONAL 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; 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.

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

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



**BIDDER CONTRACT COMPLIANCE MONITORING REPORT**

**PART I - Bidder Information**

Company Name: Street Address: City & State: Chief Executive:	Bidder Federal Employer Identification Number(FEIN) _____ 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__
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards?	Yes__ No__
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy?	Yes__ No__
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer?	Yes__ No__
5. Do you notify the Ct. State Employment Service of all employment openings with your company?	Yes__ No__
6. Does your company have a collective bargaining agreement with workers?	Yes__ No__

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

**Part III - Bidder Subcontracting Practices**

1. Will the work of this contract include subcontractors or suppliers? Yes\_\_ No\_\_
  - a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)
  - b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes\_\_ No\_\_

**PART IV - Bidder Employment Information**

PLEASE GO TO [WWW.OTT.CT.GOV](http://WWW.OTT.CT.GOV) AND CLICK ON THE DOING BUSINESS LINK AND THEN ON THE "COMPLIANCE REPORTING" TAB TO DOWNLOAD A FILLABLE EMPLOYER INFORMATION FORM.

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

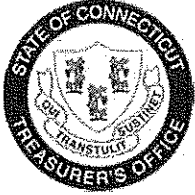
**PART V - Bidder Hiring and Recruitment Practices**

1. Which of the following recruitment sources do you use? (Check yes or no, and report percent used)				2. Mark with an (X) any of the below listed requirements that you use as a hiring qualification	3. Describe below any other practices or actions that you take which shows 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 (please proof your statements 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 non-compliant 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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**NONDISCRIMINATION AFFIDAVIT**

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*(To be signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy)*

**AFFIDAVIT:**

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

\_\_\_\_\_ of \_\_\_\_\_, an entity  
Signatory's Title Name of Entity

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

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

\_\_\_\_\_ and that \_\_\_\_\_  
Name of Entity Name of Entity

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

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

\_\_\_\_\_  
Authorized Signatory

\_\_\_\_\_  
Printed Name

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

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

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



STATE OF CONNECTICUT  
OFFICE OF THE TREASURER

EMPLOYMENT PRACTICES INFORMATION

COMPANY Name \_\_\_\_\_ (“Respondent”)

Please provide the following information:

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

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

Certifying Official:

Signature \_\_\_\_\_

\_\_\_\_\_  
(type name and title)

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

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

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



STATE OF CONNECTICUT  
OFFICE OF THE TREASURER

FORM A3: FOR COMPLETION BY ALL VENDORS BEFORE CONTRACTING

**AFFIDAVIT OF THIRD PARTY FEES AND DISCLOSURE OF CONSULTING AGREEMENTS**

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

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

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

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

Signed: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

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

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

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

**ADDENDUM TO AFFIDAVIT OF THIRD PARTY FEES**

- A. For each fee arrangement disclosed in the attached Affidavit, provide the following information about the third party payee:
- (1) Name
  - (2) Address
  - (3) Is the person or entity registered with the Securities and Exchange Commission, a state regulatory authority or FINRA? If so, provide details
  - (4) Name of the President/Chief Executive Officer
  - (5) Name, telephone number and email address of the individual principally responsible for work performed in connection with the contract, investment or proposed investment with the Office of the Treasurer
- B. Please explain whether and how each such payment falls within one or more of the following categories of compensation providing an exception to the prohibition on finder's fees:
- (1) Compensation earned for the rendering of legal services when provided by an attorney while engaged in the ongoing practice of law;
  - (2) Compensation earned for the rendering of investment services, other than legal services, when provided by an investment professional while engaged in the ongoing business of providing investment services;
  - (3) Compensation for placement agent, due diligence or comparable tangible marketing services when paid to a person who is an investment professional (i) engaged in the ongoing business of representing providers of investment services, or (ii) in connection with the issuance of bonds, notes or other evidence of indebtedness by a public agency;
  - (4) Compensation earned by a licensed real estate broker or real estate salesperson while engaging in the real estate business on an ongoing basis; or
  - (5) Payments for client solicitation activities meeting the requirements of Rule 206(4)-3 under the Investment Advisers Act of 1940.
- C. Attach a copy of the agreement evidencing the terms of the fee arrangement and the services, **and** provide a narrative description of any services actually rendered by the third party payee in connection with the contract, investment or proposed investment with the Office of the Treasurer.
- D. For each fee arrangement disclosed in the affidavit, please respond to the following:
- (1) Is the fee paid to a former state employee or public official? If so, please identify such person's former agency, position and the date such employment was terminated.

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



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

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



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

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**TREASURY 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(5), including a life event gift as defined in Conn. Gen. Stat. § 1-79(5)(L), to (1) any public official or state employee of the Office of the State Treasurer who participates directly, extensively, and substantively in the preparation of bid solicitations or requests for proposals for state contracts or in the negotiation or award of state contracts; or (2) any public official or state employee of any other state agency who has supervisory or appointing authority over the Office of the State Treasurer.

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

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

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

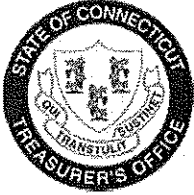
\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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

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

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



*STATE OF CONNECTICUT*  
*OFFICE OF THE TREASURER*

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**CORPORATE CITIZENSHIP**

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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*

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NOTICE OF LEGAL PROCEEDINGS

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

COMPANY ("Respondent") \_\_\_\_\_

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

1. I have the requisite knowledge and authority, and have made any inquiry necessary, to fully, completely and accurately provide the information requested in this affidavit;
2. I have disclosed in the Supplemental Information attached to this affidavit:
  - a. any and all material lawsuits, legal or administrative proceedings or governmental investigations, criminal actions or law enforcement activities (including those by federal, state or local authorities, or self-regulatory organizations) or non-routine Securities and Exchange Commission inquiries or investigations relating to Respondent or any of Respondent's affiliates, including any proceedings to which Respondent, its affiliates, or any of their respective officers, directors or employees is a named party or of which any of such has been the focus, that have occurred in the last five (5) years or that are currently threatened, including whether Respondent or any of its affiliates, or their respective officers, directors or employees has been censured by any regulatory body;
  - b. any claim for errors & omissions, fiduciary liability and/or fidelity bond insurance coverage submitted by Respondent, its principals or any of Respondent's affiliates in the past five (5) years;
  - c. any and all ongoing internal investigations of any of Respondent's officers, directors or employees, giving specific attention to those persons who would be closely responsible for the products or services sought by the Office of the Treasurer.
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.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Print name: \_\_\_\_\_

Title: \_\_\_\_\_

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

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

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

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

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

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

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

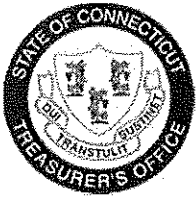
Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Print name: \_\_\_\_\_ Title: \_\_\_\_\_

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

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

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



## ATTACHMENT I

### STATE OF CONNECTICUT OFFICE OF THE TREASURER

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

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

#### SEEC FORM 10

#### CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

Rev. 1/11

#### CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

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

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

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

#### DUTY TO INFORM

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



## PENALTIES FOR VIOLATIONS

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

**Civil penalties** - Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

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

## CONTRACT CONSEQUENCES

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

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

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

## DEFINITIONS

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

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

or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

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

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

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

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

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

“Solicit” means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i)

making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

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

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

**SEEC FORM 10**

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

Rev. 1/11

Page 3 of 3



ACKNOWLEDGEMENT OF RECEIPT			
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.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

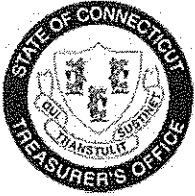
\_\_\_\_\_  
Print name

\_\_\_\_\_  
Title

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

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

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



*STATE OF CONNECTICUT  
OFFICE OF THE TREASURER*

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

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

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

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name

\_\_\_\_\_  
Title

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

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

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



STATE OF CONNECTICUT

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

Respondent Name: \_\_\_\_\_

INSTRUCTIONS:

- CHECK ONE:  Initial Certification.  
 Amendment or renewal.

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

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

Check applicable box:

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

B. Additional definitions.

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

C. Certification requirements.

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

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

CERTIFICATION:

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

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

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

\_\_\_\_\_  
Printed Respondent Name

\_\_\_\_\_  
Printed Name of Authorized Official

\_\_\_\_\_  
Signature of Authorized Official

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

\_\_\_\_\_  
Commissioner of the Superior Court (or Notary Public)

\_\_\_\_\_  
My Commission Expires



## ATTACHMENT M

### STATE OF CONNECTICUT OFFICE OF THE TREASURER

#### CONSULTANT QUESTIONNAIRE

##### Definitions:

- (a) "Consultant" or "you" refers to your firm, including key personnel who exercise a significant role in providing services to the CRPTF under the firm's contract with the Office of the State Treasurer.
- (b) "CRPTF" refers to the Connecticut Retirement Plans and Trust Funds.
- (c) "Relationship" refers to any financial, business, personal or familial relationship that is likely to bias the consultant's evaluation of or advice with respect to a transaction or assignment on behalf of the CRPTF.

##### Questions:

1. (a) Do you or any related companies have relationships with investment managers and/or funds that you recommend, consider for recommendation, or otherwise mention to the CRPTF for consideration? If so, describe those relationships.
- (b) Do you or any related companies have relationships with service providers that have relationships with money managers that you recommend, consider for recommendation, or otherwise mention to the CRPTF for consideration? If so, describe those relationships.
2. (a) Do you or any related companies receive any payments from investment managers and/or funds you recommend, consider for recommendation, or otherwise mention to the CRPTF for consideration? If so, what is the extent of these payments in relation to your other income (revenue)?
- (b) Do you or any related companies receive any non-monetary benefits from investment managers and/or funds or service providers you recommend, consider for recommendation, or otherwise mention to the CRPTF for consideration? If so, describe the nature and extent of these benefits.
- (c) Do you host any conferences that are attended by investment managers and/or funds that you recommend, consider for recommendation or otherwise mention to CRPTF? If so, indicate the cost to attend, whether clients are also invited and the cost for clients to attend, and provide a list of money managers attending any such conference(s) in the past year.



3. Do you have any policies or procedures to address conflicts of interest or to prevent these payments or relationships from being considered when you provide advice to your clients? Please describe such policies and procedures.
4. If you allow any plan clients to pay your consulting fees using the plan's brokerage commissions, do you monitor the amount of commissions paid and alert plans when consulting fees have been paid in full? If not, how can a plan make sure it does not over-pay its consulting fees?
5. If you allow any plan clients to pay your consulting fees using the plan's brokerage commissions, what steps do you take to ensure that the plan receives best execution for its securities trades?
6. Do you have any arrangements with any broker-dealers by which you or a related company will benefit if money managers place trades for their clients with such broker-dealers?
7. Do you acknowledge that you have a fiduciary obligation as an investment adviser to the CRPTF pursuant to your contract with the Office of the Connecticut State Treasurer?
8. Do you consider your firm to be a fiduciary under ERISA with respect to the recommendations you provide the CRPTF?
9. What percentage of your plan clients utilize money managers, investment funds, brokerage services or other service providers from whom you receive fees?
10. Do you have any incentive arrangements with any other clients that affect or could influence how you allocate investment opportunities to the CRPTF? If so, please provide details.

**PERSONAL SERVICES AGREEMENT**

This **PERSONAL SERVICES AGREEMENT** (“Agreement”) is entered into as of \_\_\_\_\_ (the “Commencement Date”), between the **STATE OF CONNECTICUT**, acting through its Treasurer (the “Treasurer” or the “State”) and \_\_\_\_\_, a limited liability corporation, having a principal place of business at \_\_\_\_\_ (the “Contractor”).

WHEREAS, Section 3-11a of the Connecticut General Statutes authorizes the Treasurer to enter into contracts to as may be necessary and proper for the discharge of her duties;

WHEREAS, the Treasurer has selected the Contractor based on the Contractor’s proposal to provide real estate investment consulting services and wishes to appoint the Contractor to provide such services, and the Contractor wishes to accept this appointment, on the terms and conditions set forth below; and

WHEREAS, the Contractor hereby reaffirms the reliability and accuracy of the written and oral representations made to the Treasurer in Contractor’s solicitation of this Agreement;

NOW, THEREFORE, in consideration of the foregoing recitals that are incorporated herein, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties agree as follows:

**1. Term**

This Agreement shall commence on the Commencement Date and shall expire on the earlier of (i) \_\_\_\_\_, or (ii) termination by either party as set forth in Section 33 hereof (Termination).

**2. Definitions**

- A. “Agreement” shall mean this Personal Services Agreement.
- B. “C.G.S.” shall mean the Connecticut General Statutes.
- C. “Commencement Date” shall have the meaning set forth in the introductory paragraph hereto.
- D. “Commission” shall mean the Connecticut Commission on Human Rights and Opportunities.
- E. “Contractor” shall mean BLANK.
- F. “Election Laws” shall mean C.G.S. Section 9-612, 9-613, *et seq*, as amended from time to time.
- G. “Gift Affidavit” shall have the meaning set forth in Section 24 (Gift Affidavit) hereof.

- H. “Internal Investigation” shall have the meaning set forth in Section 21 (Legal proceedings) hereof.
- I. “Proceeding” shall have the meaning set forth in Section 21 (Legal Proceedings) hereof.
- J. “State” shall mean the State of Connecticut, acting through its Treasurer.
- K. “State Ethics Code” shall mean Chapter 10 of the Connecticut General Statutes.
- L. “Treasurer” shall mean (i) the Office of the State Treasurer; (ii) the then-current Treasurer of the State of Connecticut in her capacity as trustee; and/or (iii) the State Treasurer’s authorized agent, employee or designee.

**3. Scope of Services**

A. See RFP

**4. Compensation**

A. For conversion, migration, implementation and training of end users from current computer system to Contractor’s system and work performed during Fiscal Year 2020 \$ \_\_\_\_\_.

B. For Database Management & Claim Processing Services and Other Services (“DM, CP&O”) Contractor shall be paid annual fees as delineated in the fiscal year payment schedule immediately following this paragraph. Payment of annual fees shall be pro-rated per calendar month for each year that this contract is in effect, upon submission to the Treasurer of an invoice for the prior calendar month. For any calendar month during which services are not provided for the entire calendar month, such fees shall be pro-rated on a 30-day month basis. Billing for services shall be on a monthly basis, subject to review by the Office of the Treasurer. The annual fee shall include the searching of current addresses, printing and mailing of publication outreach postcards up to and including a maximum of 200,000 post cards per year, if necessary.

<u>Base Fees</u>	<u>FY 2020</u>	<u>FY 2021</u>	<u>FY 2022</u>	<u>FY 2023</u>	<u>FY 2024</u>
For DM&CP&O	\$	\$	\$	\$	\$

Contractor shall provide monthly and cumulative per fiscal year statistics regarding the monthly amounts and types of: Inquiries handled, claims initiated and claims processed by individual Contractor employees (the “Monthly Statistics”). The Monthly Statistics shall also include a report detailing any and all occasions that Contractor failed to meet the requirements and standards of conduct established in Sections II, Scope of Services.

C. For Programming Services, Contractor shall be paid as follows:  
Contractor shall submit detailed invoices, with supporting documentation within thirty (30) days after Programming Services have been timely completed and delivered in keeping with

the deadlines established by the Treasurer. Invoices shall be evaluated in accordance with the terms set out within this Agreement, and the Treasurer shall return unpaid any invoices received for Programming Services not accepted by the Treasurer. The Treasurer shall return unpaid all invoices for Programming Services once the aggregate total of fees paid for Programming Services reaches the amount as delineated in the fiscal year payment schedule immediately following this paragraph. Contractor hereby acknowledges that nothing in this Section 4 relieves or releases Contractor of any obligation or duty to perform Programming Services under this Agreement. Upon completion of the installation of the unclaimed property database upgrades to the satisfaction of the Treasurer written acknowledgement shall be given. Such written acknowledgement shall not be unreasonably withheld. Annual Support for the unclaimed property database shall be payable per month, in arrears, on a pro-rated basis in accordance with the forgoing Programming Services invoice submission procedures, in an amount not to exceed the delineated amounts in the fiscal year payment schedule immediately following this paragraph. Other Programming Services shall be provided upon pre-approved written request and approval by the Treasurer in accordance with the forgoing Programming Services invoice submission procedures, at a rate of \$ XX per hour not to exceed the amount delineated in the fiscal year payment schedule immediately following this paragraph.

**Programming**

<b>Services:</b>	<b>FY 2020</b>	<b>FY2021</b>	<b>FY2022</b>	<b>FY2023</b>	<b>FY2024</b>
------------------	----------------	---------------	---------------	---------------	---------------

Annual Support  
for unclaimed  
property database

\$	\$	\$	\$	\$
----	----	----	----	----

Other  
Programming  
Services  
Requested

\$	\$	\$	\$	\$
----	----	----	----	----

**C. Telephone Service Center**

The Office of the Treasurer requires the maintenance of an "800" telephone service, with a minimum of XX available lines, staffed by competent personnel with capability to respond to inquiries. This service shall be provided during the normal business hours of 8:00am to 5:00pm, Eastern Time, Monday through Friday of every business day. During publication years the minimum available lines shall be increased to X lines and the number of personnel responding to inquiries shall increase to X. Contractor must establish and maintain a Connecticut mailing address for receipt of written inquiries, claims and correspondence. The system utilized must maintain the highest security and lend itself readily to audit by the Treasurer.

#### D. Website

The Office of the Treasurer requires Contract to purchase and maintain the domain name [www.CTBigList.com](http://www.CTBigList.com). The Contractor is responsible for formatting and updating the website daily, weekly and or annually as prescribed by the Treasurer. The Office of the Treasurer will prescribe the layout of the webpage and the design. The website shall be accessible through the State Treasurer's homepage located at [www.otf.ct.gov](http://www.otf.ct.gov). The Contractor is responsible for establishing and maintaining a second URL for the special electronic publication that is issued once every other year by the Office of the State Treasurer. The special electronic publication is accessed through [www.CTBigList.com](http://www.CTBigList.com).

Contractor shall provide monthly and cumulative per fiscal year statistics regarding the websites. The Monthly Statistics shall also include a report detailing any and all occasions that Contractor failed to meet the requirements and standards of conduct established in the Scope of Services section of this Agreement.

#### E. Invoicing

The Contractor shall submit to the Treasurer invoices only covering work already performed; no compensation shall be paid to, or requested by, the Contractor in advance of services rendered. Invoices shall be mailed to:

Office of the Treasurer  
State of Connecticut  
55 Elm Street, Fifth Floor  
Hartford, CT 06106  
Attention: Unclaimed Property Division

The Treasurer may change the above address for invoices under this section upon prior written notification to the Contractor.

### 5. **Representations and Warranties of the Contractor**

- A. The Contractor represents and warrants that it is fully experienced and properly qualified to perform the services provided for herein and that it is properly licensed, equipped, organized and financed to perform such services.
- B. The Contractor represents and warrants that neither the execution and delivery of this Agreement nor the consummation of the transactions contemplated herein will violate any agreement or a contractual commitment to which the Contractor is a party or by which it is bound, any law, regulation, order, or any provision of the Contractor's charter documents. The Contractor further represents and warrants that it is not a party to any existing agreement that would prevent the Contractor from entering into and performing this Agreement. For the term of this Agreement, the Contractor agrees not to enter into any other agreement that is in conflict with the Contractor's obligations under this Agreement.

- C. The Contractor represents and warrants that it is duly organized, validly existing, and in good standing under the laws of the state of its organization and has full corporate power and authority to carry on its business as it has been and is currently being conducted.
- D. The Contractor represents and warrants that it has full power and authority to enter into and perform fully the terms of this Agreement and that the execution of this Agreement on behalf of the Contractor is duly authorized and, upon execution and delivery, this Agreement shall be binding upon the Contractor in accordance with its terms.
- E. The Contractor represents and warrants that it has completed, obtained and performed all applicable registrations, filings, approvals, licenses, authorizations, consents and/or examinations required by any government or governmental authority for entry into this Agreement and performance of the services contemplated herein, and the Contractor further represents and warrants that it shall maintain all such proper and required registrations, filings, approvals, licenses, authorizations, consents and/or examinations for the term of this Agreement.
- F. The Contractor represents and warrants that it shall act as an independent contractor in performing this Agreement and shall maintain complete control over its employees and any subcontractors hired by it to perform services hereunder.
- G. The Contractor represents and warrants that it shall perform all services hereunder in accordance with the terms of this Agreement and in compliance with all applicable federal, state and local laws, regulations, guidelines, permits, and requirements.
- H. The Contractor represents that services to be rendered hereunder do not in any way conflict with other contractual commitments with or by the Contractor.
- I. The Contractor represents and warrants that neither any representation and warranty contained herein nor any written statements, certificates or documents delivered or to be delivered to the Treasurer or the Treasurer's designated representative(s) by or on behalf of the Contractor contains or will contain any misstatements of material fact, or omits or will omit to state a material fact necessary to make the statements contained herein or therein not misleading.
- J. The Contractor represents and warrants that the Contractor (including its key professionals) has no undisclosed material or potential conflict of interest with the Treasurer. Any previously undisclosed material or potential conflicts of interest are disclosed on **Attachment K – Conflicts of Interest** on the Compliance Reporting link, (see **Exhibit D for Compliance Reporting link**). Advisor represents and warrants that it shall, no less than annually and for the term of this Agreement, report to the Treasurer any changes to the disclosure provided in **Attachment K**.

- K. The Contractor shall promptly notify the Treasurer in writing in the event any of the foregoing acknowledgements, representations, warranties or agreements herein shall no longer be true.

6. **Changes in Services**

When changes in services are required or requested by the Treasurer, the Contractor shall promptly estimate the monetary effect of such services and so notify the Treasurer. Subject to the terms and conditions set forth in Section 26 hereof (Amendments), the Contractor shall not implement any change in services under this Agreement unless such change is first approved by the Treasurer in writing. Unless otherwise agreed to in writing, the provisions of this Agreement shall apply to all changes in services.

7. **Labor and Personnel**

At all times, the Contractor shall utilize qualified personnel necessary to perform the services under this Agreement. The Contractor shall, if requested to do so by the Treasurer, reassign from the Treasurer's account, within a reasonable period of time, any employee or authorized representative whom the Treasurer, in her sole discretion, determines is incompetent, dishonest, uncooperative or unable to effectively perform the responsibilities and services required hereunder.

8. **Insurance Requirements**

- A. Minimum Coverage Requirements. At minimum, the Contractor shall at its sole cost and expense, during the term of this Agreement, procure and maintain in full force and effect the types and minimum limits of insurance coverage specified in this Section 9 (Insurance) against claims for injuries to persons or damages to property that may arise from or in connection with the performance of the work hereunder by the Contractor, its agents, representatives, employees or subcontractors. In no event shall the Contractor perform work under this Agreement until the required evidence of insurance has been furnished to the Treasurer. All insurance shall be procured from reputable insurers (rated A-, class X or better by A.M. Best & Company) that are approved/admitted to doing business in the State of Connecticut or otherwise acceptable to the Treasurer. Coverage for occurrences happening during the performance of the services provided hereunder shall be maintained in full force and effect under the policy.
- B. Comprehensive General Liability Insurance: The Contractor shall obtain and maintain occurrence-based commercial general liability insurance or similar coverage with a limit of not less than \$1,000,000 for each occurrence for bodily injury, personal injury and property damage. If such insurance contains a general aggregate limit, it shall apply separately to this Agreement or be no less than two times the occurrence limit.
- C. Professional Liability Insurance or Miscellaneous Professional Liability Insurance. The Contractor agrees to procure and maintain professional liability insurance or miscellaneous professional liability insurance with a limit of not less than

\$10,000,000. The Contractor's insurance policy must have a provision for a supplemental Extended Reporting Period ("ERP" a/k/a "tail coverage"). This tail coverage allows for claims to be reported after the policy is terminated for covered incidents that occurred while the Contractor was insured. Should the Contractor cease operations which would result in the termination of this claims-made policy prior to the expiration date of this agreement, the Contractor is required to activate the supplemental "ERP" or "tail" coverage by purchasing the extended coverage prior to the policy's termination. The Extended Reporting Period must be for one full year after termination.

- D. Cybersecurity Insurance. The Contractor shall obtain and maintain cyber liability insurance with a limit of not less than [\$1,000,000 for each claim and \$2,000,000 in the aggregate.]
- E. Deductibles. Any deductibles or self-insured retentions must be declared to and approved by the Treasurer. At the Treasurer's reasonable option, the Contractor shall reduce such deductibles or self-insured retentions, or shall procure a bond guaranteeing payment of losses and related investigations, claims administration and defense expenses.
- F. Certification. The Contractor shall certify to the Treasurer in writing upon execution of this Agreement on the Insurance Certificate located on the Compliance Reporting Link and, thereafter at least annually, the nature, amount of and carrier of insurance insuring the Contractor against the risks specified, and the indemnification obligations and liabilities of the Contractor contained in this Agreement. Prior to the execution of this Agreement and as requested by the Treasurer, the Contractor shall furnish the Treasurer in writing with proof of its insurance coverage. In doing so, the Contractor shall furnish the Treasurer with a true and correct copy of (a) the original insurance policies or (b) a Certificate of Insurance that shall clearly evidence all insurance required in this Agreement and which provide that such insurance may not be canceled, except on 30 days' prior written notice to the Treasurer. Notices of cancellation, termination, and alteration of such insurance or bond shall be delivered to the Treasurer immediately upon receipt by the Contractor.
- G. Cancellations, Modifications, Failures to Maintain, Etc. The Contractor shall not cancel or reduce such coverage as set forth in this Section 9 (Insurance Requirements), except upon thirty (30) days prior written notice to the Treasurer. Notices of cancellation, termination, and alteration of such insurance or bond shall be delivered to the Treasurer *via* certified mail immediately upon receipt by the Contractor. If at any time during the term of this Agreement the Contractor fails to obtain or maintain the required insurance, the Treasurer shall have the right to treat such failure as a breach of contract and to exercise all appropriate rights and remedies. Each of the insurance coverage's shall provide for at least thirty (30) days prior written a notice to be given to the Treasurer in the event coverage is materially changed, canceled or non-renewed.



- H. Claims. The Contractor shall notify the Treasurer in writing of any claims made to, and any payment received on a claim from any of its insurance carriers pertaining to the State or the Treasurer. The Treasurer reserves the right to receive the benefit of any insurance coverage obtained by the Contractor in amounts higher than the minimums set forth herein.
- I. Effect. The insurance requirements set forth herein are not intended and shall not be construed to modify, limit or reduce the indemnification obligations made in this Agreement by the Contractor to the Treasurer or to limit the Contractor's liability under this Agreement to the limits of the policies of insurance required to be maintained by the Contractor hereunder.

**9. Quality Surveillance**

All services performed by the Contractor shall be subject to the inspection and approval of the State at all times, and the Contractor shall furnish all information concerning such services, and shall grant the Treasurer's duly authorized representatives free access at all reasonable times to the Contractor's facilities where the services under this Agreement are performed. The Contractor shall allow such representatives free access to any of the Contractor's books and records relating to the services provided hereunder. At the Treasurer's request, the Contractor shall provide the State with hard copies or computer transmittal of any data or information in the possession of the Contractor that pertains to the Treasurer's business under this Agreement. The Contractor shall incorporate this paragraph verbatim into any agreement it enters into with any vendor providing services under this Agreement.

**10. Nondisclosure**

The Contractor shall not release any information concerning the services provided pursuant to this Agreement or any part thereof to any member of the public, the press or media, business entity or any official body unless prior written consent is obtained from the Treasurer or required by law or court order.

**11. Promotion**

No publicity release or announcement concerning this Agreement shall be issued without the advance written approval of the Treasurer. Unless specifically authorized in advance in writing by the Treasurer on a case-by-case basis, the Contractor shall have no right to use, and shall not use, the name of the State of Connecticut, its officials or employees, or the seal of the State of the Treasurer:

- i. In any advertising, publicity, or promotion;
- ii. As an express or implied endorsement of the Contractor's products or services;  
or
- iii. In any other manner (whether or not similar to uses prohibited by subsections (a) and (b) above), except to perform and deliver in accordance with this Agreement such services as are hereby contracted by the State of Connecticut.

In no event may the Contractor use the State Seal or the seal of the Office of the Treasurer in any way without the express written consent of the Secretary of State of the State of Connecticut or the Treasurer, respectively.

**12. Confidentiality**

All data provided to the Contractor by the Treasurer, the Treasurer's staff or designated representatives, or developed internally by the Contractor with regard to the Treasurer or the State will be treated as proprietary to the State and confidential unless the Treasurer agrees in writing to the contrary in advance. The Contractor agrees to forever hold in confidence all files, records, documents or other information ("State Information") as designated, whether prepared by the State or others, which may come into the Contractor's possession during the term of this Agreement, except where a disclosure of such information by the Contractor is required (whether in the ordinary course of business or otherwise) by another governmental authority to ensure compliance with laws, rules or regulations, and such disclosure will be limited to that actually so required. Where such disclosure is required, the Contractor will provide advance written notice to the Treasurer of the need for disclosure. The Contractor shall inform all of its agents of the confidentiality provision contained in this Agreement. To fulfill the obligations of this Section, the Contractor shall maintain a privacy policy which shall contain procedures to safeguard State Information.

The Contractor shall immediately report to the Treasurer any use or disclosure of State Information not provided for by this contract, including the extent of the unauthorized release or use, the recipient(s) of the data, and the data released or used. The Contractor shall mitigate, to the extent practicable, any harmful effect that is known to the Contractor arising from use or disclosure of State Information, and shall report to the Treasurer the steps taken to mitigate the harm.

The Contractor further agrees to comply with the Treasurer's Security Addendum, attached as "Exhibit E."

**13. Non-Discrimination Obligations**

A. 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 to "Contractor" shall mean the Contractor, and references to "commission" shall mean the Connecticut Commission on Human Rights and Opportunities:

(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, intellectual disability, 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, intellectual disability, 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 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; (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, 46a-68f and 46a-86; and (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 relating to the provisions of this section and C.G.S. Section 46a-56.

- B. If this Agreement is a public works contract, municipal public works contract or contracts for a quasi-public agency project, the Contractor agrees and warrants that it will make good faith efforts to employ minority business enterprises as subContractors and suppliers of materials on such public works or quasi-public agency project.
- C. "Minority business enterprise" means any small Contractor or supplier of materials fifty-one per cent (51%) 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 C.G.S. Section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "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.

- D. 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.
- E. The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.
- F. The Contractor shall include the provisions of **subsection (A)** above in every subcontract or purchase order entered into in order to fulfill any obligation of this Agreement 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.
- G. The following subsections are set forth here as required by section 4a-60a of the Connecticut General Statutes:
- (1) the Contractor agrees and warrants that in the performance of this 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, 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.

- H. The Contractor shall include the provisions of **subsection (G)** above in every subcontract or purchase order entered into in order to fulfill any obligation of this Agreement with the state and such provisions shall be binding on a Contractor, 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 that, if such Contractor becomes involved in, or is threatened with, litigation with a Contractor 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.

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. For the purposes of this section, "Agreement" does 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).

- I. In accordance with the foregoing acknowledgments and agreements, and as required by Public Act 09-158, **Attachment B from the Compliance Reporting Link**, is Contractor's nondiscrimination certificate. Contractor shall update such certificate not later than 30 days after the effective date of any change in the information provided in such certification, and shall certify annually that the most recent certification on file is current and accurate.

#### 14. **Fiduciary Duties**

By execution of this Agreement, the Contractor, to the extent that it exercises any discretionary authority or discretionary control respecting the management or disposition of the assets, or renders investment advice, acknowledges that it is a fiduciary with respect to the Office of the Treasurer, and asserts that it is registered and/or licensed pursuant to all applicable state and federal laws. The Contractor shall discharge such fiduciary duties under this Agreement solely in the interests of the Office of the Treasurer with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting

in a like capacity and familiar with such matters would use in the conduct of an enterprise of like character and with like aims, and in accordance with the provisions of this Agreement.

**15. Indemnification**

The Contractor hereby indemnifies and shall defend and forever hold harmless the Treasurer, the Treasurer's officers, representatives and employees, from and against any and all suits, actions, legal or administrative proceedings, claims, demands, damages, liabilities, losses, liabilities, suits, judgments, fines, penalties, charges, interest, attorney's fees, costs and expenses of whatsoever kind or nature including those arising out of injury to or death of the Contractor's employees, whether arising before, during or after completion of the services hereunder, and in any manner directly or indirectly caused or occasioned by, or attributable or contributed to in whole or in part, any act of bad faith, negligence, willful misconduct, improper or unethical practice, infringement of intellectual property rights, breach of fiduciary duty, breach of trust, breach of confidentiality, or any other breach of contract or violation of any law or requirement in connection with this Agreement, by the Contractor, its principals, directors, officers, employees, agents or subcontractors. At the Treasurer's option, and in her sole discretion, the Contractor shall defend at its expense any actions brought against the Treasurer or the State arising out of or in connection with any services performed hereunder or the failure to perform such services, or other breach of this Agreement, by the Contractor, its principals, directors, officers, employees, agents or subcontractors, and the costs of such defense shall be borne by the Contractor and shall not constitute any expense of nor shall be paid by the State or the Treasurer. This indemnification shall survive any termination of this Agreement.

**16. Liability**

Nothing set forth in this Agreement shall in any way constitute a waiver or limitation of any rights that the State or the Treasurer may have under any applicable laws and nothing contained in this Agreement shall be construed as relieving the Contractor from any responsibility or liability for any responsibility, obligation, or duty hereunder imposed on the Contractor by state or federal law.

**17. Corporate Citizenship**

The Contractor agrees and acknowledges that the Treasurer expects all of its vendors to be good corporate citizens. Good corporate citizenship includes, without limitation, embracing workforce diversity within the company and with respect to the procurement of goods and services, supporting the communities where the company does business with respect to charitable and civic organizations, community works and procurement practices, and incorporating good corporate governance in the company's operation. During the term of this Agreement, the Contractor agrees to furnish the Treasurer with detailed and accurate reports of its good corporate citizenship activities upon request.

**18. Third Party Fee Disclosure**

The Contractor acknowledges and agrees that:

- A. 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;
- B. Contractor is not providing investment services to the Office of the Treasurer under this Agreement; and
- C. Section 4a-81 of the Connecticut General Statutes prohibits the Office of the Treasurer from entering into any contract for goods or services with an annual value of \$50,000 or more unless it obtains an affidavit from the vendor attesting as to whether such vendor has entered into any written or oral consulting agreements in connection with its contract with the Office of the Treasurer.

In accordance with the foregoing acknowledgement and agreements, the Contractor agrees to have its chief official authorized to enter into this Agreement complete and submit to the Treasurer a sworn affidavit in the form of **Attachment D** (the "Third Party Fee Disclosure Affidavit") on the Compliance Reporting link.

The Contractor represents that the information it has disclosed on the Third Party Fee Disclosure Affidavit is accurate and complete as of the date of this Agreement. The Contractor covenants to promptly report any changes to the disclosure provided on the Third Party Fee Disclosure Affidavit and to file an updated affidavit with the Treasurer on an annual basis as of June 30 of each contract year.

## **19. Campaign Contributions**

- A. The parties hereto acknowledge and agree that C.G.S. Sections 9-612 and 613 (as may be amended from time to time, the "Elections Laws") among other things, prohibits contributions to and limits solicitations on behalf of a candidate for the Treasurer of the State of Connecticut. The Contractor covenants not to make any campaign contributions or solicitations in violation of such Election Laws for the term of this Agreement. The Contractor further represents and agrees that (i) the Contractor, (ii) any and all directors or persons with 5% or greater ownership in the Contractor, (iii) any and all individuals employed as president, treasurer or executive vice president by the Contractor, (iv) any and all officers and employees of the Contractor with managerial or discretionary responsibilities with respect to the State, (v) the spouse or dependent child who is eighteen years of age or older of any of the foregoing, or (vi) a political committee established or controlled by the Contractor or any such individuals, did not during the last election cycle contribute to or solicit contributions on behalf of, and will not (for the term of this Agreement) 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 Treasurer of the State of Connecticut.
- B. If this Agreement has a value equal to or more than \$50,000 in a calendar year, then the Treasurer hereby notifies the Contractor that, pursuant to the Elections Laws, no

principal of the Contractor, as defined in the Elections Laws (“Principal”), shall make a political contribution to or on or after January 1, 2011, knowingly solicit a political contribution from Contractor’s employees or from a subcontractor or principals of a subcontractor of Contractor on behalf of: (i) an exploratory committee or candidate committee established by a candidate for election to any of the following offices of the State: Governor, Lieutenant Governor, Secretary of State, Treasurer, Comptroller, or Attorney General; (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates; or (iii) a party committee (each and together, a “Prohibited Contribution”). If the Contractor or a Principal makes or solicits a Prohibited Contribution, then the Treasurer at her sole discretion may void this Agreement immediately and without notice. If the Contractor or a Principal makes or solicits a Prohibited Contribution and the Treasurer decides not to void this Agreement, then this Agreement shall not be amended for that period of time proscribed by the Elections Laws.

- C. For all State contracts as defined in Public Act 10-1 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 Contractor’s authorized signatory to this Agreement expressly acknowledges receipt of the State Elections Enforcement Commission’s notice advising State contractors of State campaign contribution and solicitation prohibitions, and will inform its Principals of the contents of such notice. See **Attachment H** on the Compliance Reporting link.

**20. Code of Ethics**

None of the Contractor, its principals, directors, members, officers, partners, employees or agents shall engage directly or indirectly in any financial or other transaction with any trustee, staff member, or employee of the Office of the Treasurer 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 through 1-90 of the Connecticut General Statutes.

**21. Notice of Certain Legal Proceedings, Internal Investigations**

- A. As of the date hereof, the Contractor shall have provided the Treasurer with a complete and accurate report in writing of any known or threatened (i) lawsuit, legal or administrative proceeding or governmental investigation, examination, complaint, disciplinary action, non-routine Securities and Exchange Commission inquiry or investigation, or other proceeding relating to the Contractor or any of its affiliates (including any proceedings to which the Contractor, its affiliates, or any of their respective officers, directors, principals, members, partners, managers or employees is a named party or of which any of such has been the focus), or of any other lawsuit, legal proceeding or governmental investigation (whether or not the Contractor or its affiliates, or any of their respective directors, officers, managers, or principal is a party thereto, but only to the extent the Contractor has knowledge thereof) relating to or affecting the Contractor’s ability to perform its obligations under this Agreement or involving any investment professional employed by the Contractor who has performed or does perform any services for the Treasurer (each, a “Proceeding”) and (ii) formal



internal investigations of the Contractor, or any of its directors, officers, principals, members, partners, managers, investment professionals or employees involved with providing services to the Treasurer under this Agreement relating to or affecting the Contractor's ability to perform its obligations under this Agreement or involving any investment professional employed by the Contractor who has performed or does perform any services for the Treasurer (each, an "Internal Investigation").

- B. During the term of this Agreement and to the extent permitted by law, the Contractor agrees to promptly notify the Treasurer in writing of the commencement or existence of any known or threatened Proceeding or Internal Investigation.
- C. During the term of this Agreement and to the extent permitted by law, the Contractor agrees to promptly provide the Treasurer with any and all information reasonably requested by the Treasurer in response to disclosure made pursuant to this Section 22.
- D. During the term of this Agreement and to the extent permitted by law, the Contractor shall promptly inform the Treasurer in writing of any material changes in the status of any pending Proceeding or Internal Investigation previously disclosed hereunder, and shall promptly update any information previously disclosed to the Treasurer related to any such Proceeding or Internal Investigation.

**22. Compliance; Duty to Update; Whistleblower**

- A. The Contractor, its employees, agents and representatives shall at all times comply with all applicable foreign, international, federal, state (including those of the State of Connecticut), county and local laws, ordinances, statutes, rules, regulations, registrations, filings, approvals, authorizations, consents examinations and orders of governmental authorities, including those having jurisdiction over its registration and licensing to perform services hereunder, and all provisions required by such legal requirements are hereby incorporated by reference in this Agreement. The Contractor shall be solely responsible for obtaining current information on such laws and requirements. The Contractor shall promptly disclose to the Treasurer any changes in the Contractor's status with respect to any such compliance and disclosure and shall immediately deliver any amended, modified or changed instruments, documents and other filings to the Treasurer.
- B. Without limiting the foregoing, this Agreement is subject to the provisions of §4-61dd of the Connecticut General Statutes. No officer, director or appointing authority of the Contractor may take or threaten to take any retaliatory personnel action against any employee of the Contractor who discloses information regarding corruption, unethical practices, violation of state laws or regulations, mismanagement, gross waste of funds, abuse of authority or danger to public safety occurring in any state department or agency to the Connecticut Auditors of Public Accounts or the Connecticut Attorney General. In the event that any such retaliatory action is taken or threatened, the Contractor shall be liable for civil penalties.

**23. Equal Opportunity and Diversity**

- A. The Contractor agrees and warrants that, in the performance of its duties hereunder, it shall 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, gender, mental retardation, sexual orientation or physical disability, including but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the services under this Agreement.
- B. The Contractor further agrees to use its best efforts to consider applicants with job-related qualifications for employment and that, once employed, employees are treated without regard to their race, color, religious creed, age, marital status, national origin, ancestry, gender, mental retardation, sexual orientation, or physical disability. The Contractor agrees, represents and warrants that all solicitations or advertisements for employees placed by it or on its behalf shall state that the Contractor is “affirmative action – equal opportunity employer.” The Contractor agrees, represents and warrants that it shall use its good faith efforts to consider and recruit diverse applicants from the widest possible pool of candidates. In meeting its good faith obligation to recruit diverse applicants, the Contractor agrees, represents and warrants that it shall contact national networks, and shall maintain adequate records of its efforts regarding workforce diversity.
- C. The Contractor must complete and submit **Attachment A** on the Compliance Reporting link. The Contractor further represents and warrants that the information disclosed on **Attachment A** is accurate and complete as of the date of this Agreement. During the term of this Agreement, the Contractor agrees to furnish the Treasurer with updated and accurate disclosure no later than December 31 of each year.

**24. Gift Affidavit**

The Contractor shall complete, truthfully attest to and submit herewith a Gift Affidavit in the form of **Attachment E** on the Compliance Reporting link. The Contractor represents and warrants that the information it has disclosed in such Gift Affidavit is complete and accurate as of the date of this Agreement.

**25. Pay-to-Play**

The Contractor represents and warrants that neither the Contractor nor any individual in the Contractor’s organization has received or paid, or entered into an agreement, to receive or pay, any compensation, fees, or any other benefit from or to any third party, including any consultants or contractors to the State or the Treasurer, in connection with the indirect or direct procurement of this Agreement.

**26. Entire Agreement; Integration; Amendments**

This Agreement embodies the entire agreement between the Treasurer and the Contractor on the matters specifically addressed herein. The parties shall not be bound by or be liable for

any statement, representation, promise, inducement or understanding of any kind or nature not set forth herein. This Agreement shall supersede all prior written agreements between the parties and their predecessors. No party has been induced to enter into this Agreement by, nor is any party relying on, any representation or warranty outside those expressly set forth herein. No changes, amendments or modifications of any of the terms or conditions of this Agreement shall be valid unless reduced to writing, signed by both parties and approved by the Office of the Attorney General of the State of Connecticut. The parties shall meet and confer in good faith on any modification of this Agreement that may become necessary to make its provisions consistent with any policy of the Treasurer, or federal, state, local, foreign or international statute, rule, regulation or ordinance that governs any aspect of this Agreement.

**27. Notices**

Unless otherwise expressly provided to the contrary, all notices, requests, demands or other communications required by or otherwise with respect to this Agreement shall be in writing and shall be deemed given (i) when made, if made by hand delivery, and upon confirmation of receipt, if made by facsimile, (ii) one business day after being deposited with a next-day courier, postage prepaid, or (iii) three business days after being sent certified or registered mail, return receipt requested, postage prepaid, in each case to the applicable addresses set forth below (or to such other address as such party may designate in writing from time to time):

TREASURER:           Office of the Treasurer  
                          State of Connecticut  
                          55 Elm Street  
                          Hartford, CT 06106  
                          Telephone: (860) 702-3000  
                          Attn: Unclaimed Property Division

COPY TO:             General Counsel  
                          Office of the Treasurer  
                          State of Connecticut  
                          55 Elm Street  
                          Hartford, CT 06106  
                          Telephone: (860) 702-3000

CONTRACTOR:        BLANK  
                          ADDRESS:  
                          CITY, STATE ZIP  
  
                          Telephone: (XXX) XXX-XXXX

The parties may change their respective addresses for notices under this Section 27 (Notices) upon prior written notification to the other.

**28. Governing Law; Jurisdiction; Venue**

This Agreement shall be interpreted under, governed by and enforced according to the laws of the State of Connecticut, without regard to choice of law rules. The Contractor hereby submits to the jurisdiction of the courts of the State of Connecticut, or of the United States of America sitting in the State of Connecticut, over any action, suit, or proceeding arising out of or relating to this Agreement. The Contractor agrees to service of process in any manner authorized by the laws of the State of Connecticut.

**29. Discovery of Conflicts, Errors, Omissions, and Discrepancies**

- A. In the event of any conflict between the provisions of this Agreement and the provisions of Form CO-802A executed contemporaneously herewith, the provisions of this Agreement shall control.
- B. In the case of conflicts, discrepancies, errors or omissions among the various parts of this Agreement, any such matter shall be submitted immediately by the Contractor to the Treasurer for clarification. The Treasurer shall issue such clarification within a reasonable period of time. This remedy shall not be deemed exclusive and the Contractor does not waive any of its legal or equitable remedies. Any services affected by such conflicts, discrepancies, errors or omissions which are performed by the Contractor prior to clarification by the State shall be at the Contractor's risk.

**30. Non-Waiver**

None of the conditions of this Agreement shall be considered waived by the Treasurer or the Contractor unless given in writing. Failure by the Treasurer to promptly assert any rights under this Agreement shall not be construed to be acquiescence of any misfeasance, malfeasance or nonfeasance. No such waiver shall be a waiver of any past or future default, breach, failure of condition, right or remedy or modification of any of the conditions of this Agreement unless expressly stipulated in such waiver.

**31. Survival**

The rights and obligations of the parties which by their nature survive termination or completion of this Agreement, including but not limited to those set forth herein Sections 10 (Nondisclosure), 11 (Promotion), 12 (Confidentiality), 15 (Indemnification) and 16 (Liability) of this Agreement, shall remain in full force and effect.

**32. Sovereign Immunity**

Notwithstanding any provisions to the contrary contained in this Agreement, it is agreed and understood that neither the State nor the Treasurer shall be construed to have waived any rights or defenses of sovereign immunity, which the State or the Treasurer may have with respect to all matters arising out of this Agreement. The Treasurer hereby reserves all immunities, defenses, rights or actions arising out of the State's sovereign status or under the Eleventh Amendment to the United States Constitution, and no waiver of any such

immunities, defenses, rights or actions shall be implied or otherwise deemed to exist by the Treasurer's entry into this Agreement, by any express or implied provision of this Agreement, or by any actions or omissions to act of the State or the Treasurer, or any representative or agent of either the State or the Treasurer, whether taken pursuant hereto, prior to or after the Treasurer's entry into this Agreement.

**33. Termination**

The parties mutually agree, that either may terminate this Agreement upon one hundred eighty (180) days' written notice delivered to the other by certified or registered mail to the addresses provided in Section 27 hereof. Notwithstanding any provisions in this Agreement, the Treasurer, through a duly authorized employee, may terminate the Agreement whenever the Treasurer makes a written determination that such termination is in the best interests of the State. The Treasurer shall notify the Contractor in writing of termination pursuant to this Section, which notice shall specify the effective date of termination and the extent to which the Contractor must complete its performance under the Manager prior to such date.

Following the delivery of any notice of termination hereunder, the Contractor 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.

**34. Assignment**

This Agreement shall not be assigned by either party without the express prior written consent of the other party.

**35. Severability**

If any part or parts of this Agreement shall be held to be void, invalid or unenforceable, or contrary to any express provision of law, or contrary to the policy of express law though not expressly prohibited, or against public policy, then such part or parts shall be treated as severable from the rest of the Agreement, leaving valid and enforceable the remainder of this Agreement and in no way shall affect the validity or enforceability of the rights of the parties hereto.

**36. Applicable Executive Orders of the Governor**

- A. This Agreement is subject to the provisions of Executive Order Number Three of Governor Thomas J. Meskill promulgated June 16, 1971, set forth in the attached **Exhibit A**.
- B. This Agreement may be canceled, terminated or suspended by the State Labor Commissioner for violation of or noncompliance with said Executive Order Number Three or any state of the federal law concerning nondiscrimination.

- C. This Agreement is subject to the provisions of Executive Order Number Seventeen of Governor Thomas J. Meskill promulgated February 15, 1973, set forth in the attached **Exhibit B**.
- D. This Agreement may be canceled, terminated or suspended by the contracting agency or the State Labor Commissioner for violation of or noncompliance with said Executive Order Number Seventeen, notwithstanding that the Labor Commissioner may not be party to this Agreement.
- E. This Agreement is subject to the provisions of Executive Order Number Sixteen of Governor John G. Rowland promulgated August 4, 1999, set forth in the attached **Exhibit C**.
- F. This Agreement may be canceled, terminated or suspended by the State for violation of or noncompliance with said Executive Order Number Sixteen.
- G. The parties agree to abide said Executive Orders and agree that, with respect to Executive Orders Three and Seventeen, the State Labor Commissioner shall have to continue jurisdiction with respect to performance in regard to nondiscrimination, until performance is completed, or until this Agreement is terminated prior to completion.

**37. Successor and Assigns**

This Agreement shall inure to the benefit of and be binding upon each party's respective successors or assigns.

**38. Miscellaneous Provisions**

- A. Notwithstanding anything to the contrary contained herein, both parties hereby acknowledge that this Agreement does not: (i) permit the filing of liens against the State; (ii) obligate the State to indemnify or hold Contractor harmless in any way; (iii) obligate the State to be subject to binding arbitration (iv) provide that this Agreement is expired or terminated. Further, any foregoing provision of this Agreement that would cause this Agreement to be considered a contract that: (i) permits the filing of liens against the State; (ii) obligates the State to indemnify or hold Contractor harmless in any way; (iii) obligates the State to be subject to binding arbitration, or (iv) provides that this Agreement is expired or terminated is null, void, unenforceable and hereby stricken from this Agreement.
- B. Notwithstanding anything to the contrary contained herein, both parties hereby acknowledge that this Agreement is not a Personal Service Agreement entered into by the Treasurer for the purpose of hiring an individual as contemplated by C.G.S. Section 4a-58(b). Further, any foregoing provision of this Agreement that would cause this Agreement to be considered a contract for the purpose of hiring an individual as contemplated by C.G.S. Section 4a-58(b) is null, void, unenforceable and hereby stricken from this Agreement.

- C. Notwithstanding anything to the contrary contained herein, both parties hereby acknowledge that this Agreement does not concern or in any way relate to tangible personal property as contemplated by C.G.S. Section 12-411b. Further, any foregoing provision of this Agreement that would cause this Agreement to concern or in any way to relate to tangible personal property as contemplated by C.G.S. Section 12-411b is null, void, unenforceable and hereby stricken from this Agreement.
- D. Notwithstanding anything to the contrary contained herein, both parties hereby acknowledge that this Agreement is not funded by and does not concern or in any way relate to a state grant as contemplated by C.G.S. Section 7-396a. Further, any foregoing provision of this Agreement that would cause this Agreement to concern or in any way to relate to a state grant as contemplated by C.G.S. Section 7-396 a is null, void, unenforceable and hereby stricken from this Agreement.
- E. Notwithstanding anything to the contrary contained herein, both parties hereby acknowledge that this Agreement is not a Large Construction or Procurement Contract as contemplated by and defined in Conn. Gen. Stat. §1-101mm. Further, any foregoing provision of this Agreement that would cause this Agreement to be considered a Large Construction or Procurement Contract as contemplated by and defined in Conn. Gen. Stat. §1-101mm is null, void, unenforceable and hereby stricken from this Agreement.
- F. It is the Treasurer's express policy to never intentionally assign or allocate, in whole or in part, to any person or contractor, any Governmental Function of the Office of the Treasurer—as defined by Chapter 14 of the C.G.S. and contemplated by C.G.S. Section 1-218. If, however, (a) this Agreement has a value greater than or equal to Two Million Five Hundred Thousand Dollars (\$2,500,000) and (b) the State Freedom of Information Commission makes a final determination that this Agreement is a contract for the performance of a Governmental Function, then this Agreement shall be subject to the provisions of C.G.S. Section 1-218, as may be modified from time to time. Accordingly, the Treasurer shall be entitled to receive a copy of the Contractor's records and files related to its performance of such Governmental Function, and such records and files shall be subject to the State of Connecticut Freedom of Information Act, C.G.S. Sections 1-200 et seq. No request to inspect or copy such records or files pursuant to the Freedom of Information Act shall be valid unless the request is made to the Office of the Treasurer in accordance with the provisions set forth in the State of Connecticut Freedom of Information Act. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of C.G.S. Sections 1-205 and 1-206
- G. Notwithstanding anything to the contrary contained herein, both parties hereby acknowledge and agree that this Agreement does not concern or in any way relate to the Health Insurance Portability and Accountability Act of 1996. Further, any foregoing provision of this Agreement that would cause this Agreement to concern or in any way to relate to the Health Insurance Portability and Accountability Act of 1996 is null, void, unenforceable and hereby stricken from this Agreement.

- H. Both parties hereto hereby agree that all references made in this Agreement to any statute, public act, regulation, code or executive order shall refer to such statute, a public act, regulation, code or executive order respectively as it has been amended, replaced or superseded.
- I. Despite and notwithstanding any contrary theory at law, in equity or otherwise, including but not limited to “the specific overruling the general,” the parties hereto expressly agree that in the event of any conflict between the provisions of this Section of this Agreement (“Miscellaneous Provisions”) and the provisions of any other Section of this Agreement, the provisions of this Miscellaneous Provisions Section of this Agreement shall override, control and apply.

**39. Headings**

Descriptive headings in this Agreement are for convenience only and shall not affect the construction or meaning of the contractual language.

**40. Further Assurances**

From and after the date of this Agreement, upon the request of the Treasurer, the Contractor shall execute and deliver such instruments, documents, and other writings as may be reasonably necessary or desirable to confirm and carry out and to effectuate fully the intent and purposes of this Agreement.

**41. Counterpart Originals**

This Agreement may be executed in any number of counterparts, each of which shall be an original, but which, taken together, shall constitute one and the same instrument.

*[Signature Page Follows]*



IN WITNESS WHEREOF, the parties have hereunto executed this Agreement, which shall become effective as of [Date].

**BLANK**

**TREASURER  
STATE OF CONNECTICUT**

**By:** \_\_\_\_\_  
**Title:** \_\_\_\_\_

**By:** \_\_\_\_\_  
**Title:** **State Treasurer**

**Dated:** \_\_\_\_\_

**Dated:** \_\_\_\_\_

**Approved as to form:  
OFFICE OF THE ATTORNEY GENERAL**

**By:** \_\_\_\_\_  
**Title:** \_\_\_\_\_

**Dated:** \_\_\_\_\_

## EXHIBIT A

State Of Connecticut  
By His Excellency  
Thomas J. Meskill  
Governor

### **Executive Order No. Three**

WHEREAS, sections 4-61d(b) and 4-114a of the 1969 supplement to the general statutes require nondiscrimination clauses in state contracts and subcontracts for construction on public buildings, other public works and goods, and services, and

WHEREAS, section 4-61e(c) of the 1969 supplement to the general statutes requires the labor department to encourage and enforce compliance with this policy by both employers and labor unions, and to promote equal employment opportunities, and

WHEREAS, the government of this state recognizes the duty and desirability of its leadership in providing equal employment opportunity, by implementing these laws,

NOW, THEREFORE, I, THOMAS J. MESKILL, Governor of the State of Connecticut, acting by virtue of the authority vested in me under section twelve of article fourth of the constitution of the state, as supplemented by section 3-1 of the general statutes, do hereby ORDER and DIRECT, as follows, by this Executive Order:

- I. The labor commissioner shall be responsible for the administration of this Order and shall adopt such regulations as he deems necessary and appropriate to achieve the purposes of this Order. Upon the promulgation of this Order, the commissioner of finance and control shall issue a directive forthwith to all state agencies, that henceforth all state contracts and subcontracts for construction on public buildings, other public works and goods and services shall contain a provision rendering such contract or subcontract subject to this Order, and that such contract or subcontract may be cancelled, terminated or suspended by the labor commissioner for violation of or noncompliance with this Order or state or federal laws concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to such contract or subcontract.
- II. Each contractor having a contract containing the provisions prescribed in section 4-114a of the 1969 supplement to the general statutes, shall file and shall cause each of his subcontractors to file, compliance reports with the contracting agency or the labor commissioner, as may be directed. Such reports shall be filed within such times and shall contain such information as to employment policies and statistics of the contractor and each subcontractor, and shall be in such form as the labor commissioner may prescribe. Bidders or prospective contractors or subcontractors may be required to state whether they have participated in any previous contract subject to the provisions of this Order or any preceding similar Order, and in that

event to submit on behalf of themselves and their proposed subcontractors compliance reports prior to or as an initial part of their bid or negotiation of a contract.

- III. Whenever the contractor or subcontractor has a collective bargaining agreement or other contract or understanding with a labor organization or employment agency as defined in section 31-122 of the general statutes, the compliance report shall identify the said organization or agency and the contracting agency or the labor commissioner may require a compliance report to be filed with the contracting agency or the labor commissioner, as may be directed, by such organization or agency, signed by an authorized officer or agent of such organization or agency, with supporting information, to the effect that the signer's practices and policies, including but not limited to matters concerning personnel, training, apprenticeship, membership, grievance and representation, and upgrading, do not discriminate on grounds of race, color, religious creed, age, sex or national origin, or ancestry of any individual, and that the signer will either affirmatively cooperate in the implementation of the policy and provisions of this Order, or that it consents and agrees that recruitment, employment and the terms and conditions of employment under the proposed contract shall be in accordance with the purposes and provisions of the Order.
- IV. The labor commissioner may by regulation exempt certain classes of contracts, subcontracts or purchase orders from the implementation of this Order, for standard commercial supplies or raw materials, for less than specified amounts of money or numbers of workers or for subcontractors below a specified tier. The labor commissioner may also provide by regulation for the exemption of facilities of a contractor which are in all respects separate and distinct from activities of the contractor related to the performance of the state contract, provided only that such exemption will not interfere with or impede the implementation of this Order, and provided further, that in the absence of such an exemption, all facilities shall be covered by the provisions of this Order.
- V. Each contracting agency shall be primarily responsible for obtaining compliance with the regulations of the labor commissioner with respect to contracts entered into by such agency or its contractors. All contracting agencies shall comply with the regulations of the labor commissioner in discharging their primary responsibility for securing compliance with the provisions of contracts and otherwise with the terms of this Order and of the regulations of the labor commissioner issued pursuant to this Order. They are directed to cooperate with the labor commissioner and to furnish the labor commissioner such information and assistance as he may require in the performance of his functions under this Order. They are further directed to appoint or designate from among the personnel of each agency, compliance officers, whose duty shall be to seek compliance with the objectives of this Order by conference, conciliation, mediation, or persuasion.
- VI. The labor commissioner may investigate the employment practices and procedures of any state contractor or subcontractor and the practices and policies of any labor organization or employment agency hereinabove described, relating to employment under the state contract, as concerns nondiscrimination by such organization or agency as hereinabove described, or the labor commissioner may initiate such investigation by the appropriate contract agency, to determine whether or not the contractual provisions

hereinabove specified or statutes of the state respecting them have been violated. Such investigation shall be conducted in accordance with the procedures established by the labor commissioner and the investigating agency shall report to the labor commissioner any action taken or recommended.

- VII. The labor commissioner shall receive and investigate or cause to be investigated complaints by employees or prospective employees of a state contractor or subcontractor or members or applicants for membership or apprenticeship or training in a labor organization or employment agency hereinabove described, which allege discrimination contrary to the contractual provisions specified hereinabove or state statutes requiring nondiscrimination in employment opportunity. If this investigation is conducted by the labor commissioner by a contracting agency, that agency shall report to the labor commissioner what action has been taken or is recommended with regard to such complaints.
- VIII. The labor commissioner shall use his best efforts, directly and through contracting agencies, other interested federal, state and local agencies, contractors and all other available instrumentalities, including the commission on human rights and opportunities, the executive committee on human rights and opportunities, and the apprenticeship council under its mandate to provide advice and counsel to the labor commissioner in providing equal employment opportunities to all apprentices and to provide training, employment and upgrading opportunities for disadvantaged workers, in accordance with section 31-51(d) of the 1969 supplement to the general statutes, to cause any labor organization or any employment agency whose members are engaged in work under government contracts or referring workers or providing supervising apprenticeship or training for or in the course of work under a state contract or subcontract to cooperate in the implementation of the purposes of this Order. The labor commissioner shall in appropriate cases notify the commission on human rights and opportunities or other appropriate state or federal agencies whenever it has reason to believe that the practices of any such organization or agency violate equal employment opportunity requirements of state or federal law.
- IX. The labor commissioner or any agency officer or employee in the executive branch designated by regulation of the labor commissioner may hold such hearings, public or private, as the labor commissioner may deem advisable for compliance, enforcement or educational purposes under this Order.
- X. (a) The labor commissioner may hold or cause to be held hearings, prior to imposing ordering or recommending the imposition of penalties and sanctions under this Order. No order for disbarment of any contractor from further state contracts shall be made without affording the contractor an opportunity for a hearing. In accordance with such regulations as the labor commissioner may adopt, the commissioner or the appropriate contracting agency may
  - 1. Publish or cause to be published the names of contractors or labor organizations or employment agencies as hereinabove described which it has concluded have complied or failed to comply with the provisions of this Order or the regulations of the labor commissioner in implementing this Order.

2. Recommend to the commission on human rights and opportunities that in cases in which there is substantial or material violation or threat thereof of the contractual provision or related state statutes concerned herein, appropriate proceedings be brought to enforce them, including proceedings by the commission on its own motion under chapter 563 of the general statutes and the enjoining, within the limitations of applicable law, of organizations, individuals or groups who prevent directly or indirectly compliance with the provisions of this Order.
3. Recommend that criminal proceedings be brought under chapter 939 of the general statutes.
4. Cancel, terminate, suspend or cause to be cancelled, terminated, or suspended in accordance with law any contract or any portion or portions thereof for the failure of the contractor or subcontractor to comply with the nondiscrimination provisions of the contract. Contracts may be cancelled, terminated, suspended absolutely or their continuance conditioned upon a program for future compliance approved by the contracting agency.
5. Provide that any contracting agency shall refrain from entering into any further contracts or extensions or modifications of existing contracts with any contractor until he has satisfied the labor commissioner that he has established and will carry out personnel and employment policies compliant with this Order.
6. Under regulations prescribed by the labor commissioner each contracting agency shall make reasonable efforts with a reasonable period of time to secure compliance with the contract provisions of this Order by methods of conference, conciliation, mediation or persuasion, before other proceedings shall be instituted under this Order or before a state contract shall be cancelled or terminated in whole or in part for failure of the contractor or subcontractor to comply with the contract provisions of state statute and this Order.

(b) Any contracting agency taking any action authorized by this Order, whether on its own motion or as directed by the labor commissioner or pursuant to his regulations shall promptly notify him of such action. Whenever the labor commissioner makes a determination under this Order, he shall promptly notify the appropriate contracting agency and other interested federal, state and local agencies of the action recommended. The state and local agency or agencies shall take such action and shall report the results thereof to the labor commissioner within such time as he shall specify.

XI. If the labor commissioner shall so direct, contracting agencies shall not enter into contracts with any bidder or prospective contractor unless he has satisfactorily complied with the provisions of this Order, or submits a program for compliance acceptable to the labor commissioner, or if the labor commissioner so authorizes, to the contracting agency.

1. Whenever a contracting agency cancels or terminates a contract, or a contractor has been disbarred from further government contracts because of noncompliance with the contract provisions with regard to nondiscrimination, the labor

commissioner or the contracting agency shall rescind such disbarment, upon the satisfaction of the labor commissioner that the contractor has purged himself of such noncompliance and will thenceforth carry out personnel and employment policies of nondiscrimination in compliance with the provision of this Order.

2. The labor commissioner may delegate to any officer; agency or employee in the executive branch any function or duty of the labor commissioner under this Order except the authority to promulgate regulations of a general nature.
3. This Executive Order supplements the Executive Order issued on September 28, 1967. All regulations, orders, instructions, designations and other directives issued heretofore in these premises, including those issued by the heads of various departments or agencies under or pursuant to prior order or statute, shall remain in full force and effect, unless and until revoked or superseded by appropriate authority, to the extent that they are not inconsistent with this Order.

This Order shall become effective thirty days after the date of this Order.

Dated at Hartford, Connecticut, this 16<sup>th</sup> day of June 1971

*Thomas J. Meskill*  
Governor

Filed this 16<sup>th</sup> day of  
June 1971.

*Harry Hammer*  
Secretary Of The State

**EXHIBIT B**

The State Of Connecticut  
By His Excellency  
Thomas J. Meskill  
Governor

**Executive Order No. Seventeen**

WHEREAS, Section 31-237 of the General Statutes of Connecticut as amended requires the maintaining of the established free services of the Connecticut State Employment Service to both employers and prospective employees and

WHEREAS, Section 31-5 of the General Statutes of Connecticut requires that no compensation or fee shall be charged or received directly or indirectly for the services of the Connecticut State Employment Service and

WHEREAS, large numbers of our citizens who have served in the Armed Forces of our nation are returning to civilian life in our state and seeking employment in civilian occupations and

WHEREAS, we owe a duty as well as gratitude to these returning veterans including the duty to find suitable employment for them and

WHEREAS, many of our handicapped citizens are fully capable of employment and are entitled to be placed in suitable employment and

WHEREAS, many of the citizens of our state who are unemployed are unaware of the job openings and employment opportunities which do in fact exist in our state and

WHEREAS, notwithstanding the free services of the Connecticut State Employment Service, many of our Connecticut employers do not use its free services or do not avail themselves fully of all the services offered,

NOW, THEREFORE, I, THOMAS J. MESKILL, Governor of the State of Connecticut, acting by virtue of the authority vested in me under the fourth article of the Constitution of the State and in accordance with Section 3-1 of the General Statutes, do hereby ORDER and direct, as follows, by this Executive Order:

- I. The Labor Commissioner shall be responsible for the administration of this Order and shall do all acts necessary and appropriate to achieve its purpose. Upon promulgation of this Order, the Commissioner of Finance and Control shall issue a directive forthwith to all state agencies, that henceforth all state contracts and subcontracts for construction on public buildings, other public works and goods and services shall contain a provision rendering such contract or subcontract subject to this Order, and that such contract or subcontract may be cancelled, terminated or suspended by the Labor Commissioner for violation of or noncompliance with this Order, notwithstanding that the Labor Commissioner is not a party to such contract or subcontract.

- II. Every contractor and subcontractor having a contract with the state or any of its agencies, boards, commissions, or departments, every individual partnership, corporation, or business entity having business with the state or who or which seeks to do business with the state, and every bidder or prospective bidder who submits a bid or replies to an invitation to bid on any state contract shall list all employment openings with the office of the Connecticut State Employment Service in the area where the work is to be performed or where the services are to be rendered. All state contracts shall contain a clause which shall be a condition of the contract that the contractor and any subcontractor holding a contract directly under the contractor shall list all employment openings with the Connecticut State Employment Service. The Labor Commissioner may allow exceptions to listings of employment openings which the contractor proposes to fill from within its organization from employees on the rolls of the contractor on the date of publication of the invitation to bid or the date on which the public announcement was published or promulgated advising of the program concerned.
- III. Each contracting agency of the state shall be primarily responsible for obtaining compliance with this Executive Order. Each contracting agency shall appoint or designate from among its personnel one or more persons who shall be responsible for compliance with the objectives of this Order.
- IV. The Labor Commissioner shall be and is hereby empowered to inspect the books, records, payroll and personnel data of each individual or business entity subject to this Executive Order and may hold hearings or conferences, formal or informal, in pursuance of the duties and responsibilities hereunto delegated to the Labor Commissioner.
- V. The Labor Commissioner or any agency officer or employee in the executive branch designated by regulation of the Labor Commissioner may hold such hearings, public or private, as the Labor Commissioner may deem advisable for compliance, enforcement or educational purposes under this Order.
- VI. (a) The Labor Commissioner may hold or cause to be held hearings, prior to imposing, ordering, or recommending the imposition of penalties and sanctions under this Order. In accordance herewith, the Commissioner or the appropriate contracting agency may suspend, cancel, terminate, or cause to be suspended, cancelled, or terminated in accordance with law any contract or portion or portions thereof for the failure of the contractor or subcontractor to comply with the listing provisions of the contract. Contracts may be cancelled, terminated, suspended absolutely or their continuance conditioned upon a program for future compliance approved by the contracting agency.  
  
(b) Any contracting agency taking any action authorized by this Order, whether on its own motion or as directed by the Labor Commissioner, shall promptly notify him of such action. Whenever the Labor Commissioner makes a determination under this Order, he shall promptly notify the appropriate contracting agency of the action recommended. The agency shall report the results to the Labor Commissioner promptly.
- VII. If the Labor Commissioner shall so direct, contracting agencies shall not enter into contracts with any bidder or prospective contractor unless he has satisfactorily complied with the provisions of this Order.

This Order shall become effective sixty days after the date of this Order.



Dated at Hartford, Connecticut, this 15<sup>th</sup> day of February 1973.

*Thomas J. Meskill*  
Governor

Filed this 15<sup>th</sup> day of February 1973.

*Harry Hammer*  
Secretary Of The State (Deputy)

**EXHIBIT C**

The State of Connecticut  
By His Excellency  
John G. Rowland  
Governor

**Executive Order No. Sixteen**

WHEREAS, the State of Connecticut recognizes that workplace violence is a growing problem that must be addressed; and

WHEREAS, the State is committed to providing its employees a reasonably safe and healthy working environment, free from intimidation, harassment, threats, and /or violent acts; and

WHEREAS, violence or the threat of violence by or against any employee of the State of Connecticut or member of the public in the workplace is unacceptable and will subject the perpetrator to serious disciplinary action up to and including discharge and criminal penalties.

NOW, THEREFORE, I, John G. Rowland, Governor of the State of Connecticut, acting by virtue of the authority vested in me by the Constitution and by the statutes of this state, do hereby ORDER and DIRECT:

1. That all state agency personnel, contractors, subcontractors, and vendors comply with the following **Violence in the Workplace Prevention Policy**:

The State of Connecticut adopts a statewide zero tolerance policy for workplace violence.

Therefore, except as may be required as a condition of employment

- No employee shall bring into any state worksite any weapon or dangerous instrument as defined herein.
- No employee shall use, attempt to use, or threaten to use any such weapon or dangerous instrument in a state worksite.
- No employee shall cause or threaten to cause death or physical injury to any individual in a state worksite.

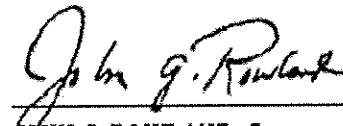
Weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon.

Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.

Violation of the above reasonable work rules shall subject the employee to disciplinary action up to and including discharge.

2. That each agency must prominently post this policy and that all managers and supervisors must clearly communicate this policy to all state employees
3. That all managers and supervisors are expected to enforce this policy fairly and uniformly.
4. That any employee who feels subjected to or witnesses violent, threatening, harassing or intimidating behavior in the workplace immediately report the incident or statement to their supervisor, manager, or human resources office.
5. That any employee who believes that there is a serious threat to their safety or the safety of others that requires immediate attention notify proper law enforcement authorities and his or her manager or supervisor
6. That any manager or supervisor receiving such a report shall immediately contact their human resources office to evaluate, investigate and take appropriate action.
7. That all parties must cooperate fully when questioned regarding violations of this policy.
8. That all parties be advised that any weapon or dangerous instrument at the worksite will be confiscated and that there is no reasonable expectation of privacy with respect to such items in the workplace.
9. That this order applies to all state employees in the executive branch.
10. That each agency will monitor the effective implementation of this policy.
11. That this order shall take effect immediately.

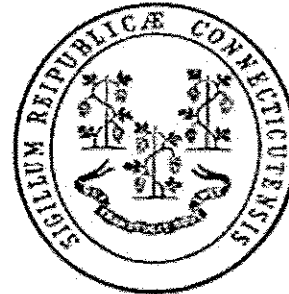
Dated in Hartford, Connecticut, this fourth day of August 1999.

  
JOHN G. ROWLAND, Governor

Filed this 4th day of August 1999.

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SUSAN BYSIEWICZ, Secretary of the State



## EXHIBIT D

In accordance with Connecticut Law and Office of the Treasurer polices, vendors of the Office are required to provide various reports, affidavits and other documents indicting compliance with such laws and policies. Please locate the required compliance attachments found on the Compliance Reporting link:

**Compliance Reporting link:** [http://www.ott.ct.gov/business\\_compliancereporting.html](http://www.ott.ct.gov/business_compliancereporting.html)

Please complete and provide the following documents:

Employment Information Report

Attachment A – CHRO Contract Compliance Regulations, Bidder Contract Compliance Monitoring Report, and Employer Information Report

Attachment B – Nondiscrimination Affidavit

Attachment C – Employment Practices Information

Attachment D – Affidavit of Third Party Fees and Disclosure of Consulting Agreements

Attachment E – Gift Affidavit

Attachment F – Corporate Citizenship

Attachment G – Notice of Legal Proceedings

Attachment H – Campaign Contribution Disclosure

Attachment I – Notice to State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

Attachment J – Anti-Terrorism Foreign Asset Control Regulations, Foreign Corrupt Practices Act

Attachment K – Conflicts of Interest

Attachment L – Iran Certification Form

Insurance Certificate – Vendors that are contractually required to maintain insurance must produce annual proof of insurance, which may consist of a copy of the Insurance Policy or an Insurance Certificate.

## EXHIBIT E

### Security Addendum

- A. **Information Security Program** – Contractor agrees and represents that it currently maintains information protection practices and procedures (“Security Program”) that comply with industry best practice and applicable Privacy Law (as defined below) as a means to preserve the confidentiality and security of the Treasurer’s Information (as defined below) in its possession or control or of which it has the ability to access or impact.

“Treasurer Information” includes the following, regardless of the media in which it is contained, that may be disclosed to or accessed by Contractor in connection with or incidental to the performance of services for or on behalf of Treasurer or by any other means:

- a) Any information relating to an identified or identifiable individual (such as name, postal address, email address, telephone number, date of birth, Social Security number, driver's license number, account number, credit or debit card number, health or medical information, or any other unique identifier); and
- b) Confidential non-public business information; and
- c) Any Information defined as “Confidential” by the Agreement to which this Addendum is attached.

**Contractor's Security Program must include at a minimum:**

- 1. Appropriate administrative, technical and physical safeguards and other security measures designed to ensure the security and confidentiality of Treasurer Information.
- 2. A security design intended to prevent any compromise of its own information systems, computer networks or data files by unauthorized users, viruses or malicious computer programs which could, in turn, be propagated to Treasurer.
- 3. Appropriate internal practices including, but not limited to, encryption of data in transit or at rest; using appropriate firewall and antivirus software; maintaining these countermeasures, operating systems and other applications with up-to-date virus definitions and security patches so as to avoid any adverse impact to Treasurer’s systems or Information; and appropriate logging and alerts to monitor access controls and to assure data integrity and confidentiality.
- 4. All persons with authorized access to Treasurer Information must have a documented genuine business need-to-know prior to access.

- B. Training Programs**— Contractor agrees that it maintains adequate training programs to ensure that its employees and any others acting on its behalf are aware of and adhere to its information Security Program. Contractor shall exercise necessary and appropriate supervision over its relevant employees to maintain appropriate confidentiality and security of Treasurer Information.
- C. Data Incidents** - Contractor agrees to immediately notify Treasurer's General Counsel by phone of any reasonably suspected or actual loss of data or breach or compromise of its Information Security Program which has or may result in the loss or unauthorized access, disclosure, use or acquisition of Treasurer Information (including hard copy records) or otherwise presents a potential threat to any Treasurer systems ("Data Incident"). While the initial phone notice may be in summary form, a comprehensively written notice should be provided within 48 hours to Treasurer's General Counsel. The notice shall summarize in reasonable detail the nature and scope of the Data Incident and the corrective action is already taken or to be taken by Contractor. The notice shall be timely supplemented in the detail reasonably requested by Treasurer, inclusive of relevant forensic reports. Contractor shall promptly take all necessary and advisable corrective actions, and shall cooperate fully with Treasurer in all reasonable efforts to mitigate the adverse effects of a Data Incident and to prevent its recurrence.

Contractor acknowledges that it is solely responsible for the confidentiality and security of Treasurer Information in its possession, custody or control, or for which Contractor is otherwise responsible, and shall hold Treasurer harmless from any suspected or actual breach or other compromises of Treasurer Information while in Contractor's possession, custody or control, or for which Contractor is otherwise responsible. The parties will collaborate on whether any notice of breach is required to be given to any person, and if so, the content of that notice. Treasurer will designate a signatory to the notice. Contractor will bear all costs of the notice.

- D. Data Parties**— Contractor shall not share, transfer, disclose or otherwise provide access to any Treasurer Information to any third party unless Treasurer has authorized Contractor to do so in writing. Contractor will ensure that any third party it may authorize to perform any of the services required by its contract with Treasurer shall be obligated to have an information Security Program equivalent to that required of Contractor (which includes all terms of this Security Addendum). Further, regarding any Data Incident, Contractor shall contractually preserve for itself - or Treasurer - all such rights as Treasurer has in section (C) above. Regarding audit rights, Contractor shall contractually preserve for itself - or Treasurer - all such rights as Treasurer has in section (F) below. Contractor shall not share Treasurer Information with any other third party without prior written approval or, if required to comply with legal process, only after notice to Treasurer. Contractor shall only retain third parties that are capable of performing the delegated obligations in accordance with this Information Security Addendum.

E. **Ownership and Usage** - Any Treasurer Information, including in any reconfigured format, shall at all times be and remain the sole property of Treasurer unless agreed otherwise in writing by Treasurer. Any usage of Treasurer Information is limited to the sole purpose expressly authorized by this contract.

F. **Security Review and Audit**

1. Treasurer's Information Technology (IT) Group may conduct a security review of Contractor's Information Security Program when determined reasonably required by Treasurer.
2. At Treasurer's request, Contractor will provide Treasurer copies of its data privacy and security policies and procedures that apply to Treasurer Information. Subject to reasonable notice, Contractor shall provide the Treasurer's IT Group an opportunity to conduct a privacy and security audit of Contractor's Information Security Program and systems and procedures that are applicable to the services provided by Contractor to Treasurer. Such audit may be conducted on-site by Treasurer personnel or Treasurer's contracted third party assessors or through surveys and interviews, at the option of Treasurer.
3. In the event Contractor has any security audits or reviews of its own systems, performed by Contractor or a third party, including vulnerability and penetration assessments, it will give Treasurer notice of any current findings that are likely to adversely impact Treasurer Information, and will keep Treasurer timely informed of its remediation efforts.

G. **Compliance** – Contractor shall comply with (i) all applicable legal requirements (federal, state, local and international laws, rules and regulations and governmental requirements) currently in effect and as they become effective, relating in any way to the privacy, confidentiality or security of Treasurer Information; (ii) all applicable industry standards concerning privacy, data protection, confidentiality or information security; and (iii) applicable privacy policies, statements or notices that are provided to Contractor in Writing; and (iv) controls required by the IT Group Security Review (collectively referred to as "Privacy Laws").

H. **Mobility and Transfer of Data**

1. No Treasurer Information shall be stored, transported or kept on a laptop or any other mobile device or storage media, including USB, "thumb drives," DVDs, CDs unless encrypted using an encryption methodology approved in writing by Treasurer.
2. All electronic data transfers must be via secure FTP or other Treasurer approved protocol and/or in approved encrypted form.

3. Any physical removal or transfer of Treasurer Information from Treasurer's or Contractor's facilities shall be conducted only according to controls developed or approved by Treasurer's IT Group.
- I. **Notice of Process** - In the event Contractor receives a governmental or other regulatory requests for any Treasurer Information, it agrees to immediately notify Treasurer's General Counsel so that Treasurer shall have the option to defend such action. Contractor shall reasonably cooperate with Treasurer in such defense.
  - J. **Security Certification** – Contractor must maintain a level of security certification or assessment consistent with best practices and by a qualified third party reasonably acceptable to Treasurer (such as ISO 27001 or 27018). Such certifications shall be provided to Treasurer as reasonably requested by Treasurer.
  - K. **Secure Disposition** – Contractor shall either return or dispose of Treasurer Information if no longer needed for Treasurer's business or legal purposes or upon contract termination or upon Treasurer's direction which may be given at any time. Any disposal must ensure that Treasurer Information is rendered permanently unreadable and unrecoverable. Upon reasonable notice and if requested by Treasurer, Contractor shall provide Treasurer a certification by an officer of compliance with this section.