



# Village of Wellington

## **VILLAGE OF WELLINGTON REQUEST FOR PROPOSALS**

The Village of Wellington is requesting sealed proposals from qualified financial institutions to furnish INVESTMENT MANAGEMENT SERVICES.

### **PROPOSAL SUBMISSION**

Proposals will be received by sealed envelope in the Clerk's Office, 14000 Greenbriar Boulevard, Wellington, Florida 33414 until 10:00 a.m. on Tuesday, January 12, 2010 at which time they will be opened and read. Proposals received after this time will not be considered and no time extensions will be permitted. Receipt of a response by any Village office, receptionist or personnel other than the Clerk's Office does not constitute "receipt" as required by this solicitation. Please clearly mark proposals:

"RFP #003-10/BJJ INVESTMENT MANAGEMENT SERVICES"

Copies of this Proposal Document may be obtained by contacting DemandStar by Onvia at [www.demandstar.com](http://www.demandstar.com) or by contacting the Purchasing Department at (561) 791-4101.

### **FOR INFORMATION**

For information on this Request for Proposal, contact the Purchasing Department, (561) 791-4101.

### **ACCEPANCE AND REJECTIONS**

The Village of Wellington reserves the right to reject any or all proposals with or without cause; to waive any or all irregularities with regard to the specifications and to make the award to the firm offering the greatest advantage to the Village.

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Account #9-657448



# Village of Wellington

December 10, 2009

**SUBJECT: Request for Proposals (RFP) for Investment Management Services**

The Village of Wellington invites you to submit an original Proposal (unbound and clearly marked) and five (5) bound copies in response to our Request for Proposal. All submissions and inquiries must be addressed as outlined in the RFP.

The proposals are to be submitted in a sealed envelope bearing the name of the proposer, and the address as well as the title of the RFP no later than 10:00 a.m. local time Monday, January 12, 2010. Address your proposal to the Clerk's Office, Village of Wellington, 14000 Greenbriar Boulevard, Wellington, Florida 33414.

The Village's tentative schedule for this Request for Proposal is as follows:

Opening of Proposals:	January 12, 2010
Proposal Evaluations:	January 12-19, 2010
Oral Presentations:	January 20-25, 2010
Recommendation to Council:	March 16, 2010

The Village reserves the right to delay scheduled dates.

We look forward to your active participation in this solicitation.

## Request for Proposals

### Investment Management Services RFP#003-10/BJJ



*Village of Wellington*

VILLAGE OF WELLINGTON  
14000 Greenbriar Blvd  
Wellington, FL 33414

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**GENERAL INFORMATION**  
**RFP#003-10/BJJ**  
**PART 1**

**1-1     PURPOSE AND INVITATION TO PROPOSE**

The Village of Wellington is actively seeking proposals from qualified financial institutions to furnish INVESTMENT MANAGEMENT SERVICES.

This Request for Proposals (RFP) provides guidelines for the submission of proposals for the service. Proposers should prepare their proposals simply and economically, providing a straight forward and concise description of the Proposers ability to meet the requirements of the RFP.

This invitation to propose is extended to all qualified proposers.

**1-2     VILLAGE OF WELLINGTON**

It is the intent of the Village to select one investment manager to provide innovative investments services for its treasury funds of approximately \$100 million pursuant to Florida Statutes and the Village's investment Policy. The Village's objective is to obtain a net yield on its portfolio better than that which may be obtained through the Merrill Lynch Government/Corporate 1-3 year Treasury Note + 10 basis points while maintaining strict adherence to its adopted Investment Policy, to protect investment principal, and to maintain liquidity, while avoiding unreasonable risk.

**1-3     PROPOSAL SUBMISSION AND OPENING**

The following material is required to be received by 10:00 a.m. on January 12, 2010 for a proposing institution to be considered:

One unbound original and five (5) copies of a proposal to include:

Title Page  
Table of Contents  
Transmittal Letter  
Detailed Proposal

Proposers should send the completed proposal consisting to the following address:

Clerk's Office  
Village of Wellington  
14000 Greenbriar Blvd  
Wellington, FL 33414

The Village cautions respondents to assure actual delivery of mailed or hand delivered proposals to the Village's Clerk's Office at the Village Hall, 14000 Greenbriar Blvd, Wellington, FL 33414, prior to the deadline set for the opening proposals. Telephone confirmation of timely receipt of the proposals may be made by calling (561) 791-4042 before proposal opening time. PROPOSALS DELIVERED AFTER THE ESTABLISHED DEADLINE WILL BE RETURNED UNOPENED TO THE PROPOSER. Receipt of a proposal by the Village office, receptionist or personnel other than the Clerk's Office does not constitute "deliver" as required by this RFP.

The Village will not accept or consider proposals submitted via facsimile transmission.

#### 1-4 INQUIRIES

The Village encourages interested proposers to contact the Village with any requests for information (RFI) for this RFP. You may do so by contacting the Purchasing Department, weekdays (Monday-Thursday) at (561) 791-4101 or facsimile to (561) 791-4740.

#### 1-5 PROPOSAL WITHDRAWAL

Proposers may withdraw their proposals by notifying the Village in writing at any time prior to the bid opening. Proposers may withdraw their proposals in person or through an authorized representative. Proposers and authorized representatives must disclose their identity and provide receipt for the proposal. Proposals, once opened, become the property of the Village and will not be returned to the Proposers.

#### 1-6 PROPOSAL DISCLOSURE

Upon opening, proposals become "public records" and shall be subject to public disclosure consistent with Chapter 119, Florida Statutes. Proposers must invoke in writing the exemptions to disclosure provided by law in the response to the RFP by providing the specific statutory authority for claimed exemptions, identifying the data or other materials to be protected, and stating the reasons why such exclusion from public disclosure is necessary.

#### 1-7 TIMETABLE

The Village and proposers shall adhere to the following schedule in all actions concerning this RFP:

A. December 10, 2010 - Request for Proposals issued.

B. December 10, – January 7, 2010 - The Village will receive and answer inquiries received by telephone, facsimile and/or mail.

C. January 12, 2010 - Deadline to receive proposals.

D. January 28, 2010 - The Selection Committee will submit their recommendation for the selection of an Investment Manager to the Village Manager.

#### 1-8 DELAYS

The Village may delay or modify scheduled due dates if it is to the advantage of the Village to do so. The Village will notify proposers of all changes in scheduled due dates by written addenda.

#### 1-9 ADDENDA

If revisions become necessary, the Village will provide written addenda to all proposers who requested the RFP via DemandStar. All addenda issued by the Village will include a receipt form which must be signed and included with any proposals that are submitted to the Village. In the event multiple addenda are issued, a separate receipt for each addendum must be included with the proposal at the time it is submitted to the Village.

If issued, the Village will mail written addenda upon request. It is the reasonability of the proposer to contact the Village to ascertain whether any addenda(s) have been issued. Failure to do so could result in an unresponsive proposal.

#### 1-10 ORAL PRESENTATION

In its discretion, the Village may require oral presentations from all short listed respondents. These presentations provide an opportunity for the proposer to clarify the proposal for the Village. The Village will schedule any such presentations. Presentations, if scheduled, will be conducted during January 20-25, 2010.

#### 1-11 ACCEPTANCE OR REJECTION OF PROPOSALS

The Village reserves the right to reject any and all proposals when (1) such rejection is in the best interest of the Village; or (2) if the proposal contains any irregularities; provided, however, that the Village reserves the right to waive any minor irregularities and to accept the most responsive and responsible proposal as determined by the Village. The Village also reserves the right to cancel this RFP at any time and/or to solicit and re-advertise for other proposals.

#### 1-12 CONTRACT TERM

The contract will be for a period of three (3) years. The Village reserves the right to extend the contract for up to three (3), one year extension terms, providing a) all terms, conditions and specifications remain the same, b) both parties agree to the extension and c) such extension is approved by the Village Manager. The anticipated contract starting date is March 1, 2010.

#### 1-13 COMMUNICATION

From the time of advertising until an award of the proposal, any Proposer or any of their representatives or agents are prohibited from any communication with the Village Manager, Mayor and City Council. This does not apply to oral presentations before selection committees, contract negotiations, or public presentations made to the Village Council during any duly noticed public meeting. Violation of these provisions shall render any RFP proposal or RFP award by to the violator voidable.

#### 1-14 DEVELOPMENT COSTS

Neither the Village nor its representatives shall be liable for any expenses incurred in connection with the preparation, submission or presentation of a response to this RFP.

#### 1-15 INSURANCE

The proposer will provide proof of Errors and Omissions Insurance, which covers the company and their agents with limits of at least \$10,000,000. This insurance must be written by an insurer who possesses an A.M. Best rating of at least an "A".

Professional Liability insurance with coverage per occurrence limit of not less than \$5,000,000 with fiduciary liability shall be required. It is recognized that this type of insurance is only available on a Claims Made basis and additional insured endorsements are not available.

#### 1-16 SWORN STATEMENT ON PUBLIC ENTITY CRIMES

The Proposer shall be required, pursuant to Section 287.133, Florida Statutes, to execute the attached "Sworn Statement on Public Entity Crimes" upon the submission of this proposal. By executing this sworn statement, the Proposer is affirmatively stating that neither it nor an affiliate (as defined in the Statute) has been convicted of a public entity crime and that it is not barred from entering into a contract with the Village. The proposer further acknowledges that any misstatement or lack of compliance with the Statute shall result in the contract being null and void and/or subject to immediate termination by the Village, and in the event of such termination, the Village shall not incur any liability for any work or materials furnished by the Proposer.

#### 1-17 CODE OF ETHICS

If any proposer violates or is a party to violation of the code of ethics of the State of Florida with respect to this proposal, such proposer may be disqualified from performing the work described in this proposal or from furnishing the goods or services for which the proposal is submitted and may be further disqualified from bidding on any future proposals for work, goods or services for the Village of Wellington.

#### 1-18 CONFLICT OF INTEREST

All bidders must disclose with their proposal the name of any officer, director, or agent who is an elected official, appointed official or an employee of the Village of Wellington. Further all bidders must disclose the name of any elected official, appointed official or employee of the Village who owns directly or indirectly, any interest in the Proposers firm or any of its branches.

#### 1-19 NON-COLLUSION

Bidder certifies that this offer is made without prior understanding, agreement, or connection with any corporation, firm or person submitting an offer for the same materials, services, supplies, or equipment and is in all respects fair and without collusion or fraud.

No premiums, rebates or gratuities are permitted, either with, prior to or after any delivery of material or provision of services. Any violation of this provision may result in the Contract cancellation, return of materials or discontinuation of services and the possible removal from the vendor Bid list(s).

#### 1-20 FLORIDA PUBLIC RECORDS ACT

All material submitted regarding this bid becomes the property of the Village. Bids may be reviewed by any person ten (10) days after the public opening. Bidders should take special note of this as it relates to any proprietary information that might be included in their offer.

Any resulting contract may be reviewed by any person after the contract has been executed by the Village. The Village has the right to use any or all information/material submitted in response to this bid and/or any resulting contract from same. Disqualification of a bidder does not eliminate this right.

#### 1-21 INDEMNIFICATION

Regardless of the coverage provided by any insurance, the successful bidder/proposer shall indemnify, save harmless and defend the Village, its agents, servants, or employees from and against any and all claims, liability, losses and/or causes of action which may arise from any negligent act or omission of the successful bidder/proposer, its subcontractors, agents, servants or employees during the course of performing services or caused by the goods provided pursuant to these bid documents and/or resultant contract.

## **SUBMISSION REQUIREMENTS**

### **2-1 Investment Process**

The Village requires that the selected Investment Advisor, at a minimum, provide the following services:

The Village expects its investment advisor to be highly experienced, a leader and innovator in the management of investments, and able to provide comprehensive investment advisory services. All investments will be delivered into a designated safekeeping account owned and maintained by the Village of Wellington. Under no circumstances will the Investment Manager have custody of any Village assets.

Provide full-time management on a daily basis of the Village's investment portfolio pursuant to the specific stated investment objectives and the Village's Investment Policy.

Place all orders for the purchase and sale of securities, communicate settlement information to Village staff and assist in coordinating security settlement.

Serve as a general resource to Village staff for information, advice and training regarding fixed income securities, investment and yield curve analysis.

Work with Village staff to develop cash flow projections to ensure that the investment strategy is consistent with the Village's cash requirements.

Provide monthly statements detailing investment activity, earnings, the value of the investment portfolio, a portfolio return, mark to market valuation, and weighted average maturity, accrued interest by investment type, rating of investment by Standards & Poor's and Moody's. The selected investment advisor must maintain accurate reports including portfolio composition showing diversity of investments and compliance with applicable investment policies of the Village and State of Florida Statutes.

Develop and implement investment strategies for the Village that will seek to enhance portfolio performance under current and future market conditions within the parameters of the Village's investment policy and cash flow needs.

Obtain and document competitive prices for securities transactions and perform due diligence reviews of current and proposed investments.

Provide semi-annual and annual portfolio performance reports.

Review and update the Village's investment policy and written investment procedures as needed.

Monitor the creditworthiness of the Village's depository and custodian bank and investments in the portfolio.

Provide client training on investment and management subjects.

Attend meetings with the Village's finance staff and governing body upon request.

In order to provide for proper evaluation of your firm and fairly compare it with other submittals, we request that you format your response in the following order:

**2-2 FIRM BACKGROUND**

- a. Company Name
- b. Principal Address
- c. Telephone Numbers
- d. Email addresses
- e. Describe the organization, date founded and ownership of your firm and regulatory bodies your firm reports to. Has the firm experienced a significant change in organizational structure, ownership or management during the past three years and, if so, please describe.
- f. Describe any other business affiliations (e.g., subsidiaries, joint ventures, "soft dollar" arrangements with brokers).
- g. Identify the types of accounts primarily managed by your firm.
- h. Does your firm have an office in the State of Florida?
- i. Describe any SEC, NASD or any other regulatory censure or litigation involving your firm during the past five (5) years.
- j. Summarize fidelity bond coverage, errors and omissions, employee dishonesty, fiduciary liability insurance, or other fiduciary coverage your firm carries. Provide a Certificate of Insurance.
- k. Provide a copy of your firm's most recent audited financial statement.
- l. Does your firm adhere to the Code of Professional and Ethical Standards as described by AIMR?

## **2-3    EXPERIENCE**

- a. Describe your firm's experience in managing investment portfolios for public funds and governmental entities including any relevant experience managing public funds and bond proceeds in Florida.
- b. Summarize your assets under management (institutional only) over the past five years by the following categories: short-term operating funds medium-term operating funds, long-term operating funds and bond proceeds funds. Also, please separate these asset totals by Government Institutions and Other Institutions.
- c. What is your firm's experience in developing investment policies and portfolio management guidelines for government operating funds?
- d. Does your firm act as a broker or as a primary dealer in securities or receive any other form of additional compensation (including soft dollars) for client transactions aside from the direct fee paid by clients?
- e. Provide five client references (public references, if possible) including client name, contact personnel, address, phone number, length of time you have managed their assets and a list of any other related services provided (e.g. arbitrage rebate calculations, cash flow analysis, etc.).

## **2-4    PERSONNEL**

- a. Provide a summary organizational chart showing your proposed project team including analytical investment and research staff, other decision support and back office support. Identify the primary contact and describe the roles of each key person.
- b. Provide detailed resumes for all key investment professionals who will be directly responsible for the investment of Village funds. Include the following information; title, number of years at your firm, total number of years of experience, professional designations or licenses.
- c. Describe your firm's activities to keep portfolio managers informed of developments relevant to the management of local government funds.
- d. What is the largest number of accounts handled by any single manager/team (give size of team)?

## **2-5    INVESTMENT MANAGEMENT APPROACH AND DISCIPLINE**

- a. Briefly describe your firm's investment management philosophy.
- b. Describe the investment program you are proposing for the Village, including the type of securities you propose to purchase, how the funds will be managed after the initial investments are made and how you will provide liquidity.
- c. What are the primary strategies employed by your firm for adding value to portfolios (e.g., market timing, credit research, etc.)?

- d. Describe how investment ideas are originated and how researched, and how the ultimate investment decision is made. Explain how investment decisions are then implemented, monitored and evaluated.
- e. Describe your firm's research capabilities and resources. Does your firm assign credit research to specialists?
- f. Provide your firm's intermediate-term investment (0-3 year) performance for the most recent five years. Please show annualized quarterly returns, gross of all management fees.
- g. Briefly describe any additional feature, attributes or conditions, which the Village should consider in selecting your firm.

## **2-6 ACCOUNTING AND REPORTING**

- a. Submit samples of reports which would be provided and describe their frequency. Reports must be prepared in accordance with generally accepted accounting principles (GAAP) and in compliance with Governmental Accounting Standards Board (GASB) pronouncements, including GASB Statement 31.
- b. Describe the process the firm would go through to assist in identifying appropriate industry benchmarks.
- c. Describe the types of benchmarks that would be included with the performance reports.
- d. Describe the investment accounting and reporting system used by your firm and if it complies with AIMR standards.

## **2-7 FEES**

- a. Provide the fee schedule that would apply to this account. What expenses, not covered by the fees, will the Village be expected to pay?
- b. Provide a sample of a proposed contract for your firm's services.

## **2-8 EVALUATION OF PROPOSALS**

- a. The proposals will be evaluated by the Selection Committee and a recommendation will then be presented to the Village Manager to select the proposal which meets the best interests of the Village. The Village shall be the sole judge of its own best interest, the proposal, and any resulting negotiated agreement. The Village's decision will be final.
- b. Evaluation considerations will include, but not be limited to, the following:
  - Experience of the firm in providing services to public section entities of similar size and with similar investment objectives.
  - Professional experience and qualifications of the individuals assigned to the account.
  - Portfolio management resources, investment philosophy and approach.
  - Reporting capabilities, including online computer access to the Village's portfolio by authorized Village representatives.
  - Fees.

## PROPOSER'S CERTIFICATION

I have carefully examined the Request for Proposal, General Information, Specifications, proposed agreement and any other documents accompanying or made a part of this Request for Proposal.

I hereby propose to furnish the goods or services specified in the Request for Proposal. I agree that my proposal will remain firm for a period of up to 120 days in order to allow the Village of Wellington adequate time to evaluate the proposals.

I certify that all information contained in this proposal is truthful to the best of my knowledge and belief. I further certify that I am duly authorized to submit this proposal on behalf of the firm as its act and deed and that the firm is ready, willing and able to perform if awarded the contract.

I further certify, under oath, that this proposal is made without prior understanding, agreement, connection, discussion, or collusion with any other person, firm or corporation submitting a proposal for the same product or service; no officer, employee or agent of the Village of Wellington or any other proposer is interested in said proposal; and that the undersigned executed this Proposer's Certification with full knowledge and understanding of the matters therein contained and was duly authorized to do so.

A person or affiliate who has been placed on the convicted vendor list following a conviction for public entity crimes may not submit a bid on a contract to provide any goods or services to a public entity, may not submit a bid on a contract with a public entity for the construction or repair of a public building or public work, may not submit bids on leases of real property to public entity, may not be awarded or perform work as a contractor, supplier, sub-contractor or consultant under a contract with a public entity, and may not transact business with any public entity in excess of the threshold amount provided in Sec. 278.017, for CATEGORY TWO for a period of 36 months from the date of being placed on the convicted vendor list.

\_\_\_\_\_  
Name of Business

BY:

Sworn to and subscribed before me

This \_\_\_\_\_ day of

\_\_\_\_\_, 20\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name & Title, Typed or Printed

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
Mailing Address

State of \_\_\_\_\_

\_\_\_\_\_  
City, State, Zip Code

(\_\_\_\_) \_\_\_\_\_

Telephone Number Email Address

(\_\_\_\_) \_\_\_\_\_

Facsimile Number

## AFFIDAVIT FOR CORPORATION

---

State of \_\_\_\_\_

County of \_\_\_\_\_

\_\_\_\_\_,  
is \_\_\_\_\_ (title) \_\_\_\_\_ of \_\_\_\_\_ the  
\_\_\_\_\_ (corporation described herein)  
being duly sworn, deposes and says that he is familiar with the books or the said corporation showing its financial position; that the foregoing statements are a true and accurate statement of the financial position of said corporation as of the date hereof; and, that the statements and answers to the interrogatories of the foregoing experience questionnaire are correct and true as of the date of this affidavit and, tat he understands that intentional inclusion of false, deceptive or fraudulent statements on this application constitutes fraud; and, that the Village of Wellington considers such action on the part of the applicant to constitute good cause for denial, suspension or revocation of a existing work or contracts being performed by the Contractor for the Village of Wellington.

\_\_\_\_\_  
(Officer must also sign here)

Sworn to me before this \_\_\_\_\_ day of 20\_\_\_\_\_,  
by \_\_\_\_\_ (name of affiant). He/she is personally known to me or  
has produced \_\_\_\_\_ (type of identification) as identification.

\_\_\_\_\_  
(Notary)

**SEAL**

## AFFIDAVIT FOR INDIVIDUAL

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State of \_\_\_\_\_

County of \_\_\_\_\_

\_\_\_\_\_ being duly sworn, deposes and says that the foregoing financial statements are a true and accurate statement of his financial position as of the date thereof, and that the answers to the interrogatories contained therein are true; and, that the statements and answers to the interrogatories of the foregoing experience questionnaire are correct and true as of the date of this affidavit; and, that he understands that intentional inclusion of false, deceptive or fraudulent statements on this application constitutes fraud; and, that the Village of Wellington considers such action on the part of the applicant to constitute good cause for denial for bidding on Village projects or the suspension or revocation of existing work or contracts being performed by the Contractor for the Village of Wellington, Florida.

\_\_\_\_\_  
(Applicant)

Sworn to me before this \_\_\_\_\_ day of 20\_\_\_\_\_,  
by \_\_\_\_\_ (name of affiant). He/she is personally known to me or  
has produced \_\_\_\_\_ (type of identification) as identification.

\_\_\_\_\_  
(Notary)

**SEAL**

## AFFIDAVIT FOR CO-PARTNERSHIP

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State of \_\_\_\_\_

County of \_\_\_\_\_

\_\_\_\_\_ is a member of the firm of \_\_\_\_\_, being duly sworn deposes and says that the foregoing financial statements are a true and accurate statement of the financial position of said firm as of the date thereof, and that the answers to the interrogatories contained therein are true; and, that the statements and answers to the interrogatories of the foregoing experience questionnaire are correct and true as of the date of this affidavit; and, that he understands that intentional inclusion of false, deceptive or fraudulent statements on this application constitutes fraud; and, that the Village of Wellington considers such action on the part of the applicant to constitute good cause for denial for bidding on Village projects or the suspension or revocation of existing work or contracts being performed by the Contractor for the Village of Wellington, Florida.

\_\_\_\_\_  
(Member of Firm)

Sworn to me before this \_\_\_\_\_ day of 20\_\_\_\_\_,  
by \_\_\_\_\_ (name of affiant). He/she is personally known to me or  
has produced \_\_\_\_\_ (type of identification) as identification.

\_\_\_\_\_  
(Notary)

**SEAL**

OWNER: VILLAGE OF WELLINGTON

CONSULTANT:

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INSTRUCTIONS

- A. All questions are to be answered in full, without exception. If copies of other documents will answer the question completely, they may be attached and clearly labeled. If additional space is needed, additional pages may be attached and clearly labeled.
- B. The Village of Wellington shall be entitled to contact each and every person/company listed in response to this questionnaire. The proposer, by completing this questionnaire, expressly agrees that any information concerning the proposer in possession of said entities may be made available to the Village.
- C. Only complete and accurate information shall be provided by the proposer. The proposer hereby warrants that, to the best of its knowledge and belief, the responses contained herein are true, accurate, and complete. The proposer also acknowledges that the Village is relying on the truth and accuracy of the responses contained herein. If it is later discovered that any material information given in response to a questions was provided by the proposer, knowing it was false, it shall constitute grounds for immediate disqualification, termination, or rescission by the Village of any subsequent agreement between the Village and the proposer.
- D. If there are any questions concerning the completion of this form, the proposer is encouraged to contact Bobby Jenkins, facsimile: (561) 791-4000.

## QUESTIONNAIRE

**Proposer's Name:** \_\_\_\_\_

Principal Office Address: \_\_\_\_\_

Official Representative: \_\_\_\_\_

Individual

Partnership (Circle One)

Corporation

If a Corporation, answer this:

**When Incorporated:** \_\_\_\_\_

In what State: \_\_\_\_\_

If Foreign Corporation:

**Date of Registration with**

Florida Secretary of State: \_\_\_\_\_

Name of Resident Agent: \_\_\_\_\_

Address of Resident Agent: \_\_\_\_\_

---

President's Name: \_\_\_\_\_

Vice President's Name: \_\_\_\_\_

Treasurer's Name: \_\_\_\_\_

Members of Board of Directors:

If a Partnership:

Date of Organization: \_\_\_\_\_

General or Limited Partnership\*: \_\_\_\_\_

Name and Address of Each Partner:

Name

Address

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

\*Designate general partners in Limited Partnership

1. Number of years of relevant experience in operating similar business: \_\_\_\_\_

2. Have any similar agreements held by proposer for a similar project to the proposed project ever been canceled?

Yes ( )

No ( )

If yes, give details on a separate sheet.

3. Has the proposer or any principals of the applicant organization failed to qualify as a responsible proposer, refused to enter into a contract after an award has been made, failed to complete a contract during the past five (5) years, or been declared to be in default in any contract in the last five (5) years?

If yes, please explain:

4. Has the proposer or any of its principals ever been declared bankrupt or reorganized under Chapter 11 or put into receivership?

If yes, give date, court jurisdiction, action taken, and any other explanation deemed necessary.

5. Person or persons interested in the proposal and Questionnaire Form \_\_\_\_\_ (have) \_\_\_\_\_ (have not) been convicted by a Federal, State, County or Municipal Court of any violation of law, other than traffic violations. To include stockholders over ten percent (10%). (Strike out inappropriate words).

Explain any convictions on a separate sheet.

6. Lawsuits (any) pending or completed involving the corporation, partnership or individuals with more than ten percent (10%) interest:

A. List all pending lawsuits:

B. List all judgments from lawsuits in the last five years:

C. List any criminal violations and/or convictions of the proposer and/or any of its principals:

7. Conflicts of Interest. The following relationships are the only potential, actual or perceived conflicts of interest in connection with this proposal: (If none, so state).

The proposer understands that information contained in this Questionnaire will be relied upon by the Village of Wellington in awarding the proposed Agreement and such information is warranted by the proposer to be true. The undersigned proposer agrees to furnish such additional information, prior to acceptance of any proposal relating to the qualifications of the proposer, as may be required by the Village Manager.

*The proposer further understands that the information contained in this questionnaire may be confirmed through a background investigation conducted by the Palm Beach Sheriff's Department. By submitting this questionnaire, the proposer agrees to cooperate with this investigation, including but not necessarily limited to fingerprinting and providing information for credit check.*

I certify that the information and responses provided on this Questionnaire are true, accurate and complete. The Owner of the Project or its representatives may contact any entity or reference listed in this Questionnaire. Each entity or reference may make any information concerning the Contractor available to the Owner.

**Dated** \_\_\_\_\_, 20\_\_

**INDIVIDUAL, FIRM OR PARTNERSHIP**

By: \_\_\_\_\_ / \_\_\_\_\_  
(Signature) (Print name)

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone: (\_\_\_\_) \_\_\_\_\_ Fax: (\_\_\_\_) \_\_\_\_\_

Social Security Number (OR) Taxpayer Identification Number (TIN): \_\_\_\_\_

**CORPORATION**

By: \_\_\_\_\_ / \_\_\_\_\_  
(Signature) (Print name)

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone: (\_\_\_\_) \_\_\_\_\_ Fax: (\_\_\_\_) \_\_\_\_\_

Taxpayer Identification Number (TIN/EIN): \_\_\_\_\_

State Under Which Corporation Was Chartered: \_\_\_\_\_

Corporate President: \_\_\_\_\_  
(Print Name)

Corporate Secretary: \_\_\_\_\_  
(Print Name)

**Corporate Treasurer:** \_\_\_\_\_  
(Print Name)

**CORPORATE SEAL**

**Attest By:** \_\_\_\_\_  
Secretary