

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, the title of the RFP you are responding to in the Contract Description section, and “LACERS” for the Awarding Authority 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 - Sexual Harassment Policy Disclosure Form**

Complete this form and return with your proposal.

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

Complete this form and return with your proposal.

- **Attachment 3 - Organizational Diversity Survey (ODS)**

Complete this form and upload it to the ODS portal using the link below. **Do not return the completed ODS with your proposal.**

<https://lacers.app.box.com/f/279a89bd1e6447098377af4d45d50fa1>

Please refer to the LACERS Emerging Investment Manager Policy within the LACERS Investment Policy Manual for further details regarding the ODS. The policy is located on LACERS website at:

https://www.lacers.org/sites/main/files/file-attachments/lacers_board_manual.pdf?1627588543

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 these forms as instructed above 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

FORM
50

Bidder Certification

Los Angeles City
ETHICS COMMISSION

This form must be submitted with your bid or proposal to the City department that is awarding the contract noted below. If you have questions about this form, please contact the Ethics Commission at (213) 978-1960.

Original Filing **Amendment:** Date of Signed Original _____ Date of Last Amendment _____

Check Box

Reference Number (Bid, Contract, or BAVN) N/A	Awarding Authority (Department awarding the contract) LACERS
Bidder Name [insert your firm's name]	
Address [insert your firm's address]	
Email Address [insert email address of primary RFP contract at your firm]	Phone Number [insert primary contact's phone number]

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 applying for one of the following types of contracts with the City of Los Angeles:

1. A goods or services contract with a value of more than \$25,000 and a term of at least three months;
2. A construction contract with any value and duration;
3. A financial assistance contract, as defined in Los Angeles Administrative Code § 10.40.1(h), with a value of at least \$100,000 and a term of any duration; or
4. A public lease or license, as defined in Los Angeles Administrative Code § 10.40.1(i), with any value and duration.

B. 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.

[insert name of authorized signatory] _____	[signature of authorized signatory] _____
Name	Signature
[insert title of authorized signatory] _____	[insert date of signature] _____
Title	Date

FORM
55

Prohibited Contributors (Bidders)

Los Angeles City
ETHICS COMMISSION

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 at (213) 978-1960.

Original Filing **Amendment:** Date of Signed Original _____ Date of Last Amendment _____
Check box

Reference Number (Bid, Contract, or BAVN): N/A Date Bid Submitted: [jnsert date]

Contract Description (Title of the RFP or City contract solicitation and description of the services to be provided):
 [insert name of RFP]

Awarding Authority (Department awarding the contract): LACERS

Bidder Name: _____
 Bidder Address: _____
 Bidder Email Address: _____ Bidder Phone Number: _____

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:

- SCHEDULE A – Bidder’s Principals** *(check one)*
 The bidder has one or more **PRINCIPALS**, as defined in LAMC § 49.7.35(A)(6).
 At least one principal is required for entities. *(If you check “Yes”, Schedule A is required.)*
- SCHEDULE B – Subcontractors and Their Principals** *(check one)*
 The bidder has one or more **SUBCONTRACTORS** on this bid or proposal with subcontracts worth \$100,000 or more. *(If you check “Yes”, Schedule B is required.)*
- TOTAL NUMBER OF PAGES SUBMITTED** (including this cover page): _____

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>
Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

⦿

Check appropriate boxes

Certification

I certify the following under penalty of perjury under the laws of the City of Los Angeles and the state of California:
 A) I understand, will comply with, and have notified my principals and subcontractors of the requirements and restrictions in Los Angeles City Charter § 470(c)(12) and any related ordinances; B) I understand that I must amend this form within ten business days if any information changes; C) I am the bidder named above or I am authorized to represent the bidder named above, and my name appears below; and D) The information provided in this form is true and complete to the best of my knowledge and belief.

[insert name of authorized signatory]	[signature of authorized signatory]
Name	Signature
[insert title of authorized signatory]	[date of signature]
Title	Date

Schedule A - Bidder's Principals

Please identify the names and titles of all 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.

Name: _____	Title: _____
Address: _____	_____

Complete this page if you checked "Yes" to 1. Schedule A - Bidder's Principals.

Name: _____	Title: _____
Address: _____	_____

Name: _____	Title: _____
Address: _____	_____

Name: _____	Title: _____
Address: _____	_____

Name: _____	Title: _____
Address: _____	_____

Name: _____	Title: _____
Address: _____	_____

Name: _____	Title: _____
Address: _____	_____

Name: _____	Title: _____
Address: _____	_____

Name: _____	Title: _____
Address: _____	_____

Check this box if additional Schedule A pages are attached.

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 the threshold.

Subcontractor's Name	<div style="border: 2px solid red; padding: 5px; color: red; font-weight: bold;"> Complete this page if you checked "Yes" to 2. Schedule B - Subcontractors and Their Principals. </div>
Subcontractor's Address	

Please check one of the following options:

This subcontractor has one or more principals. Yes* No

** Each principal's name and title must be 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.*

Name: _____	Title: _____
Address: _____	

Name: _____	Title: _____
Address: _____	

Name: _____	Title: _____
Address: _____	

Name: _____	Title: _____
Address: _____	

Name: _____	Title: _____
Address: _____	

Name: _____	Title: _____
Address: _____	

Check this box if additional Schedule B pages are attached.