

STATE OF MAINE
Office of the State Treasurer



RFP#201610204

Securities Custody Services

RFP Coordinator	<p><i>All communication regarding this RFP <u>must</u> be made through the RFP Coordinator identified below.</i></p> <p><u>Name:</u> Eliza Fielding <u>Title:</u> Treasury Services Specialist <u>Contact Information:</u> eliza.fielding@maine.gov</p>
Submitted Questions Due	<p><i>All questions <u>must</u> be submitted to the RFP Coordinator identified above by:</i></p> <p><u>Date:</u> November 15, 2016, no later than 5:00 p.m., local time</p>
Proposal Submission	<p><u>Submission Deadline:</u> November 29, 2016, no later than 2:00 p.m., local time <u>Submission Address:</u> Division of Purchases, Burton M. Cross Building, 111 Sewall Street - 4th Floor, Augusta, ME 04330</p>

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PUBLIC NOTICE

**State of Maine
Office of the State Treasurer
RFP#201610204
Securities Custody Services**

The State of Maine is seeking proposals for Securities Custody Services.

A copy of the RFP can be obtained by contacting the RFP Coordinator: Eliza Fielding, Treasury Services Specialist or by downloading at <http://www.maine.gov/treasurer/rfp>. The RFP Coordinator can be reached at the following email address: eliza.fielding@maine.gov.

Proposals must be submitted to the State of Maine Division of Purchases, located at the Burton M. Cross Office Building, 111 Sewall Street - 4th Floor, Augusta, ME 04330. Proposals must be submitted by 2:00 pm, local time, on November 29, 2016. Late proposals will not be considered.

State of Maine - Office of the State Treasurer
RFP#201610204
Securities Custody Services

PART I INTRODUCTION

A. Purpose and Background

The Office of the State Treasurer (OST) is seeking proposals to provide the Unclaimed Property program physical and electronic custody services as defined in this Request for Proposals (RFP) document. The State Treasurer is the administrator of the Unclaimed Property program (per M.R.S.A. Title 33, Chapter 41), and is responsible for identifying, collecting, safekeeping, and returning unclaimed property to citizens, including securities and securities-related property. The awarded bidder will be responsible for custody of securities, dividend and interest collections, corporate action reporting, asset tracking by original delivery date, and accounting for all activities for all issues held. A list of assets held as of June 30, 2016 is included in Appendix E. This document provides instructions for submitting proposals, the procedure and criteria by which the Provider(s) will be selected, and the contractual terms which will govern the relationship between the State of Maine (“State”) and the awarded Bidder.

B. General Provisions

1. From the time this RFP is issued until award notification is made, all contact with the State regarding this RFP must be made through the aforementioned RFP Coordinator. No other person/ State employee is empowered to make binding statements regarding this RFP. Violation of this provision may lead to disqualification from the bidding process, at the State’s discretion.
2. Issuance of this RFP does not commit OST to issue an award or to pay expenses incurred by a Bidder in the preparation of a response to this RFP. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.
3. All proposals should adhere to the instructions and format requirements outlined in this RFP and all written supplements and amendments (such as the Summary of Questions and Answers), issued by OST. Proposals are to follow the format and respond to all questions and instructions specified below in the “Proposal Submission Requirements” section of this RFP.
4. Bidders shall take careful note that in evaluating a proposal submitted in response to this RFP, OST will consider materials provided in the proposal, information obtained through interviews/presentations (if any), and internal departmental information of previous contract history with the Bidder (if any). OST also reserves the right to consider other reliable references and publicly available information in evaluating a Bidder’s experience and capabilities.
5. The proposal shall be signed by a person authorized to legally bind the Bidder and shall contain a statement that the proposal and the pricing contained therein will remain valid and binding for a period of 180 days from the date and time of the bid opening.
6. The RFP and the selected Bidder’s proposal, including all appendices or attachments, shall be the basis for the final contract, as determined by the OST.
7. Following announcement of an award decision, all submissions in response to this RFP will be considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) (1 M.R.S. §§ 401 et seq.).
<http://www.mainelegislature.org/legis/statutes/1/title1sec401.html>

8. OST, at its sole discretion, reserves the right to recognize and waive minor informalities and irregularities found in proposals received in response to this RFP.
9. The State of Maine Division of Purchases reserves the right to authorize other departments to use the contract(s) resulting from this RFP, if it is deemed to be beneficial for the State to do so.
10. All applicable laws, whether or not herein contained, shall be included by this reference. It shall be the Bidder's responsibility to determine the applicability and requirements of any such laws and to abide by them.

C. Eligibility to Submit Bids

All interested parties are invited to submit bids in response to this Request for Proposals.

D. Contract Term

OST is seeking a cost-efficient proposal to provide services, as defined in this RFP, for the anticipated contract period defined in the table below. Please note that the dates below are estimated and may be adjusted, as necessary, in order to comply with all procedural requirements associated with this RFP and the contracting process. The actual contract start date will be established by a completed and approved contract.

Contract Renewal: Following the initial term of the contract, OST may opt to renew the contract for up to two (2) renewal periods, as shown in the table below, and subject to continued availability of funding and satisfactory performance.

The term of the anticipated contract, resulting from this RFP, is defined as follows:

Period	Start Date	End Date
Initial Period of Performance	1/1/2017	12/31/2020
Renewal Period #1	1/1/2021	12/31/2021
Renewal Period #2	1/1/2022	12/31/2022

E. Number of Awards

OST anticipates making one award as a result of this RFP process.

PART II SCOPE OF SERVICES TO BE PROVIDED

A. Minimum Requirements

1. Meet all legal and regulatory requirements of all appropriate departments and agencies of Federal and State Government as appropriate for the services to which you are proposing.
2. Adapt to reasonable changes in State systems, procedures, technology, and needs.
3. Demonstrate reasonable internal controls to safeguard funds, accounts, and confidential data.
4. Communicate to and seek approval from authorized OST staff for any addition, change, modification, or deletion of any and all services, equipment, security, and processes covered by any contract resulting from this RFP.
5. Employ appropriate disaster recovery plans and resources to adequately and completely protect all OST accounts and funds.

B. Scope of Work

1. Provide OST access to a knowledgeable account representative (and sufficient back-up coverage) that is available and responsive to the State's daily needs from at least 8:00 am to 5:00 pm local time. This person shall be responsible for tracking all requests, providing status updates on submitted requests, and ensuring all requests have been addressed timely and satisfactorily.
2. Provide all reports and statements, all in hard copy and electronic (MS Excel) format, within five (5) business days of the last reporting day of the reporting period. Statements shall include a record of all cash and share transactions for the preceding month, as well as a detailed listing of all current holdings with market values as of the end of the period.
3. Wire all monies due OST from the custody account no later than the third (3rd) business day of each month following posting or at any time upon the request of OST.
4. Provide electronic system access (internet-based or otherwise) to account information and transaction details, corporate history and activity, and reorganization information. Real-time information is preferred but no later than next-day reporting is required. The system must:
 - a) Provide a minimum of one year historical account transaction data;
 - b) Provide the ability to download transaction data and asset holdings;
 - c) Provide the ability to retrieve and/or print online information;
 - d) Provide the ability to receive electronic batch stock transfer requests generated by OST;
 - e) Provide electronic acknowledgement of transaction requests submitted electronically by OST;

- f) Provide electronic notification of mutual funds transfers when completed;
 - g) Provide OST access to online corporate history subscription service to search and review all pertinent data on restructurings, mergers, spin-offs, tenders, etc; and
 - h) Be available from at least 7:00 am to 6:00 pm, Monday through Friday local time, excluding State holidays.
5. Provide appropriate security as mutually agreed upon for all internet systems and automated financial transactions. Minimum security protocols shall include:
- 1. Session timeout after not more than sixty (60) minutes;
 - 2. Required password changes every thirty (30) days; and
 - 3. Individual user names and passwords for each user.
6. Maintain records of all transactions for a period of not less than ten (10) years.
7. Provide a written and electronic monthly analysis of fees for each account and a line-item summary of all accounts. The analyses shall accompany the invoice and detail the number of transactions, the unit price, and the total amount billed for each line item, along with a grand total of services provided for that statement period. If there are multiple accounts, a consolidated statement must be provided as well. Provide a sample account analysis, including a consolidated statement, if applicable, with the proposal.
8. Maintain an automated system capable of accounting for a wide variety of securities which includes, but is not limited to, common and preferred stocks; dividend reinvestment plans; book entry and direct registration shares; stock warrants and options; corporate, government, and municipal bonds; and mutual funds.
9. Provide a monthly electronic (MS Excel) file concerning securities (by CUSIP) received, transferred, beginning and updated account balances, and all corporate activity (including name or CUSIP changes, mergers, acquisitions, splits, reorganizations, dividends, redemptions, exchanges, etc.) for securities in OST's account.
10. Provide for separate accounting for OST's account and its accruals.
11. Have the capability of handling a large number of small denominations of various securities.
12. Have the capability of receiving and holding stock in certificate form.
13. Process non-certificated property such as mutual funds, book entry or direct registration shares, and dividend reinvestment plan shares similarly to certificated shares.
14. Transfer securities registered in the name of the Treasurer, State of Maine, into OST's nominee name, as well as transfer from the nominee name into the name determined to be the rightful

owner by OST within thirty (30) days from the date of request. If any request for transfer exceeds thirty (30) days, the transfer shall be without fee to OST or the rightful owner.

15. Collect and allocate all dividends and interest income by CUSIP to OST’s account upon receipt. The custodian must also be able to collect and allocate all stock splits, corporate actions and any other activity per CUSIP upon receipt.
16. Compute earnings history for a particular issue for a specified period of time for a specified number of shares, the number of computations to be unlimited.
17. Research unpublished and unknown items received by OST as requested.
18. Monitor and collect proceeds for bonds upon maturity/call.
19. Execute sales of securities within ten (10) business days including liquidating mutual fund accounts upon instruction from OST.
20. Accept electronic sale orders (Microsoft Excel) and provide an electronic turn-around file (same file with “Sale Date” and “Proceeds” [highlighted columns below] details provided for each item sold) with the report of sale proceeds within fifteen (15) days of the sale authorization. A file sample is included below.

Stock ID	CUSIP	Symbol	Security Issue Name	Sale Date	Proceeds	Shares to Sell
1399	20030N101	CMCSA	COMCAST CORP NEW CL A			4.0000
1790	013904305	ALU	ALCATEL LUCENT SPONSORED ADR			241.0000
3304	45822P105		INTEGRYS ENERGY GROUP INC			1.0000
3905	12673P105		CA INC.			6.0000
3127	35906a108		FRONTIER COMMUNICATIONS			139.3180
680	931142103		WAL MART STORES			0.0942

21. Invest income daily from any sales and collection of dividends, interest, cash-in-lieu, etc. in a U.S. Government short-term money market fund. The investment earnings and principal must be included in the monthly remittance to OST. Please provide a three (3)-year monthly history (through June, 2016) of interest rates for interest-bearing accounts.
22. Upon completion of the awarded contract, the custodian must, at no cost to OST or its portfolio: transfer all securities to the successor custodian; provide the successor custodian with all information related to the services; and respond to any questions from OST or successor custodian related to the custodian’s prior administration of the portfolio.

PART III KEY RFP EVENTS

A. Questions

1. General Instructions

- a. It is the responsibility of each Bidder to examine the entire RFP and to seek clarification, in writing, if the Bidder does not understand any information or instructions.
- b. Submitted Questions must be submitted by e-mail and received by the RFP Coordinator, identified on the cover page of this RFP, as soon as possible but no later than the dates and times specified on the RFP cover page.
- c. Submitted Questions should include the RFP Number and Title in the subject line. OST assumes no liability for assuring accurate/complete/on time e-mail transmission and receipt.
- d. Be sure to refer to the page number and paragraph within this RFP relevant to the question presented for clarification, if applicable.

2. **Summary of Questions and Answers:** Responses to all substantive and relevant questions will be compiled in writing and posted at <http://www.maine.gov/treasurer/rfp> no later than seven (7) calendar days prior to the proposal due date. Only those answers issued in writing by the RFP Coordinator and posted online as detailed above will be considered binding. OST reserves the right to not answer any question received. IT WILL BE THE BIDDER'S RESPONSIBILITY TO CHECK THE REFERENCED WEBSITE (<http://www.maine.gov/treasurer/rfp>) FOR CLARIFICATIONS AND ANY NEW AMENDMENTS TO THE RFP.

B. Submitting the Proposal

1. **Proposals Due:** Proposals must be received no later than 2:00 p.m. local time, on the date listed on the cover page of this RFP, at which point they will be opened. Proposals received after the 2:00 p.m. deadline will be rejected without exception.
2. **Mailing/Delivery Instructions:** The official delivery site is the State of Maine, Division of Purchases (Please refer to the RFP cover page for submission address).
 - a. Only proposals received at the official delivery site prior to the stated deadline will be considered. Bidders submitting proposals are responsible for allowing adequate time for delivery. Postmarks do not count and fax or electronic mail transmissions of proposals are not permitted. Any method of hardcopy delivery is acceptable, such as US Mail, in-person delivery by Bidder, or use of private courier services.
 - b. The Bidder must send its proposal submission in a sealed package and must include an original signed copy, (3) photocopies, and one electronic copy of their complete proposal. The electronic copy of the proposal must be provided on USB flash drive with the complete narrative and attachments in MS Word format. Any attachments that cannot be submitted in MS Word format may be submitted as Adobe (.pdf) files.
 - c. Bidders' submission packages are to be clearly labeled and contain the following information:
 - Proposal submission address provided on the RFP cover page
 - The Bidder's full business name and address
 - The RFP Number and Title

PART IV PROPOSAL SUBMISSION REQUIREMENTS

This section contains instructions for Bidders to use in preparing their proposals. The Bidder's proposal must follow the outline used below, including the numbering and section and sub-section headings as they appear here. Failure to use the outline specified in this section, or to respond to all questions and instructions throughout this document, may result in the proposal being disqualified as non-responsive or receiving a reduced score. OST, and its evaluation team for this RFP, has sole discretion to determine whether a variance from the RFP specifications should result in either disqualification or reduction in scoring of a proposal. Rephrasing of the content provided in this RFP will, at best, be considered minimally responsive. OST seeks detailed yet succinct responses that demonstrate the Bidder's experience and ability to perform the requirements specified throughout this document.

A. Proposal Format

1. All pages of a Bidder's proposal should be numbered consecutively beginning with number 1 on the first page of the narrative (this does not include the cover page or table of contents pages) through to the end, including all forms and attachments. For clarity, the Bidder's name should appear on every page, including Attachments. Each Attachment must reference the section or subsection number to which it corresponds.
2. Bidders are asked to be brief and concise in responding to the RFP questions and instructions.
3. The Bidder may not provide additional attachments beyond those specified in the RFP for the purpose of extending their response. Additional materials not requested will not be considered part of the proposal and will not be evaluated.
4. Include any forms provided in the application package or reproduce those forms as closely as possible. All information should be presented in the same order and format as described in the RFP.
5. It is the responsibility of the Bidder to provide all information requested in the RFP package at the time of submission. Failure to provide information requested in this RFP may, at the discretion of OST's evaluation review team, result in a lower rating for the incomplete sections and may result in the proposal being disqualified for consideration.
6. Bidders should complete and submit the "Proposal Cover Page" provided in **Appendix A** of this RFP and provide it with the Bidder's proposal. The cover page must be the first page of the proposal package. It is important that the cover page show the specific information requested, including Bidder address(es) and other details listed. The proposal cover page shall be dated and signed by a person authorized to enter into contracts on behalf of the Bidder.
7. Bidders should complete and submit the "Debarment, Performance and Non-Collusion Certification Form" provided in **Appendix B** of this RFP. Failure to provide this certification may result in the disqualification of the Bidder's proposal, at the discretion of OST.

B. Proposal Contents

Section I Organization Qualifications and Experience

1. Overview of the Organization

Bidders are to complete **Appendix C** (Qualifications and Experience Form) describing their qualifications and skills to provide the requested services in this RFP. Bidders are also to include three examples of projects which demonstrate their experience and expertise in performing these services as well as highlighting the Bidder's stated qualifications and skills.

2. Required Attachments Related to Qualifications

- a. Attach documentation of any applicable licensure requirements or any specific credentials required to provide the requested services.
- b. Attach a certificate of insurance on a standard Acord form (or the equivalent) evidencing the Bidder's general liability, professional liability and any other relevant liability insurance policies that might be associated with this contract.

Section II Proposed Services

1. Services to be Provided

Discuss the Scope of Services referenced above in Part II of this RFP and what the Bidder will offer. Give particular attention to describing the methods and resources you will use and how you will accomplish the tasks involved. Also, describe how you will ensure expectations and/or desired outcomes as a result of these services will be achieved. If subcontractors are involved, clearly identify the work each will perform.

2. Implementation - Work Plan

Provide a realistic work plan for the implementation of the program through the first contract period. Display the work plan in a timeline chart. Concisely describe each program development and implementation task, the month it will be carried out and the person or position responsible for each task. If applicable, make note of all tasks to be delegated to subcontractors.

Section III Cost Proposal

1. General Instructions

- a. The Bidder must submit a cost proposal that covers the entire period of the initial contract. Please use the expected "Initial Period of Performance" dates stated in PART I, D.
- b. The cost proposal shall include the costs necessary for the Bidder to fully comply with the contract terms and conditions and RFP requirements.
- c. No costs related to the preparation of the proposal for this RFP or to the negotiation of the contract with OST may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.

2. Cost Proposal Form Instructions

The Bidder should fill out **Appendix D** (Cost Proposal Form), following the instructions detailed here and in the form. Failure to provide the requested information, and to follow the required cost proposal format provided, may result in the exclusion of the proposal from consideration, at the discretion of the OST.

PART V PROPOSAL EVALUATION AND SELECTION

Evaluation of the submitted proposals shall be accomplished as follows:

A. Evaluation Process - General Information

1. An evaluation team, comprised of qualified reviewers, will judge the merits of the proposals received in accordance with the criteria defined in the RFP, and in accordance with the most advantageous financial and economic impact considerations (where applicable) for the State.
2. Officials responsible for making decisions on the selection of a contractor shall ensure that the selection process accords equal opportunity and appropriate consideration to all who are capable of meeting the specifications. The goals of the evaluation process are to ensure fairness and objectivity in review of the proposals and to ensure that the contract is awarded to the Bidder whose proposal provides the best value to the State of Maine.
3. OST reserves the right to communicate and/or schedule interviews/presentations with Bidders if needed to obtain clarification of information contained in the proposals received, and OST may revise the scores assigned in the initial evaluation to reflect those communications and/or interviews/presentations. Interviews/presentations are not required, and changes to proposals will not be permitted during any interview/presentation process. Therefore, Bidders should submit proposals that present their rates and other requested information as clearly and completely as possible.

B. Scoring Weights and Process

1. **Scoring Weights:** The score will be based on a 100 point scale and will measure the degree to which each proposal meets the following criteria.

Section I. Organization Qualifications and Experience (25 points)

Includes all elements addressed above in Part IV, B, Section I.

Section II. Specifications of Work to be Performed (35 points)

Includes all elements addressed above in Part IV, B, Section II.

Section III. Cost Proposal (40 points)

Includes all elements addressed above in Part IV, B, Section III.

2. **Scoring Process:** The review team will use a consensus approach to evaluate and score Sections I & II above. Members of the review team will not score those sections individually but, instead, will arrive at a consensus as to assignment of points for each of those sections. The Cost section will be scored as described below. The contract award(s) will be made to the Bidder(s) receiving the highest number of evaluation points based upon the proposals' satisfaction of the criteria established in the RFP.
3. **Scoring the Cost Proposal:** The total cost proposed for conducting all the functions specified in this RFP will be assigned a score according to a mathematical formula. The lowest bid will be awarded 40 points. Proposals with higher bids values will be awarded proportionately fewer points calculated in comparison with the lowest bid.

The scoring formula is:

(Lowest submitted cost proposal / Cost of proposal being scored) x 40 = pro-rated score

No Best and Final Offers: The State of Maine will not seek a best and final offer (BAFO) from any Bidder in this procurement process. All Bidders are expected to provide their best value pricing with the submission of their proposal.

4. **Negotiations**: OST reserves the right to negotiate with the successful Bidder to finalize a contract at the same rate or cost of service as presented in the selected proposal. Such negotiations may not significantly vary the content, nature or requirements of the proposal or OST's Request for Proposals to an extent that may affect the price of goods or services requested. OST reserves the right to terminate contract negotiations with a selected respondent who submits a proposed contract significantly different from the proposal they submitted in response to the advertised RFP. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, OST may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the OST may cancel the RFP, at its sole discretion.

C. Selection and Award

1. The final decision regarding the award of the contract will be made by representatives of OST subject to approval by the State Procurement Review Committee.
2. Notification of contractor selection or non-selection will be made in writing by OST.
3. Issuance of this RFP in no way constitutes a commitment by the State of Maine to award a contract, to pay costs incurred in the preparation of a response to this request, or to pay costs incurred in procuring or contracting for services, supplies, physical space, personnel or any other costs incurred by the Bidder.
4. OST reserves the right to reject any and all proposals or to make multiple awards.

D. Appeal of Contract Awards

Any person aggrieved by the award decision that results from this RFP may appeal the decision to the Director of the Bureau of General Services in the manner prescribed in 5 MRSA § 1825-E and 18-554 Code of Maine Rules, Chapter 120 (found here: <http://www.maine.gov/purchases/policies/120.shtml>). The appeal must be in writing and filed with the Director of the Bureau of General Services, 9 State House Station, Augusta, Maine, 04333-0009 within 15 calendar days of receipt of notification of contract award.

PART VI CONTRACT ADMINISTRATION AND CONDITIONS

A. Contract Document

1. The successful Bidder will be required to execute a contract in the form of a State of Maine Agreement to Purchase Services (BP54). A list of applicable Riders is as follows:

Rider A: Specification of Work to be Performed

Rider B: Method of Payment and Other Provisions

Rider C: Exceptions to Rider B

Rider D: Fee Schedule

Rider E: RFP

Rider G: Identification of Country in Which Contracted Work Will Be Performed

The complete set of standard BP54 contract documents may be found on the Division of Purchases website at the following link: <http://www.maine.gov/purchases/info/forms/BP54.doc>

Other forms and contract documents commonly used by the State can be found on the Division of Purchases website at the following link: <http://www.maine.gov/purchases/info/forms.html>

2. Allocation of funds is final upon successful negotiation and execution of the contract, subject to the review and approval of the State Procurement Review Committee. Contracts are not considered fully executed and valid until approved by the State Procurement Review Committee and funds are encumbered. No contract will be approved based on an RFP which has an effective date less than fourteen (14) calendar days after award notification to Bidders. (Referenced in the regulations of the OST of Administrative and Financial Services, Chapter 110, § 3(B)(i): <http://www.maine.gov/purchases/policies/110.shtml>

This provision means that a contract cannot be effective until at least 14 days after award notification.

3. The State recognizes that the actual contract effective date depends upon completion of the RFP process, date of formal award notification, length of contract negotiation, and preparation and approval by the State Procurement Review Committee. Any appeals to OST's award decision(s) may further postpone the actual contract effective date, depending upon the outcome. The contract effective date listed in this RFP may need to be adjusted, if necessary, to comply with mandated requirements.
4. In providing services and performing under the contract, the successful Bidder(s) shall act as an independent contractor and not as an agent of the State of Maine.

B. Standard State Agreement Provisions

1. Agreement Administration

- a. Following the award, an Agreement Administrator from OST will be appointed to assist with the development and administration of the contract and to act as administrator during the entire contract period. OST staff will be available after the award to consult with the successful Bidder in the finalization of the contract.
- b. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, OST may withdraw its award and negotiate with the next-highest ranked Bidder, and so on,

until an acceptable contract has been finalized. Alternatively, OST may cancel the RFP, at its sole discretion.

2. Payments and Other Provisions

The State anticipates paying the Contractor on the basis of net 30 payment terms, upon the receipt of an accurate and acceptable invoice. An invoice will be considered accurate and acceptable if it contains a reference to the State of Maine contract number, contains correct pricing information relative to the contract, and provides any required supporting documents, as applicable, and any other specific and agreed-upon requirements listed within the contract that results from this RFP.

PART VII LIST OF RFP APPENDICES AND RELATED DOCUMENTS

1. Appendix A – Proposal Cover Page
2. Appendix B – Debarment, Performance and Non-Collusion Certification
3. Appendix C – Qualifications and Experience Form
4. Appendix D – Cost Proposal Form
5. Appendix E – List of Assets

APPENDIX A

**State of Maine
Office of the State Treasurer
PROPOSAL COVER PAGE
RFP#201610204
Securities Custody Services**

Bidder's Organization Name:		
Chief Executive - Name/Title:		
Tel:	Fax:	E-mail:
Headquarters Street Address:		
Headquarters City/State/Zip:		
<i>(provide information requested below if different from above)</i>		
Lead Point of Contact for Proposal - Name/Title:		
Tel:	Fax:	E-mail:
Street Address:		
City/State/Zip:		

Proposed Cost:	\$
<i>The proposed cost listed above is for reference purposes only, not evaluation purposes. In the event that the cost noted above does not match the Bidder's detailed cost proposal documents, then the information on the cost proposal documents will take precedence.</i>	

- This proposal and the pricing structure contained herein will remain firm for a period of 180 days from the date and time of the bid opening.
- No personnel currently employed by the OST or any other State agency participated, either directly or indirectly, in any activities relating to the preparation of the Bidder's proposal.
- No attempt has been made or will be made by the Bidder to induce any other person or firm to submit or not to submit a proposal.
- The undersigned is authorized to enter into contractual obligations on behalf of the above-named organization.

To the best of my knowledge, all information provided in the enclosed proposal, both programmatic and financial, is complete and accurate at the time of submission.

Name (Print):	Title:
Authorized Signature:	Date:

APPENDIX B

**State of Maine
Office of the State Treasurer
DEBARMENT, PERFORMANCE and NON-COLLUSION CERTIFICATION
RFP#201610204
Securities Custody Services**

By signing this document, I certify to the best of my knowledge and belief that the aforementioned organization, its principals and any subcontractors named in this proposal:

- a. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from bidding or working on contracts issued by any governmental agency.*
- b. Have not within three years of submitting the proposal for this contract been convicted of or had a civil judgment rendered against them for:*
 - i. Fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government transaction or contract.*
 - ii. Violating Federal or State antitrust statutes or committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;*
 - iii. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and*
 - iv. Have not within a three (3) year period preceding this proposal had one or more federal, state or local government transactions terminated for cause or default.*
- c. Have not entered into a prior understanding, agreement, or connection with any corporation, firm, or person submitting a response for the same materials, supplies, equipment, or services and this proposal is in all respects fair and without collusion or fraud. The above mentioned entities understand and agree that collusive bidding is a violation of state and federal law and can result in fines, prison sentences, and civil damage awards.*

Failure to provide this certification may result in the disqualification of the Bidder's proposal, at the discretion of the OST.

Name (Print):	Title:
Authorized Signature:	Date:

State of Maine
Office of the State Treasurer
QUALIFICATIONS & EXPERIENCE FORM
RFP#201610204
Securities Custody Services

Bidder's Organization Name:	
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Present a brief statement of qualifications, including any applicable licensure and/or certification. Describe the history of the Bidder's organization, especially regarding skills pertinent to the specific work required by the RFP and any special or unique characteristics of the organization which would make it especially qualified to perform the required work activities. Include similar information for any subcontractors. You may expand this form and use additional pages to provide this information.

APPENDIX C (continued)

Provide a description of projects that occurred within the past five years which reflect experience and expertise needed in performing the functions described in the “Scope of Services” portion of this RFP. For each of the project examples provided, a contact person from the client organization involved should be listed, along with that person’s telephone number and email address. Please note that contract history with the State of Maine, whether positive or negative, may be considered in rating proposals even if not provided by the Bidder.

Project One	
Client Name:	
Client Contact Person:	
Telephone:	
E-Mail:	
Brief Description of Project	

Project Two	
Client Name:	
Client Contact Person:	
Telephone:	
E-Mail:	
Brief Description of Project	

APPENDIX C (continued)

Project Three	
Client Name:	
Client Contact Person:	
Telephone:	
E-Mail:	
Brief Description of Project	

APPENDIX D

**State of Maine
Office of the State Treasurer
COST PROPOSAL FORM
RFP#201610204
Securities Custody Services**

Complete the following fee schedule. Please use the fees proposed along with the average number of transactions (FY16) to calculate the approximate cost of services for a one year period. The cost of the initial three (3)-year contract period will be based on the calculations from the table below. If your institution is proposing any fee incentives or rebates to the State of Maine to obtain/maintain this business, please provide details.

Bidder's Organization Name:	
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Item			
Yearly Account Charge	\$		
Monthly Maintenance	Proposed Fee (per transaction)	Avg. # of Transactions FY16	Total Proposed Fee
DTC	\$	419	\$
Physical	\$	15	\$
Mutual Fund	\$	212	\$
Physical/DTC Liquidation	\$	60	\$
Physical/DTC Receipt	\$	43	\$
DTC Transfer Deliver to State	\$	6	\$
Receipt of Mutual Fund/DRP	\$	17	\$
Transfer of Mutual Fund/DRP	\$	1	\$
Sale of Mutual Fund/DRP	\$	17	\$
Other Fees/Incentives	\$		\$
Other Fees/Incentives	\$		\$
PROPOSED COST (<i>sum of Yearly Account Charge, Monthly Maintenance Total Proposed Fees and Other Fees/Incentives above</i>)			\$

APPENDIX E

UNCLAIMED PROPERTY LIST OF ASSETS as of JUNE 30, 2016