TOWN OF TRUMBULL, CONNECTICUT
REQUEST FOR PROPOSAL (RFP)
RECORD KEEPER FOR A DEFINED CONTRIBUTION PLAN

BID NUMBER # 5885 DUE: MAY 18, 2011 3:00 PM

BACKGROUND

The Town of Trumbull (hereinafter referred to as Town) is seeking proposals from qualified firms (hereinafter referred to as respondent, company, vendor, contractor, or organization) for the outsourcing of its defined contribution (DC) plan administration.

Through the services to be provided by the awarded firm (Record Keeper), the Town will supply its employees with an Internet based platform that provides the tools necessary for employees to perform comprehensive individual retirement planning for its DC plan. The Town of Trumbull retirement plans include the following:

- A 457 (b) Defined Contribution Plan for the Town of Trumbull.
  Vital statistics relating to the Town's retirement plans are as follows:
- 10 participants anticipated as of July 1, 2011 and increased future participation.
- location – Town of Trumbull

Respondents are encouraged to visit the Town's website www.trumbullct.gov for additional general information.

SCOPE OF SERVICES

The services provided by the Record Keeper will allow Town employees access to their confidential individual retirement information, to prepare estimates for their DC accounts, store on site or print reports of these estimates, and also provide the Town with the ability to prepare reports required for its management of benefits. Retirement planning tools shall include a link to Social Security that will allow employees to include those benefits in their calculations.

The Record Keeper shall possess the ability and commitment to provide customer service that supports the Town in providing its employees a range of benefit services such as the posting of educational and informational articles on its web site, communicating information to employees either through electronic or written means, and to support the Town in performing its legal, tax and fiduciary responsibilities.

- The Record Keeper shall provide advisory services for compliance with all applicable federal regulations including the Internal Revenue Service Code.
- The Record Keeper shall provide a full service internet platform and call service center.
- The Record Keeper shall provide employee educational and communications services.

MINIMUM QUALIFICATIONS

The respondent must meet the following minimum qualifications to be considered:

- The respondent must have a combined/integrated record keeping platform/system
- The respondent must have a completely web-enabled employer/employee internet reporting and delivery service
- The respondent must have no less than five (5) years experience servicing combined retirement administration programs (e.g., the capability to provide participant contribution balances and future benefit estimates for the defined contribution account information and all required support services, etc., on an integrated web-enabled application platform).
- The respondent must have the capability to provide a complete retirement planning package that includes educational tools for employees on the same platform.

SPECIAL TERMS AND CONDITIONS

In addition to the Town's standard terms and conditions that appear on the cover sheet and on the reverse side of the cover sheet of this RFP, all of the following special terms and conditions shall also apply:

GENERAL INQUIRIES

All inquiries regarding the technical nature of this request may be directed to Ms. Maria Pires, Director of Finance at 203-452-5013, mpires@trumbull-ct.gov ; all other questions may be directed to Robert J. Chimini, Purchasing Agent 203-452-5042 rchimini@trumbull-ct.gov .

No questions will be responded to after May 15, 2011. To ensure consistent interpretation of certain items, answers to questions the Town deems to be in the interest of all proposers will be made available in writing or by Fax as appropriate to all proposers.

Additionally, after proposals are received, the Town reserves the right to communicate with any or all of the proposers to clarify the provisions of this request. The Town further reserves the right to request additional information at any time after proposals are opened.

ISSUANCE OF ADDENDA

The Town of Trumbull reserves the right to amend this solicitation by an addendum. Addenda will be posted to the Town's website (www.trumbull-ct.gov) up to 48 hours in advance of the bid/proposal's due date and time for reference by the bidders. It is the bidder's responsibility to check the Town's website for addenda. If in the Town's opinion revisions are of such a magnitude, the deadline for this solicitation may be extended in an addendum.

After the Town is satisfied that a request to withdraw a bid/proposal before the established deadline is valid, the bid/proposal will be returned to the bidder. The bidder may then withdraw completely from the bidding process, or may modify the bid/proposal and resubmit before the deadline.

PREPARATION OF PROPOSALS

One (1) ORIGINAL and **six (6)** EXACT COPIES of your proposal shall be submitted. All proposals should be submitted in a clear, concise and legible manner to permit proper evaluation. Proposers may also submit, under separate cover with their proposal, any additional reports and documents that are necessary to meet the requirements (deliverables) of this request. If a proposal does not meet or better the required specifications on all points that must be outlined in a letter otherwise it will be presumed that a proposal is in accordance with the required specifications.

PROPOSAL SUBMISSION

Proposals are to be submitted in a sealed envelope and addressed as follows:

Bid #5885 DUE: MAY 18, 2011 at 3:00 PM
Town of Trumbull
Attn: Robert J. Chimini, Purchasing Agent
5866 Main Street, Trumbull, CT 06611

Please be advised that the person(s) signing the formal proposal must be authorized to contractually bind your firm with regard to prices and related contractual obligations.

PROPOSAL TIME

Proposals shall be received at the office of the Purchasing Agent, Trumbull Town Hall, prior to the advertised hour of opening, at which time all proposals will be publicly opened and read aloud.

WITHDRAWAL OF BIDS (OR PROPOSALS) PRIOR TO DEADLINE

A bidder wishing to withdraw a bid/proposal prior to the deadline may do so by preparing a formal written request on company letterhead. The person who signs the letter must be the same person who signs the reply sheets. The Town will verify that the signature on the letter matches the signature on the reply sheets.

TOWN OPTIONS

The Town reserves the right to reject any or all proposals and to waive any requirements, irregularities, technical defects or service therein when it is deemed to be in the best interest of the Town.

TAXES

All purchases made by the Town, and associated with the award of this requirement shall be tax exempt. Any taxes must not be included in bid prices. A Town Tax Exemption Certificate shall be furnished upon request.

PROPOSAL COSTS

The respondent shall be responsible for all costs incurred in the development and submission of this proposal. The Town assumes no contractual obligation as a result of the issuance of this RFP, the preparation or submission of a proposal by a Respondent, the evaluation of an accepted proposal, or the selection of finalists. The Town shall not be contractually bound until the Town and the successful respondent have executed a written contract for the performance of the work.

PRESENTATIONS

Selected respondents identified as finalists may be required to present their proposals to the Town. The costs of such presentations and interviews shall be borne solely by the respondents.

ACCEPTANCE OF REQUEST FOR PROPOSAL CONTENT

The RFP document and the contents of the successful proposal will be used to establish final contractual obligations. The Town retains the option of canceling the award if the successful respondent fails to accept such obligations. The Town and the successful respondent shall enter into a written contract for the work to be performed.

STATE, LOCAL AND FEDERAL LAWS

The respondent shall acknowledge and agree that, should it be awarded the Contract, it shall be solely responsible for strict compliance with all federal, state and local statutes, laws, codes, rules, regulations and ordinances, and for the procurement and maintenance of all necessary licenses and permits relating to contractor's performance of services.

INDEMNIFICATION

The Contractor shall indemnify and save harmless the Town and its officers, agents, servants and employees, from and against any and all claims, demands, suits, proceedings, liabilities, judgments, awards, losses, damages, costs and expenses, including attorneys' fees, on account of bodily injury, sickness, disease, death or other damages sustained by any person or persons injury or damage to or destruction of any property, directly or indirectly arising out of, relating to, or in connection with the work called for in the Contract, whether or not due or claimed to be due in whole or in part to the active, passive or concurrent negligence, fault or contractual default of the Contractor, its officers, agents, servants or employees, any of its subcontractors, the Town, any of its respective officers, agents, servants, or employees and/or any other person or persons, and whether or not such claims, demands, suits or proceedings are just, unjust, groundless, false, or fraudulent, and the Contractor shall and does hereby assume and agrees to pay for the defense of all such claims, demands, suits and proceedings, provided, however, that the Contractor shall not be required to indemnify the Town, its officers, agents, servants, or employees, against any such damages occasioned solely by acts or omissions of the Town, its officers, agents, servants or employees, other than supervisory acts or omissions of the Town, its officers, agents, servants, or employees, in connection with the work called for in the Contract.

TERM OF ENGAGEMENT

The initial term of engagement shall be three (3) years. There will also be two option years that may be engaged, on an annual basis, based on the mutual agreement of both parties.

EXECUTION OF AGREEMENT

The selected respondent will be required to and agrees to execute a mutually agreed to contract and furnish the required contract bonds and insurance certificates upon execution of a mutually agreed to contract.

CANCELLATION OF AWARD/CONTRACT

If the Record Keeper fails to perform or observe any material term or condition of the contract and such failure continues for thirty (30) days after Record Keeper's receipt of written notice, The Town of Trumbull may cancel the contract without liability for cancellation/termination charges.

FIDELITY BOND REQUIREMENTS

The awarded respondent shall provide a fidelity bond in the amount of $25,000 on an industry standard fidelity bond form. The fidelity bond shall be provided to the Town prior to the development of the contract for the specified services.

INSURANCE REQUIREMENTS

The awarded respondent will be required to provide insurance coverage as specified on the Insurance Requirements Sheet, **Exhibit A,** of this RFP, which shall be included with the proposal.

PROPOSAL FORMAT AND REQUIREMENTS

At the very beginning of the proposal, the respondent should include a letter of transmittal signed by an individual authorized to bind the Record Keeper (contractor).

The following questions and RFP form requirements are designed to solicit information critical to the Town's evaluation of the respondent's capabilities. The responses in this section will be a critical component in the evaluation. The respondent should repeat each question, followed by the answer and/or form. Answers should be concise, but complete. Forms, where required, must be included. Respondents are expected to respond specifically to each question in this section. Failure to respond to all applicable questions and form requirements in this section may result in rejection of the proposal.

Company Background

1. Provide a brief background of your company.
2. Briefly describe all of the services you offer for defined contribution plans. The Town of Trumbull intends to manage its DC plan through its Retirement Board. It will require that the platform accept data feeds to enable employees to review their DC benefit for retirement planning purposes. Also the ability to calculate and project future DC benefits based on the DC standard plan is required. We are interested in providing one platform for employees to use for their retirement planning.
3. Summarize your organization's current strategic business plan with respect to providing the above defined contribution benefit services.
4. Describe how your company is organized to service your defined contribution clients. What is your methodology for determining the appropriate level of staffing for a particular client? How often do your representatives meet with your plan sponsor clients?
5. Describe the structure of the account team that would provide services for our plan. What are the roles and responsibilities of the individuals, including both the implementation team and the ongoing service team, who would be assigned to our account? Provide biographical sketches of the individuals that would be assigned to our account including title, authority level and experience.
6. What has been the turnover experienced among your client service staff over the past two Years? What measures do you take to assure continuity of service?
7. For how many clients do you presently provide defined contribution plan services? What is the average number of participants of the plans that you currently service? What is the average asset size of the plans that you currently service?
8. Please list three companies, which we may contact for references. Provide company name, contact name, address, services provided, number of years serviced, and telephone number.
9. What is your corporate philosophy regarding quality? What are your objectives? What is your strategy?
10. Describe your organization, activities and any other relevant factors that demonstrate your firm's commitment to providing quality service.
11. Have you established formal service standards to ensure that timely and accurate delivery of service is maintained? If yes, please identify these standards.
12. Do you have a customer advisory group? If so, please describe how it is formed; how many customers participate; how often it meets and its objectives.
13. What new plan features or administrative capabilities has your company added over the past two years?
14. Describe your firm's competitive strategy and unique strengths relative to the services you offer?

15. Please provide contracts for three (3) clients that have left your company in the last eighteen (18) months.

Transition Services

1. Describe in detail the process that would be followed to implement our DC plans services to your company. Include time frames and information that would be required for us to become fully operational with your company.
2. Describe the role that the Town's staff will have to play in the process and the level of resources that will be required.
3. Describe what steps must be taken by you, the Town and the participants to ensure the transition takes effect July 1, 2011: Provide schedule.

DC Participant/Retiree Communication Services

1. Describe your organization's strategy with respect to delivering participant/retiree services.
2. Describe your Internet services available to participants and the Town of Trumbull. What type of account administration, estimated benefit calculation, etc. can be accomplished by participants/sponsoring company via the Internet.
3. How long have you had a website and Internet services offered to participants? Give us some idea of your commitment to keeping these services and your Internet technology state of the art. What kind of documents can be posted to your website for employee information? How long does it take to post documents? Provide samples. Does the TOG have its own section of the Web Site not available to others?
4. Describe the organization of your Service Center. During what hours are live operators available? Can callers leave a voice mail message when calling after hours?
5. Will Service center representatives be dedicated to the Town to answer questions and provide services? If not, how will service representatives maintain knowledge of the Town's business and retirement program?
6. Describe your staffing objectives in terms of education and background for Service Center staff e.g., pension background, client-servicing experience.
7. Describe the new hire and ongoing training you provide Service Center staff both technical and client servicing.
8. Describe your Service Center call tracking and workflow processes. What responsibilities do representatives have in addition to responding to calls? How do you monitor that callback and follow-up commitments are met?
9. Describe how calls are monitored for quality assurance. How do you track accuracy and speed in answering inquiries? Do you conduct participant satisfactions surveys?
10. Describe the resources that are available to your service representatives to solve difficult problems. What types of questions or issues are typically passed back to your clients for resolution?
11. How do you accommodate participants who are hearing impaired? What foreign languages can be accommodated?
12. Do you utilize document-imaging capabilities? If yes, please describe your imaging and retrieval capabilities. Where is this applicable?
13. What is your organization's strategy for balancing participant use of a voice response system with the use of live operators?
14. Do you offer quarterly and annual participant statements? What information is generally included on your statements? When are participant statements generally available? Please

provide a sample combined DC statement. Can you provide the Town of Trumbull a data feed to our own annual statements?

15. Describe the communications materials you provide to employees who are newly eligible to participate in the plan. Provide samples.
16. Do you provide ongoing announcements/required notices when plan changes occur?
17. Do you offer other communications materials specifically geared to increasing plan participant understanding and appreciation for a DC plan?
18. What services do you offer related to assisting participants with retirement planning? Do you provide financial advisor services? Do you provide educational services? Is there a cost for these services?

Plan Design, Document and Compliance Services

1. Do you prepare the follow documents for DC plans?
   - Pan Documents
   - Summary Plan Descriptions
   - Plan Amendments
   - Board Resolutions
   - Investment Policy
   - Governance Policy
2. To what extent do you provide assistance in filing with the IRS for a favorable determination letter?
3. How flexible are you with respect to plan design features which we may currently operate with or may want to adopt in the future (e.g., recognition of special prior service arrangements, special features from prior pension plan mergers, special unreduced early retirement features, alternate forms of payments?
4. Can you help design and support different plan designs such as cash balance or pension equity?
5. Do you prepare the Summary Annual Report? Will you distribute it to our participants?
6. How do you ensure that our plan meets all regulatory requirements, and how would you keep us abreast of regulatory changes which are being contemplated?

Systems Capabilities

1. Provide an overview of the system(s) you use to administer DC plan.
2. Do you own the system hardware or do you rely on a time-sharing environment for hardware support? If time-sharing, provide the name and address of supplier.
3. Is the software used a purchased application or an in-house developed application? If the application is purchased, provide the name, address, telephone number, and contact name for the vendor.
4. What is your organization’s systems strategy? How long have your systems been in place? What are your systems plans for the future?
5. Describe your approach to systems security. What internal controls are in place to ensure the integrity of the data maintained on the system?
6. Describe your routine backup procedures.
7. Describe your routine disaster recovery procedures.
8. When was the last time you initiated a disaster recovery test? What were the results?
9. Describe your process for seeking client comments on anticipated enhancements to system capabilities.

10. Do you provide advance notification to your clients of any system changes that may affect the products or services for which they contracted?

Investment Management and Trust Services

1. What was the total amount of assets under management for defined contribution plans as of December 31, 2008, 2009 and 2010? Provide amounts separately for DC plan.
2. Please outline the full range of investment management services provided by your firm. How many plans do you offer? Specify all fees charged.
3. Describe your asset management/investment organization in detail.
4. List the menu of investment funds you offer for Defined Contribution Plans. For each of these funds, provide the following data as December 31:
   - Inception date of fund
   - Fund objective
   - Total assets in the fund
   - Current fund manager/advisor
   - Investment management style/type
   - Performance benchmark
   - Performance (net of fees) for the past 1, 3, 5 and 10 year periods
   - Are you AIMR compliant
   - Expense Ratios
   - Do you offer Personal Choice Retirement Accounts? If so, explain
5. In addition to proprietary separate accounts, do you offer access to separate accounts managed by other investment organizations? If yes, please describe the organizations and the investments available. How do you avoid potential conflicts of interest?
6. How do you monitor the investment accounts you offer for performance and for style drift? Explain how you select plans to offer. How do you propose offerings to clients?
7. Do you offer Asset Allocation Services? If yes, please describe the organization that provides these services and the specific services available. Is there an additional cost?
8. Discuss in detail the theory and methodology of the asset allocation models your firm uses.
9. Describe the type and frequency of research that would be provided in conjunction with your asset allocation services including your process for monitoring and reporting on market trends.
10. Outline your process for maintaining and providing a continuous review of your clients' investment policies, objectives and results.
11. Outline the full extent of your firm's trustee and custodial services.
12. What trust and investment reports are provided? What is the frequency of these reports? Please provide samples.
13. Describe how you "walkover" a client's monies from one fund to another fund.
14. How do you keep clients apprised of their account? Do you set up email communications to clients?

FEES FOR SERVICES

The respondent shall provide all of the pricing information specified below. Failure to provide information for all ten (10) items below may result in disqualification.

The respondent shall provide pricing for the initial three-year term of contract with additional one-year increments' pricing to be held to an increase not to exceed the local Consumer Price Index.

The respondent shall include a breakdown of costs by line item. Examples should include all administrative fees, all managements fees, expense ratio fees, all 12b 1 fees and any other miscellaneous and applicable fees.

1. Town Charges.
2. Initial or Up-front fees, if any.
3. Deferred fees.
4. Redemption fees.
5. Management fees.
6. Administrative fees.
7. 12b-1 fees.
8. Due diligence fees.
9. Underlying mutual funds fees.
10. Morningstar reports.

FORMS

The respondent must complete and include all of the following forms with the proposal:

- Exceptions Sheet (Exhibit _____)
- Insurance Procedure Form (Exhibit ____)
- Vendor Information Form (Exhibit ____)
- Non-Collusion Statement (Exhibit ____)

EVALUATION PROCESS

Proposals and respondents will be evaluated using the following criteria:

CRITERIA	MAX POINTS
Experience and qualifications of firm: As a Record Keeper in the Defined Contribution Plans' Public Sector As a Investment Advisor in DC pension plans Key staff	10
Customer Service Transition Assistance when changing vendors Process transactions on a timely basis Internet Platform and Service Center Special Needs services Communications Materials Education and Planning Programs including assisting employees to determine investment choices Retirement Counseling Accuracy and timeliness of participant statements Enrollment Assistance	25

Account Representative knowledge and experience Provide Central Registration Depository number(s) for lead individual(s) Loan Processing	
Ability to assist client in meeting fiduciary obligations IRS compliance assistance and required reporting Legal and tax information	15
Portfolio Selection Performance and Reporting Notification of any changes of managers or management teams Portfolio Evaluation	25
Fees for Services	25
TOTAL	100

In addition to the criteria listed above, exceptions that may be raised by a respondent, and the results of the interview process will be factored into the selection process. The financial strength of the finalist(s) and/or results of reference checks may also factor into the evaluation.

EVALUATION COMMITTEE
The Evaluation Committee will be comprised of the following individuals: TBD

OBSERVERS & ADVISORS
The following individuals will serve as observers and advisors: TBD

The observers and advisors will be permitted to read the proposals of the finalists; will be permitted to attend the interviews; and will be permitted to ask questions at the interviews. The observers and advisors will not be permitted to grade, score or rank the respondents.

APPENDIX A

INSURANCE REQUIREMENTS

The professional individual or firm shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from, or be in connection with the performance of the work hereunder by the individual or the firm, his agents, representatives, or employees. The cost of such insurance shall be included in the proposal.

For the purpose of this clause, the term "professional individual or firm" shall also include the individual's or firm's respective officers, agents, officials, employees, volunteers, boards and commissions.

A. Minimum Scope and Limits of Insurance

1. Broad Form Comprehensive General Liability $1,000,000 combined single limit per occurrence for bodily injury, personal injury, property damage, and products / completed operations.
2. Automobile Liability $1,000,000 combined single limit per occurrence for bodily injury and property damage
3. Umbrella Liability $1,000,000 per occurrence, following form.
4. Workers' Compensation Limits as required by State of Connecticut Labor Code
5. Employers' Liability $100,000 each accident $500,000 disease/policy limit $100,000 disease/each employee
6. Professional Liability (if used on a claims-made basis, insurance coverage shall be maintained for the duration of the contract and for two (2) years following contract completion.) $1,000,000 per occurrence $1,000,000 aggregate
7. Personal Property Coverage
8. Adequate insurance to cover the value of personal property (including but not limited to, personal computers) belonging to the Respondent while located on Town property, while in use or in storage, for the duration of the contract.

B. Aggregate Limits

Any aggregate limits must be declared to and be approved by the Town. At the option of the Town, the insurer shall increase or eliminate the aggregate limit and notify the Town of any erosion of aggregate limits.

C. Deductibles and Self-Insured Retention's

Any deductibles or self-insured retention's must be declared to and be approved by the Town. At the option of the Town, the insurer shall reduce or eliminate such deductibles or self-insured retention's as regards the Town or the Respondents shall procure a bond which guarantees payment of the losses and related investigations, claims administration and defense expenses. At no time will the Town be responsible for the payment of deductibles or self-insured retention's.

D. Notice of Cancellation or Non-renewal

Each insurance policy required by this Exhibit shall be endorsed to state that coverage shall not be suspended, voided, canceled, or reduced, either in coverage or in limits, except after thirty (30) days prior written notice by certified mail, return receipt requested, has been given to the Town.

E. Other Insurance Provisions

The policies are to contain, or be endorsed to contain, the following provisions;
Liability, (General, Automobile, Professional) Coverage;

1. "The Town of Trumbull and is to be named as additional insured with regards to liability arising out of activities performed by or on behalf of the Respondent; products and completed operations of the Respondent; premises owned, leased or used by the Respondent. The coverage shall contain no special limitations on the scope of protection afforded to the Town.

2. The Respondent's insurance coverage shall be the primary insurance as regards the Town. Any insurance or self-insurance maintained by the Town shall be in excess of the Respondent's insurance and shall not contribute with it.
3. Any failure to comply with the reporting provisions of the policies shall not affect coverage provided to the Town.
4. Coverage shall state that the Respondent's insurance shall apply separately to each insured against whom a claim is made or a suit is brought, except with respect to the limits of the insurer's liability.
5. Workers' Compensation and Employer's Liability Coverage
6. The insurer shall agree to waive all rights of subrogation against the Town for losses arising from the work performed by the Respondent for the Town.
7. If State statute does not require the Respondent to obtain Workers' Compensation insurance, then the Respondent shall furnish the Town with adequate proof of the self-employment status/ The Respondent agrees to waive all rights of claims against the Town for losses arising from the work performed by the Respondent. In the event that during the contract this self employment status should change, the Respondent shall immediately furnish proper notice to the Town and a certificate of insurance indicating that Workers' Compensation insurance and Employer's Liability coverage has been obtained by the Respondent as required by this Exhibit.

F. Acceptability of Insurers

1. Insurance is to be placed with insurers which have a Best's rating of at least A.
2. Insurance companies must either be licensed to do business in the State of Connecticut or be deemed to be acceptable by the Town's Finance Director.

G. Verification of Coverage

The Respondent shall furnish the Town with certificates of insurance effecting coverage required by this clause. The certificates and endorsements for each insurance policy are to be signed by a person authorized by the insurer to bind coverage on its behalf. The certificates and endorsements are to be received and approved by the Finance Director before work commences. Renewal of expiring certificates shall be filed thirty (30) days prior to expiration. The Town reserves the rights to require complete, certified copies of all required policies, at any time.

All insurance documents required by this Exhibit shall be mailed to the Director of Finance.

Signature ____

Print Name:____

Print Title: ____

Date: ____________________________________

TOWN OF TRUMBULL, CONNECTICUT
REQUEST FOR PROPOSAL (RFP)
RECORD KEEPER FOR A DEFINED CONTRIBUTION PLAN

BID NUMBER # 5885 DUE: MAY 18, 2011 3:00 PM

EXCEPTIONS SHEET

EXCEPTIONS
The respondent shall list below all exceptions, (if any) that are being taken to the language contained in this RFP. The respondent must include this page with the proposal.

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Respondent's Company Name : ____

Authorized Signature: ____

VENDOR INFORMATION & SIGNATORY FORM

Vendor Name: ____

Business Address: ____

Telephone: ________________________ Fax: ____________________________

Email: ______________________________ Web Site: _____________________________

Type of Entity: Corporation: __________ Type of Corp.: __________ LLC: __________
Partnership: __________ Joint Venture: __________
Sole Proprietorship: __________
Other (please describe): _____________________________________

1. CT State Business License Number (if applicable): ___________________________
   State Agency issuing license: ____

2. Number of years in business under entity name: ___________________________

3. Full names of entity's owners (> 20% ownership), officers and managers. (use a separate sheet of paper if necessary)

4. Has the entity changed its name within the past 3 years?
   YES ☐ NO ☐

5. If yes, provide former name(s):
   ____

a. Have there been any recent (within the last three years) changes in control/ownership, > 20% of the entity? YES ☐ NO ☐

6. If yes, explain. (use a separate sheet of paper if necessary)

a. Have officers or principals of the entity ever had any license suspended or revoked (other than Driver's License) for any reason? YES ☐ NO ☐

7. If yes, please explain. (use a separate sheet of paper if necessary)

8. Is the entity or has the entity, or any of its principals, officers, members or owners ever been a party to or involved in any US civil, criminal, or regulatory action or settlements, lawsuit or other legal action >$25,000 involving the Town of Trumbull or any other municipality in the States of CT or NY related to the vendor's business activities?
   YES ☐ NO ☐

9. If yes, please explain. (use a separate sheet of paper if necessary)

10. Has any principal, officer, member or owner of the undersigned entity within the last three years been a principal, officer, member or owner of any entity that has filed for bankruptcy or been voluntarily or involuntarily dissolved?
    YES ☐ NO ☐

11. Name and title of person completing / responsible for submission of this RFP or contract and the responses to this questionnaire: ____

    Telephone number and email address for person identified in questions #13:
    Phone No.: ______________________________ Email Address: __________________________

12. If requested by the Town during the solicitation process, the vendor hereby agrees to provide the Town with copies of the most recent three (3) years of Loss History Reports for all lines of insurance coverage from its insurance carrier (as named herein) for all contracts and RFPs/RFQs/RFBs equal to or in excess of $250,000.
    YES ☐ NO ☐

13. Name of Insurance Carrier:
    ____

    The loss history reports shall include claims data for all fifty US states; detail of each claim for the past three years for AL, GL, WC; and a summary page with the annual total claim amounts for the past three years for AL, GL, and WC.

14. Have any claims been made against the entity's performance bond?
    YES ☐ NO ☐

15. Please indicate whether your entity is currently debarred from doing business in the State of Connecticut or any other state.

    YES ☐ States:____________________ NO ☐

    With regard to this item No.15, the vendor understands and agrees that it has a continuing obligation to inform the Town if it is debarred from doing business in the State of Connecticut or any other State after it has submitted this Vendor Information Form. The Vendor understands and agrees that its obligation to keep the Town informed of any change in status continues up to and including the time of award of the contract and if vendor is awarded the contract, its obligation shall continue during the entire duration of the contract.

    FAILURE TO COMPLETE THIS FORM OR FAILURE TO PROVIDE THE NECESSARY BACK UP INFORMATION FOR ANY QUESTION ON THIS FORM MAY RESULT IN DISQUALIFICATION.

Signature ____

Print Name:____

Print Title: ____

Date: ___________________________________

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BID NUMBER # 5885 DUE: MAY 18, 2011 3:00 PM

INSURANCE PROCEDURE FORM

PLEASE NOTE:

RETURN THIS COMPLETED FORM WITH YOUR BID/PROPOSAL. FAILURE TO DO SO MAY RESULT IN YOUR BID/PROPOSAL BEING REJECTED.

Please take the insurance requirements of this RFP to your agent/broker immediately upon receipt of the bid documents to determine your existing coverage and any costs for new or additional coverage required for the work noted in this Request for Bid/Proposal. Any bids/proposals which contain exceptions to the insurance requirements may be considered nonresponsive and may be rejected.

STATEMENT OF VENDOR:

I have read the insurance requirements for this work and have taken the documentation to my insurance agent/broker. The bid/proposal cost reflects any additional costs relating to insurance requirements for this work.

If I am awarded this contract, I or my insurance agent shall submit all of the required insurance documentation to the Town of Trumbull Purchasing Department within ten (10) days after the date of the award of the contract.

______________________________ Company Name	______________________________ By (Signature)
______________________________ Address	______________________________ Print Name
______________________________ Company Name	______________________________ Title
______________________________ Date	______________________________ Telephone/Fax

TOWN OF TRUMBULL, CONNECTICUT
REQUEST FOR PROPOSAL (RFP)
RECORD KEEPER FOR A DEFINED CONTRIBUTION PLAN

BID NUMBER # 5885 DUE: MAY 18, 2011 3:00 PM

NON-COLLUSION STATEMENT

In submitting this bid/proposal, the undersigned declares that this is made without any connection with any persons making another bid/proposal on the same contract; that the bid/proposal is in all respects fair and without collusion, fraud or mental reservation; and that no official of the Town, or any person in the employ of the Town, is directly or indirectly interested in said bid/proposal or in the supplies or work to which it relates, or in any portion of the profits thereof.
Compliance with Ethics Code

In submitting this bid, the undersigned further declares that it has not, and will not, induce or attempt to induce any Town of Trumbull employee or officer to violate the Trumbull Code of Ethics in connection with its offer to provide goods or services under, or otherwise in the performance of, such contract.

The undersigned further understands that the above declarations are material representations to the Town of Trumbull made as a condition to the acceptance of the bid/proposal. If found to be false, the Town of Trumbull retains the right to reject said bid/proposal and rescind any resulting contract and/or purchase order and notify the undersigned accordingly, thereby declaring as void said bid/proposal and contract or purchase order.

Respondent's Company Name ____

Address____

____

Telephone #____

Fax # ____

Email Address ____

Print Name ____

Title ____

Incorporated in the State of ______________________________________

Authorized Signature ____

TOWN OF TRUMBULL, CONNECTICUT
REQUEST FOR PROPOSAL (RFP)
RECORD KEEPER FOR A DEFINED CONTRIBUTION PLAN

BID NUMBER # 5885 DUE: MAY 18, 2011 3:00 PM

NON COLLUSION STATEMENT CONTINUED

The Trumbull Code of Ethics can be found at www.Trumbullct.gov. Relevant provisions of the Code of Ethics state as follows:

2. DEFINITION. (1) Indirect interest, without limiting its generality, shall mean and include the interest of any subcontractor in any prime contract with the town and the interest of any person or his immediate family in any corporation, firm or partnership which has a direct or indirect interest in any transaction with the town. (2) Substantial financial interest shall mean any financial interest, direct or indirect, which is more than nominal and which is not common to the interest of other citizens of the town. (3) Town officer shall mean and include any official, employee, agent, consultant or member, elected or appointed, of any board, department, commission, committee, legislative body or other agency of the town. (4) Transaction shall mean and include the offer, sale or furnishing of any real or personal property, material, supplies or services by any person, directly or indirectly, as vendor, prime contractor, subcontractor or otherwise, for the use and benefit of the town for a valuable consideration, excepting the services of any person as a town officer.

3. GIFTS AND FAVORS. No town officer or his immediate family shall accept any valuable gift, thing, favor, loan or promise which might tend to influence the performance or nonperformance of his official duties.

4. IMPROPER INFLUENCE. No town officer having a substantial financial interest in any transaction with the town or in any action to be taken by the town shall use his office to exert his influence or to vote on such transaction or action.

By signing below, the undersigned declares that he/she has read the non-collusion language contained herein and agrees to abide by its contents:

______________________________	______________________________
Company Name	By (Signature)
______________________________	______________________________
Address	Print Name
______________________________	______________________________
Company Name	Title
______________________________	______________________________
Date	Telephone/Fax