



**FINANCIAL ADVISOR SERVICES
Solicitation No. R-21-011-JP**

**ADDENDUM NO. 1
September 24, 2021**

To Respondent of Record:

RESPONSE TO QUESTIONS

NO QUESTIONS WERE RECEIVED FOR THIS SOLICITATION.

CHANGES TO THE RFP

1. **Pages 12-15, RESPONDENT QUESTIONNAIRE:** The Respondent Questionnaire is hereby removed in its entirety and replaced with the attached revised Respondent Questionnaire. This version shall be utilized by Respondents when submitting a proposal to this RFP.
 - a. Revision to No Boycotting Israel to include additional No Boycotting and No Discrimination Verifications
 - b. Insertion of Texas Government Code 2274 Verifications
2. **Page 43, Sample Contract, XXVIII Attachments,** remove and replace with the following:

Exhibit A.	RFP
Exhibit B.	Bond Fee Schedule
Exhibit C.	Disclosure Form
Exhibit D.	No Boycotting and No Discrimination Verifications
3. **Page 48, Exhibit D, No Boycotting Israel Verification, remove in its entirety and replace with the revised version attached to this Addendum.**

END OF ADDENDUM 1

This Addendum is six (6) pages with attachments in its entirety.

Attachments:

Respondent Questionnaire

Exhibit D -No Boycotting and No Discrimination Verifications



RESPONDENT QUESTIONNAIRE

Rev. 9/15/21

PROJECT NAME: Financial Advisor Services RFP

Instructions: The Respondent Questionnaire is a required questionnaire. Complete the questionnaire by inserting the requested information. Do not modify or delete the questions.

GENERAL INFORMATION

1. **Respondent Information:** Provide the following information regarding the Respondent.
(NOTE: Co-Respondents are two or more entities proposing as a team or joint venture with each signing the contract, if awarded. Subconsultants are not Co-Respondents and should not be identified here. If this proposal includes Co-Respondents, provide the required information in this Item #1 for each Co-Respondent by copying and inserting an additional block(s) before Item #2.)

Respondent Name: _____

(NOTE: Give exact legal name as it will appear on the contract, if awarded.)

Principal Address: _____

City: _____ State: _____ Zip Code: _____

Telephone No. _____ Fax No: _____

Social Security Number or Federal Employer Identification Number: _____

2. **Operational Contact Information:** List the one person who SAWS may contact concerning your proposal or setting dates for meetings.

Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone No. _____ Fax No: _____

Email: _____

3. **Legal Contact Information:** If a contract were to be awarded, list where all notices under the Contract shall be sent to. This is in addition to the Operational Contact.

Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone No. _____ Fax No: _____

Email: _____

4. Identify the principal contact person authorized to commit the Respondent to a contractual agreement.

5. Does Respondent anticipate any mergers, transfer of organization ownership, management reorganization, or departure of key personnel within the next twelve (12) months?

Yes No

4. Is Respondent authorized and/or licensed to do business in Texas?

Yes No If "Yes", list authorizations/licenses.

7. **Affirmative Action** - Respondent agrees to adhere to the EEO requirements contained in the RFP section V, sub-section B.,1.

Yes No If "No", state reason.

8. **Debarment/Suspension Information:** Has the Respondent or any of its principals been debarred or suspended from contracting with any public entity?

Yes No If "Yes", identify the public entity and the name and current phone number of a representative of the public entity familiar with the debarment or suspension, and state the reason for or circumstances surrounding the debarment or suspension, including but not limited to the period of time for such debarment or suspension.

9. **Bankruptcy Information:** Has the Respondent ever been declared bankrupt or filed for protection from creditors under state or federal proceedings?

Yes No If "Yes", state the date, court, jurisdiction, cause number, amount of liabilities and amount of assets.

10. Provide any other names under which Respondent has operated within the last 10 years.

11. **Litigation Disclosure:** Respond to each of the questions below by checking the appropriate box. Failure to fully and truthfully disclose the information required in the Litigation Disclosure questions may result in the disqualification of your proposal from consideration or termination of the contract, once awarded.

a. Have you or any member of your Firm or Team to be assigned to this project ever been indicted or convicted of a felony or misdemeanor greater than a Class C in the last five (5) years?

Yes No

b. Have you or any member of your Firm or Team to be assigned to this project been terminated (for cause or otherwise) from any work being performed for the San Antonio Water System or any other Federal, State or Local Government, or Private Entity?

Yes No

c. Have you or any member of your Firm or Team to be assigned to this project been involved in any claim or litigation with the San Antonio Water System or any other Federal, State or Local Government, or Private Entity during the last ten (10) years?

Yes No

If you have answered "Yes" to any of the above questions, please indicate the name(s) of the person(s), the nature, and the status and/or outcome of the information, indictment, conviction, termination, claim or litigation, as applicable. Any such information should be provided on a separate page, attached to this form and submitted with your proposal.

12. Compliance Agreement:

Nondisclosure. No information obtained by Respondent from SAWS shall be disclosed by Respondent to any third party. In the event Respondent is subject to the Texas Public Information Act, upon receipt of a request for any information obtained by Respondent, Respondent shall provide notice to SAWS of the request along with a copy of the request, and give SAWS the opportunity to respond to the request prior to its release by Respondent.

No Lobbying and Compliance with Law. During the selection process for the project named in this RFP, Respondent agrees to comply with all applicable laws and regulations, including but not limited to restrictions against direct or indirect lobbying of public officials. Respondent agrees **not to make or permit to be made any improper payments, or to perform any unlawful acts.**

This agreement shall be construed to be enforceable to the maximum extent permitted by law.

Failure to complete this question or comply with its terms may subject this firm to elimination from the selection process at any time.

Does the Respondent agree to the above?

Yes No

- 13. Security Procedures:** Respondent acknowledges having read the security procedures in Exhibit "D" and understands the requirements. Respondent is prepared to perform at their own expense background security checks on their employees, or the employees of their consultants or Subconsultants if requested by SAWS.

Yes No

- 14. No Boycotting and No Discrimination Verifications:** Respondent acknowledges having read the No Boycotting Israel and No Discrimination Verifications Exhibit "D" of the Sample Professional Services Agreement and understands the requirements. Respondent can and will make this verification if awarded a contract.

Yes No

15. Texas Government Code Chapter 2274 verifications:

- a. Are you, Consultant, held or controlled by individuals who are citizens of China, Iran, North Korea, Russia or a country designated by the Governor of the State of Texas pursuant to Texas Government Code Chapter 2274?

Yes No

- b. Are you, Contractor, held or controlled by a company or other entity, including a governmental entity, that is owned or controlled by citizens of or directly controlled by the government of China, Iran, North Korea, Russia or a country designated by the Governor of the State of Texas pursuant to Texas Government Code Chapter 2274?

Yes No

- c. Are you, Consultant, headquartered in China, Iran, North Korea, Russia or a country designated by the Governor of the State of Texas pursuant to Texas Government Code Chapter 2274?

Yes No

16. Contract Terms and Conditions: Respondent acknowledges having read the contract attached to this RFP. By responding to this RFP, Respondent agrees to these terms and conditions.

No Exceptions Exceptions If "Exceptions", they must be submitted with the proposal. Respondents shall submit exceptions with proposed alternative language to SAWS as an attachment accompanying this questionnaire.

Exceptions will not be accepted after the proposal due date and time. At the sole discretion of SAWS, the type and nature of exceptions may be grounds for disqualification.

17. Addendums: Each Respondent is required to acknowledge receipt of all addendums.

None Yes If "Yes", Identify.

The information provided above is true and accurate to the best of my knowledge. Furthermore, we understand that failure to complete the Respondent Questionnaire may subject this firm to elimination from the selection process.

Signature

Date

Printed Name

EXHIBIT D
NO BOYCOTTING AND NO DISCRIMINATION VERIFICATIONS

Consultant agrees that, unless it is a sole proprietorship or a company with fewer than 10 full-time employees or the value of this Contract is less than \$100,000, it:

- a) does not boycott Israel and will not do so during the term of this Contract;
- b) does not boycott energy companies and will not do so during the term of this Contract; and
- c) does not have a practice, policy, guidance, or directive that discriminates against a firearm entity or firearm trade association and will not discriminate during the term of the Contract against a firearm entity or firearm trade association;

This provision is in compliance with Chapters 2271 and 2274 of the Texas Government Code. SAWS agrees to comply with the United States and Texas Constitutions in consideration of whether to enforce this provision.