

CONNECTICUT RETIREMENT SECURITY AUTHORITY BOARD OF
DIRECTORS
REQUEST FOR PROPOSAL - LEGAL SERVICES

SECTION I. SUMMARY AND PURPOSE

The Connecticut Retirement Security Authority Board of Directors ("Board") is requesting qualification statements from recognized law firms and individual attorneys interested in providing legal services for matters involving the Connecticut Retirement Security Program ("the Program").

Established through legislation (Public Act 16-29, as amended by SS Public Act 16-3) in 2016, the Connecticut Retirement Security Authority is a quasi-public State agency created to promote and enhance retirement savings for private sector employees across Connecticut via implementation of the Program. The Program will offer the opportunity for hundreds of thousands of employees without access to employer-sponsored retirement plans to save for their retirement through Roth Individual Retirement Accounts, or IRAs. The Program will offer companies that employ people in Connecticut a means to collect payroll contributions that will then be invested in the employee's choice of private investment funds selected by the Board. Individual employees may choose to save a specific percentage of income and in which fund to invest, or they may choose to opt out of the Program entirely. The Program will be responsible for both developing and explaining its procedures to both employers and employees.

The Board consists of 15 individuals, eleven (11) of whom have been appointed and are currently serving: the State Comptroller (Chair), the State Treasurer, the Secretary of the Office of Policy and Management, the Commissioner of the Department of Banking, the Commissioner of the Department of Labor, four (4) members appointed by the legislative leadership of the Connecticut General Assembly and two (2) members appointed by the Governor.

The purpose of this Request for Proposal ("RFP") is to allow the Board to select firms and/or individual attorneys qualified to provide legal services on an as-needed basis in the following areas:

1. Representation of the Board in disputes, administrative proceedings and/or litigation pertaining to the exercise of its duties under Public Act 16-29, as amended by SS Public Act 16-3;
2. Legal advice on matters pertaining to plan design, investment management agreements, vendor contracts, human resource determinations, contracts, and related documents in accordance with Board responsibilities identified in Public Act 16-29, as amended by SS Public Act 16-3;
3. Legal advice regarding issues of Board governance, including, but not limited to,

the establishment of by-laws and operational guidelines; and

4. Legal advice pertaining to Board reviews of the language of Public Act 16-29, as amended by SS Public Act 16-3 to ensure compliance with legislative intent, fiduciary responsibility, or other relevant requirements.

A firm or an individual attorney responding to this RFP may respond with respect to any or all of the categories and may ultimately be selected in more than one such category.

SECTION II. MINIMUM QUALIFICATIONS

The Board requires that all prospective service providers:

- Have demonstrable experience in retirement law, including the Employee Retirement Income Security Act of 1974 (“ERISA”) and have a thorough understanding of state and federal laws which affect retirement systems in the State of Connecticut;
- Be in good financial standing and be a member in good standing of the State Bar of Connecticut; and
- Demonstrate experience in Board governance matters applicable to the Connecticut Retirement Security Authority Board of Directors.

Compliance with all criteria listed below is mandatory for a bid to be accepted for further review. Lack of compliance will automatically disqualify the bidder.

Bidders’ responses should demonstrate compliance with each of the conditions qualifying an institution to propose as outlined below. The bidder’s response to each component should be "yes" or "no" for each mandatory requirement.

- Certification that the bidder has not been in bankruptcy and/or receivership within the last three (3) calendar years.
- If incorporated, identification of the bidder’s state of incorporation and a statement that it is in good standing in that state, and if the state of incorporation is not Connecticut, a statement that the bidder has complied with all filing requirements of the Connecticut Secretary of the State.
- A statement that the bidder meets all applicable state and federal requirements, and has all licenses necessary to perform the work contracted.
- Details of any pertinent judgment, criminal conviction, investigation or litigation pending against the bidder or any of its officers, directors, employees, agents, or subcontractors of which the bidder has knowledge or a statement that there are none. The Board reserves the right to reject a response based on this information.

- A copy or proof of any fidelity bond or liability insurance policy extending to any or all employees who perform work under the contract.
- Each primary attorney assigned for this contract must hold a Juris Doctorate degree from an American Bar Association (ABA) accredited institution or program, have no Bar Association sanctions in the last five (5) years in any jurisdiction, and be admitted to practice before State and Federal courts. One of the primary attorneys assigned for this contract must also have an active license in good standing with the Connecticut State Bar Association or partner with a firm or attorney meeting all criteria.
- A statement that the bidder agrees to meet every specification, requirement, or condition set forth in the RFP.

The bidder must submit a statement acknowledging that all materials and information provided to the Contractor by the Board or acquired by the Contractor on behalf of the Board shall be regarded as confidential information in accordance with Federal and State law, and ethical standards. The contractor must take all necessary and prudent steps to safeguard the confidentiality of such materials or information.

SECTION III. GENERAL INFORMATION

All terms, conditions, requirements, and procedures included in this RFP must be met for a response to be qualified as responsive. A response that fails to meet any material term, condition, requirement or procedure of this RFP may be deemed unresponsive and disqualified. The Board reserves the right to waive or permit cure of non-material errors or omissions.

The Board reserves the right to modify, amend or cancel the terms of the RFP at any time. All responses must be submitted in accordance with the specific terms of this RFP.

Each proposal shall be irrevocable for a period of 120 days from the date of submission.

Any information designated as confidential or propriety should be clearly marked as such. The Board shall make every effort to exempt such pages or items from public disclosure to the extent allowable under the Connecticut Freedom of Information Act (FOIA). The Authority, however, has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information that is sought pursuant to a FOIA request. The proposer will have the burden of establishing the FOIA exemption in any proceeding. In no event will the Authority or the State have any liability for the disclosure of any documents in its possession which the Board believes are required to be disclosed pursuant to FOIA.

Point of Contact: The sole point of contact for this RFP is Jessica Muirhead, Senior Administrative Coordinator at the Office of the State Comptroller. Prospective contractors are prohibited from communicating directly with any other employee or member of the agency

other than the point of contact. Prospective contractors may contact the authorized point of contact solely via e-mail at osc.crsa@ct.gov. Prospective contractors that fail to conform to this requirement may be disqualified from participation in the procurement.

Questions Regarding this RFP: Questions submitted in response to this RFP via telegraph, facsimile (FAX) machine, in person, or by telephone are not acceptable. Prospective contractors are required to make all inquiries concerning this RFP via e-mail to osc.crsa@ct.gov.

Addenda: Any addenda to this RFP will be posted on CTSOURCE and the CRSA webpage (<https://osc.ct.gov/crsa/>) It is the prospective contractor's responsibility to assure that all addenda have been reviewed.

Procurement Schedule is as follows:

RFP Issued	June 17, 2021
Deadline to submit questions to osc.crsa@ct.gov	June 24, 2021
CRSA responds to questions	July 1, 2021
Deadline for submittal	July 8, 2021, 4:30 P.M. EST
Committee Review/Oral Presentations (tentative)	July 9-23, 2021
Finalist Selected	Week of July 26, 2021

A. SUBMISSION OF RESPONSES

1. INSTRUCTIONS FOR SUBMISSION OF RESPONSES

One digital copy (via email in PDF) of the bidder's responses and attachments must be delivered no later than **July 8, 2021 at 4:30 p.m EST**. Responses and attachments received after this deadline date and time will not be evaluated. A facsimile response will not qualify as a "submission". Receipt of the electronic copy submission will be considered the official submission of a proposal and used to determine timeliness. Responses, including all attachments should be delivered via email to:

Jessica Muirhead
Senior Program Administrator
Office of the State Comptroller
osc.crsa@ct.gov

When responding to this RFP, respondents should take note of the following provisions:

- a) As outlined above in the section titled "SECTION I. SUMMARY AND PURPOSE", the Board requests that firms provide different information depending on the category or categories for which they wish to be considered.
- b) Responses shall be accompanied by a signed transmittal letter, no longer than two pages, setting forth the pertinent aspects of the response and for which category or

categories consideration is sought.

- c) The Board reserves the right to request additional information from respondents to this request. Additionally, upon review of the responses, the Board may decide to request oral presentations from candidates prior to selection.
- d) The Board reserves the right to reject any and all responses to this request, to waive any minor informality in a response, to request clarification of information from any respondent, and to effect any agreement deemed by the Board to be in the Board's best interest with one or more respondent. The Board reserves the right to amend or cancel this RFP at any time. All responses and their contents will become the sole property of the Board upon receipt.
- e) The Board will not reimburse any firm for any costs associated with the preparation or submittal of any response to this request or for any travel and/or per diem incurred in any presentation of such responses.
- f) The duration of each contract entered into as a result of this RFP will be for not more than three (3) years.

2. DISQUALIFICATION OF RESPONSES

Responses that are received after the deadline date and time shall be automatically disqualified.

Collusion by two or more bidders agreeing to act in a manner intended to avoid or frustrate fair and open competition is prohibited and shall be grounds for rejection or disqualification of a proposal or termination of this contract.

A bidder who is currently subject to any city, state, or federal debarment order or determination, shall not be considered for evaluation.

3. EVALUATION PROCESS (PHASE 1/Technical Proposal)

The RFP Evaluation Process will be conducted in two phases. Firms and individual attorneys will be evaluated on their recent experience in retirement matters. Specific criteria include:

- a) Professional experience of the firm, or attorney in advising and representing similar Boards in matters substantially similar to the Exchange's requirements and the Board's responsibilities under Public Act 16-29, as amended by SS Public Act 16-3;
- b) Professional experience of the firm, or attorney in matters pertaining to ERISA;
- c) Knowledge and experience of the firm as to Connecticut constitutional, statutory, and regulatory law relating to Public Act 16-29, as amended by SS Public Act 16-3;
- d) Experience with advising on investment related matters including plan design, contracting, vendor management, State and Federal securities laws.

Cost will be evaluated in relationship to the Phase One Review.

4. COST RESPONSE (PHASE 2)

The Cost Proposal must be submitted as an attachment to the Technical Proposal. Failure to meet this requirement will result in disqualification of the bid. Respondents are encouraged to submit "rate per hour" and "retainer basis" cost proposals, in addition to deferred compensation models that reflect an understanding of the Program's early stage of development.

5. ORAL PRESENTATIONS

After completion of Phase One and Phase Two, the Board shall have the option to invite the bidders to make oral presentations. Oral presentations provide the Board with an opportunity to evaluate a bidder through the presentation of its proposal. The Board may limit the number of oral presentations conducted.

The time allotments and the format shall be the same for all oral presentations. The Board may require the bidder's assigned key personnel to conduct the oral presentation.

A bidder is limited to the presentation of material contained in its proposal, with the limited exception that a bidder may address specific questions posed by the Board or provide clarification of information contained in its proposal. A bidder's failure to agree to an oral presentation may result in disqualification from further consideration.

6. ON-SITE VISITS

The Board reserves the right to conduct on-site inspections of any or all bidder locations at any time prior to the awarding of this contract to verify the bidder's ability to perform the services required. The Board shall schedule the time of these site visits and shall provide notice of at least ten (10) business days before a visit. Failure to agree to a site visit may result in disqualification of a bidder's proposal.

B. COMPONENTS OF PROCUREMENT

1. DURATION AND RENEWAL OPTIONS

The Board intends to enter into a maximum three (3) year contract with the selected bidder(s) for the services solicited in this RFP.

2. SINGLE OR MULTIPLE CONTRACTS

The Board reserves the right to award contracts to a single vendor or multiple vendors, in the best interest of the Exchange.

3. CONTRACT PERFORMANCE AND BUSINESS SPECIFICATIONS

a. Evaluation and Selection of Contractor

The Board shall have sole authority to evaluate and make the final selection of bidder(s) for contract negotiation(s) pursuant to this RFP. The selection will be made after evaluation of both legal services and cost proposals.

b. Termination or Suspension

Contractor's services may be terminated or suspended by the Board for poor performance, failure to perform, fraud or other cause with two (2) weeks prior written notice. Contractors may be terminated from the contract without cause with thirty (30) days prior written notice. The contractor may not terminate the contract or performance thereunder except upon a minimum of 120 days written notice to the Board. Other terms regarding contract termination are subject to negotiation between the selected bidder(s) and the Board.

c. Rejection of Proposals

The Board reserves the right to reject any and all responses submitted under this solicitation.

SECTION IV. SCOPE OF SERVICES/REQUIREMENTS

A. Scope of Services

Under the direction of the Board, Counsel will be expected to keep abreast of and provide ongoing advice and counsel with respect to matters bearing upon the area(s) for which the firm or attorney has been retained.

Set forth below is the description of the legal services to be provided by outside counsel to the Board. This description is not intended to be comprehensive but is intended to provide general guidance as to the scope of services that outside counsel will be expected to provide. Respondents are advised that the scope of services will be considered to include, in addition to the services described below, all of those services understood by knowledgeable counsel to be reasonably necessary to satisfy the duties of such counsel.

The Board is seeking qualified law firms or individual attorneys with expertise in State and Federal laws and regulations applicable to Public Act 16-29, as amended by SS Public Act 16-3 and to assist the Board with its regulatory and fiduciary obligations including but not limited to administrative or judicial hearings, legislative analysis, assistance in the development of compliant program offerings, and assistance in the development of governance documents, personnel, and fiscal policies.

Legal counsel will be expected to work closely with other vendors who provide services to the Exchange.

B. Requirements

1. MANDATORY COVER LETTER

Each response submission must be accompanied by a cover letter. The letter, which shall be considered an integral part of the submission, shall be signed by an individual who is authorized to bind the firm contractually, giving his or her title.

The letter must certify that all of the information contained in the submission is accurate and complete. Inaccurate or incomplete information might affect the submission adversely. The letter shall contain a statement to the effect that it constitutes an offer to provide the services requested subject to acceptance of compensation levels determined in accordance with this RFP.

2. INFORMATION REQUESTED

All firms, regardless of the category or categories in which they seek consideration, must answer the following questions:

Please provide a general description of the firm, its history, significant changes in its makeup over the last three (3) years, and its range of business. Please provide a detailed listing, which may be presented in tabular form as an exhibit or appendix to your submission, of the number of attorneys (by partners, associates, counsel and other categories) and paralegals in each of the major practice areas of your firm. For sole practitioners, please provide your resume and any other relevant information relating to your background and areas of expertise.

Please state your firm's experience in providing Federal and State guidance to financial entities substantially akin to the Exchange over the past five (5) years.

Please provide the names and addresses for three (3) references that the Board may contact.

Please provide a description of your firm's fee structure, including the billing rates for all personnel who will represent or provide services to the Board with respect to these legal services.

Please indicate whether your firm intends to use the services of other vendors or attorneys. Indicate the nature of such arrangements and include the names and resumes of the aforementioned with your response.

Please provide details of any criminal investigation, regulatory proceeding, or material litigation against you, your firm, or members of your firm which is either pending or which has been completed since January 1, 2011.

Please provide details as to the nature (including coverage limitations) and amounts of your firm's professional liability insurance.

If your firm believes that a conflict of interest may arise as a result of representing the Board, please describe the nature of the conflict. In addition, given the fact that conflicts

of interest typically arise during the course of most continuous legal representation, please describe how you or your firm would manage a request to represent a party whose interest may be in conflict with the interest of the Exchange. Specifically, in your practice, do you represent or have you represented: (a) any private sector employees in proceedings which may impact or be impacted by Public Act 16-29, as amended by SS Public Act 16-3 or by similar statutes; or (b) any vendors who provide or are proposing to provide services to retirement boards governed by Public Act 16-29, as amended by SS Public Act 16-3 or by similar statutes. If so, please comment on whether such representation may give rise to potential conflicts with the Board.

Please provide a detailed copy of your firm's equal employment opportunity and affirmative action policy, as well as your policy related to the pro bono activities of your attorneys.

3. SPECIFIC COUNSEL INFORMATION

Please discuss your firm's proposed professional staffing for this engagement, if selected, providing a brief resume for each such professional, and the particular responsibilities of each such professional with respect to this matter. The naming of such persons shall be considered to be a commitment by the firm to assign those individuals to provide legal services to the Board if the firm is the successful proposer. Please indicate the number of minorities or women that are included within your proposed professional staffing for this engagement

Please describe the minimum required current or recent engagements most relevant to this RFP in which one or more of the professionals named in response to question B1 above had principal responsibility. In this regard, please provide the client's name, client contact and telephone number.

Please describe the specific steps you or your firm will take to be continually apprised of all developments within or related to the area of law which directly bear on the services to be performed pursuant to this RFP.

4. ADDENDA AND CORRECTIONS

The Board may modify any part of the RFP in writing by issuance of addendum. Addenda issued prior to the final filing date for submission of proposals will be posted to CTSource and the CRSA's webpage (<https://osc.ct.gov/crsa/>). Addenda issued after the filing date will be sent to all proposers as appropriate.

If a proposer discovers any ambiguity, conflict, discrepancy, omission or other error in this proposal, (s)he shall immediately notify the Board of such error in writing and request clarification or modification of the document. Notice shall be given prior to the final filing date for submission of proposals. Modifications or clarifications by the Board shall be made by addenda.

If, prior to the final filing date for submission of proposals, a proposer discovers an error or omission in a proposal already submitted, the only method of correcting, modifying, or completing the proposal is to withdraw the proposal in its entirety prior to the final filing date and time by written notification to the Board. A complete, corrected package may be resubmitted, but not after the final filing date and time. Modification offered in any other manner, oral, written, or facsimile transmission will not be considered.

5. STATE CONTRACT REQUIREMENTS

- A. Conn. Gen. Stat. §4a-81 requires that this RFP include a notice of the consulting affidavit requirements described in the statute. Accordingly, pursuant to the statute, vendors are notified as follows:
- i. No State agency shall execute a contract for the purchase of goods or services, which contract has a total value to the state of fifty thousand dollars or more in any calendar or fiscal year, unless the State agency obtains the written affidavit described in subsection (ii) of this section.
 - ii. The chief official of the vendor awarded a contract described in this section or the individual awarded such contract who is authorized to execute such contract, shall attest in an affidavit as to whether any consulting agreement has been entered into in connection with such contract. Such affidavit shall be required if any duties of the consultant included communications concerning business of such state agency, whether or not direct contact with a state agency, state or public official or state employee was expected or made. "Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (1) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (2) contacting, whether in writing or orally, any executive, judicial, or administrative office of the state, including any department, institution, bureau, Authority, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction or requests for information or (3) 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 Connecticut General Statutes concerning the State's Codes of Ethics, as of the date such affidavit is submitted.
 - iii. Such affidavit shall be sworn as true to the best knowledge and belief of the person signing the certification on the affidavit and shall be subject to the penalties of false statement.
 - iv. Such affidavit shall include the name of the consultant, the consultant's firm, the basic terms of the consulting agreement, a brief description of the services provided, and an indication as to whether the consultant is a former state employee or public official. If the consultant is a former state employee or public official, such affidavit shall indicate his or her former agency and the date such employment terminated.

The Office of Policy and Management (“OPM”) has provided OPM Ethics Form 5 to satisfy the requirements of this statute. Accordingly, the firm must deliver this Form 5 (available here: <https://portal.ct.gov/-/media/OPM/OPMForm5ConsultingAgreementAffidavit32814pdf.pdf>) CTSOURCE as described in section F below together with its proposal and then deliver an updated Form 5 dated the date that the firm executes the contract. Such affidavit shall be amended whenever the vendor awarded the contract enters into any new consulting agreement during the term of the contract.

If a vendor refuses to submit the affidavit required under this section, then the Authority shall not award the contract to such vendor and shall award the contract to the next highest ranked vendor or the next lowest responsible qualified bidder or seek new bids or proposals.

This section is set forth here only for purposes of providing notice of the requirements of Conn. Gen. Stat. § 4a-81. Accordingly, it is neither intended nor should it be interpreted nor relied upon to be a complete and full reiteration of the Act's contents. Any interpretation or understanding of Conn. Gen. Stat. §4a-81 requirements or content by any party must come only from reading the full text of Conn. Gen. Stat. §4a-81 itself.

- B. Conn. Gen. Stat. § 4-252 requires that this RFP include a notice of the certification requirements described in this statute. Accordingly, pursuant to this statute, firms are notified as follows:
- i. The terms "gift," "quasi-public agency," "state agency," "large state contract," "principals and key personnel" and "participated substantially" as used in this section shall have the meanings set forth in this statute.
 - ii. No state agency or quasi-public agency shall execute a large state contract unless the state agency or quasi-public agency obtains the written certifications described in this section. Each such certification shall be sworn as true to the best knowledge and belief of the person signing the certification, subject to the penalties of false statement.
 - iii. The official of the person, firm or corporation awarded the contract, who is authorized to execute the contract, shall certify on such forms as the State shall provide:
 - iv. That no gifts were made between the date that the state agency or quasi-public agency began planning the project, services, procurement, lease or licensing arrangement covered by the contract and the date of execution of the contract, by:
 - a. such person, firm, corporation;

- b. any principals and key personnel of the person, firm or corporation, who participated substantially in preparing the bid or proposal or the negotiation of the contract; or
 - c. any agent of such person, firm, corporation or principals and key personnel, who participated substantially in preparing the bid or proposal or the negotiation of the contract, to:
 - d. any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for the contract, who participated substantially in the preparation of the bid solicitation or request for proposals for the contract or the negotiation or award of the contract; or
 - e. any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi- public agency;
- v. That no such principals and key personnel of the person, firm or corporation, or agent of such person, firm or corporation or principals and key personnel, knows of any action by the person, firm or corporation to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the person, firm or corporation to provide a gift to any such public official or state employee; and
 - vi. That the person, firm or corporation made the bid or proposal without fraud or collusion with any person.
 - vii. Any bidder or proposer that does not make the certifications required under this section shall be disqualified and the state agency or quasi-public agency shall award the contract to the next highest ranked proposer or the next lowest responsible qualified bidder or seek new bids or proposals.
- C. Pursuant to Governor M. Jodi Rell's Executive Order No. 1, paragraph 8, and Governor M. Jodi Rell's Executive Order No. 7C, paragraph 10(a), contractors executing state contracts with a value to the State of \$50,000 or more in a calendar or fiscal year shall execute a Gift and Campaign Contribution Certification (OPM Ethics Form 1, available at <https://portal.ct.gov/-/media/OPM/OPMForm1GiftandCampaignContributionCertificationRev052615pdf.pdf>) contemporaneously with the contract certifying that between the planning and start date and the execution date, neither the contract signatory nor the firm extensively and substantially in the preparation of the proposal or in the negotiation of the contract gave a contribution to candidates for statewide public office or the General Assembly. The firm must execute the Contract and this Form 1 and update the form at least annually. Contractors are then required to submit a contract certification annually to update previously submitted certification forms for state contracts. Contractors must use the Gift and Campaign (OPM Ethics Form 1) for this purpose.

With regard to a State contract, as defined in Conn. Gen. Stat. § 9-612, having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or

contracts having a value of \$100,000 or more, the authorized signatory to the proposal in response to this RFP expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions as found at https://seec.ct.gov/Portal/data/forms/ContrForms/seec_form_10_final.pdf as it may be revised from time to time as noted on the website of the Connecticut State Election Enforcement Committee found at <http://www.ct.gov/seec/site/default.asp> and will inform its principals of the contents of the notice.

D. The Contract shall be subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, the provisions of Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, and the provisions of Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999. The contract may also be subject to Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms, in accordance with its terms and conditions.

E. "CTSource"

The Connecticut Department of Administrative Services ("DAS") has implemented a requirement that all firms seeking to do business with the State must register their business on CTSource. The portal for registering your business is accessible at <https://portal.ct.gov/DAS/CTSource>. Firms will have the ability to view, verify and update their information by logging in to their CTSource account, prior to submitting responses to an RFP.

The guide to using CTSource appears at <https://portal.ct.gov/-/media/DAS/CTSource/Documents/CTsource-Supplier-Registration-Portal-User-Guide-Final.pdf>.

Additional required forms as described below must be submitted through CTSource by the deadline for submission of proposals. Paper or electronic copies need not be provided with the submission to the Comptroller's office.

If you experience difficulty establishing your firm's account, please call DAS at 860-713-5095 or send an email to das.ctsource@ct.gov.

DAS has implemented the requirement to create a CTSource account to make doing business with the State of Connecticut more business friendly.

Agency Vendor Form (SP-26NB), available at:
[http://das.ct.gov/Purchase/Info/Vendor_Profile_Form_\(SP-26NB\).pdf](http://das.ct.gov/Purchase/Info/Vendor_Profile_Form_(SP-26NB).pdf)

W-9 Form, available at: <https://www.irs.gov/pub/irs-pdf/fw9.pdf>

CERTIFICATION

The undersigned certifies under penalties of perjury that this bid or proposal has been submitted in good faith and without collusion or fraud with any other person. As used in this certification, the word "person" shall mean any natural person, business, partnership, corporation, union, club, or other organization, entity or group of individuals.

(Signature of individual submitting bid or proposal)

(Name of business or individual)

(Date)