

**PROCUREMENT DISCLOSURE**  
**Deferred Compensation Plan**  
**2011/2012 Request for Proposal for Investment Management Services**  
**CONFLICT OF INTEREST AND EVALUATION CONFIDENTIALITY CERTIFICATION**  
**FOR BOARD MEMBERS**

As a participant in the evaluation and decision-making process for the above-referenced 2011/2012 procurement process for investment management services for the Deferred Compensation Plan, I hereby assert the following:

1. I recognize it is my responsibility to act in accordance with ethical standards to assure the integrity of this Request for Proposal (RFP) and to provide a fair and objective process for interested vendors by making decisions in the best interests of the Deferred Compensation Program and its participants using only the criteria set forth in the RFP, considering staff's evaluation, and recommendations of vendor proposals based on the information contained in vendor proposals, without regard to any other factor.
2. I do not have a financial or other interest<sup>1</sup>, nor does any member of my immediate family<sup>2</sup> have a financial or other interest, in the outcome of this selection process.
3. I will bring to the attention of the Board of Deferred Compensation Administration and its staff any potential conflict of interest matter, including but not limited to conflict of current or previous employment or business relationships with a proposer or known subcontractor, immediately upon becoming aware of such matter.
4. I agree that I have not met nor will meet or otherwise communicate(d) privately with employees, representatives or registered lobbyists of any actual or potential bidder regarding this RFP through the rendering of a final contract award, with the purpose or result of engaging in a conversation materially related to the vendor's securing business from the City's Plan. I understand that this provision does not limit my ability to acquire information from or otherwise communicate with any actual/potential bidder pursuant to procedures provided for in the RFP.
5. To the extent provided for in the RFP and consistent with applicable State and local law, I agree to maintain strict confidentiality of the proposal evaluation and selection proceedings and the security of all documents pertaining thereto, and not to hold discussions nor divulge/accept information on any aspect of the evaluation of proposals outside the authorized participants in the proposal evaluation process.

**Deferred Compensation Board Member Signature:**

Signed: \_\_\_\_\_ Date \_\_\_\_\_

Name: \_\_\_\_\_  
(Print)

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<sup>1</sup> The term "financial or other interest" incorporates the definition set forth in the Political Reform Act, which, as relevant, identifies (i) an investment in the firm over \$2k, (ii) a management position, (iii) a source of income over \$500 within 12 months prior to the decision, (iv) a source of gifts of \$420 within 12 months prior to the decision, or (v) personal expenses of \$250; and for the purposes of this RFP, includes but is not limited to: (1) Any direct or indirect financial interest in the specific contract or proposal, including a commission or fee, a share of the proceeds, prospect of a promotion or of future employment, a profit, or any other form of financial reward; (2) Any of the following interests in the Proposer's ownership: partnership interest or other beneficial interest of five percent or more; ownership of five percent or more of the stock; employment in a managerial capacity; or membership on the board of directors or governing body.

<sup>2</sup> The term "immediate family" includes but is not limited to those persons related by blood or marriage, such as husband, wife, father, mother, brother, sister, son, daughter, father-in-law, mother-in-law, brother-in-law, sister-in-law, son-in-law, and daughter-in-law.

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**FOR DEFERRED COMPENSATION STAFF MEMBERS**

As a participant in the evaluation and decision-making process for the above-referenced 2011/2012 procurement process for investment management services for the Deferred Compensation Plan, I hereby assert the following:

1. I recognize it is my responsibility to act in accordance with ethical standards to assure the integrity of this Request for Proposal (RFP) and to provide a fair and objective process for interested vendors by making decisions in the best interests of the Deferred Compensation Program and its participants using only the criteria set forth in the RFP and based on the information contained in vendor proposals, without regard to any other factor.
2. I do not have a financial or other interest<sup>3</sup>, nor does any member of my immediate family<sup>4</sup> have a financial or other interest, in the outcome of this selection process.
3. I will bring to the attention of the Board of Deferred Compensation Administration and my supervisors any potential conflict of interest matter, including but not limited to conflict of current or previous employment or business relationships with a proposer or known subcontractor, immediately upon becoming aware of such matter.
4. I agree that I have not met nor will meet or otherwise communicate(d) privately with employees, representatives or registered lobbyists of any actual or potential bidder regarding this RFP through the rendering of a final contract award, with the purpose or result of engaging in a conversation materially related to the vendor's securing business from the City's Plan. I understand that this provision does not limit my ability to acquire information from or otherwise communicate with any actual/potential bidder pursuant to procedures provided for in the RFP.
5. To the extent provided for in the RFP and consistent with applicable State and local law, I agree to maintain strict confidentiality of the proposal evaluation and selection proceedings and the security of all documents pertaining thereto, and not to hold discussions nor divulge/accept information on any aspect of the evaluation of proposals outside the authorized participants in the proposal evaluation process.

**Deferred Compensation Staff Member Signature:**

Signed: \_\_\_\_\_ Date \_\_\_\_\_

Name: \_\_\_\_\_  
(Print)

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<sup>3</sup> The term "financial or other interest" incorporates the definition set forth in the Political Reform Act, which, as relevant, identifies (i) an investment in the firm over \$2k, (ii) a management position, (iii) a source of income over \$500 within 12 months prior to the decision, (iv) a source of gifts of \$420 within 12 months prior to the decision, or (v) personal expenses of \$250; and for the purposes of this RFP, includes but is not limited to: (1) Any direct or indirect financial interest in the specific contract or proposal, including a commission or fee, a share of the proceeds, prospect of a promotion or of future employment, a profit, or any other form of financial reward; (2) Any of the following interests in the Proposer's ownership: partnership interest or other beneficial interest of five percent or more; ownership of five percent or more of the stock; employment in a managerial capacity; or membership on the board of directors or governing body.

<sup>4</sup> The term "immediate family" includes but is not limited to those persons related by blood or marriage, such as husband, wife, father, mother, brother, sister, son, daughter, father-in-law, mother-in-law, brother-in-law, sister-in-law, son-in-law, and daughter-in-law.