REQUEST FOR QUALIFICATIONS
RFQ No.: 10-11/32 Bond Underwriting Services

The Board of Trustees of the Peralta Community College District (PCCD), Oakland, California, through the Office of Purchasing, is hereby requesting Qualifications for the above mentioned project.

The successful vendor will be required to furnish all labor, material, equipment, supplies, applicable taxes, insurance, bonding, and licenses to complete this project.

Qualification Information

<table>
<thead>
<tr>
<th>Qualification Description</th>
<th>Bond Underwriting Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Qualification Number</td>
<td>10-11/32</td>
</tr>
<tr>
<td>Qualification Issued</td>
<td>May 12, 2011</td>
</tr>
<tr>
<td>Department</td>
<td>Finance Department</td>
</tr>
<tr>
<td>Mandatory Pre-Qualification Meeting</td>
<td>None</td>
</tr>
<tr>
<td>Scheduled Publication Dates</td>
<td>May 12, 2011; May 19, 2011</td>
</tr>
<tr>
<td>Qualification Due Date</td>
<td>June 9, 2011 at 11:00 AM</td>
</tr>
</tbody>
</table>

Instructions for Submitting Qualifications

<table>
<thead>
<tr>
<th>Submittal Address</th>
<th>Peralta Community College District Purchasing Department Attn: David Bui, Buyer 501 5th Avenue Oakland, CA 94606</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submittal Copies</td>
<td>One (1) Original copy clearly marked “Original” and three (3) Copies marked “Copy”.</td>
</tr>
</tbody>
</table>
| Submittal Envelope Requirements | Qualification must be sealed and have the following information clearly marked and visible on the outside of the envelope:  
  • Qualification Number  
  • Name of Your Company  
  • Address  
  • Phone Number |
| Late Submittals            | Qualifications received after the time and date stated above shall be returned unopened to the vendor. |
**How to Obtain Qualification Documents**
Copies of the Qualification documents may be obtained at:

<table>
<thead>
<tr>
<th>Available</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>Peralta Community College District Purchasing Department 501 5th Avenue Oakland, CA 94606 Monday through Friday 9:00 AM to 4:00 PM (510) 466-7225</td>
</tr>
<tr>
<td>Yes</td>
<td>Website: <a href="http://www.peralta.edu">www.peralta.edu</a> Click “Service Centers”, then click “Purchasing” and then click “Current Bids, RFPs and RFQs” to download the packet.</td>
</tr>
</tbody>
</table>

**Questions about the Qualification**
Questions and or Requests for Information (RFI) must be submitted in writing and can be submitted by email as follows:

<table>
<thead>
<tr>
<th>Primary Contact</th>
<th>Ron Gerhard, Vice Chancellor of Finance and Administration Email: <a href="mailto:rgerhard@peralta.edu">rgerhard@peralta.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Question/ RFI Due Date</td>
<td>May 25, 2011 at 4:00 p.m. Please submit questions as soon as possible. No questions regarding the specifications will be responded to after the above date. All pertinent questions will be responded to and answered in writing no later than the Response Date listed below.</td>
</tr>
<tr>
<td>Response Date</td>
<td>June 1, 2011 All pertinent questions will be responded to via addendum faxed (or emailed) to all prospective bidders, and placed on the District’s website. Proposer who did not receive a copy of the addendum should download it from the District’s website. See “How to Obtain Qualification Documents” section for our web address. All addenda must be acknowledged on the RFQ Acknowledgement and Signature form.</td>
</tr>
</tbody>
</table>

**Full Opportunity**
The Peralta Community College District hereby affirmatively ensures that Disadvantaged Business Enterprises (DBE), Small Local Business Enterprise (SLBE) and Small Emerging Local Business Enterprise (SELBE) shall be afforded full opportunity to submit bids in response to this notice and will not be discriminated against on the basis of race, color, national origin, ancestry, disability, gender, transgender status, political affiliation or religion in any consideration leading to the award of contract.

No qualified disabled person shall, on the basis of disability, be excluded from participating in, be denied the benefits of, or otherwise be subjected to discrimination in any consideration leading to the award.

Peralta Community College District reserves the right to reject any or all Qualifications, to waive any irregularities or informalities not affected by law, to evaluate the Qualifications submitted and to award the contract according to the Qualification which best serves the interests of Peralta Community College District.

John Banisadr, Purchasing Compliance Manager
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Attachments:

<table>
<thead>
<tr>
<th>Title</th>
<th>Must Be Returned with Qualification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor Questionnaire and Certificate by Compliance</td>
<td>Yes</td>
</tr>
<tr>
<td>Environmentally Sustainable Procurement</td>
<td>Yes</td>
</tr>
<tr>
<td>Certificate Regarding Workers’ Compensation</td>
<td>Yes</td>
</tr>
<tr>
<td>Statement of Equal Employment Opportunity</td>
<td>Yes</td>
</tr>
<tr>
<td>Small Local Business Enterprise/Small Emerging Local Business Enterprise Program</td>
<td>Yes</td>
</tr>
<tr>
<td>SLBE/SELBE Self Certification Affidavit</td>
<td>Yes, If applicable</td>
</tr>
<tr>
<td>Non-Collusion Affidavit</td>
<td>Yes</td>
</tr>
<tr>
<td>General Provisions</td>
<td></td>
</tr>
<tr>
<td>Conflict of Interest Affidavit</td>
<td>Yes</td>
</tr>
<tr>
<td>Licensing, Registration, Disciplinary Action, and Litigation Affidavit</td>
<td>Yes</td>
</tr>
<tr>
<td>RFQ Acknowledgement and Signature Form</td>
<td>Yes</td>
</tr>
</tbody>
</table>
I. Project Overview

The Peralta Community College District (District) is seeking qualifications from qualified bond underwriting firms to provide underwriting and investment banking services to the District. The District is looking for as needed underwriters for its General Obligation Revenue Bonds and Other Post-Employment Bonds (OPEB).

After reviewing and evaluating the statements of qualifications, the District will develop a Qualification List of firms who meet the qualification criteria outlined in this Request for Qualification (RFQ). As underwriting services are needed, the District will contact a minimum of three of the highest ranking firms (for the size of our debt offering) to request proposals from them. Firms submitting proposals will be ranked against the criteria set forth in the subsequent Request for Proposal (RFP). The RFP may be formal or informal. Annually, the District may request additional Statement of Qualifications from firms who either were not included in the original Qualification Lists, or who did not qualify for the original list, but now have the qualifications necessary to qualify. The District may, at its discretion, select a firm to act as senior managing underwriter and other firms to act as co-managing underwriter for its debt offerings. It is the intent of the District that any firms selected (subsequent to the RFP) will be the District’s selected underwriter for a period five years (barring any non-compliance issues). The five year period begins after the conclusion of the selection process.

The District has a Small Local Business Enterprise (SLBE) program and encourages small business to submit qualifications. A copy of the program guidelines is included in the Attachment 5 of this RFQ, and for firms that qualify, the District will allocate up to a maximum 5% preference. Smaller firms, who may not have the qualification or capacity to submit a qualification on their own, are encouraged to partner with a larger firm and submit a joint qualification.

The District anticipates formalizing its Qualification List by September 2011, and will start its RFP process (as-needed) thereafter. The Board of Trustees of the Peralta Community College District reserves the right to accept any or all candidates, to negotiate with any or all responsible candidates, and to waive any informality in the Request for Qualifications process. Interested firms shall be responsible for any and all expenses that they may incur in this process.

II. Scope of Services

District Background

The Peralta Community College District is comprised of four colleges and the district office in Alameda County. The District serves over 28,000 students within four campuses in northern Alameda County. For over forty years, the Peralta Community College District has served over one million students from the communities of Albany, Alameda, Berkeley, Emeryville, Oakland, and Piedmont. The District consists of Berkeley City College in Berkeley, College of Alameda in Alameda, Laney College in Oakland, Merritt College in Oakland, and the District Offices in Oakland. The District is governed by its Board of Trustees. The Board consists of seven elected members and two student trustees. The District is an independent political subdivision organized under the laws of the State of California.

General Services

Representative services that the underwriters will be expected to provide during the term of this appointment include, but are not limited to, the following:

1. Underwrite General Obligation Revenue Bonds and Other Post-Employment Bonds on an “as needed” basis.
2. Assist in preparation, printing and dissemination of the preliminary and final official statement and other necessary disclosure documents.
3. Assist in the preparation of rating agency presentations to ensure that the District’s credit is being presented accurately and completely. The underwriter will be expected to accompany the District and its advisors to any rating meetings.
4. Assume primary responsibility for all activities associated with marketing of securities including the development and execution of a suitable marketing plan.
5. Assist in the preparation and evaluation of alternative financing scenarios.
6. Assist in the preparation and execution of closing documents associated with any financing.
7. Provide post-sale and other related services as required.

**Debt Profile and Capital Infrastructure**

The District currently has approximately $570 million in current General Obligation and Other Post-Employment Bonds issued. Over the next five years, the District plans to issue $115,000,000 of General Obligation bonds and to refinance $50,000,000 of Other Post-Employment Bonds. The District does not guarantee any future debt issuances.

A complete list and series of bonds currently issued is available in our latest Annual Financial Report available on the District's website at:


**III. Submission Requirements**

Please respond to the following 8 submission requirements in a straightforward, concise delineation of your capabilities proposed to satisfy the requirement of the RFQ. The District will use your responses to objectively determine your capabilities and experience. Please label your responses 1 through 8, in the order presented below. Please limit your total response to 30 pages (excludes the required attachment forms provided with this RFQ).

**Submittal Format:**
Responses may not be longer than 30 pages (one sided or 15 pages double sided), printed on 8” x 11” paper and formatted in no smaller than 11 point font. Each section shall be labeled according to the sections below. All submitted material must only be bound with only **one staple** in the upper left corner. Please no binders or any other type of spiral binding. Submittals must be able to fit into an 9 x 11½ inch folder.

1. **Company Information/ Executive Summary and Letter of Interest:** Provide the name of your company (including the name of any parent company), business address, email address, Federal Tax ID number, telephone and FAX numbers, and names and titles of key personnel and a brief history of your company. Provide a brief statement of who is authorized to submit the qualification on the behalf of your firm and why your firm is interested in this project. Please make sure that person signs and dates the statement.

2. **Qualifications and Experience (Statement of Qualifications):** Provide a statement of qualification and relevant information about your company’s knowledge and experience that qualifies your firm to submit a qualification in response to this RFQ. This District must be able to determine if your firm is qualified to provide underwriting and investment banking services to the District. Include (at minimum) the following:
   
   A. Provide a list of all key team members that will be assigned to the District and provide their qualifications and relevant experience. At minimum, provide the follow information for each identified key team member:
      1) Name, Title, and Office location
      2) How long they have been in their current position.
      3) How long they have been employed at your firm.
      4) How long they have been working in Municipal Industry.
B. Provide information about your company’s size and scope of services. Indicate any experience your firm has with underwriting bonds for California Community Colleges. Indicate your company’s experience with marketing tax-exempt, taxable bonds, and any OPEB Bonds. Indicate the typical size of underwriting your firm handles.

C. Provide two (2) copies of your Financial Statements and indicate how third party companies such as Standard and Poor’s or Moody’s (or others) rank your company’s financial statements. (Note: The submission of your Financial Statements will not count against the maximum page count indicated above in the Submission Requirements section. Attach both copies of your Financial Statements to your qualification package which is marked “Original”. You do not need to include Financial Statements with your qualification packages that are marked as “Copy” but you still will need to include how third party companies rank your company’s financial statements.)

D. Provide a brief list (and description) of selected underwriting and refunding transactions your firm has done over the past three months (comparable to the District’s current bond fundings) in which your firm was involved. For each transaction, show the name of issue, the par, the dated date, the role your firm played in the transaction and the amount of bonds actually underwritten by your firm.

E. Describe your firm’s core competencies and your ability to provide the services listed in “General Services” section under the “Scope of Services” section of this RFQ. Please use this section to provide an overview describing the general approach, scope of services, and methodology of your firm’s ability to fulfill the general functions required in this RFQ. Your services can be above and beyond the seven (7) requirements listed in the “Scope of Service” section. Make sure to demonstrate experiences for all key functions listed.

3. **Licensing, Registration, Disciplinary Action, Litigation and Conflict of Interest:**

   Please provide the below information about your firm:
   
   a. Provide a statement with any information detailing any issues regarding licensing, registration, disciplinary action and litigation of your firm.
   
   b. Were/are there any change of ownership of your firm and any legal structural change?
   
   c. Fill out the attached Conflict of Interest Affidavit form, and the Licensing, Registration, Disciplinary Action, and Litigation Affidavit form (attachments 9 and 10) and enclose them with your qualification. (Make sure to provide any additional documentation requested in those attachments.)

4. **Client References:** Provide names, addresses and contact information for three (3) current clients. Provide the size and scope of each project and a brief description of the projects. Please make sure all contact information is current.

5. **Plan and Approach:** Present an innovative or unique idea or product that you think would benefit the District. Your proposal should be limited to one primary structure that you believe is in the best interest of the District. This transaction is to be one that you realistically would expect to carry out if selected.

6. **Debarment:** Provide a statement that your company has not been debarred from providing services to any State or Federal Agency within the last five (5) years. Sign and Date your statement. If your firm has been debarred, you will need to provide background information and reason for the debarment. Provide the name and contact information for the Agency that debarred your firm. The District must review the reason and duration for the debarment before it can determine if your firm can be consider for this project.

7. **Environmentally Sustainable Procurement:** It is the policy of the Peralta Community College District (Board Policy 2.40, Environmental Sustainability), to purchase products or services that help to minimize the adverse effects on human health and the environment, when compared to other products and services that serve the same purpose with comparable efficacy. Does your product or service promote the District’s Environmentally Sustainable Procurement goal? Please use the attached Environmentally Sustainable Procurement form to describe how your product or service
directly meets the District's goal. If your product or service does not directly meet the District's goal, then describe what initiatives your firm has taken to become more environmentally sustainable. The District will evaluate each response, and more points will be awarded to firms who products and services directly meet the District's Environmentally Sustainable Procurement goal.

8. Required Forms:
The Vendor must fill out all forms included in the RFQ (listed in the attachments section) and return them with your Qualifications. Failure of the vendor to provide any information requested in the RFQ, may result in rejection for non-responsiveness. (Note: These required forms will not count against the maximum count for your response.)

IV. Evaluation Criteria

The Peralta Community College District must be assured that the responder (vendor) selected has all of the resources required to successfully perform under a contract. This includes, but is not limited to, personnel with skills required, equipment/materials and financial resources sufficient to provide services called for under this RFQ. If during the evaluation process, the Peralta Community College District is unable to assure itself of the responder's ability to perform under the contract, if awarded, the Peralta Community College District has the option of requesting from the responder, any information that the Peralta Community College District deems necessary to determine the responder's capabilities. If such information is required, the responder will be notified and will be permitted five (5) working days to submit the requested information.

In evaluating your qualifications, the District will evaluate a number of factors in combination. Please make sure you have submitted responses to all items listed in the Submission Requirements section, as your responses will be evaluated based on the weights (Points) listed below.

A. Evaluation Criteria:

<table>
<thead>
<tr>
<th>Item</th>
<th>Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Qualifications and Experience (Statement of Qualifications) Vendor's knowledge and experience and capacity to provide professional service as evidenced by past performance, resources, qualifications and experience, and from list of key personnel. (Your response to Items 1, 2 and 6 of Submission Requirements section.)</td>
<td>50</td>
</tr>
<tr>
<td>2</td>
<td>Licensing, Registration, Disciplinary Action, Litigation, and Conflict of Interest: (Your response to item 3 of Submission Requirements section and the attached affidavits.)</td>
<td>10</td>
</tr>
<tr>
<td>3</td>
<td>Client References Your response to item 4 of Submission Requirements section and or results of reference checks.</td>
<td>15</td>
</tr>
<tr>
<td>4</td>
<td>Plan and Approach As evidence from your response to item 5 of Submission Requirements section.</td>
<td>15</td>
</tr>
<tr>
<td>5</td>
<td>Environmentally Sustainable Procurement Does your product or service meet the District’s Environmentally Sustainable initiatives? (Item 7 of Submission Requirements section.)</td>
<td>5</td>
</tr>
<tr>
<td>6</td>
<td>SLBE Does your company meet the District’s definition of an SLBE or SELBE?</td>
<td>5</td>
</tr>
</tbody>
</table>

Total | 100 |
B. Selection Procedure:
A technical screening committee comprised of District internal (and possibly external members) with expertise in finance will initially evaluate and score all submissions according to the evaluation criteria above. Based on these evaluations and reviews, no less than the top three (3) scoring submissions will be invited for an interview and to submit proposals for this project.

The District may consult with its financial advisor on a deal-by-deal basis to select the firm best equipped to serve as senior manager and in determining the number of co-managers that will participate in each transaction. The formation of the qualification list does not preclude the District from selling its bonds or notes in the competitive market if market conditions dictate that the competitive format is in the District's best interest.

Interview detail and requirements (and proposal details) will be provided to selected proposers prior to the interviews.

C. Compensation:
Following the qualification-based selection (RFQ) process and subsequent RFP process, fees for services will be negotiated with the most highly qualified firm and determined in accordance with the Peralta Community College District's past standard fees (for management fee, underwriting expenses, underwriting fees (if any), and any takedowns). Underwriter’s compensation shall be negotiated on a deal-by-deal basis and such negotiations will include District management, the District's financial advisor, and the preferred senior managing underwriter candidate. Fee levels will be largely dependent upon market conditions at the time of sale and the complexity and size of the specific bond issue under consideration. Subsequently, if an agreement on fees cannot be reached in a timely manner with the highest qualified firm, the District will seek to reach an agreement with the next best qualified firm, and so on. Should the District not be able to reach an agreement with any of the top three ranked firms, the District shall select additional firms in order of their competence and qualifications and continue negotiations with the next highest ranked firm.

V. Additional Requirements:

A. Cost of Participation in Selection Process
Costs for developing responses to this RFQ are entirely the responsibility of the firm and shall not be chargeable to the District.

B. District Rights:
The District reserves the right to waive any irregularities or required formalities or to amend or cancel, in part or entirety, this RFQ if it is in the best interest of the District.

C. Law Compliance
The Vendor must comply with all laws, ordinances, regulations and codes of the Federal, state, and local governments which may in any way affect the preparation of Qualifications or the performance of the contract.

D. Public Records:
Except for materials exempted from disclosure such as Trade Secrets (as defined in California Civil Code 3426.1) that are specifically marked “Confidential” or “Proprietary”, all material submitted in response to this RFQ are deemed property of the District and public records upon submission to the District. The District is not liable or responsible for the disclosure of RFQ Responses, or portion thereof, deemed to be public records, including those exempt from disclosure if disclosure is by law, by an order Court, or which occurs through inadvertence, mistake or negligence on the part of the District or its agents or representatives. If the District is required to defend or otherwise respond to any action or proceeding wherein request is made for the disclosure of the contents of any portion of a RFQ Response deemed exempt from disclosure hereunder, by submitting a response to the RFQ, each Respondent agrees to defend, indemnify and hold harmless the District in any action or
proceeding from and against any liability, including without limitation attorneys’ fees arising there
from. The party submitting materials sought by any other party shall be solely responsible for the
cost and defense in any action or proceeding seeking to compel disclosure of such materials.

E. Qualification Considerations
PCCD has absolute discretion with regard to acceptance and rejection of Qualifications. In order to be
considered the party submitting a Qualification waives the right to bring legal proceedings challenging
the Board’s choice of the award.

F. False Statements
False statements in a Qualification will disqualify the Qualification.

G. Legal Proceeding Waiver
The Vendor relationship to PCCD shall be that of independent contractor and not deemed to be agent
of PCCD.

H. Taxes
The Vendor will be responsible for all Federal, State and Local taxes.

I. Grade of Service
The Vendor must provide professional service and maintain appropriate personnel to provide
expedient and courteous service.

J. The Vendor’s Liability
The Contractor shall be responsible for any and all damages to the PCCD premises resulting from the
negligent acts or willful misconduct of the Contractor agents or employees.

K. Contract Termination
PCCD may terminate the agreement with the Vendor on thirty days notice for the failure of the Vendor
to comply with any term(s) of the agreement between PCCD and the Vendor.

L. Award Consideration
Award of contract will be based on the information submitted as a result of this RFQ and reference
checks. The Board will award the contract to the firm select through the competitive process outlined
in this RFQ. The Board of Trustees shall not be bound to accept the lowest-quote fee.

M. Amendments
The Peralta Community College District may, at its sole discretion, issue amendments to this RFQ at
any time before the time set for receipt of Qualifications. The vendor’s are required to acknowledge
receipt of any amendments (addenda) issued to this RFQ by acknowledging the Addendum in the
space provided on the RFQ Acknowledgement and Signature Form. The Peralta Community College
District shall not be bound by any representations, whether oral or written, made at a pre-
Qualification, pre-contract, or site meeting, unless such representations are incorporated in writing as
an amendment to the RFQ or as part of the final contract. All questions or request for clarification
concerning material terms of the contract should be submitted in writing for consideration as an
amendment.

N. Withdrawal or Modification of Offers
The Vendor may modify or withdraw an offer in writing at any time before the deadline for submission
of an offer.

O. Acceptance
Any offer received shall be considered an offer which may be accepted or rejected, in whole or in part,
by the District based on initial submission without discussions or negotiations.

The District reserves the right to reject any or all offers and to waive informalities, minor irregularities,
or other requirements in offers received, and/or to accept any portion of the offer if deemed in the
best interest of the District. Failure of the vendor to provide in its offer any information requested in
the RFQ, may result in rejection for non-responsiveness. Failure of the vendor to meet or exceed any stated minimums in the RFQ may also result in rejection for reasons of non-responsiveness.

P. **Representations**
No representations or guarantees of any kind, either made orally, or expressed or implied, are made with regard to the matters contained in this document, including any attachments, letters of transmittal, or any other related documents. The Vendor’s must rely solely on its own independent assessment as the basis for the submission of any offer made.
VENDOR’S QUESTIONNAIRE AND CERTIFICATE BY COMPLIANCE

The following information is requested for information purposes only. It will not be used in determining bid award.

Date

Firm Name ____________________________ Telephone ____________________________

Business Fax ____________________________ Email Address ____________________________ Website ____________________________

Street Address ____________________________ City/State ____________________________ Zip Code+ 4® ____________________________

Mailing Address ____________________________ City/State ____________________________ Zip Code + 4® ____________________________

Type of Organization (Check one)  Individual ☐  Partnership ☐  Corporation ☐

Name of Owner(s) ____________________________ State of Incorporation (if applicable) ____________________________

Name of Partners ____________________________ (I) Indicate (G) General (L) Limited ____________________________

Local Address ____________________________

Amount of Annual Business ____________________________

The District is identifying vendor ownership as follows:

<table>
<thead>
<tr>
<th></th>
<th>Asian-American (Chinese, Japanese, Korean, Vietnamese)</th>
<th>Black or African-American</th>
<th>Filipino</th>
<th>Latino (other than Mexican or Mexican-American)</th>
<th>Mexican or Mexican-American Aboriginal</th>
<th>Native American</th>
<th>Pacific Islander, other Asian</th>
<th>White</th>
<th>Disabled</th>
<th>Veteran</th>
<th>Women</th>
<th>Subcontractor</th>
<th>Employee</th>
<th>Apprentice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total #</td>
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<td></td>
<td></td>
<td></td>
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<td>% of assets</td>
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</tbody>
</table>

The District is identifying vendor workforce as follows:

<table>
<thead>
<tr>
<th></th>
<th>Asian-American (Chinese, Japanese, Korean, Vietnamese)</th>
<th>Black or African-American</th>
<th>Filipino</th>
<th>Latino (other than Mexican or Mexican-American)</th>
<th>Mexican or Mexican-American Aboriginal</th>
<th>Native American</th>
<th>Pacific Islander, other Asian</th>
<th>White</th>
<th>Disabled</th>
<th>Veteran</th>
<th>Women</th>
<th>Subcontractor</th>
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<th>Apprentice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total #</td>
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<td>% of assets</td>
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</tr>
</tbody>
</table>
Explain whether current workforce is racially and ethnically proportionate to the area from which the workforce is drawn (national, state, or local). Use separate sheet if necessary.

<table>
<thead>
<tr>
<th>Main Headquarters Office(s)</th>
<th>1.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address/Telephone</td>
<td></td>
</tr>
<tr>
<td>(List all as applicable)</td>
<td>2.</td>
</tr>
<tr>
<td></td>
<td>3.</td>
</tr>
</tbody>
</table>

Total # of Employees _____

<table>
<thead>
<tr>
<th>Local Office(s) Address/Telephone</th>
<th>1.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(List all as applicable)</td>
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<td>2.</td>
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<td>3.</td>
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Total # of Employees ______

<table>
<thead>
<tr>
<th>Name and list residential zip code for each employee, subcontractor, or apprentice for awarded contract</th>
<th>1.</th>
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<tbody>
<tr>
<td>(Please use the Zip+4®) Use separate sheet as necessary</td>
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<td>2.</td>
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ENVIRONMENTALLY SUSTAINABLE PROCUREMENT

It is the policy of the Peralta Community College District (Board Policy 2.40, Environmental Sustainability), to purchase products or services that help to minimize the adverse effects on human health and the environment, when compared to other products and services that serve the same purpose with comparable efficacy. The District recognizes that environmentally responsible purchasing will help create and sustain markets for environmentally sustainable products, and is committed to encouraging the procurement of environmentally sustainable products, such as products with high recycled content, remanufactured products, FSC certified lumber, Energy Star rated equipment, low and no VOC paints, low-toxicity cleaning supplies and Green Seal approved chemicals, locally sourced organic/sustainably grown foods, compostable utensils, non polystyrene food containers, non petroleum-based inks, and will promote contracting with businesses in close proximity, to reduce our carbon footprint and to promote the District's SLBE program.

The District’s formal Environmental Sustainability Policy 2.40 is available for download at: http://www.peralta.edu/projects/4/Purchasing%20Procedures/BP_2_40_Environmental_Sustainability_Policy_FINAL_3-31-08.pdf.

Vendor Statement and Signature

The long-term goal of the District is to purchase products with zero waste, high recycled content, produced and delivered in an environmentally sustainable manner. Does your product or service promote the District’s Environmentally Sustainable Procurement goal?

______ Yes*   ______ No

*If Yes, you are required to describe how your product or service that you are providing to the District will promote the District’s Environmentally Sustainable Procurement goal.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Contractor Name: ________________________    Title: ______________________________

Authorized Signature: ______________________________  Date: ________________
CERTIFICATE REGARDING WORKERS' COMPENSATION

Labor Code Section 3700 in relevant part provides:

"Every employer except the State shall secure the payment of compensation in one or more of the following ways:

(a) By being insured against liability to pay compensation in one or more insurers duly authorized to write compensation insurance in this State.

(b) Be securing from the Director of Industrial Relations a certificate of consent to self-insure, which may be given upon furnishing proof satisfactory to the Director of Industrial Relations of ability to self-insure and to pay any compensation that may become due to his employees."

I am aware of the provisions of Section 3700 of the Labor Code which require every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of that code, and I will comply with such provisions before commencing the performance of the work of this Contract and will require all subcontractors to do the same.

______________________________
Contractor

By: ______________________________

(In accordance with Article 5 [commencing at Section 1860], Chapter 1, Part 7, Division 2 of the Labor Code, the above certificate must be signed and filed with the awarding body prior to performing any work under this Contract.)
Statement of Equal Employment Opportunity

I hereby certify that ______________________________________________________

(Legal Name of Vendor/Consultant/Contractor)

Will not discriminate against any employee or applicant for employment because of race, creed, sex, color or national origin and shall insure compliance with all provisions of Executive Order No. 11246 (as amended by Executive order No.11375).

The vendor’s questionnaire requests information for record keeping purposes only. The information requested will not be used as a basis for contract award.

However, after a contract is awarded to your company, the District requires your company to report:

a. Actual racial, gender and residential workforce composition of your company for the contract work.

b. Actual racial, gender and residential workforce composition of subcontractors for the contract work.

c. Number of apprenticeship workforce for the contract work.

This report must be submitted to the District Department of General Services on a quarterly basis.

I declare under penalty of perjury under the laws of the state of California that the information I have provided herein is true and correct and is of my own personal knowledge.

BY: __________________________________________

Date

Print Name
SMALL LOCAL BUSINESS ENTERPRISE and SMALL EMERGING LOCAL BUSINESS ENTERPRISE PROGRAM

The District is committed to ensure equal opportunity and equitable treatment in awarding and managing its public contracts and has established an annual overall program goal of twenty-five percent participation for small local businesses. To facilitate opportunities for small local business, the District will use a maximum 5% bidding preference for SLBE and SELBE firms. The preference is only used for computation purposes to determine the winning bidder, the contract is awarded at the actual bid amount. Please review the following guidelines to see if your firm qualifies for the preference.

The 5% bidding preference for an SLBE and SELBE firms are for construction, personal and professional services, goods and services, maintenance, repairs, and operations where responsibility and quality are equal. The preference will be 5% of the bid amount of the lowest responsive responsible bidder, and may not exceed $50,000.00 for any bid.

A Non-SLBE/SELBE Prime Contractor who utilizes 25% of total bid amount, with SLBE or SELBE subcontractors (who meet the District’s Definition of an SLBE and SELBE), can also receive a maximum of 4% bidding preference, not to exceed $50,000.00 for any bid. (See below Subcontractor section.)

Definitions:

**SLBE**: A Small Local Business Enterprise is a business that has not exceeded gross annual revenue of 8.5 million dollars for a construction firm, or 6 million dollars for goods and non-professional services firm, or 3 million dollars for architecture, engineering and professional services firm, for the past three consecutive years and meets the below geographic location requirements.

**SELBE**: A Small Local Emerging Business Enterprise is a business that has not exceeded gross annual revenue of 1.5 million dollars for the past three consecutive years and meets the below geographic location requirements.

**Commercially Useful Function**: Shall mean a business is directly responsible for providing the materials, equipment, supplies or services to the District as required by the contract solicitation. The business performs work that is normal for its business services and carries out its obligation by actually performing, managing, or supervising the work involved. The business is not Commercially Useful if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of SLBE or SELBE participation.

Geographic Location Requirements:

- The business must be located at a fixed, established commercial address located in the District's market area of Albany, Alameda, Berkeley, Emeryville, Oakland, or Piedmont, and not a temporary or movable office, a post office box, or a telephone answering service.

- If the business has an office outside of the District's market area as well as an office within the market area, the office within the District's market area must be staffed on a full time permanent basis with someone employed by the business.

- If requested, the business that has an office outside of the District's market area must provide proof of one or more past contracts citing the business address (such as contracts to perform work, to rent space or equipment, or for other business services) was within the District's market area at least one (1) year prior to the date of contract award. The one-year requirement does not apply to businesses whose sole establishment is located within the District's market area.
Non-SLBE/SELBE Prime Contractors who use subcontractors, who meet the district definitions of SLBE and SELBE, may receive a maximum of 4% bidding preference if the following conditions are met:

1. 25% of total bid amount is with Subcontractors who meet the District’s definition of an SLBE and SELBE. The Prime Contractor must list each Subcontractor on the Subcontractor List form, clearly identifying the SLBE and SELBE status and the Dollar Amount of work each subcontractor will perform.

2. The Subcontractors must provide a Commercially Useful Function.

3. The Prime Contractor must maintain the Subcontractor percentages (based on the quoted dollar amounts) indicated in the Subcontractor List form at the time the Contract is awarded and throughout the term of the Contract.

4. The Prime Contractor must fill out sign the SLBE/SELBE Self Certification Affidavit and return it with the bid documents, and 48 hours after the bid opening the Prime Contractor must submit signed SLBE/SELBE Self Certification Affidavit from each of the SLBE and SELBE subcontractors listed in the Subcontractor form. The Subcontractor must agree to provide the requested documentation to verify the SLBE/SEBLE status.

5. No Substitutions can be made to the SLBE and SELBE subcontractor without the prior written approval of the District. The District will approve a subcontractor substitution on the following conditions:
   a. A written statement from the subcontractor agreeing to the substitution.
   b. When the subcontractor has been given a reasonable opportunity to execute the subcontract, yet fails to, or refuses to execute the subcontract, or refuses to satisfy contractual obligations.
   c. When the subcontractor becomes insolvent.
   d. When the District determines the work performed by the subcontractor is not in accordance with the contact agreement, or the subcontractor is substantially and unduly delaying or disrupting the progress of work.

Firms that meet the District criteria for an SLBE and SELBE can complete the below self-certification affidavit signed under penalty of perjury. Firms claiming SLBE and SELBE status in the self-certification affidavit will be required to submit proof of residency and revenue 48 hours after bid opening. Such proof shall consist of a copy of a contract to perform work, to rent space or equipment, or for other business services, executed from their local address, and the firm’s tax returns for the past three consecutive years.
SLBE/SELBE SELF CERTIFICATION AFFIDAVIT

I certify under penalty of perjury that my firm meets the District's definition of a Small Local Business Enterprise or a Small Emerging Local Business Enterprise and resides in the geographic location of the District's market area and qualifies for the below preference. The maximum preference will be five percent of the bid amount of the lowest responsible bidder, and may not exceed $50,000.00 for any bid. The preference is only used for computation purposes to determine the winning bidder; the contract is awarded at the actual bid amount. The District’s Contract Compliance Office will determine whether this requirement has been fulfilled. Bidders may only claim one of the below preferences.

<table>
<thead>
<tr>
<th>Certification Status</th>
<th>Preference</th>
<th>Preference Claimed (check only one)</th>
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<tbody>
<tr>
<td>SLBE</td>
<td>5% of lowest bid</td>
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<tr>
<td>SELBE</td>
<td>5% of lowest bid</td>
<td></td>
</tr>
<tr>
<td>25% of Subcontractors are</td>
<td>4% of lowest bid</td>
<td></td>
</tr>
<tr>
<td>SLBE/SELBE</td>
<td></td>
<td></td>
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<tr>
<td>Not Applicable</td>
<td>None</td>
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</tbody>
</table>

1. I acknowledge and am hereby advised that upon a finding of perjury with the claims made in this self certification affidavit the District is authorized to impose penalties which may include any of the following:
   a) Refusal to certify the award of a contract
   b) Suspension of a contract
   c) Withholding of funds
   d) Revision of a contract for material breach of contract
   e) Disqualification of my firm from eligibility for providing goods and services to the Peralta Community College District for a period not to exceed five (5) years

2. I acknowledge and have been advised and hereby agree that my firm will be required to provide proof (and if applicable, my SLBE and SELBE Subcontractors will provide proof) of the status claimed on this self-certification affidavit 48 hours after bid opening. Proof of status claimed includes tax returns from the previous three years and past contracts to determine the size and geographical location of my firm.

3. I declare that the above provisions are attested to under penalty of perjury under the laws of the State of California.

Bid Number: ___________________  Bid Name: __________________________

Signed ____________________________________________  Date _______________________________

Printed or typed name _______________________________  Title ______________________________

Name of Company ___________________  Telephone ___________________  Fax ___________________

Attachment 6
State of California, County of ___________

(Name) ____________________________________________, being first duly sworn, deposes and says that he or she is (title) ____________________ of (company) ______________________ the party making the foregoing bid that the bid is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the bid is genuine and not collusive or sham; that the bidder has not directly or indirectly induced or solicited any other bidder to put in a false or sham bid, and has not directly or indirectly colluded, conspired, connived, or agreed with any bidder or anyone else to put in a sham bid, or that anyone shall refrain from bidding; that the bidder has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the bid price of the bidder or any other bidder, or to fix any overhead, profit, or cost element of the bid price, or of that of any other bidder, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the bid are true; and, further, that the bidder has not, directly or indirectly, submitted his or her bid price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company association, organization, bid depository, or to any member or agent thereof to effectuate a collusive or sham bid.

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Date: ____________________ Signature: ________________________________
GENERAL PROVISIONS

Definition: The words Contractor means any Bidder, Vendor or Proposer who provides a good, service or construction to Peralta Community College District (PCCD).

1. ASSIGNMENT/DELEGATION: Neither party hereto shall assign, sublet or transfer any interest in this Agreement or any duty hereunder without written consent of the other, and no assignment shall be of any force or effect whatsoever unless and until the other party shall have so consented.

2. STATUS OF CONTRACTOR: The parties intend that CONTRACTOR, in performing the services herein specified, shall act as an independent contractor and shall have control of the work and the manner in which it is performed. CONTRACTOR is not to be considered an agent or employee of DISTRICT and is not entitled to participate in any pension plans, insurance, bonus or similar benefits DISTRICT provides its employees.

3. INDEMNIFICATION:
   (a) CONTRACTOR agrees to accept all responsibility for loss or damage to any person or entity, and to defend, indemnify, hold harmless and release DISTRICT, its officers, agents and employees, from and against any and all actions, claims, damages, disabilities or expenses including attorney's fees and witness costs that may be asserted by any person or entity, arising out of or in connection with the tortuous acts or errors or omissions of CONTRACTOR hereunder, whether or not there is concurrent passive or active negligence on the part of DISTRICT, but excluding liability due to the sole negligence or willful misconduct of DISTRICT. This indemnification obligation is not limited in any way by any limitation on the amount or type of damages or compensation payable to or for CONTRACTOR or its agents under workers' compensation acts, disability benefit acts, or other employee benefit acts.
   
   (b) CONTRACTOR shall be liable to DISTRICT for any loss or damage to DISTRICT property arising from or in connection with CONTRACTOR'S performance hereunder.

4. INSURANCE: With respect to the performance of work under this Agreement, CONTRACTOR shall maintain and shall require all of its subcontractors to maintain insurance as described below:
   
   (a) Worker's compensation insurance with statutory limits as required by the Labor Code or the State of California. Said policy shall be endorsed with the following specific language: "This policy shall not be canceled or materially changed without first giving thirty (30) days prior written notice to the DISTRICT".
   
   (b) Commercial or Comprehensive General Liability insurance covering bodily injury and property damage utilizing an occurrence policy form, in an amount no less than $1,000,000 combined single limit for each occurrence and $2,000,000 in the aggregate. Said insurance shall include, but not be limited to: premises and operations liability, independent contractors liability, and personal injury liability.
   
   (c) Automobile liability insurance covering bodily injury and property damage in an amount no less than $1,000,000 combined single limit for each occurrence. Said insurance shall include coverage for owned, hired, and non-owned vehicles.
   
   (d) Each said comprehensive or commercial general liability and automobile liability insurance policy shall be endorsed with the following specific language:
(1) DISTRICT, its officers and employees, is named as additional insured for all liability arising out of the operations by or on behalf of the named insured in the performance of this Agreement.

(2) The inclusion of more than one insured shall not operate to impair the rights of one insured against another insured, and the coverage afforded shall apply as though separate policies had been issued to each insured, but the inclusion of more than one insured shall not operate to increase the limits of the company's liability.

(3) The insurance provided herein is primary coverage to DISTRICT with respect to any insurance or self-insurance programs maintained by DISTRICT and no insurance held or owned by DISTRICT shall be called upon to contribute to a loss.

(4) This policy shall not be canceled or materially changed without first giving thirty (30) days prior written notice to DISTRICT.

(e) **Professional Liability (Errors & Omissions):** In the event any contract specifications requires your firm to provide professional services, such as but not limited to, architectural, engineering, construction management, surveying, design, etc., a certificate of insurance must be provided prior to commencing work evidencing such coverage with a limit of not less than $1,000,000. Any material change in limits, coverage or loss of aggregate limit due to outstanding claims must be reported to the District within 30 days of any such event.

(f) **Documentation:** The following documentation shall be submitted to the DISTRICT:

1. Properly executed Certificates of Insurance clearly evidencing all coverage’s, limits, and endorsements required above. Said certificates shall be submitted prior to the execution of this Agreement.
2. Signed copies of the specified endorsements for each policy. Said endorsement copies shall be submitted within thirty (30) days of execution of this Agreement.
3. Upon DISTRICT’S written request, certified copies of insurance policies. Said policy copies shall be submitted within thirty (30) days of DISTRICT’S request.

(g) **Policy Obligations:** CONTRACTOR’S indemnity and other obligations shall not be limited by the foregoing insurance requirements.

(h) **Material Breach:** If CONTRACTOR, for any reason, fails to maintain insurance coverage that is required pursuant to this Agreement, the same shall be deemed a material breach of contract. DISTRICT, at its sole option, may terminate this Agreement and obtain damages from the CONTRACTOR resulting from said breach. Alternatively, DISTRICT may purchase such required insurance coverage, and without further notice to CONTRACTOR, County may deduct from sums due to CONTRACTOR any premium costs advanced by DISTRICT for such insurance. These remedies shall be in addition to any other remedies available to DISTRICT.

5. **METHOD AND PLACE OF GIVING NOTICE, SUBMITTING BILLS AND MAKING PAYMENTS:**

A purchase order number must appear on all invoices and notices, bills and payments. All notices, bills and payments shall be made in writing and may be given by personal delivery or by mail. Notice, bills and payments sent by mail shall be addressed as follows:

DISTRICT:

Peralta Community College District
333 East 8th Street
6. **MERGER**: This writing is intended both as the final expression of the Agreement between the parties hereto with respect to the included terms and as a complete and exclusive statement of the terms of the Agreement. No modification of this Agreement shall be effective unless and until such modification is evidenced by a writing signed by both parties.

8. **TRANSFER OF RIGHTS**: CONTRACTOR assigns to DISTRICT all rights throughout the work in perpetuity in the nature of copyright, trademark, patent, right to ideas, in and to all versions of the plans and specifications now or later prepared by CONTRACTOR in connection with the project, if any. CONTRACTOR agrees to take such actions as are necessary to protect the rights assigned to DISTRICT in this Agreement, and to refrain from taking any action which would impair those rights. CONTRACTOR’S responsibilities under this contract include, but are not limited to, placing proper notice of copyright on all versions of the plans and specifications as CONTRACTOR may direct, and refraining from disclosing any versions of the plans and specifications to any third party without first obtaining written permission of DISTRICT.

9. **NONDISCRIMINATION**: CONTRACTOR shall comply with all applicable federal, state and local laws, rules and regulations in regard to nondiscrimination in employment because of race, color, ancestry, national origin, religion, sex, sexual orientation, marital status, age, medical condition, disability, transgender status or other prohibited basis. All nondiscrimination rules or regulations required by law to be included in this Agreement are incorporated by this reference.

10. **EXTRA (CHANGED) WORK**: Only the Chancellor or designee may authorize extra (and/or changed) work. The parties expressly recognize that DISTRICT and College personnel are without authorization to either order extra (and/or changed) work or waive contract requirements. Failure of the CONTRACTOR to secure proper authorization for extra work shall constitute a waiver of any and all right to adjustment in the contract price or contract time due to such unauthorized extra work and the CONTRACTOR thereafter shall be entitled to no compensation whatsoever for the performance of such work.

11. **CONFLICT OF INTEREST**: CONTRACTOR represents that it presently has no interest which would conflict in any manner or degree with the performance of services contemplated by this Agreement. CONTRACTOR further represents that in the performance of this Agreement, no person having such interest will be employed.

12. **OWNERSHIP OF WORK PRODUCT**: DISTRICT shall be the owner of and shall be entitled to immediate possession of accurate reproducible copies of any design computations, plans, correspondence or other pertinent data and information gathered or computed by CONTRACTOR prior to termination of this Agreement by DISTRICT or upon completion of the work pursuant to this Agreement.

13. **CONTRACTOR’S WARRANTY**: DISTRICT has relied upon the professional ability and training of CONTRACTOR as a material inducement to enter into this Agreement. CONTRACTOR hereby warrants that all its work will be performed in accordance with generally accepted professional practices and standards as well as the requirements of applicable federal, state and local laws, it being understood that acceptance of CONTRACTOR’S work by DISTRICT shall not operate as a waiver or release.
14. **TAXES.** CONTRACTOR agrees to file federal and state tax returns and pay all applicable state and federal taxes on amounts paid pursuant to this Agreement. In case DISTRICT is audited for compliance regarding any applicable taxes, CONTRACTOR agrees to furnish DISTRICT with proof of payment of taxes on those earnings.

15. **DUE PERFORMANCE.** Each party to this Agreement undertakes the obligation that the other’s expectation of receiving due performance will not be impaired. When reasonable grounds for insecurity arise with respect to the performance of either party, the other may, in writing, demand adequate assurance of due performance and until such written assurance is received may, if commercially reasonable, suspend any performance for which the agreed return has not been received.

16. **NO THIRD-PARTY BENEFICIARIES.** There are no intended third-party beneficiaries of this Agreement.

17. **NO WAIVER OF BREACH.** The waiver by DISTRICT of any breach of any term or promise contained in this Agreement shall not be deemed to be a waiver of such term or promise or any subsequent breach of the same or any other term or promise contained in this Agreement.

End of Section
Peralta Community College District

Conflict of Interest Affidavit

RFQ No.: 10-11/32 Bond Underwriting Services

The District must insure all firms submitting a qualification do not have a conflict of interest will any Employees or Board Members of the District. Please review the below conflict of interest form and disclose any real or potential conflicts that may exist. The District will use this form to ensure panel member evaluating your qualifications do not have a conflict of interest with your firm.

Please indicate (below) whether or not you have any past, present or planned future relationship that might suggest a conflict of interest, due to your involvement with any individual Employee or Board Member of the District.

Definitions

Relative Defined as anyone you are related to either by blood or marriage, or whose relationship with you is similar to that of persons who are related by blood or marriage.

Relationship Defined as an involvement where you or a Relative have, either directly or indirectly, worked for, worked with, had or intend to have a contract for services or employment with, or participated in any business or personal project with any individual Employee or Board Member of the District.

Question

Did/does your firm have any relationship (defined above) with any Employee or Board Member of the District?

Yes _____ No _____ If yes, please indicate below the nature of relationship, when the relationship began, and if applicable, when it ended.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

I certify that the above statement is true and accurate to the best of my knowledge and belief, and that the only relationship my firm has with the District, is directly with the Peralta Community College District (or noted above) and not with any individual Employee or Board Member of the District.

Company Name ____________________________________________

Signature _________________________________________________

Date ______________________________________________________

Attachment 9
Licensing, Registration, Disciplinary Action, and Litigation Affidavit

RFQ No.: 10-11/32 Bond Underwriting Services

Please fill out the below information about your firm.

**Licensing, Registration, and Certifications:**

1. Does your firm have an active Broker-Dealer license issued by the Securities and Exchange Commission (SEC) in the name of the firm? Yes No

2. Is your firm required by the SEC or the National Association of Securities Dealers (NASD) to file Financial and Operational Combined Uniform Single Reports (FOCUS Reports)? If so, please provide a copy of your most recent FOCUS Report. Yes No

3. Is your firm a current member in good standing with the NASD? Yes No

4. Does your firm have an active current registration as a Broker/Dealer with the State of California Department of Corporations? Yes No

5. Please provide each of the following:
   - Firm's SEC File Number __________________________
   - Firm's Central Registration Depository (C.R.D.) Number ________________________
   - Identification of one employee with a NASD series 53 license:
     - Name ____________________________________________
     - Title ______________________________________________
     - Office Location _______________________________________________

**Disciplinary Action and Litigation**

6. Within the past 24 months, has your firm or any of its current principals been the subject of an investigation by the SEC, NASD, NYSE, California Department of Corporations, or any other governmental or securities industry-based regulatory agencies? Yes No

7(a). Within the past 24 months, has your firm or any of its principals been involved in any litigation, arbitration, disciplinary or other official actions arising from the firm's underwriting, underwriting practices or management, or the purchase, sale or distribution of taxable or tax-exempt municipal securities or other governmental obligations (other than individual retail customer claims) of municipal securities? Yes No

7(b). Within the past 24 months, has your firm or any of its principals been involved in any litigation, arbitration, disciplinary or other official actions arising from any other business of the firm? Yes No

8. Has your firm ever filed for protection under federal or state bankruptcy laws? Yes No

9. Has your firm or any of its current principals been subject to criminal action under either federal or state law? Yes No

If you responded “No” to any of Questions 1-4 or if you responded “Yes” to Questions 6-9, provide additional explanation on a separate page. I certify that the above statements are true and accurate.

---------------------------------------------

Company Name

---------------------------------------------

Signature

---------------------------------------------

Date

---------------------------------------------

Attachment 10
Peralta Community College District

RFQ Acknowledgement and Signature Form

RFQ No.: 10-11/32 Bond Underwriting Services

The undersigned having carefully examined the location of the proposed work, the local conditions of the place where the work is to be done, the Invitation, the General Conditions, the Specifications and all of the documents for this project, and accurately completed the Bidder's Questionnaire, proposes to enter into a contract with Peralta Community College District to perform the work listed in this RFQ, including all of its component parts, and to furnish any and all required labor, materials, equipment, insurance, bonding, taxes, transportation and services required for this project in strict conformity with the plans and specifications prepared, including any Addenda, within the time specified.

Addendum Acknowledgement

The following addendum(s) are acknowledged in this RFQ: _________________________

Acknowledgement and Signature:

1. No Qualification is valid unless signed in ink by the person authorized to make the Qualification.
2. I have carefully read, understand and agree to the terms and conditions on all pages of this Qualification. The undersigned agrees to furnish the services stipulated on this Qualification.

Vendor Name: ___________________ Title: ________________________________

Contact Person: ________________________________

Address: ______________________________________

Telephone: _____________________________ Fax:___________________________

Contractor License #: _____________________ Expiration Date: ________________

Federal Tax Identification Number: ______________________

Authorized Signature: _______________________________ Date: ________________

Decline Qualification:

We do not wish to submit a Qualification on this Project. Please state your reason below. Please also indicate if you would like to remain on our vendor list.

Reason: ____________________________________________

____________________________________________________

Company: ___________________________ Address: __________________________

Name: ___________________________ Signature_________________________ Date: ______

Attachment 11