

Instructions for Reviewing and Completing the General Conditions and Compliance Forms of Exhibit 7

Pursuant to Exhibit 7 (General Conditions and Compliance) of the RFP, proposers must review and/or complete certain City required and compliance forms. This document provides further instructions for reviewing and completing these forms based on frequently asked questions.

1. Appendix A - General Conditions

For your review. This document describes the general terms and conditions pertaining to proposals and contracts. For further reference, the City of Los Angeles Charter, Administrative Code, and Municipal Code may be accessed at:

<https://www.lacity.org/your-government/government-information/city-charter-rules-and-codes>

- **Attachment 1 - Confidentiality & Non-Disclosure of Member Information**
For your review. LACERS does not anticipate the services described in this RFP to require use of confidential member information.
- **Attachment 2 - RFP Warranty/Affidavit**
Complete this form, sign, and return with your proposal. Notarization is not required (contrary to the instructions of Exhibit 7 of the RFP). A tutorial form is attached as Attachment 1.
- **Attachment 3 - Marketing Cessation Policy**
For your review. This policy provides information regarding communication and gift restrictions during the RFP process.
- **Attachment 4 - Marketing Cessation Proposer Disclosure Form**
Complete this form, sign, and return with your proposal. If you have no disclosures to make, please indicate so in the appropriate table(s), sign, and return with your proposal. LACERS Form 700 filers are provided as Attachment 7 to the RFP.
- **Attachment 5 - Bidder Certification – City Ethics Commission Form 50**
Complete this form, sign, and return with your proposal. Input “N/A” for the Bid/Contract/BAVN Number and “LACERS” in the Awarding Authority (Department) sections. A tutorial form is attached as Attachment 2.
- **Attachment 6 - Bidder Certification – City Ethics Commission Form 55**
Complete this form, sign, and return with your proposal. Input “N/A” for the Reference Number section, “Core Fixed Income RFP” for the Description of Contract section, and “LACERS” for the City Department Awarding the Contract section. A tutorial form is attached as Attachment 3.

- **Attachment 7 - Form 700 Filers**

For your review. This document provides the list of LACERS Form 700 filers necessary to complete Attachment 4 – Marketing Cessation Proposer Disclosure Form.

2. Appendix B - Standard Provisions for City Contracts

For your review. Contractors hired under this RFP will be required to adhere to the Standard Provisions for City Contracts, which will be incorporated in the contract (Investment Management Agreement) awarded via this RFP. Certain Standard Provisions may not be applicable to this contract; negotiation of specific contract provisions will occur subsequent to contract award. Do not submit proposed modifications to these provisions with your proposals.

3. Appendix C - Additional Forms

- **Attachment 1 - Workforce Composition**

Complete this form and return with your proposal.

- **Attachment 2 - Gender Equity Disclosure Form**

Complete this form and return with your proposal.

4. Appendix D – Sample of LACERS Investment Management Agreement

For your review. This is a sample contract only. Specific contract provisions will be negotiated upon contract award.

As indicated in the RFP, failure to complete and return the designated City Required Forms as part of your proposal may deem your proposal as non-responsive and may result in disqualification. If you require further clarification on these forms, please email your questions to lacers.invest@lacers.org prior to the RFP deadline as indicated in *Section C. Schedule* of the RFP. **Please allow at least two business days for a response to your question.** All other questions unrelated to these forms must adhere to the “Written Questions Submissions” instructions and deadline discussed in *Section C. Schedule* of the RFP.

Complete section b, c, and d. Sign pursuant to the instructions provided in this form.

APPENDIX A

REQUEST FOR PROPOSAL WARRANTY/AFFIDAVIT
(Must be completed and submitted with your proposal)

- a) **Statement of Non-Collusion**
All Proposals must include a statement of non-collusion (below) to be considered for award.
- b) **Legal business name:** _____
Address: _____
Telephone number: _____
Business type (individual, limited liability partnership, corporation, etc.): _____
- c) **The person(s) authorized to represent the proposer in negotiations with LACERS with respect to the RFP and any subsequently awarded contract.**
Representative's name: _____
Title: _____
Address: _____
Telephone number: _____ E-mail address: _____
Limitation(s) of authority for the person named: _____

- d) **Alternatives Proposed & Attached** Yes No

If the firm is proposing any alternatives/conditions to requirements detailed within the RFP, an explanation of the alternatives offered/conditions placed shall be attached to this form. LACERS reserves the right to reject proposals where the alternative/conditions are not acceptable.

We/I warrant on behalf of the firm, that all the above information is accurate and that:

This proposal is genuine, and not sham or collusive, nor made in the interest or on behalf of any person not named therein; the proposer has not directly or indirectly induced or solicited any other proposer to put in a sham bid, or any other person, firm or corporation to refrain from submitting a proposal, and the proposer has not in any manner sought by collusion to secure for themselves an advantage over any other proposer.

This warranty is to be signed below by a person or persons authorized to bind the proposer to all provisions of the RFP, any subsequent changes to the RFP, and to the contract if an award is made. (If the respondent is a partnership, the response must be signed by a general partner in the name of the partnership. If the respondent is a corporation, the response must be signed on behalf of the corporation by two authorized officers (a Chairman of the Board, President or Vice-President, and a Secretary, Treasurer or Chief Financial Officer or an officer authorized by the Board of Directors to execute such documents on behalf of the corporation.)

By signing this affidavit, I hereby certify or declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Authorized Signature

Authorized Signature

Title

Title

Date

Date

Notary is not required for this form



City Ethics Commission
200 N Spring Street
City Hall — 24th Floor
Los Angeles, CA 90012
Mail Stop 129
(213) 978-1960

Bidder Certification CEC Form 50

This form must be submitted to the awarding authority with your bid or proposal for the contract noted below. Please write legibly.

Original filing Amended filing (original signed on _____; last amendment signed on _____)

Check Box

Bid/Contract/BAVN Number:

N/A

Awarding Authority (Department):

LACERS

Name of Bidder:

[insert firm name]

Phone:

[insert phone number]

Address:

[insert firm address]

Email:

[insert email address of primary contact at firm]

CERTIFICATION

I certify the following on my own behalf or on behalf of the entity named above, which I am authorized to represent:

- A. I am a person or entity that is applying for a contract with the City of Los Angeles.
- B. The contract for which I am applying is an agreement for one of the following:
 1. The performance of work or service to the City or the public;
 2. The provision of goods, equipment, materials, or supplies;
 3. Receipt of a grant of City financial assistance for economic development or job growth, as further described in Los Angeles Administrative Code § 10.40.1(h); or
 4. A public lease or license of City property where both of the following apply, as further described in Los Angeles Administrative Code § 10.37.1(l):
 - a. I provide services on the City property through employees, sublessees, sublicensees, contractors, or subcontractors, and those services:
 - i. Are provided on premises that are visited frequently by substantial numbers of the public; or
 - ii. Could be provided by City employees if the awarding authority had the resources; or
 - iii. Further the proprietary interests of the City, as determined in writing by the awarding authority.
 - b. I am not eligible for exemption from the City's living wage ordinance, as eligibility is described in Los Angeles Administrative Code § 10.37.1(l)(b).
- C. The value and duration of the contract for which I am applying is one of the following:
 1. For goods or services contracts—a value of more than \$25,000 and a term of at least three months;
 2. For financial assistance contracts—a value of at least \$100,000 and a term of any duration; or
 3. For construction contracts, public leases, or licenses—any value and duration.
- D. I acknowledge and agree to comply with the disclosure requirements and prohibitions established in the Los Angeles Municipal Lobbying Ordinance if I qualify as a lobbying entity under Los Angeles Municipal Code § 48.02.

I certify under penalty of perjury under the laws of the City of Los Angeles and the state of California that the information in this form is true and complete.

Date: [insert date] _____

Signature: Signature of Authorized Individual _____

Name: Name of Authorized Signatory _____

Title: Title of Authorized Signature _____



Ethics Commission
 200 N Spring Street
 City Hall — 24th Floor
 Los Angeles, CA 90012
 (213) 978-1960
 ethics.lacity.org

Prohibited Contributors (Bidders)

Form 55

This form must be completed in its entirety and submitted with your bid or proposal to the City department that is awarding the contract. Failure to submit a completed form may affect your bid or proposal. If you have questions about this form, please contact the Ethics Commission.

Original filing Amended filing (original signed on _____; last amendment signed on _____)

Check box

Reference Number (bid or contract number, if applicable):

N/A

Date Bid Submitted:

← Insert date

Description of Contract (title of RFP and services to be provided):

Core Fixed Income RFP

City Department Awarding the Contract:

LACERS

BIDDER INFORMATION

Name: _____
 Address: _____
 Email: _____ Phone: _____

Complete this section with firm name and address. Provide email address and phone number of individual authorized to submit proposal on behalf of firm.

SCHEDULE SUMMARY

Please complete all three of the following:

1. SCHEDULE A — Bidder's Principals (check one)

- The bidder is the individual listed above and has no other principals (Schedule A is not required).
- The bidder is the individual listed above or an entity and has other principals, who are listed on the attached Schedule A pages.

2. SCHEDULE B — Subcontractors and Their Principals (check one)

- The bidder has no subcontractors on this bid or proposal whose subcontracts are worth \$100,000 or more (Schedule B is not required).
- The bidder has one or more subcontractors on this bid or proposal with subcontracts worth \$100,000 or more, and those subcontractors and their principals are listed on the attached Schedule B pages.

3. TOTAL NUMBER OF PAGES SUBMITTED (including this cover page): _____

Check appropriate boxes

BIDDER'S CERTIFICATION

I certify that I understand, will comply with, and have notified my principals and subcontractors of the requirements and restrictions in Los Angeles City Charter section 470(c)(12) and any related ordinances. I certify under penalty of perjury under the laws of the City of Los Angeles and the state of California that the information provided on this form and the attached pages is true and complete to the best of my knowledge and belief.

Date: _____ Signature: _____
 Name: _____
 Title: _____

Complete this section with date, signature, name, and title of individual authorized to submit proposal.



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Los Angeles, CA 90012
(213) 978-1960
ethics.lacity.org

Prohibited Contributors (Bidders) Form 55

SCHEDULE A — BIDDER'S PRINCIPALS

Please identify the names and titles of all of the bidder's principals (attach additional sheets if necessary). Principals include a bidder's board chair, president, chief executive officer, chief operating officer, and individuals who serve in the functional equivalent of one or more of those positions. Principals also include individuals who hold an ownership interest in the bidder of at least 20 percent and employees of the bidder who are authorized by the bid or proposal to represent the bidder before the City.

Check this box if additional Schedule A pages are attached.

Name: _____ Title: _____

Address: _____

Complete this section as necessary.

Name: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

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Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

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SCHEDULE B — SUBCONTRACTORS AND THEIR PRINCIPALS

Please identify all subcontractors whose subcontracts are worth \$100,000 or more. Separate Schedule B pages are required for each subcontractor who meets that threshold.

Subcontractor: _____
Address: _____

Complete this section as necessary.

Check one of the following:

- The subcontractor listed above is an individual and has no other principals.
 - The subcontractor listed above is an individual or an entity and has principals, and their names and titles are identified below (attach additional sheets if necessary). Principals include a subcontractor's board chair, president, chief executive officer, chief operating officer, and individuals who serve in the functional equivalent of one or more of those positions. Principals also include individuals who hold an ownership interest in the subcontractor of at least 20 percent and employees of the subcontractor who are authorized by the bid or proposal to represent the subcontractor before the City.
- Check this box if additional Schedule B pages are attached.

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____

Name: _____ Title: _____

Address: _____