



JOSEPH KELLY
TREASURER AND TAX COLLECTOR

COUNTY OF LOS ANGELES TREASURER AND TAX COLLECTOR

Kenneth Hahn Hall of Administration
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Telephone: (213) 974-7360 Fax: (213) 687-4857
ttc.lacounty.gov and lacountypropertytax.com

Board of Supervisors
HILDA L. SOLIS
First District
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Second District
SHEILA KUEHL
Third District
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Fourth District
KATHRYN BARGER
Fifth District

May 16, 2018

SENT VIA EMAIL

Dear Interested Party:

REQUEST FOR STATEMENT OF QUALIFICATIONS FOR MUNICIPAL ADVISORY SERVICES ADDENDUM TWO

This letter constitutes a written addendum to the Municipal Advisory Services Request for Statement of Qualifications (RFSQ) and provides you with updated information related to the RFSQ. Please note the following:

1. In the RFSQ, Paragraph 1.4, Vendor's Minimum Qualifications, shall be replaced in its entirety with the revised Paragraph 1.4, Vendor's Minimum Qualifications, as Attachment 1 to this Addendum Two.
2. In the RFSQ, Appendix A, Required Forms, Exhibit 1A, Vendor's Organization Questionnaire/Affidavit and CBE Information shall be replaced in its entirety with the revised Appendix A, Required Forms, Exhibit 1A, Vendor's Organization Questionnaire/Affidavit and CBE Information, as Attachment 2 to this Addendum Two.

Should you have any questions, you may contact Mr. Steven Elizondo, Administrative Services Manager II, of my staff at (213) 974-7360 or contracts@ttc.lacounty.gov.

Very truly yours,

JOSEPH KELLY
Treasurer and Tax Collector


Navjot Kaur
Administrative Deputy

NK:SE:jm

Attachments

1.4 Vendor's Minimum Qualifications

The TTC invites interested and qualified Firms that meet the Minimum Qualifications stated below to submit an SOQ. For all Minimum Qualifications below, Firm shall attest it meets or does not meet each Qualification on Appendix A, Required Forms, Exhibit 1A, Firm's Organization Questionnaire/Affidavit and CBE Information, page 2.

- 1.4.1 Firm must be an independent municipal advisory firm that is registered as a Municipal Advisor with the Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB). Firm must provide proof of registration as a municipal advisor with the SEC and its MSRB registration number.
- 1.4.2 Firm must not provide underwriting services and/or be a participant in the County's current Underwriter Pool at the time of the SOQ submission and throughout the term of the Master Agreement.
- 1.4.3 Firm must have a minimum of five years, within the last ten years, of professional public finance experience nationally. If a firm does not meet this requirement, then at least one principal and/or owner of the firm, who will be responsible for the provision of services to the County, under the Master Agreement, must have a minimum of ten years of professional experience in public finance within the last ten years.
- 1.4.4 Firm must maintain a business office in the Los Angeles metropolitan area, which includes Los Angeles County and any of the counties that border it. Firm must provide the address of its business office in its proposal.
- 1.4.5 Firm must provide a list of Municipal Advisory Services performed for a minimum of ten financing projects for Municipal Entities in California, which resulted in the issuance of debt securities or debt instruments, such as short-term notes, lease-revenue bonds, general obligation bonds and letters of credit or other types of credit facilities since January 1, 2012.

1.4.6 Intentionally Omitted

~~Firm must be able to demonstrate that it meets a net capitalization requirement of \$50,000 by providing financial statements as required in Subparagraph 2.6.4, Financial Capability.~~

- 1.4.7 Firm must attest to its capability and intention to perform all of the services listed in Appendix I, Statement of Work, Paragraph 3.0, Scope of Services of this RFSQ by completing Appendix A, Required Forms, Exhibit 1A, Contractor's Organization Questionnaire/Affidavit and CBE Information.
- 1.4.8 Firm must comply with the RFSQ format and other requirements set forth in Paragraph 2.0, Instructions to Firms, of this RFSQ when submitting its SOQ.
- 1.4.9 Firm must agree to comply with the TTC's requirement prohibiting municipal advisory Firms from making cash contributions or providing in-kind services to promote or facilitate California school or community college district campaigns for general obligation bond ballot measures. Furthermore, Firms must also comply with related restrictions promulgated by the MSRB in Rule G-37.
- 1.4.10 **All potential Firms must be registered in the County's WebVen by or before the submission of their respective SOQ.** The County requires that all Firms that wish to respond to this RFSQ must be registered through the Los Angeles County Vendor Registration (Webven) website at <https://camisvr.co.la.ca.us/webven/submit>. Firms will need to have completed the registration process in Webven prior to submitting their SOQs and provide proof of WebVen registration, by listing its County WebVen Number on Appendix A, Required Forms, Exhibit 1A, Contractor's Organization Questionnaire/Affidavit and CBE Information.
- 1.4.11 Firm or principal owner(s) must not appear on the Listing of Contractors Debarred in the County.

VENDOR'S ORGANIZATION QUESTIONNAIRE/AFFIDAVIT AND CBE INFORMATION

Please complete, date and sign this form. The person signing the form must be authorized to sign on behalf of the Vendor and to bind the applicant in a Master Agreement.

1. If your firm is a corporation or limited liability company (LLC)? Yes No
If yes, complete:
Legal Name (found in Articles of Incorporation) _____
State _____ Year Inc. _____

2. If your firm is a limited partnership or a sole proprietorship, state the name of the proprietor or managing partner:

3. Is your firm doing business under one or more Doing Business As (DBAs)? Yes No
If yes, complete:

Name	County of Registration	Year became DBA
_____	_____	_____
_____	_____	_____

4. Is your firm wholly or majority owned by, or a subsidiary of, another firm? Yes No
If yes, complete:

Name of parent firm: _____

State of incorporation or registration of parent firm: _____

5. Has your firm done business as other names within last five (5) years? Yes No
If yes, complete:

Name _____ Year of Name Change _____

Name _____ Year of Name Change _____

6. Is your firm involved in any pending acquisition or mergers, including the associated company name?

Yes No If yes, provide information:

VENDOR'S ORGANIZATION QUESTIONNAIRE/AFFIDAVIT AND CBE INFORMATION

Vendor acknowledges and certifies that it meets and will comply with all of the Minimum Qualifications listed in Paragraph 1.4, Vendor's Minimum Qualifications, of this Request for Statement of Qualifications (RFSQ), as listed below.

Check the appropriate boxes:

- Yes No 1.4.1 Firm must be an independent municipal advisory firm that is registered as a Municipal Advisor with the Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB). Firm must provide proof of registration as a municipal advisor with the SEC and its MSRB registration number.
- Yes No 1.4.2 Firms must not provide underwriting services and/or be a participant in the County's current Underwriter Pool at the time of the SOQ submission and throughout the term of the Master Agreement.
- Yes No 1.4.3 Firm must have a minimum of five years, within the last ten years, of professional public finance experience nationally. If a firm does not meet this requirement, then at least one principal and/or owner of the firm, who will be responsible for the provision of services to the County, under the Master Agreement, must have a minimum of ten years of professional experience in public finance within the last ten years.
- Yes No 1.4.4 Firm must maintain a business office in the Los Angeles metropolitan area, which includes Los Angeles County and any of the counties that border it. Firm must provide the address of its business office in its proposal.
- Yes No 1.4.5 Firm must provide a list of Municipal Advisory Services performed for a minimum of ten financing projects for Municipal Entities in California which resulted in the issuance of debt securities or debt instruments, such as short-term notes, lease-revenue bonds, general obligation bonds and letters of credit or other types of credit facilities since January 1, 2012.
- Yes No 1.4.6 **Intentionally Omitted**
- ~~Firm must be able to demonstrate that it meets a net capitalization requirement of \$50,000 by providing financial~~

VENDOR'S ORGANIZATION QUESTIONNAIRE/AFFIDAVIT AND CBE INFORMATION

~~statements as required in Subparagraph 2.6.4, Financial Capability.~~

- Yes** **No** 1.4.7 Firm must attest to its capability and intention to perform all of the services listed in Appendix I, Statement of Work, Paragraph 3.0, Scope of Services of this RFSQ by completing Appendix A, Required Forms, Exhibit 1A, Contractor's Organization Questionnaire/Affidavit and CBE Information.
- Yes** **No** 1.4.8 Firm must comply with the RFSQ format and other requirements set forth in Paragraph 2.0, Instructions to Firms, of this RFSQ when submitting its SOQ.
- Yes** **No** 1.4.9 Firms must agree to comply with the TTC's requirement prohibiting municipal advisory Firms from making cash contributions or providing in-kind services to promote or facilitate California school or community college district campaigns for general obligation bond ballot measures. Furthermore, Firms must also comply with related restrictions promulgated by the MSRB in Rule G-37.
- Yes** **No** 1.4.10 All potential Firms must be registered in the County's WebVen by or before the submission of their respective SOQ. The County requires that all Firms that wish to respond to this RFSQ must be registered through the Los Angeles County Vendor Registration (Webven) website at <https://camisvr.co.la.ca.us/webven/submit>. Firms will need to have completed the registration process in Webven prior to submitting their SOQs and provide proof of WebVen registration, by listing its County WebVen Number on Appendix A, Required Forms, Exhibit 1A, Contractor's Organization Questionnaire/Affidavit and CBE Information.
- Yes** **No** 1.4.11 Firms or principal owner(s) must not appear on the Listing of Contractors Debarred in the County.

VENDOR'S ORGANIZATION QUESTIONNAIRE/AFFIDAVIT AND CBE INFORMATION

I. FIRM/ORGANIZATION INFORMATION: The information requested below is for statistical purposes only. On final analysis and consideration of award, contractor/vendor will be selected without regard to race/ethnicity, color, religion, sex, national origin, age, sexual orientation or disability.

Business Structure: <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Non-Profit <input type="checkbox"/> Franchise <input type="checkbox"/> Other (Specify)						
Total Number of Employees (including owners):						
Race/Ethnic Composition of Firm. Distribute the above total number of individuals into the following categories:						
Race/Ethnic Composition	Owners/Partners/ Associate Partners		Managers		Staff	
	Male	Female	Male	Female	Male	Female
Black/African American						
Hispanic/Latino						
Asian or Pacific Islander						
American Indian						
Filipino						
White						

II. PERCENTAGE OF OWNERSHIP IN FIRM: Please indicate by percentage (%) how ownership of the firm is distributed.

	Black/African American	Hispanic/Latino	Asian or Pacific Islander	American Indian	Filipino	White
Men	%	%	%	%	%	%
Women	%	%	%	%	%	%

III. CERTIFICATION AS MINORITY, WOMEN, DISADVANTAGED, AND DISABLED VETERAN BUSINESS ENTERPRISES: If your firm is currently certified as a minority, women, disadvantaged or disabled veteran owned business enterprise by a public agency, complete the following and attach a copy of your proof of certification. (Use back of form, if necessary.)

Agency Name	Minority	Women	Disadvantaged	Disabled Veteran	Other

Vendor further acknowledges that if any false, misleading, incomplete, or deceptively unresponsive statements in connection with this SOQ are made, the SOQ may be rejected. The evaluation and determination in this area shall be at the Director's sole judgment and his/her judgment shall be final.

DECLARATION: I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE ABOVE INFORMATION IS TRUE AND ACCURATE.

VENDOR NAME:		COUNTY WEBVEN NUMBER:	
ADDRESS:			
PHONE NUMBER:		E-MAIL:	
INTERNAL REVENUE SERVICE EMPLOYER IDENTIFICATION NUMBER:		CALIFORNIA BUSINESS LICENSE NUMBER:	
VENDOR OFFICIAL NAME AND TITLE (PRINT):			
SIGNATURE			DATE