



OFFICE OF THE ILLINOIS STATE TREASURER
MICHAEL W. FRERICHS

REQUEST FOR PROPOSALS
Data Matching Services: Mailing Addresses
370-400-20-003

January 2, 2020

Responses due by 2:00 p.m. CDT on January 31, 2020

Ms. Maria Oldani,
Chief Procurement Officer
400 West Monroe Street, Suite 401
Springfield, IL 62704

Office of the Illinois State Treasurer
Request for Proposals
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I. OVERVIEW

The Office of the Illinois State Treasurer (“Treasurer”) is issuing this Request for Proposals Data Matching Services: Mailing Addresses (“RFP”) to retain one or more contractors to provide data matching services to its Unclaimed Property Division (“Division”) for purposes of notifying apparent owners about presumptively abandoned property. The Treasurer engages in a direct mail campaign to notify apparent owners of presumptively abandoned property. Data matching services are therefore needed to ensure that the Division has the most current address for apparent owners which includes National Change of Address (“NCOA”) information. Firms that submit responses (“Respondents”) shall submit their responses to this RFP (“Proposals”) by 2:00 p.m. on January 24, 2020.

The successful Respondent (“Contractor”) shall enter into a contract with the Treasurer for an initial term of two (2) years. Upon expiration of this term, the Treasurer may elect to extend the contract for a period of time not to exceed a total of ten (10) years, including the initial two (2) years and agreed upon by the parties, in compliance with the Office of the Treasurer Procurement Rules.

II. BACKGROUND

Enacted by the Illinois General Assembly in 1961, the Uniform Disposition of Unclaimed Property Act created a “presumption of abandonment” for various forms of neglected or unclaimed property held for the owners by, among other things, financial organizations, business associations, insurance companies, utilities, and authorities (“Holders”), where the owners have failed to indicate an interest in the property through statutorily specified acts for a period of time, depending on the property type (such property referred to hereinafter as “presumptively abandoned property”). When unclaimed property is transferred from holders to the Treasurer, the Treasurer, as agent for the State, assumes custody and responsibility for safekeeping the property. See 765 ILCS 1026/15-604(a).

On July 6, 2017, Illinois Senate Bill 9 (“Bill”) was enacted, after both houses overrode the Governor’s veto. The Bill became Public Act 100-0022 which, among other things, vastly updated the State’s arcane unclaimed property law and is now known as the Illinois Revised Uniform Unclaimed Property Act, 765 ILCS 1026/1 *et seq.* (“Act” or “RUUPA”), effective January 1, 2018.

The Treasurer is authorized by RUUPA to secure, safeguard, and return presumptively abandoned property to its rightful owners. As such, data matching services are vital for this public service endeavor.

III. SCOPE OF SERVICES

Contractor will perform the following services (collectively, the “Services”) in accordance with applicable State and federal laws, rules, and regulations:

- A. Securely accept electronic files transmitted by the Treasurer, which contains the names, addresses, and social security numbers of apparent owners of unclaimed property (“E-files”);
- B. Using the information contained in the E-file, locate the apparent owners’ most current address;
- C. Securely provide the Treasurer with the addresses as obtained in a format that allows the current addresses found by Contractor to be matched with the names and addresses contained in the Treasurer’s E-file; and
- D. Ensure security of both the E-file and all information transmitted and held by Contractor at all times, including NCOA information.

IV. PROPOSAL

A. Proposal Format

All Proposals must be submitted within the prescribed format to facilitate objective review. Any Proposal that materially deviates from this format will be rejected without further consideration of its content. Proposals that contain false or misleading statements or that provide reference that do not support an attribute or condition claimed by the Respondent may also be rejected. Narratives should provide a concise description of capabilities to satisfy the requirements of the RFP. Emphasis should be on clarity, brevity and completeness of response. The following are the sections that must be provided in the Proposal. The sections should be labeled accordingly.

1. Cover Page - The cover page shall provide the name, physical address, e-mail address, and telephone number of the person(s) available for contact regarding the RFP. Such person(s) must be authorized to make representations on behalf of Respondent.
2. Table of Contents - Please list the sections in Respondent’s Proposal and their corresponding page numbers.
3. Introduction - Include any introductory remarks, not to exceed two pages. Briefly discuss such topics as Respondent’s background, management, facilities, staffing, related experience, and financial stability.
4. Scope of Work - Provide a narrative, not to exceed three (3) pages, describing the general conceptual approach to the delivery of specific services and any other information Respondent believes is relevant.
5. Answers to Questions - Respondent must respond to all of the questions presented in this RFP. Respondent’s answers must include the headings (e.g. “Background”) and be numbered in the order provided herein.

6. Service Team - Provide an organizational chart, biographies, and resumes for the proposed Service team, including research staff and support staff. Please identify the primary contact person and describe the role of each key person.
7. Subcontractors - Respondent shall provide a list of the subcontractor(s) that will be used to provide the services, if any, and the general type of work to be performed by each subcontractor.
8. State Certifications and Disclosures - Respondent and any subcontractor(s) must submit the following three (3) fully executed documents: Illinois State Treasurer Certifications, Disclosures Financial Interest and Potential Conflicts of Interest (Disclosure Form A), and the Disclosures Other Contract and Procurement Related Information (Disclosure Form B), attached as Appendix A.
9. Cost Proposal - Respondent's price ("Cost Proposal") shall be provided in a separate .pdf.
10. Redacted Copy - If the Proposal contains any information that Respondent considers to be exempt from public disclosure under the Illinois Freedom of Information Act ("FOIA") (5 ILCS 140) or other applicable laws and rules, Respondent should submit in a separately sealed envelope an additional copy of the Proposal with proposed confidential information redacted, as detailed in Section V.IV.11. of this RFP ("Redacted Copy").
11. Hard Copy or Electronic Submission - If submitted in hard copy form, Proposals must be submitted in a sealed envelope or package bearing the title "Request for Proposals Data Matching Services: Mailing Addresses 370-400-20-003 for the Office of the Illinois State Treasurer" and Respondent's name and address. The sealed envelope or package must include one (1) original and four (4) copies of the Proposal. If confidentiality of any information is asserted, one (1) Redacted Copy should be provided in an additional separate envelope. In addition, please provide one (1) electronic copy of the Proposal and one (1) separate electronic copy of the Cost Proposal and if confidentiality of any information is asserted, one (1) electronic Redacted Copy. Each electronic Proposal copy, each electronic Cost Proposal copy, and if submitted, the Redacted Copy shall be on a separate thumb drive.

If submitted in electronic form, Proposals must be submitted in .pdf via ShareBase, as explained in Sections V.C.2 & V.C.3. of this RFP. If confidentiality of any information is asserted, one (1) Redacted Copy should be provided in an additional separate .pdf.

B. Questions to be Addressed in the Proposal

Respondent will provide answers to the following:

Background and Experience

1. Provide a brief overview of Respondent. Describe Respondent's corporate structure, including holding companies, parents, and corporate affiliates. This should include detailed information on specific divisions providing services.
2. Has Respondent been a party to any lawsuit from January 1, 2015 to present? If so, please provide a detailed explanation.
3. Has Respondent experienced any data breach or loss of personal, financial, or other data considered private or confidential since January 1, 2015? If so, please provide details and what steps were taken to address the issue both in the short term related to the specific breach/loss and in the longer term to prevent such a breach/loss from happening again.
4. Describe Respondent's risk management practices and internal controls to ensure adherence to applicable federal and state laws, regulatory agency guidance, and industry best practices.

Services

5. Please confirm and identify how Respondent will perform each of the services listed in Section III. of this RFP by listing each service and Respondent's approach to providing the service and list any service that Respondent is unwilling or unable to perform and explain why.

Qualifications

6. Please demonstrate your experience in providing the services, reporting and management features required by this RFP.
7. Please demonstrate your ability to warrant to the Treasurer's satisfaction that Respondent has adequate backup and recovery of data facilities to provide uninterrupted continuous operations should catastrophic events render Respondent's facility inoperable.
8. If you answered "yes" to Question 3, please expound on your response by providing details and data security practices used to address the issue both in the short term related to the specific breach/loss and in the longer term (i.e. ISO standards) to prevent such a breach/loss from happening again.
9. Please explain Respondent's current procedures on cybersecurity with respect to whether Respondent has standardized due diligence on current cybersecurity framework and ISO 27001 certification.

10. Please explain Respondent's cyber incident response plan, including his/her timelines for notification, mitigation, recovery, and restoration.
11. Please explain Respondent's cybersecurity training program, including his/her new user awareness training, annual user awareness training, and refresher training after incidents.
12. Please describe Respondent's organizational security policies, including his/her policies for user privacy, computer security, and network security.

Diversity

13. Please provide the number and percentage of Respondent's senior leaders (e.g. partner, president, COO, or managing director) who are female, minority, persons with disabilities, or military veterans. Please cite with supporting data.
14. Please provide the number and percentage of Respondent's professional investment staff who are female, minority, persons with disabilities, or military veterans. Please cite with supporting data.
15. Is Respondent or its affiliates female, minority, persons with disabilities, or military veteran owned or managed? For purposes of this RFP, "female, minority, persons with disabilities, or veteran owned or managed" shall mean being owned or managed by 51% or more of a combination of female, minority, persons with disabilities, or military veteran. Please cite with supporting data.
16. Using the definition provided above, what is the percentage of Respondent's intended use of subcontractors for this project, if any, that are female, minority, persons with disabilities, or military veteran owned or managed? Please cite with supporting data.
17. Does Respondent utilize minority-owned brokerage firms for trades?
18. Please quantify your firm's utilization of broker/dealers owned by minorities, women, military veterans, or persons with a disability in the prior calendar year.

Corporate Sustainability: Environmental, Social, and Governance Practices

19. Please note any policies, practices and/or business strategies Respondent has in place to address long-term environmental risks and opportunities that may impact long-term sustainability.
20. Please highlight any policies, practices or resources that Respondent has in place to retain and enhance the human capital at the firm.
21. Please explain how Respondent fosters a corporate governance structure that mitigates business risks and enhances business operations.

22. Please highlight any activities, projects, or services Respondent administers to alleviate societal issues and enhance its commitment to corporate social responsibility. Please cite with supporting data.

Illinois Presence

23. Is Respondent incorporated or domiciled in Illinois? Please provide the physical address and website of Respondent’s headquarters and all Illinois branch offices.

24. Please note how many full-time employees are located at Respondent’s headquarters and all Illinois branch offices.

25. Please describe what presence Respondent has in the State of Illinois. Such “presence” can be demonstrated by noting (a) the number and (b) the percentage of Respondent’s full-time employees who spend more than half their time in Illinois and have physical offices or a principal place of business located in Illinois.

26. Using the definition provided above, what percentage of Respondent’s subcontractors for this project, if any, have an Illinois presence?

27. Please note whether Respondent has any plans to locate staff or hire additional staff in the State of Illinois. Please provide supporting data.

C. Cost Proposal

For the Cost Proposal, Respondent shall provide the proposed fee for the Services. Prices quoted will be all-inclusive in accordance with Section 3515 of the Office of the Treasurer Procurement Code, 44 Ill. Admin. Code Part 1400.

V. RFP SCHEDULE AND PROCESS

The following is the schedule for this RFP. These dates are subject to change at the Treasurer’s discretion.

Date	Event
January 2, 2020	RFP published on the Treasurer’s website.
January 15, 2020	All Respondents’ questions due by 2:00 p.m. CDT.
January 22, 2020	Responses to all questions posted on the Treasurer’s website
January 31, 2020	Proposals due at 2:00 p.m. CDT.
February 14, 2020	Notification of award and start of negotiation of the contract terms.

B. Contact Information

The Treasurer's Chief Procurement Officer is Maria Oldani and is the point-of-contact concerning this RFP. Respondents should submit questions about the intent or content of this RFP and request clarification of any and all procedures used for this procurement prior to the submission of a Proposal. Respondents must submit their questions at moldani@illinoistreasurer.gov by 2:00 p.m. CT on Wednesday, January 15, 2020.

C. Proposal Submission

All Proposals must be submitted either in hard copy form or electronically via ShareBase by Friday, January 31, 2020, at 2:00 p.m. CT.

1. Packet submission in hard copy form

Proposals must be submitted in a sealed envelope or package with "Data Matching Services: Mailing Addresses Proposal 370-400-20-003 for the Office of the Illinois State Treasurer" shown in the front of the envelope or package, along with Respondent's name and address. If confidentiality of any information is asserted, please include an electronic Redacted Copy.

2. Packet submission via electronic form

To start the proposal submission process, please e-mail the following to DataMatchingILRFP@illinoistreasurer.gov:

- a. name of contact person
- b. business name and business address
- c. e-mail address and telephone number

3. ShareBase instructions for electronic submission

Upon timely receipt of Respondent's e-mail, the Treasurer will promptly e-mail Respondent indicating a secure folder has been shared with him/her. This folder will be used to transmit the files for the Proposal. A second email containing an access code will be sent when Respondent clicks on the shared folder name. Please copy this access code to the login screen and the folder will open. Click and drag files into the folder. The folder will appear empty after uploads.

It is crucial that Respondent emails a complete checklist of the files that s/he uploaded to ShareBase to DataMatchingILRFP@illinoistreasurer.gov – DO NOT ATTACH DOCUMENTS TO THIS EMAIL.

For assistance uploading to ShareBase, please send an email to ShareBaseSupport@illinoistreasurer.gov.

4. Use of electronic version of this RFP

This RFP is electronically available. If Respondent electronically accepts the RFP, s/he acknowledges and accepts full responsibility to ensure that no changes are made

to the RFP. Should a conflict arise between a version of the RFP in Respondent's possession and the Treasurer's version, the Treasurer's version shall prevail.

D. RFP Process

1. Internet/Email Communications

The Treasurer may also communicate with Respondents via email. Each Respondent should provide an email address with its response for ease of communication throughout this RFP process.

2. Oral Communications

Any oral communications from the Treasurer's employees or its contractors concerning this RFP is not binding on the Treasurer and shall not alter a specification, term, or condition of this RFP.

3. Amendments

If it is necessary to amend this RFP, the Treasurer will promptly post any amendments on its website at www.illinoistreasurer.gov.

4. Respondent's Costs

The cost of developing the RFP is each Respondent's responsibility and shall not be charged to the Treasurer.

5. Withdrawal of Proposal

Respondent may withdraw its Proposal at any time prior to the deadline for receipt of the proposals. Respondent must submit a written withdrawal request, signed by Respondent's duly authorized representative and emailed to Maria Oldani.

6. Modification of Proposal

Respondent may submit an amended Proposal before the deadline for receipt of the proposals. Such amended Proposal must be a complete replacement for the previously submitted Proposal and must be clearly identified as such in the email to Maria Oldani.

7. Proposal is a firm offer

A Proposal submitted in response to this RFP is a firm and binding offer, valid for 180 days after the due date or the due date for the receipt of a best and final offer, whichever falls later.

8. Proposal is State Property

On the due date, all Proposals and related material submitted in response to this RFP become the property of the State of Illinois.

9. Chief Procurement Officer May Cancel RFP

If the Chief Procurement Officer determines that it is in the Treasurer's best interest, she reserves the right to do any of the following: a) cancels this RFP; modify this RFP

in writing as needed; or c) reject any and all Proposals received in response to this RFP.

10. Proposal is Part of a Public Procurement File

All Proposals received by the Treasurer will be open to the public. Respondent may request that the Treasurer treat certain information as confidential pursuant to 44 Ill. Admin. Code §1400.2505(l). If Respondent requests confidential treatment of any information s/he considers to be exempt from public disclosure under FOIA or other applicable laws and rules, Respondent should submit a Redacted Copy, clearly identified as the “Redacted Copy.” In a separate attachment to the Redacted Copy, Respondent shall supply a listing of the provisions of the Proposal, identified by section number, for which s/he seeks confidential treatment, and identify the basis of each claimed exemption and show how that basis applies to the request for exemption in accordance with 44 Ill. Admin. Code §1400.2505(l). The Redacted Copy must retain as much of the Proposal as possible.

A request for confidential treatment will not supersede the Treasurer’s legal obligations under FOIA. The Treasurer will not honor requests to keep entire Proposals confidential and will, in any event, disclose the successful Respondent’s name, the substance of the Response, and the price. In responding to a FOIA request, the Treasurer reserves the right to rely on Respondent’s decision whether to submit a Redacted Copy with its Proposal, and the Treasurer is under no obligation to notify the contractor prior to providing a complete and un-redacted Proposal, with any attachments, if Respondent does not elect to provide a Redacted Copy with its Proposal as described in this Section V.D.

11. Additional Information

The Treasurer reserves the right to request additional information and to meet with Respondent to discuss the Proposal.

VI. EVALUATION PROCESS AND CRITERIA

This Section explains how the Treasurer will evaluate the Proposals. Proposals will be evaluated based on compliance with the mandatory requirements and on the price.

A. Mandatory Requirements

Failure to meet any of the following requirements shall lead to Respondent’s automatic disqualification:

1. Submit Proposal and accompanying Cost Proposal in hardcopy format or via ShareBase by January 24, 2020 at 2:00 p.m. CT.
2. In Respondent’s Proposal, provide all the sections and the information required for each section as set forth in Section IV.
3. Be authorized to do business in Illinois.

B. Scoring

Evaluation Factor	Maximum Number of Points Possible
Background and Experience	40
Services	40
Qualifications	40
Diversity	10
Corporate Sustainability	5
Illinois Presence	5
Cost Proposal	20
TOTAL	160

C. Determining Scores

1. Background and Experience

Scoring will be based on Respondent's demonstrated talent and experience of assigned personnel and will incorporate the answers Respondent provides to the "Background and Experience" questions starting at Section IV.B.1.

2. Services

Respondent will be evaluated based on the answers Respondent provides to the services questions starting at Section IV.B.5.

3. Qualifications

Respondent will be evaluated based on the answers Respondent provides to the Qualifications questions starting at Section IV.B.6.

4. Diversity

Respondent's diversity score will be scored based on the answers Respondent provides to the Diversity questions starting at Section IV.B.13. The Evaluation Team shall award a higher diversity score to Respondents (including subcontractors) who are female, minority, person with disabilities, or veteran owned or managed. Having a higher percentage of subcontractors who are female, minority, person with disabilities, or veteran owned or managed shall also result in higher scores.

5. Corporate Sustainability: Environmental, Social, and Governance Practices

Respondent's corporate responsibility shall be scored based on the answers Respondent provides to the Corporate Responsibility questions starting at Section IV.B.19.

6. Illinois Presence

Respondent's Illinois presence shall be scored based on the answers Respondent provides to the Illinois Presence questions starting at Section IV.B.23. Respondents with a principal place in Illinois and a higher percentage of employees in Illinois shall receive higher scores.

7. Cost Proposal

The Evaluation Team shall evaluate the cost-effectiveness of Respondent's Cost Proposal to determine that score.

D. Evaluation Process

All Proposals will be reviewed for compliance with the RFP requirements and specifications. Proposals deemed non-responsive will be eliminated from further consideration. The Chief Procurement Officer may contact Respondent for clarification of the Proposal, and the Evaluation Team may use other sources of publicly available information to perform its evaluation. Finally, the Evaluation Team will make a recommendation regarding the final respondent.

VII. CONTRACTUAL TERMS

By submitting a Proposal, Respondent agrees to each of the contractual provisions set forth in this Section.

A. Contractual Responsibility

If chosen to provide the services under this RFP, Contractor will be contractually responsible for all services provided. Contractor shall at all times provide services in a commercially reasonable manner and in accordance with federal and state law, and all rules and regulations applicable to the Treasurer.

B. Governing Law

The Agreement shall be governed in all respects by the laws of the State of Illinois, without regard to conflicts of law principles. Any action by Contractor against the Treasurer can only be brought in the Illinois Court of Claims.

C. Term of Agreement

The term of the Agreement shall be two (2) years, unless terminated in accordance with the terms of the contract. The Treasurer may, with the consent of Contractor, elect to extend the contract for additional periods, not to exceed a total term of ten (10) years, including the initial two (2) years.

D. Termination

1. Termination Without Cause

The Treasurer may elect to terminate the contract at any time upon thirty (30) days' notice. Upon termination, the Treasurer will pay for work satisfactorily completed prior to the date of termination as determined by the Treasurer in a reasonable manner.

2. Termination for Cause

The Agreement may be terminated by the Treasurer under any of the following circumstances:

- a. Contractor fails to furnish satisfactory performance within the time specified;
- b. Contractor fails to perform any of the provisions of the contract or so fails to make progress so as to endanger the performance of the Agreement in accordance with its terms;
- c. any goods or services provided under the contract are rejected and are not promptly replaced or corrected by Contractor or repeatedly rejected even though Contractor offers to replace or correct the goods or services promptly;
- d. there is sufficient evidence to show that fraud, collusion, conspiracy, or other unlawful means were used to obtain the Agreement;
- e. Contractor is guilty of misrepresentation in connection with another Agreement for services to the State;
- f. Contractor is adjudged bankrupt or enters into a general assignment for the benefit of its creditors or receivership due to insolvency;
- g. change in federal or State law or rules, or Contractor's, or Treasurer's policies that would frustrate the purpose of the Agreement;
- h. Contractor disregards or violates any applicable laws, rules, or the Treasurer's instructions, acts in violation of any provision of the Agreement, or the Agreement conflicts with any statutory or constitutional provision of the State of Illinois or the United States; and/or
- i. any other breach of contract or other unlawful act by Contractor occurs.

Prior to terminating the Agreement for cause, the Treasurer shall issue a written warning that outlines the remedial action necessary to bring Contractor into conformance with the Agreement. If such remedial action is not completed to the satisfaction of the Treasurer within thirty (30) business days, a second written warning may be issued. If satisfactory action is not taken by Contractor within five (5) business days of the date of the second

written warning, the Agreement may be canceled and the Treasurer may recover any and all damages involved with the transition to a new vendor including incidental and consequential damages. Failure by the Treasurer to issue a warning or cancel this Agreement does not waive any of the Treasurer's rights to issue subsequent warnings.

In addition, the Treasurer reserves the right to reduce the amount paid to Contractor as compensation for services under the Agreement during any period Contractor fails to perform with reasonable care any of its obligations under the Agreement.

E. Work Product

1. Ownership of work product

Except as otherwise agreed to in writing, all work product including, but not limited to, documents, reports, data, information, and ideas specially produced, developed, or designed by Contractor pursuant to the contract, including any copyright or service marks developed on behalf of the Treasurer, whether preliminary or final, (collectively, the "Work Product") will become and remain the property of the Treasurer. He shall have the right to use all such Work Product without restriction or limitation and without further compensation to Contractor.

2. Return of Work Product

Within thirty (30) days after expiration or termination of the contract, Contractor shall deliver to Treasurer, or to a third party, if so instructed by the Treasurer, all work product in Contractor's possession in the performance of the contract. If requested by the Treasurer, Contractor shall certify in writing that all such work product has been delivered to the Treasurer.

F. State Furnished Property

Contractor shall be responsible for the security, protection, and return of all property furnished by the State of Illinois, if any, including but not limited to, items, research materials, photographs, and drawings.

G. Back-up Facilities

Upon request, Contractor and its subcontractor(s), if applicable shall provide the Treasurer a copy of their disaster recovery plan, back-up plan, and results of the annual audit of the disaster recovery plan. The back-up plan will include the recovery time objective and verified minimum of semi-annual testing and a preferred quarterly back-up and restoration results.

H. Liability

The Treasurer assumes no liability for the acts or omissions of Contractor. This liability rests solely with Contractor who shall be liable to the Treasurer for actual and compensatory damages that are available to the Treasurer in law or remedies in equity.

I. Indemnification

Contractor shall indemnify and hold the Treasurer harmless from and against any and all losses, including but not limited to, any liabilities; demands; claims; lawsuits; damages; causes of action; settlements; judgments, including costs, attorneys' and witnesses' fees and expenses incident thereto; or fines, any of which arise out of or relate to violation of applicable law, breach of the contract, the negligent acts or omissions, or willful misconduct by Contractor, its employees, or agents. Contractor has a duty to select, with due diligence, all other entities that shall be necessary to implement the contract. Contractor shall establish and enforce reasonable procedures to assure the Treasurer of the performance by all other entities of the services necessary to implement this Agreement.

J. Subcontractors

Contractor may not use subcontractors to perform the Services, unless the subcontractor is approved in advance by the Treasurer. Respondent must disclose the duties to be performed by the subcontractor. Contractor will be required to obtain written approval from the Treasurer prior to adding or changing subcontractors. Subcontractors will be required to complete the attached State Certifications and Disclosure Forms (**Appendix A**).

K. Record Retention and Audit

Contractor and subcontractors, if any, shall maintain adequate books, records, and supporting documents related to the Agreement, including those necessary to support amounts charged to the State under the Agreement, for a minimum of three (3) years from the last action on the Agreement or after termination of the Agreement, whichever is longer. The Contractor and subcontractors agree to cooperate fully with any audit conducted by the Auditor General or the Treasurer and to provide full access to all materials requested. If any litigation or claim involving the Agreement has been filed or any audit commenced before the expiration of the three (3) year period, the Contractor shall maintain the records required by this Section 1) in the case of any litigation or claim, until completion of the action and resolution of all issues that arise from it or until the end of the three (3) year period, whichever is later and 2) in the case of any audit, until completion of the audit or until the end of the three (3) year period, whichever is later. Failure to maintain the books, records and supporting documents required by this Section shall establish a presumption in favor of the Treasurer for the recovery of any funds paid by the Treasurer under the Agreement for which adequate books, records, and supporting documentation are not available to support their purported disbursement.

L. Confidentiality

This Section shall survive the termination of the Agreement.

1. Confidential Information

Contractor shall be prohibited from using or disclosing information received in the course of fulfilling its obligations pursuant to the Agreement (“confidential information”), except in the performance of its internal responsibilities and normal functions and as directed by the Treasurer. Confidential information includes all information but the following:

- a. information already known or independently developed by the recipient;
- b. information required to be released by law;
- c. information in the public domain through no wrongful act of the recipient; and
- d. information received from a third party who was free to disclose it.

2. Use of Confidential Information by Employees and Agents of Contractor

The requirement of confidentiality under this Agreement also applies to the employees and agents of Contractor. Contractor shall use its best efforts to ensure that its employees and agents adhere to the confidentiality requirements set forth herein. Contractor’s use by and disclosure to employees and agents of confidential information to the extent necessary to carry out the terms and purposes of this Agreement is acceptable.

3. Protection of Confidential Information

Contractor represents, warrants, and covenants that s/he has implemented and will provide a copy of his/her information security program that is detailed and reasonably designed to protect the confidential information, which program includes administrative, technical, and physical safeguards to ensure the security and confidentiality of all confidential information, to protect against anticipated threats or hazards to the security or integrity of such customer information, and to protect against unauthorized access to or use of Confidential Information.

4. Privacy Policy and Cyber-Security

Contractor will comply with any applicable federal or state laws or regulations, as well as any privacy policy developed by the Treasurer. Contractor further agrees to establish, maintain, and comply with a privacy policy and cyber-security policy with respect to the Agreement that meets the requirements of applicable law.

5. Destruction of confidential information

The Treasurer or his agents shall maintain reasonable security measures to protect confidential information from destruction. See 765 ILCS 1026/15-1404(b). In addition, the Treasurer or his agents shall return all confidential information either in a secure manner or destroy such information no longer needed, pursuant to the Illinois Personal Information Protection Act. Id. at Section 15-1404(d).

6. Program Lists

Contractor specifically agrees that s/he shall not and shall cause its subcontractors and affiliates not to sell, provide, or otherwise disclose information from any program list to any third party, unless otherwise directed to or approved by the Treasurer or required by applicable law.

M. Successor and Assignment

Each term and provision of the Agreement is binding and enforceable against and inures to the benefit of any successors of the Treasurer and any successors of Contractor, but neither the Agreement nor any of the rights or obligations under the Agreement may be transferred or assigned without the Treasurer's prior written consent, which shall render the Agreement voidable by him. The Treasurer may unilaterally bind any successor of Contractor to the terms and conditions of the Agreement.

N. Certifications

Contractor shall certify the following:

1. That Contractor has the full legal right, power, and authority to execute and deliver the contract and to perform his/her obligations pursuant to the contract with no other corporate action on the part of Contractor or stockholders being necessary, and that the contract has been duly and validly executed and delivered by Contractor, thereby constituting a legal, valid, and binding obligation of Contractor, enforceable against Contractor in accordance with his/her terms.
2. That the execution and delivery by Contractor of the Agreement, the performance by Contractor of his/her duties and obligations thereunder, and the consummation of the transactions contemplated do not result in any of the following:
 - a. conflict with or result in a violation or breach of any of the terms, conditions, or provisions of the charter or by-laws of Contractor;
 - b. conflict with or result in a violation or breach of any term or provision of (a) any law, rule, regulation, judgment, decree, order, or injunction applicable to Contractor or any of its assets and properties or (b) any contract binding on or affecting Contractor or any of its properties; or
 - c. conflict with or result in a violation or breach of, or constitute (with or without notice or lapse of time or both) a default under any material agreement to which Contractor is a party, or any material obligation or responsibility which Contractor has to any third party.
3. That there is no action, suit, investigation, or proceeding pending or, to the best knowledge of Contractor, threatened against Contractor before any court, arbitrator, or administrative or governmental body that might result in any material adverse

change in the operations of Contractor or which might materially and adversely affect the ability of Contractor to perform the services or otherwise comply with its obligations under the contract.

O. Review

The Treasurer may conduct periodic performance reviews of Contractor during which his/her compliance with all aspects of the Agreement will be reviewed and assessed.

P. Severability

If any provision, or portion thereof, of the Agreement is, or becomes, invalid under any applicable statute or rule of law, it is to be deemed stricken and the rest of the Agreement shall remain in full force and effect.

Q. Access to Information

Upon request, Contractor shall provide the Treasurer access to all files, records, documents, and data that are in its possession and control pursuant to the Agreement, regardless of how that information is stored. The information shall be provided in a form acceptable to the Treasurer.

R. Continuation of Services

Contractor shall guarantee performance of the Services and agree to perform all Services in an efficient and professional manner. Notwithstanding anything to the contrary in the Agreement, Contractor's obligations and responsibilities pursuant to the Agreement shall not be affected in the event of personnel problems, strike by employees, work stoppages, and other employee-related events. Contractor is responsible for and shall provide commercially reasonable backup systems and shall review the adequacy of those systems with the Treasurer upon request. The prevention of such business interruption shall be the sole responsibility of Contractor, and Contractor shall immediately notify the Treasurer in the event such business interruption takes place. Contractor shall be liable for any losses or damages sustained by the Treasurer due, in whole or in part, to Contractor's failure to provide reasonable backup systems.

S. Notice

Contractor hereby agrees to give the Treasurer notice if at any point during the term of the Agreement, Contractor or his/her officer(s) or principal(s), acting within the scope of their employment, are found liable or become subject to a consent order as a result of any publicly disclosed enforcement action or other regulatory proceeding by any of the following entities, including any divisions thereof: the Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the Treasury, Federal Deposit Insurance Corporation, any State Attorney General, or the Federal Reserve System. Contractor shall provide the Treasurer such

notice within five (5) business days of when Contractor knows or reasonably should have known of the liability or consent order. Contractor's delivery of notice pursuant to this Section or failure to provide the required notice shall give the Treasurer reason to terminate the Agreement for cause.

T. Change of Law or Policy

Contractor shall notify the Treasurer in writing within ten (10) business days of any change applicable to Contractor in federal or state regulations or laws that would adversely affect either the terms or rights granted the Treasurer by the contract, and within five business days of any legally required change to Contractor's internal operational policy that might affect Contractor's performance of the services, including but not limited to any policy that relates to management, maintenance, record keeping, safekeeping, custody, destruction, or subcontracting.

U. State Certifications/Disclosures

The Agreement shall incorporate Contractor's fully executed State Certifications and Disclosure Forms (**Appendix A**).

V. No Recourse

For any obligation or liability arising pursuant to the Agreement, no recourse may be had for such obligation or liability of the Treasurer of the State of Illinois or any employee or official of the Treasurer or the State in his or her personal or individual capacity. Contractor hereby waives all such obligations and liabilities of the Treasurer of the State of Illinois and any such employee or official.

W. Sovereign Immunity

Contractor acknowledges that the Treasurer and the State of Illinois reserve all immunities, defenses, rights, or actions arising out of their status as a sovereign state or entity, including those under the Eleventh Amendment to the United States Constitution, and that no waiver of any such immunities, defenses, rights, or actions will be implied or otherwise deemed to exist as a result of the Agreement.

APPENDIX A

ILLINOIS STATE TREASURER CERTIFICATIONS [Form A]

_____ (“Contractor”) makes the following certifications:

1.0 ANTI-BRIBERY.

Contractor certifies that s/he is not barred from being awarded a contract or subcontract under Section 50-5 of the Illinois Procurement Code (30 ILCS 500/50-5). Section 50-5 prohibits a contractor from entering into a contract with a State agency if Contractor has been convicted of bribery or attempting to bribe an officer or employee of the State of Illinois, or if the contractor has made an admission of guilt of such conduct with is a matter of record. Contractor also acknowledges that the Chief Procurement Officer may declare the contract void if this certification is false.

2.0 BID-RIGGING/BID-ROTATING.

Contractor certifies that s/he has not been barred from contracting with a unit of State or local government as a result of a violation of Section 33E-3 or 33E-4 of the Criminal Code of 1961 (720 ILCS 5/33E-3, 33E-4).

3.0 DRUG FREE WORKPLACE.

This certification is required by Section 3 of the Drug Free Workplace Act (30 ILCS 580/3). The Drug Free Workplace Act, effective January 1, 1992, requires that Contractor shall not be considered for the purposes of being awarded a contract for the procurement of any services from the State unless Contractor has certified to the State that Contractor will provide a drug free workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract payments, termination of the contract and debarment of contracting opportunities with the State for at least one (1) year but not more than five (5) years.

Contractor certifies and agrees that s/he will provide a drug free workplace by:

- a. Publishing a statement:
 - i. Notifying employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance, including cannabis, is prohibited in the grantee’s or the contractor’s workplace.
 - ii. Specifying the actions that will be taken against employees for such violation(s).
 - iii. Notifying the employee that, as a condition of employment on such contract or grant, the employee will:
 1. abide by the terms of the statement; and

2. notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction
- b. Establishing a drug free awareness program to inform employees about:
 - i. the dangers of drug abuse in the workplace;
 - ii. Contractor's policy of maintaining a drug free workplace;
 - iii. any available drug counseling, rehabilitation, and employee assistance programs; and
 - iv. the penalties that may be imposed upon an employee for drug violations
 - c. Providing a copy of the statement required by Section (a) to each employee engaging in the performance of the contract and to post the statement in a prominent place in the workplace
 - d. Notifying the Treasurer's Office within ten (10) days after receiving notice under Section a.ii.2. from an employee or otherwise receiving actual notice of such conviction
 - e. Imposing a sanction on or requiring the satisfactory participation in drug abuse assistance or rehabilitation program by an employee who is so convicted, as required by Section 5 of the Drug Free Workplace Act
 - f. Assisting employees in selecting a course of action in the event of drug counseling, treatment, and rehabilitation is required and indicating that a trained referral team is in place
 - g. Making a good faith effort to continue to maintain a drug free workplace through implementation of the Drug Free Workplace Act.

4.0 ANTI-BOYCOTT CERTIFICATION.

Contractor certifies that neither s/he nor any substantial-owned affiliated company is participating or shall participate in an international boycott in violation of the provisions of the U.S. Export Administration Act of 1979 (50 U.S.C.A. App. § 2401 et seq.) or the regulations of the U.S. Department of Commerce promulgated under that Act.

5.0 NON-DISCRIMINATION.

Contractor certifies that s/he will comply with the State and Federal Constitutions, the U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, and all applicable rules that prohibit unlawful discrimination in performance of this Agreement and all other activities, including employment and other contracts. As a condition of receiving the Agreement, Contractor represents or certifies that services, programs and activities provided under the Agreement are and will continue to comply with State and Federal

Constitutions, the U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, and all applicable laws that prohibit unlawful discrimination.

6.0 AMERICANS WITH DISABILITIES ACT.

Contractor certifies that s/he is in compliance with the Americans with Disabilities Act (“ADA”) (42 U.S.C. 12101 et seq.) and the regulations thereunder (28 CFR 35.130) prohibit discrimination against persons with disabilities by the Treasurer, whether directly or through contractual arrangements, in the provision of any aid, benefit or service. As a condition of receiving the Agreement, Contractor represents or certifies that services, programs and activities provided under the Agreement are and will continue to be in compliance with the ADA.

7.0 ILLINOIS HUMAN RIGHTS ACT.

Contractor certifies that s/he is presently in compliance with all of the terms, conditions and provisions of Section 5/2-105 of the Illinois Human Rights Act (775 ILCS 5/2-105), together with all rules and regulations promulgated and adopted pursuant thereto.

8.0 FELONY.

Contractor certifies that s/he has not been barred from being awarded a contract under Section 50-10 of the Illinois Procurement Code (30 ILCS 500/50-10). Section 50-10 prohibits a contractor from entering into a contract with a State agency if the contractor has been convicted of a felony and five years have not passed from the completion of the sentence. Contractor further acknowledges that the Chief Procurement Officer may declare the contract void if this certification is false.

9.0 FORMER EMPLOYMENT.

Contractor has informed the Treasurer’s Office in writing if s/he was formerly employed by the Treasurer’s Office and has received an early retirement incentive under Section 14-108.3 or 16-133.3 of the Illinois Pension Code (30 ILCS 105/15a).

10.0 INDUCEMENT.

Contractor has not paid any money or valuable thing to induce any person to refrain from bidding on a State contract, nor has Contractor accepted any money or other valuable thing, or acted upon the promise of same, for not bidding on a State contract (30 ILCS 500/50-25).

11.0 REVOLVING DOOR PROHIBITION.

Contractor certifies that neither his/her nor his/her employees and agents are in violation of section 50-30 of the Illinois Procurement Code (30 ILCS 500/50-30). Section 50-30 prohibits certain State employees and their designees for a period of (2) years after

terminating an affected position from engaging in any procurement activity relating to the State agency most recently employing them for a specified period of time.

12.0 REPORTING ANTICOMPETITIVE PRACTICES.

Contractor shall report to the Illinois Attorney General and the Chief Procurement Officer any suspected collusion or other anticompetitive practice among any bidders, offerors, contractors, proposers or employees of the State (30 ILCS 500/50-40, /50-45, /50-50).

13.0 DISCRIMINATORY CLUB.

Contractor agrees not to pay any dues or fees on behalf of its employees or agents or subsidize or otherwise reimburse them for payments of any dues or fees to a discriminating club as prohibited by Section 2 of the Discriminatory Club Act (775 ILCS 25/2).

14.0 TAXPAYER IDENTIFICATION NUMBER AND LEGAL STATUS OF CONTRACTOR.

Contractor shall comply with applicable tax requirements and shall be current payment of such taxes. Under penalty of perjury, Contractor certifies that #

_____ is its correct Taxpayer Identification Number and that it is doing business as a (please check one):

- _____ Individual _____ Government Entity
- _____ Sole Proprietor _____ Nonresident alien
- _____ Partnership/Legal Corporation _____ Estate or trust
- _____ Tax Exempt _____ Pharmacy (Non-Corp)
- _____ Corporation providing or billing _____ Pharmacy/Funeral Home/Cemetery medical and/or health care services (Corp)
- _____ Corporation NOT providing or billing _____ Limited Liability Company (select medical and/or health care services applicable tax classification.)
- _____ Other: C = corporation P = partnership

15.0 LICENSE; AUTHORIZED BIDDER OR OFFEROR.

Contractor, directly or through its employees, shall have and maintain any license required by this Agreement. S/he further certifies that his/her concern is a legal entity authorized to do business in Illinois prior to the submission of the bid, offer, or proposal pursuant to section 20-43 of the Illinois Procurement Code (30 ILCS 500/20-43).

16.0 APPROPRIATION.

This agreement is subject to termination and cancellation in any year for which the Illinois General Assembly fails to make an appropriation for payments under the terms of the agreement.

17.0 RECORDS RETENTION; RIGHT TO AUDIT.

Contractor agrees to maintain books and records related to the performance of the contract and necessary to support amounts charged to the State under the contract for a minimum of seven (7) years from the last action on the contract or after termination of the agreement, whichever is longer. Contractor further agrees to cooperate fully with any audit and to make the books and records available for review and audit by the Auditor General, chief procurement officers, internal auditor and the Treasurer; Contractor agrees to cooperate fully with any audit conducted by the Auditor General or the Treasurer and to provide full access to all relevant materials. The 7-year period shall be extended for the duration of any audit in progress during the term. Failure to maintain the books, records and supporting [e]-documents required by this Section shall establish a presumption in favor of the State for the recovery of any funds paid by the State under this agreement for which adequate books, records, and supporting [e]-documents are not available to support their purported disbursement.

18.0 CONFLICTS OF INTEREST.

Contractor has disclosed and agrees that s/he is under a continuing obligation to disclose, to the Treasurer financial or other interests (public or private, direct or indirect) that may be a potential conflict of interest that would prohibit Contractor from entering into or performing the agreement.

Conflicts of interest include, but are not limited to, conflicts under Section 1400.5020 of the Treasurer's Procurement Rules (44 Ill. Adm. Code 1400.5020) and Sections 50-13, 50-20, and 50-35 of the Illinois Procurement Code (30 ILCS 500/50).

19.0 LATE PAYMENTS.

Late payment charges, if any, shall not exceed the formula established in the Illinois Prompt Payment Act (30 ILCS 540/1) and the Illinois Administrative Code (74 Ill. Adm. Code 900).

20.0 LIABILITY.

The State's liability for damages is expressly limited by and subject to the provisions of the Illinois Court of Claims Act (705 ILCS 505/1) and to the availability of suitable appropriations.

21.0 DEBT DELINQUENCY.

Contractor certifies that it, or any affiliate, is not barred from being awarded a contract or subcontract under section 50-11 of the Illinois Procurement Code (30 ILCS 500/50-11). Section 50-11 prohibits a contractor from entering into a contract with the Treasurer's Office s/he knows or should know that s/he, or any affiliate, is delinquent in the payment of any debt to the State as defined by the Debt Collection Board. Contractor further acknowledges that the Treasurer's Office may declare the Agreement void if this

certification is false or if Contractor or any affiliate is determined to be delinquent in payment of any debt during the term of the Agreement.

22.0 EDUCATIONAL LOAN DEFAULT.

Contractor certifies that s/he is not barred from being awarded a contract under the Educational Loan Default Act (5 ILCS 385). Section 3 of the Educational Loan Default Act prohibits an individual from entering into a contract with the Treasurer's Office if that individual is in default of an educational loan. Contractor further acknowledges that the Treasurer's Office may declare the agreement void if this certification is false or if Contractor is determined to be in default of an educational loan during the term of the agreement.

23.0 FORCE MAJEURE.

If any party fails to perform his/her duties and obligations, s/he shall be excused by unforeseeable circumstances beyond his/her control including acts of nature, acts of the public enemy, riots, labor or material shortages, labor disputes, fire, flood, explosion, legislation, and governmental regulation.

24.0 ANTITRUST ASSIGNMENT.

Contractor hereby assigns, sells and transfers to the State of Illinois all right, title and interest in and to any claims and causes of action arising under antitrust laws of Illinois or the United States relating to the subject matter of the agreement.

25.0 PROHIBITION OF GOODS FROM FORCED LABOR.

Contractor certifies that s/he is not barred from being awarded a contract under the State Prohibition of Goods from Forced Labor Act (30 ILCS 583). Section 10 of the State Prohibition of Goods from Forced Labor Act prohibits a contractor from entering into a contract with the Treasurer's Office if that contractor knew that the foreign-made equipment, materials, or supplies furnished to the State were produced in whole or part by forced labor, convict labor, or indentured labor under penal sanction. Contractor further acknowledges that the Treasurer's Office may declare the agreement void if this certification is false or if Contractor is determined to have known that the foreign-made equipment, materials, or supplies furnished to the State during the term of the Agreement were produced in whole or part by forced labor, convict labor, or indentured labor under penal sanction.

26.0 PROHIBITION OF GOODS FROM CHILD LABOR.

Contractor certifies in accordance with Public Act 94-0264 that no foreign-made equipment, materials, or supplies furnished to the State under the contract have been produced in whole or in part by the labor of any child under the age of 12.

27.0 SARBANES-OXLEY ACT AND ILLINOIS SECURITIES LAW.

Contractor certifies that s/he is not barred from being awarded a contract or subcontract under Section 50-10.5 of the Illinois Procurement Code (30 ILCS 500). Section 50-10.5, *inter alia*, prohibits a contractor from bidding or entering into a contract or subcontract with the Treasurer's Office if Contractor or any officer, director, partner, or other managerial agent of the contractor has been convicted in the last 5 years of a felony under the Sarbanes-Oxley Act of 2002 or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953 or if Contractor is in violation of Subsection (e). Contractor further acknowledges that the Treasurer's Office may declare the agreement void if this certification is false or if Contractor is determined to have been convicted of a felony under the Illinois Sarbanes-Oxley Act of 2002 or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953 during the term of the agreement.

28.0 DISPUTES.

Any claim against the State arising out of this Agreement must be filed exclusively with the Illinois Court of Claims (705 ILCS 505/1). The State shall not enter into binding arbitration to resolve any agreement dispute. The State does not waive sovereign immunity by entering into this agreement. Any provision containing a citation to an Illinois statute (cited "ILCS") may not contain the complete statutory language. The official text, which is incorporated by reference, may be found in the appropriate chapter and section of the Illinois Compiled Statutes. An unofficial version may be viewed at www.ilga.gov.

29.0 THIRD-PARTY PAYMENTS.

Contractor certifies that no fee was paid to a third-party in expectation of being awarded a contract by the Treasurer.

30.0 MOST FAVORABLE TERMS.

If more favorable terms are granted by Contractor to any similar governmental agency in any state in a contemporaneous agreement let under the same or similar financial terms and circumstances for comparable supplies or services, the more favorable terms will be applicable under the Agreement between the Treasurer's Office and Contractor.

31.0 BOARD OF ELECTIONS REGISTRATION.

____ Contractor certifies that s/he **not required to register** as a business entity with the State Board of Elections pursuant to the Illinois Procurement Code (30 ILCS 500/20-160). Further, Contractor acknowledges that all contracts or subcontracts between State agencies and a business entity that do not comply with this Section shall be voidable under Section 50-60 of the Illinois Procurement Code (30 ILCS 500/50-60).

(or)

_____ Contractor certifies that s/he **has registered** as a business entity with the State Board of Elections and acknowledges a continuing duty to update the registration pursuant to the Illinois Procurement Code (30 ILCS 500/20-160). Further, Contractor acknowledges that all contracts or subcontracts between State agencies and a business entity that do not comply with this Section shall be voidable under Section 50-60 of the Illinois Procurement Code (30 ILCS 500/50-60).

32.0 COLLECTION AND REMITTANCE OF ILLINOIS USE TAX.

Contractor certifies that s/he not barred from being awarded a contract under Section 50-12 of the Illinois Procurement Code (30 ILCS 500/50-12). Section 50-12 prohibits a contractor from entering into a contract or subcontract with a State agency if Contractor or an affiliate has failed to collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with the provisions of the Illinois Use Tax Act. Contractor further acknowledges that the contract or subcontract may be voided if this certification is false.

33.0 ENVIRONMENTAL PROTECTION ACT VIOLATIONS.

Contractor certifies that s/he is not barred from being awarded a contract or subcontract under section 50-14 of the Illinois Procurement Code (30 ILCS 500/50-14). Section 50-14 prohibits a contractor from entering into a contract or subcontract with a State agency if the contractor has been found by a court or the Pollution Control Board to have committed a willful or knowing violation of the Environmental Protection Act within the last (5) years. Contractor further acknowledges that the contracting State agency may declare the contract or subcontract void if this certification is false.

34.0 LEAD POISONING PREVENTION ACT VIOLATIONS.

Contractor certifies that s/he is not barred from entering into a contract or subcontract under section 50-14.5 of the Illinois Procurement Code (30 ILCS 500/50-14.5). Section 50-14.5 prohibits a contractor from entering into a contract or subcontract with the State of Illinois or a State agency if the contractor, while the owner of a residential building, committed a willful or knowing violation of the Lead Poisoning Prevention Act. Contractor further acknowledges that the Treasurer may declare the contract or subcontract void if this certification is false.

35.0 BOND ISSUANCES.

Contractor certifies that s/he is not barred from being awarded a contract or subcontract under section 50-21 of the Illinois Procurement Code (30 ILCS 500/50-21). Section 50-21 prohibits State agencies from entering into contracts or subcontracts with respect to the issuances of bonds or other securities by the State or a State agency with any entity that uses an “independent consultant” as defined in section 50-21.

36.0 POLITICAL CONTRIBUTIONS.

Contractor certifies that s/he is not barred from being awarded a contract or subcontract under Section 50-37 of the Illinois Procurement Code (30 ILCS 500/50-37). Section 50-37 prohibits business entities whose contracts with State agencies, in the aggregate, annually total more than \$50,000, or whose aggregate pending bids and proposals on State contracts total more than \$50,000, and any affiliated entities or affiliated persons of such business entity, from making any contributions to any political committee established to promote the candidacy of the office holder responsible for awarding the contract on which the business entity has submitted a bid or proposal during the period beginning on the date the invitation for bids or request for proposals are issued and ending on the day after the date the contract is awarded.

37.0 LOBBYING RESTRICTIONS.

Contractor certifies that s/he is not barred from being awarded a contract or subcontract under Section 50-38 of the Illinois Procurement Code (30 ILCS 500/50-38). Section 50-38 prohibits a contractor from billing the State for any lobbying costs, fees, compensation, reimbursements, or other remuneration provided to any lobbyist who helped him/her to obtain the contract or subcontract.

38.0 DISCLOSURE OF BUSINESS OPERATIONS WITH IRAN (30 ILCS 500/50-36).

Each bid, offer, or proposal submitted for a State contract, other than a small purchase defined in Section 20-20 of the Illinois Procurement Code, shall disclose whether or not the bidder, offeror, or proposing entity, or any of its corporate parents or subsidiaries, within the 24 months before submission of the bid, offer, or proposal, had business operations involving contracts or provision of supplies or services to the Government of Iran, companies in which the Government of Iran has any direct or indirect equity share, consortiums, or projects commissioned by the Government of Iran and:

(1) more than 10% of the company's revenues produced in or assets located in Iran involve oil-related activities or mineral-extraction activities; less than 75% of the company's revenues produced in or assets located in Iran involve contracts with or provision of oil-related or mineral – extraction products or services to the Government of Iran or a project or consortium created exclusively by that Government; and the company has failed to take substantial action; or

(2) the company has, on or after August 5, 1996, made an investment of \$20 million or more, or any combination of investments of at least \$10 million each that in the aggregate equals or exceeds \$20 million in any 12- month period that directly or significantly contributes to the enhancement of Iran's ability to develop petroleum resources of Iran.

Please check one of the following items. If item 2 is checked, please make the necessary disclosure:

- ___ There are no business operations that must be disclosed to comply with the above cited law
- ___ The following business operations are disclosed to comply with the above cited law

By: _____
[Print name]

Title: _____

Dated: _____

**FINANCIAL INTEREST AND POTENTIAL CONFLICTS OF INTEREST
[Form B]**

The Treasurer's Procurement Regulations (44 Ill. Adm. Code 1400.5035) require that Contractors desiring to enter into certain contracts with the State of Illinois must disclose the financial and potential conflicts of interest information as specified below.

Contractor shall disclose the financial interest and potential conflicts of interest information identified in Sections 1 and 2 below as a condition of receiving an award or contract. Submit this information along with your bid, proposal or offer.

This requirement applies to contracts with an annual value exceeding \$10,000.

A publicly traded entity may submit its 10K disclosure in satisfaction of the disclosure requirements set forth in both Sections 1 and 2 below.

Sec. 1. Disclosure of Financial Interest in the contractor

- a. If any individuals have one of the following financial interests in the contractor/offeree (or the parent), please check all that apply and show names and addresses. Add more pages if necessary:

Ownership exceeding 5% (____)
Ownership value exceeding \$106,447.20¹ (____)
Distributive Income Share exceeding 5% (____)
Distributive Income Share exceeding \$106,447.20 (____)

Name: _____

Address: _____

- b. For each individual named above, show the type of ownership/distributable income share: sole proprietorship ____ stock ____ partnership ____ other (explain) _____.

- c. For each individual named above, show the dollar value or proportionate share of the ownership interest in the contractor/offeree (or the parent) as follows:

If the proportionate share of the named individual(s) in the ownership of the contractor/offeree (or the parent) is 5% or less, and if the value of the ownership interest of the named individual(s) is \$106,447.20 or less, check here (____)

If the proportionate share of ownership exceeds 5% or the value of the ownership interest exceeds \$106,447.20, show either,

The percent of ownership _____ %
or
The value of the ownership interest \$ _____

¹ This amount is sixty percent of the Illinois governor's salary.

Sec. 2. Disclosure of Potential Conflicts of Interest. For each of the individuals having the level of financial interest identified in Section 1 above, check “Yes” or “No” to indicate which, if any, of the following potential conflicts of interest relationships apply. If “Yes,” please describe (use space under applicable section to explain your answers – attach additional pages as necessary).

- a. State employment, currently or in the previous three (3) years, including contractual employment of services
Yes _____ No _____
- b. State employment for spouse, father, mother, son, daughter, including contractual employment for services in the previous 2 years
Yes _____ No _____
- c. Elective status; the holding of elective office of the State of Illinois, the government of the United States, any unit of local government authorized by the Constitution of the State of Illinois, or the statutes of the State of Illinois currently or in the previous 3 years
Yes _____ No _____
- d. Relationship to anyone holding elective office currently or in the previous 2 years; spouse, father, mother, son, or daughter
Yes _____ No _____
- e. Appointive office; the holding of any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of expenses incurred in the discharge of that office currently or in the previous 3 years
Yes _____ No _____
- f. Relationship to anyone holding appointive office currently or in the previous 2 years: spouse, father, mother, son, or daughter
Yes _____ No _____
- g. Employment, currently or in the previous 3 years as or by any registered lobbyist of the State of Illinois government
Yes _____ No _____
- h. Relationship to anyone who is or was a registered lobbyist in the previous 2 years: spouse, father, mother, son, or daughter
Yes _____ No _____

- i. Compensated employment, currently or in the previous 3 years, by any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois or any political action committee with either the Secretary of State or the Federal Board of Elections
Yes _____ No _____

- j. Relationship to anyone; spouse, father, mother, son, or daughter, who is or was a compensated employee in the last 2 years of any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois or any political action committee registered with either the Secretary of State or the Federal Board of Elections
Yes _____ No _____

This disclosure is submitted on behalf of,

Name: _____
[Print name]

Title: _____

Dated: _____