

REQUEST FOR QUALIFICATION

Separate sealed proposals will be received by the Office of the City Controller for the City of Scranton, 340 North Washington Avenue, Scranton, PA. 18503 until Wednesday, June 2, 2021 at 10:00 a.m. at which time such proposals will be opened in the City Council Chambers for the following:

CITY OF SCRANTON AMERICAN RECOVERY PLAN (ARP) DEPOSITORY BANKING SERVICES JULY 4, 2021 – DECEMBER 30, 2024

All proposals shall be in accordance with the specifications which may be obtained from the City of Scranton Purchasing Department and which may be had by bona fide bidders. Copies can be obtained from the City of Scranton website at: www.scrantonpa.gov. If you intend to submit a bid, you are required to notify Julie Reed, Purchasing Clerk for the City of Scranton via email at: jreed@scrantonpa.gov. If you fail to notify the Purchasing Clerk of your intent to submit a bid, you will not receive any Addenda or answers to any questions that may be submitted by other bidders.

The Bank/Financial Institution awarded the bid will be the bank/depository of funds related to the American Recover Plan for four consecutive years. Sealed envelopes containing the Qualifications will be received and identified by "City of Scranton ARP Banking Services". The envelopes should be delivered or mailed to the Office of the City Controller, at the address listed above, so as to arrive by the date and time specified above. The City of Scranton will require six (6) copies of this proposal.

All proposals must be accompanied by signed Affirmative Action, Certificate of Non-Segregated Facilities, Non-Collusion Affidavit and Disclosure Forms.

If you have any questions, please contact Carl Deeley, Business Administrator at: cdeeley@scrantonpa.gov.

Carl Deeley

Business Administrator

SECTION I INTRODUCTION

Request for sealed Qualifications for banking services will be accepted by the City of Scranton (the "Customer"), Attention John Murray, City Controller for the City of Scranton, Second Floor, 340 North Washington Avenue, Scranton, PA 18503, on June 2, 2021 by 10:00 a.m. Sealed proposals must be in the possession of the City Controller at that time.

Please forward any questions for clarifications to Carl Deeley, Business Administrator 570-348-4214 or cdeeley@scrantonpa.com.

Proposal Polices

- a. All submittals shall become the property of the City of Scranton and will not be returned.
- b. Deadline extensions will not be granted.
- c. Late submittals shall not be evaluated.
- d. The City of Scranton reserves the right to reject any or all submittals on the basis of being unresponsive to these guidelines or for failure to disclose requested information.
- e. The City of Scranton shall not be liable for any costs incurred by Respondents in the preparation of submittals nor in costs related to any element of the selection and contract negotiation process.
- f. To the extent allowed by law, responses will be held in confidence by the City of Scranton
- g. The proposal shall be binding until implementation. The City expects implementation will occur on a phased in basis during the 2021 fiscal year.
- h. Proposals not properly addressed shall not be accepted.
- i. The City of Scranton assumes no responsibility for improperly delivered proposals, carrier delays, or interruptions in the delivery service causing the proposal to be submitted following the deadline.
- j. Any proposal may be withdrawn or modified by written request of the Proposer, provided such request is received by the Business Office at the above address prior to the date and time of receipt of proposals. The request must be made formally in writing or electronically by email.

No oral, telephonic, emailed, or faxed responses shall be considered. Any responses received after the above scheduled due date and time shall not be accepted or considered.

Documents Required with Submittal

All documents to be completed and executed by authorized Bank representative (Attachment A to E)

1. Response to Proposal (Attachment A)
2. Proposed Services, Fees and Earnings (Attachment B)
3. Proposed Implementation Schedule (Attachment C)
4. Act 72 Collateralization Letter (Attachment D)
5. Optional – The Bank will provide documentation of support offered to the City of Scranton from 2014 to the present. Additional documentation in support of Proposal may be provided at the discretion of Service Provider (Attachment E)

6. Optional – The Bank will provide an outline on how the City will be engaged to support its credit needs. (Attachment F)
7. All proposals submitted to the City of Scranton are **REQUIRED** to include a certificate of insurance of the prospective bidder's insurance coverage. The City **REQUIRES** the successful bidder to carry Professional Liability insurance at a minimum of \$1,000,000 occurrence/aggregate. All insurance coverages must be kept in effect during the contract period. The loss of insurance coverages could result in voiding the contract.
8. All proposals submitted are required to include signed affirmative action certifications & disclosures - See Attachments G, H, I & J.

BACKGROUND AND OBJECTIVES

The City of Scranton is a Home Rule Charter municipality governed jointly by a mayor and city council. The City of Scranton has determined that it is in the best interest of the operation of the City to seek proposals for general depository banking services for anticipated funds from the American Rescue Plan. The request for proposal affects only those components of the banking relationship identified in the document and does not affect either other components of the banking relationships maintained by the City of Scranton or those relationships maintained by component units of the City of Scranton.

The objective of this Request for Proposal is to identify the banking institution that can offer the highest quality service at the best value to the City of Scranton. The City, through the banking relationship, intends to maximize deposit availability and interest earnings, maximize deposit security, and minimize cost and management time. The City is interested in obtaining the best mix of services to meet our specific banking needs. The expectation of the City is to award a depository with an interest earnings proposal which is market based. The City also will expect standard service pricing, if applicable, will be minimized in the proposal. Proposers must stay up-to-date on guidance and regulations issued by the Secretary of Treasury specific to American Rescue Plan funds, and shall comply with all legal requirements for said funds.

An important aspect of this proposal is to obtain market rates (priced off of the federal funds rate) of interest on all funds held in our accounts with limited associated risks. The City requires that the bank represents, warrants and covenants that, at all times, the assets pledged by the Bank as Collateral will comply with Act 72 of 1971. In accordance with Section 6 of the Act, the Bank will provide a report to the Depositor regarding the aggregate Applicable Public Deposits being secured by the Collateral on, at least, an annual basis. The Bank will determine the value of Collateral in good faith based on recognized valuation sources.

LENGTH OF RELATIONSHIP

The City of Scranton is interested in establishing a stable relationship with your bank. To do this, the City would like to develop an agreement with an original term of four (4) years with an option to renew for four additional years. After the initial four years, fees can be renegotiated should this be deemed necessary. The proposal and subsequent banking agreement will include these terms.

Either party with a 60-day written notice may terminate the agreement for any reason. The City of Scranton can terminate the agreement immediately should in its sole opinion information be received relating to the declining creditworthiness of the bank, adverse changes to the portfolio

collateralizing the City's funds held by the bank, or the Bank's reluctance to engage the City based on credit needs.

SELECTION CRITERIA

The City will evaluate each proposal received based on the following criteria:

- ◆ Creditworthiness;
- ◆ Investment of Funds;
- ◆ Cost and Flexibility of Services;
- ◆ Accessibility and Ability to Provide Services Efficiently and Effectively through Automation;
- ◆ Funds Deposited and Collateralized in Accordance with all Federal, State and Local Laws, and in accordance with the further limitations in this request as they may relate to collateralization requirements;
- ◆ Industry experience with governmental organizations, including Distressed Municipalities (references to be supplied).
- ◆ Interest rate and/or earnings credit rate paid on all time deposit accounts.
- ◆ Overall best value for the City of Scranton.
- ◆ An overview of the support the bank has provided to the City of Scranton over the past five years.
- ◆ Reporting;
- ◆ The bank will provide a listing of branch offices located in the City of Scranton.

The City of Scranton will use a 100 point rating scale to determine the selection. The scale will be based on the following criteria:

1. 20 points
The City of Scranton will evaluate the fee-based cost of the banking relationship and the earnings potential of balances maintained at the bank. The City of Scranton will also evaluate the service delivery in the context of those services with specific applicability to local government regardless of cost;
2. 20 points
The experience of the relationship team assigned to the City will be considered with a specific interest in the level of understanding of government banking. The City will expect that the relationship team, consisting of the assigned relationship manager, treasury management officer, and credit officer will have a level of experience in government banking reflective of managing a relationship with the degree of complexity associated with the City of Scranton;
3. 20 points
The City will consider the importance of the number of branch offices located in the City of Scranton and the convenience of the branch office assigned to the City of Scranton banking relationship;
4. 20 points
The City of Scranton will evaluate the bank's commitment to the City over a seven year period, including the extent of the banks transactional relationship's to the City of that time period;
5. 20 points
The City will evaluate references which have a similar need base to the City of Scranton.

TERMS AND CONDITIONS

Please be aware that this is a request for professional services, and not a competitive bid. The terms and conditions of this proposal process are as follows:

1. The City of Scranton reserves the right to reject any or all RFQ's;
2. The City of Scranton may waive any irregularities or informalities and select the best RFQ in the opinion of the City;
3. The City of Scranton may render the Quote invalid due to unauthorized modifications of specification forms or terms.
4. The City further reserves the right to make a selection on the basis of an interview process and will consider the overall responsiveness to the requirements of this Request.
5. The City of Scranton is not obligated to accept the lowest cost RFQ.

SECTION II RFP TIMETABLE

The RFP will be available to interested institutions on or after May 7th, 2021.

All proposals are due and will be opened on Wednesday, June 2, 2021 at 10:00 a.m.

Final selection will occur after review and approval by the Review Committee no later than June 7, 2021.

Service implementation will be scheduled to begin according to an agreed upon schedule between the City of Scranton and the bank.

SECTION III SCOPE OF BANKING SERVICES

This section describes a list services the City of Scranton intends to use as a bank customer. There are questions embedded in this section that are repeated in the proposal instructions.

Our objective in requesting services is to maximize our efficiency and effectiveness in the interaction between the City of Scranton and the bank. The City of Scranton may use additional services if the results enhance the cost/benefit relationship. Should you determine that additional services would be beneficial, please include these additional services in your response and any related costs should the City of Scranton wish to use this benefit.

DEPOSIT AND DISBURSEMENT SERVICES

Services related to the acceleration of the availability of funds for investment & disbursement - Specific to American Recovery Plan funding. Please provide the cost of such service.

RECEIPT OF FUND & DEPOSIT

The City of Scranton may use remote/desktop electronic deposit of checks received.

WIRE TRANSFER IN

The City of Scranton may use wire transfers to move funds between the City's financial institutions for investment and debt service purposes.

ACH DEPOSITS

The City of Scranton receives various deposits through ACH funding from the state, the county, and other third-party intermediaries. The City of Scranton requires the ability to initiate ACH debits to our customer's accounts and to other accounts in other banks. All deposits received via ACH should require no prior notification of the bank and should be available for withdrawal immediately.

****DISBURSEMENT SERVICES**

Disbursement services are those relating to the disbursement of funds from the bank.

WIRE TRANSFERS OUT

Wire transfers are initiated by the City of Scranton to transfer funds from our bank accounts to other financial institutions for investment and debt service purposes. The City of Scranton will not accept the requirement of going to a local branch to initiate a wire transfer, although this option should be available as appropriate. The preferable methodology is to provide wire transfer services by electronic platform or by voice initiative repetitive telephone method, or both.

If required, the City agrees to notify a designated person at the bank prior to noon of any outgoing wire transfers. The City expects that wire transfers ordered by noon will be received by the destination party by 2:00 p.m. or otherwise with same day availability.

ACH DEBITS

The City of Scranton requires the ability to block certain ACH Debits and to set some accounts to notify and receive approval for all attempted debits.

BETWEEN FUND TRANSFERS

The City of Scranton may require transfers between funds through the online banking system. If the accounts are set up as zero balance accounts, the system must allow for an override and not deny the transaction based on the zero balance.

ZERO-BALANCE SWEEP ACCOUNTS

The City of Scranton will consider the use of a zero-balance account structure to provide the mechanism to have the total amount of our float fully invested as appropriate. It is an important consideration that our funds continue to be fully invested at market rates.

A bank balance disregarding the sweep transactions must be available for purposes of balancing each individual account to a non-zero balance. This balance / statement will be obtained by the City of Scranton electronically and through traditional statements.

ACCOUNT RECONCILIATION/CHECK DISBURSEMENT SERVICES

The City requires a system that the bank provides that will allow us to obtain an electronic listing of cleared checks from the bank via the Internet. The information transmitted must include check number, account, and date paid. In addition, some method for obtaining a physical image of both sides of the check for audit purposes is required.

The City will consider Positive Pay methodologies for some accounts for both check and debit transactions. If available, please include a description of these methodologies and related costs.

MONTHLY REPORTING

The financial institution will, as requested by the Business Administrator or his designee, provide the City of Scranton with a detailed statement of activity listing each transaction and ending daily bank balance. Also, a listing of the cleared checks in numerical order must be provided. This listing should include the check number; check clearing amount, and the date the check was cleared. Also, this report must include a total of cleared checks for the month. The City should receive these reports within 5 days following a request. If these statements are delivered electronically, please describe the method of delivery.

The City also requires an Account Analysis Report including all per item fees and earnings credit calculations on a monthly basis. This report may be delivered electronically.

Proposers shall certify that they will stay up-to-date on guidance and regulations issued by the Secretary of Treasury specific to American Rescue Plan funds, and shall comply with all reporting requirements.

ELECTRONIC/INTERNET BANKING SERVICES

A critical component of the request for proposal is the technological capability of the banks on-line banking system. In addition to addressing all services previously described, the City wishes to evaluate how business may be conducted through the bank via electronic services. Please describe your financial institution's ability to provide the following services via a secure Internet site:

- ◆ Previous day and historical balance and transaction reporting;
- ◆ Current day reporting of all electronic transactions (wire and ACH) and check; presentment reports on a Controlled Disbursement Account;

- ◆ Reporting on returned deposits, returned ACHs, returned wires and Notification of Charges (NOCs);
- ◆ Initiation of book transfer, repetitive Fed wire, and non-repetitive Fed wires;
- ◆ Maintenance of repetitive book and Fed wire instructions
- ◆ Submission of stop payment;
- ◆ Review of previous day or historical check images;
- ◆ Bank Automated Interchange (BAI) or other file type downloads of paid checks;
- ◆ View all account activity;
- ◆ Remote check deposit;
- ◆ Inter-account transfers and wire transfers.

Included with this information should be complete details of fees and prices for such services. It is anticipated that significant savings on stop payment and transaction initiation could be achieved by utilizing such systems.

Also included should be a detailed description of recommended technology necessary to utilize these services. Please also describe the bank's response time to upgrading online systems for compatibility with new versions of Windows and Internet Explorer.

INVESTMENT SERVICES

The effective and efficient cash management system accelerates receipts of funds, delays disbursement of funds, and minimizes idle cash balances. Each of these objectives has been discussed in detail previously within this section of the Request for Banking Services. A truly exceptional system; however, should be measured on the full investment of cash at market rates with very little or no risk associated with the program. Investment of City funds will fully comply with Act 10 of 2016.

In lieu of the standard interest checking product, the City of Scranton will consider suggestions relating to an alternate or supplementary investment program you will provide us. These suggestions must include the following information:

1. The method used to fully collateralize our account balance in excess of FDIC insurance. Should a repurchase agreement be considered, please explain the type of investment, which will be used in this buy/sell agreement. A separate repurchase agreement will be required for these types of transactions. Also, describe the safekeeping arrangement for the investments held relating to the repurchase agreement or the bank's independent trust company. All collateral must be held and valued by third parties.
2. Explain the calculation of the daily interest rate including the specific interest index and source of information (i.e. Wall Street Journal).
3. Explain the calculation of interest earned on a monthly basis (i.e. 360-365 day basis, average daily balance, average monthly interest rate, calculated daily based on daily rate and daily balance).
4. Provide description of the amount of cash balance on which the interest calculation is based such as collected funds and reserve amounts.

5. Any additional information you deem necessary for the City to fully understand your suggested investment vehicle.

The City of Scranton is conservative and adverse to funds risk. However, a well-administered cash management system can provide market rates of return without exposure to risks.

SECTION IV BANK CREDIT EVALUATION

Although properly structured collateral offers the City of Scranton insurance against financial institution credit problems, the City would be remiss in not evaluating the prospective bank's creditworthiness. Although this will not be the primary evaluating criteria, it will be used to include a financial institution in our proposal process.

The City will utilize the standard rating methodology to evaluate your financial institution. Should you be rated unfavorably by this rating system, the City will notify you of this fact and allow you to respond accordingly. Additionally, please include your most recent audited financial statement for our review.

SECTION V BANKING SERVICE FEES

Banking services can be paid for by one of two methods. The City requests that your proposal response include both the use of compensating balances and the direct charge methods for any resulting deficiency.

This document includes a listing of the number of transactions used during a normal month for each banking service. It is understood that the direct service fees may change during the period of this proposal. Please provide us with per item cost and the annual cost for each service.

Also, please provide us with your compensating balance calculations, including current earnings credit rate, and your policies relating to the evaluation of this established balance.

****SECTION VI WAIVER OF FORMALITIES**

The City of Scranton reserves the right to waive any formalities applicable to any provisions contained within the Request for Proposal – Banking Services.

BIDDER'S ETHICS AND COLLUSION

Collusive Bidding: Any bank that submits more than one proposal in such a manner as to make it appear that one of the proposals submitted is competitive with that of a different bidder, or any two or more banks that agree to fix their respective proposals in such a manner as to be awarded the contract shall be disqualified from further consideration of award of this contract and shall be subject to any applicable penalties under the law.

Bribery: Any bank that attempts to influence a City official to award this contract to such bidder's banking institution by promising to provide or by providing to such City official any

gratuity, entertainment, commission or any other gift, in exchange for a promise to award the contract to such banking institution shall be disqualified from further consideration of award of this contract and shall be subject to any applicable penalties under the law.

Conflict of Interest: Any bank that knows of any City official having a material direct or indirect financial interest in such bidder's banking institution shall be required to submit a written statement, along with the Form of Proposal, detailing such interest. Failure to disclose a known such financial interest shall result in the bank's disqualification from further consideration of award of this contract.

**ATTACHMENT A
DATA SUBMISSION DOCUMENT**

**THIS PROPOSAL, WHICH INCLUDES ATTACHMENTS A, B, C AND D
(With OPTIONAL E AND F) MUST BE RECEIVED IN THE
OFFICE OF THE CITY CONTROLLER IN A SEALED ENVELOPE NO LATER THAN
10:00 a.m.
June 2, 2021
TO THE ATTENTION OF:**

John Murray
City Controller
City of Scranton
340 North Washington Avenue
2nd Floor
Scranton, PA 18503

NAME OF BANK: _____

CONTACT PERSON: _____

STREET ADDRESS: _____

CITY/STATE/ZIP: _____

TELEPHONE NUMBER: _____

FAX NUMBER: _____

EMAIL _____

Attachment G. Affirmative Action Certification

During the term of this contract, Bidder agrees as follows:

- (1) Bidder shall not discriminate against any employee, applicant for employment, independent contractor or any other person because of race, color, religious creed, ancestry, national origin, age, sex or handicap. Bidder shall take affirmative action to insure that applicants are employed, and that employees or agents are treated during employment, without regard to their race, color, religious creed, ancestry, national origin, age, sex or handicap. Such affirmative action shall include, but is not limited to the following: employment, upgrading, demotion or transfer; recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training. Bidder shall post in conspicuous places, available to employees, agents, applicants for employment, and other persons, a notice to be provided by the contracting agency setting forth the provision of this affirmative action certification.
- (2) Bidder shall, in advertisements or requests for employment placed by it or on its behalf, state all qualified applicants will receive consideration for employment without regard to race, color, religious creed, ancestry, national origin, age, sex or handicap.
- (3) Bidder shall send each labor union or workers' representative with which it has a collective bargaining agreement to other contract or understanding, a notice advising said labor union or worker's representative of its commitment to this affirmative action certification. Similar notice shall be sent to every other source of recruitment regularly utilized by bidder.
- (4) It shall be no defense to a finding of noncompliance with this affirmative action certification that bidder has delegated some of its employment practices to any union, training program, or other source of recruitment which prevents it from meeting its obligations. However, if the evidence indicates that the bidder was not on notice of the third-party discrimination or made a good faith effort to correct it, such a factor shall be considered in mitigation in determining appropriate sanctions.
- (5) Where the practices of a union or of any training program or other source of recruitment will result in the exclusion of minority group persons, so bidder will be unable to meet its obligations under this affirmative action certification, bidder shall then employ and fill vacancies through other affirmative action employment procedures.
- (6) Bidder shall comply with all state and federal laws prohibiting discrimination in hiring or employment opportunities. In the event of bidder's noncompliance with affirmative action certification of this contract or with any such laws, this contract may be terminated or suspended, in whole or in

part, and bidder may be declared temporarily ineligible for further City of Scranton contracts, and other sanctions may be imposed and remedies invoked.

- (7) Bidder shall furnish all necessary employment documents and records to, and permit access to its books, records, and accounts by, the City of Scranton Department of Business Administration, for purposes of investigation to ascertain Compliance with the provision of this certification. If bidder does not possess documents or records reflecting the necessary information requested, it shall furnish such information on reporting forms supplied by the City of Scranton Department of Business Administration.
- (8) Bidder shall actively recruit minority subcontractors or subcontractors with substantial minority representation among their employees.
- (9) Bidder shall include the provisions of this affirmative action certification in every subcontract, so that such provisions will be binding upon each subcontractor.
- (10) Bidder's obligations under this clause are limited to the bidder's facilities within Pennsylvania, or where the contract is for purchase of goods manufactured outside of Pennsylvania, the facilities at which such goods are actually produced.

DATE: _____

(Name of Bidder)

BY _____

TITLE _____

Attachment H. Certificate of Non-Segregated Facilities

The bidder certifies that he does not maintain or provide for his employees and segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location under his control where segregated facilities are maintained. The Bidder certifies further that he will not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location under his control where segregated facilities are maintained. The Bidder agrees that a breach of this certification will be a violation of the Equal opportunity clause in any contract resulting from acceptance of his bid. As used in this certification, the term "segregated Facilities," means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing directive or are in fact segregated on the basis of race, color, religion, or national origin, because of habit, local custom, or otherwise. The Bidder agrees that (except where he has obtained identical certifications from proposal sub-contractors for specific time periods) he will obtain identical certifications from proposed sub-contractors prior to the award of sub-contracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity clause, and that he will retain such certification in his files.

NOTE: The penalty for making false statements in offers is prescribed in 18 U.S.C. §1001.

DATE: _____

(Name of Bidder)

BY _____

TITLE _____

Attachment I. Non-Collusion Affidavit of Prime Bidder

STATE OF _____

COUNTY OF _____

_____, being first duly sworn, deposes and says that:

1. He is _____
(Owner, partner, officer, representative or agent)

of _____, the Bidder that has submitted the bid;

2. He is fully informed respecting the preparation and contents of the attached Bid and of all pertinent circumstances respecting such Bid;
3. Such Bid is genuine and is not a collusive or sham Bid;
4. Neither the said Bidder nor any of its officers, partners, owners, agents, Representatives, employees or parties in interest, including this affiant, has in any way colluded, conspired, connived or agreed, directly or indirectly with any other Bidder, firm or person to submit a collusive or sham Bid in connection with the Contract for which the attached Bid has been submitted or to refrain from bidding in connection with such Contract, or has in any manner, directly or indirectly, sought by agreement or collusion or communication or conference with any other Bidder, or to Bidder, or to secure through any collusion, conspiracy, connivance or unlawful agreement any advantage against the City of Scranton (Local Public Agency) or any person interested in the proposed Contract; and;
5. The price or prices quoted in the attached Bid are fair and proper and are not tainted by any collusion, conspiracy, connivance or unlawful agreement on the part of the bidder or any of its agents, representatives, owners, employees or parties in interest, including this affiant.

Non-Collusion Affidavit
Signature Page

Signed _____

(TITLE)

SUBSCRIBED AND SWORN TO BEFORE ME

THIS _____ DAY OF _____
_____, 20 _____

(TITLE)

MY COMMISSION EXPIRES _____
_____, 20 _____

J. Disclosures by Current Contractors

List of Municipal Officials

Mayor of Scranton
Scranton City Councilpersons
Scranton Controller
Scranton Tax Collector

1. Provide the names and titles of all individuals providing professional services to the City including advisors and subcontractors, if any. After each name, please provide the responsibilities of that person with regard to the professional services provided to the City of Scranton.

- List the names of any of the above individuals who are current or former officials or employees of the City of Scranton and their position;
- List the names of any of the above individuals who has been a registered federal or state lobbyist and the date of the most recent renewal/registration.

2. Since January 1, 2015, have any of the individuals identified in paragraph two above been employed by the City of Scranton. If yes, please identify the individual by his/her name and position with the City of Scranton and dates of employment.

3. Since January 1, 2015, has the Contractor employed paid compensation to a third party intermediary, agent, or lobbyist to directly or indirectly communicate with any individual on the list of municipal officials in connection with any transaction or investment involving the Contractor and the City of Scranton. This question does not apply to any officer or employee of the Contractor who is acting within the scope of the Contractor's standard professional duties on behalf of the Contractor including the actual provision of legal, accounting, engineering, real estate, or other professional advice, services or assistance pursuant to its professional services contract with the City of Scranton.

4. Since January 1, 2015 has any agent, officer, director, or employee of the Contractor solicited a third party to make a political contribution to any municipal official or candidate for municipal office in the City of Scranton or to the political party or political committee for whom the solicitation was made. If yes, please identify the agent, officer, director, or employee who made the solicitation; the individual or individuals who were solicited, and the municipal officers, candidates, political party, or political committee for whom the solicitation was made.

5. Since January 1, 2015, has the contractor, officer, director, executive-level employee, or owner of at least five percent (5%) of the company made any contribution to a municipal official or candidate for municipal office in the City of Scranton. If yes, please identify the recipient, the amount, and the date of the contribution.

6. Does the Contractor have a direct financial, commercial, or business relationships with any individual on the List of Municipal Officials. With regard to every municipal official for which the answer is yes, identify that individual and provide a detailed written description of that relationship.

7. Since January 1, 2015, has the Contractor, officer, director, executive-level employee, or owner of at least five percent (5%) of the company conferred any gift of more than nominal value to any

individual on the list of Municipal Officials. A gift includes money, services, loans, travel, and entertainment, at value or discounted value. With regard to every municipal official for which the answer is yes, identify the recipient, the gift, and the date it was conferred.

8. Regarding the provision of professional services to the City of Scranton, are you aware of any conflicts of interest, whether apparent, potential, or actual, with respect to any officer, director, or employee of the Contractor and officials or employees of the City of Scranton. If yes, please provide a detailed written explanation of the circumstances which you believe provide a basis to conclude that an apparent, potential, or actual conflict of interest may exist.

9. Please provide the name(s) and person(s) completing this form. One of the individuals identified by the Contractor in paragraph two must participate in completing this form and must sign the verification statement below.

VERIFICATION

I, _____, hereby state that I am the owner of

_____ and that I am authorized to make this verification.

I verify that the facts set forth herein for entities providing professional services to the City of Scranton are true and correct to the best of my knowledge, information, and belief. I understand that false statements herein are made subject to penalties of 18 P.A.C.S section 4904 relating to unsworn falsification to authorities.

Signed: _____

Date: _____