



OFFICE OF THE ILLINOIS STATE TREASURER  
MICHAEL W. FRERICHS

**Request for Proposals**  
**Agency Deposit Processing Services**  
370-500-19-015

August 21, 2018

Proposals due by 1:00 p.m. CT on September 27, 2018

Mr. Jim Underwood  
Chief Procurement Officer  
400 West Monroe Street, Suite 401  
Springfield, IL 62704

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Request for Proposals  
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## **I. OVERVIEW**

The Office of the Illinois State Treasurer (“Treasurer”) is issuing this Request for Proposals (“RFP”) for Agency Deposit Processing Services (“Services”). Financial institutions that submit Proposals (“Respondents”) shall submit their Proposals by 1:00 p.m. CT on September 27, 2018.

The Treasurer seeks a Contractor with an efficient and cost-effective agency deposit processing services process. The winning Respondent (“Contractor”) must be authorized to do business in Illinois as an Illinois bank or a national bank with a presence in Illinois. In addition, the Contractor must be a member of the Federal Reserve System, have access to all services as a member bank, and qualify as a depository for public funds. At the time the Contractor submits its Proposal, or prior to that time, if required by law, the Contractor must have all required licenses, bonding, facilities, equipment and trained personnel necessary to perform the work specified in this RFP. Finally, the Contractor must have a minimum of ten (10) years of experience performing the services being sought by this RFP.

The Contractor shall enter into a contract with the Treasurer (“Agreement”) for an initial term of four (4) years. Upon expiration of this term, the Treasurer may elect to extend the Agreement for a period of time agreed upon by the parties, not to exceed a total of ten (10) years, including the initial four (4) years.

## **II. BACKGROUND**

Section 7 of the State Treasurer Act, 15 ILCS 505, requires the Treasurer to “receive the revenues and all other public moneys of the state, and all moneys authorized by law to be paid to him, and safely keep the same.” Pursuant to this authority, the Treasurer maintains demand deposit accounts with a financial institution for the purpose of providing a clearing system for payments made to state agencies, boards and commissions (“Agency/ies”) including, but not limited to, payments in the form of coins, cash, checks, and electronic fund transfers.

The Treasurer will establish demand deposit accounts to record the specific receipts and disbursements received and processed by the Treasurer. There are currently two (2) demand deposit accounts used to record these transactions. The Current Demand Deposit Account Structure, attached hereto as Appendix A, provides a description of the current accounts and required banking services.

The estimates of numeric data, such as volume activity history, contained in this RFP are based on historical information or projections and may change as a result of future technological advancements, related statutory or administrative changes, agency initiatives, consumer behavior, and/or other factors.

## **III. SCOPE OF WORK**

The Contractor shall provide the services set forth in this Section III (collectively, the “Services”):

- A. Open and maintain an account for each type of banking service requested by the Treasurer in this RFP (“Treasurer’s Accounts”). Current accounts are listed in the attached Appendix A Current Demand Deposit Account Structure;
- B. Accept and process direct transmission National Automated Clearing House Association (“NACHA” or “ACH”) formatted files received from Agencies, including the Treasurer;
- C. Accept and process all Agency deposits, including fees and taxes collected from the cannabis industry, received in various forms including, but not limited to, checks, cash and electronic fund transfers. Current volumes are attached as Appendix B Monthly Deposit Volumes FY 2017 and 2018;
- D. Accept and process checks drawn on financial institutions that are not clearing through the Federal Reserve System or are made payable in foreign currency;
- E. Provide all Agencies, at point of contract origination, with one endorsement stamp per 4-digit Agency identifier (“Agency Identifier”) at no cost;
- F. Provide encoding on all paper and electronic deposit tickets of the Agency Identifier, located in the lower left-hand corner of the deposit ticket Magnetic Ink Character Recognition (“MICR”) line. The Agency Identifier must also be captured and reported through the Respondent’s information reporting system;
- G. Provide Agencies with Remote Deposit Capture (“RDC”) solutions, that will include the capture of a 4-digit Agency identifier;
- H. Provide Agencies with Remote Currency Manager (“RCM”) solutions, that will include the capture of the Agency Identifier;
- I. Provide Image Cash Letter (“ICL”) services that include the capture of the Agency Identifier;
- J. Provide Agencies with the ability to deposit checks and cash at a local branch in the Springfield and Chicago areas, and provide deposit processing at branch locations for Agencies throughout the state. A listing of Agencies is attached as Appendix C Current State Agencies, Boards and Commissions;
- K. Provide Agencies with the ability to deposit checks and cash, delivered by an armored car provider contracted directly by the Agency, that will include the capture of the Agency Identifier;
- L. Provide electronic return check processing with the option of the Treasurer to request automatic redeposit. Return check volumes are listed in the attached Appendix D Monthly Return Item Volumes FY 2017 and 2018;
- M. Provide notification to the Treasurer by 2:30pm CT of a large return(s) over \$25,000;

- N. Provide information on Accounts Receivable Conversion (ARC) and Back Office Conversion (BOC) that includes the capture of the Agency Identifier. These services are not currently utilized, but are being considered for future solutions;
- O. Provide a courier in Springfield, as required, at no charge to the Agency or the Treasurer, to pick up check deposits. Currently deposits are picked up at the Illinois Secretary of State and the Department of Healthcare and Family Services;
- P. Provide Agencies with pre-encoded deposit tickets, cash straps and clear cash bags. Deposit tickets ordered average 100,000 per fiscal year, cash straps ordered average 80,000 per fiscal year and clear cash bags ordered average 45,000 per fiscal year;
- Q. Accept incoming wire transfers that will include the capture of the Agency Identifier;
- R. Accept outgoing wire transfers initiated by the Treasurer. Volumes are listed in the attached Appendix E Daily Outgoing Wire Transfer Volumes FY2017 and 2018;
- S. Accept ACH Debits based on specific company ID's;
- T. Accept ACH Credits, including the capture of the Agency Identifier;
- U. Either ensure compatibility with the Agencies' existing check scanners and maintenance contracts, or provide replacement check scanners and maintenance contracts at no additional cost. The current check scanner models are;
 

TS240-50	20 scanners
TS240-75	10 scanners
TS240-100	14 scanners
Cannon 1901i	17 scanners
Epson Capture One 60-100	1 scanner
- V. Either ensure compatibility with the Agencies' existing Remote Currency Manager services, including armored car provider with vault equipment and maintenance contracts, or provide replacement armored car providers with vault equipment and maintenance contracts;
- W. Invest end of day collected balances for the Treasurer's Accounts. Daily Sweep Repurchase Agreement Investments are listed in the attached Appendix F Daily Sweep Repurchase Agreement Investments FY 2017 and 2018. Provide ongoing information on all available sweep options, including any maximum or minimum dollar amount requirements, money market sweep funds are also an option, and provide prospectuses where applicable;
- X. If Sweep options are unavailable or if there are limit requirements for maximum allowable balances, ensure collateralization of end of day collected balances, above the Federal Deposit Insurance Corporation ("FDIC") insurance and sweep limits, through

a pledge of securities in compliance with Sections 11 and 11.1 of the Deposit of State Moneys Act (15 ILCS 520). The current provider fully invests all end of day collected balances, and volumes would approximate those listed in Appendix F Daily Sweep Repurchase Agreement Investments FY 2017 and 2018;

- Y. Pledge securities for collected balances, if applicable, equal to 102% of the market value of the largest total balance the Treasurer maintains with the Contractor, less the insurance amount provided by the FDIC. Collateral must comply with the Acceptable Collateral Listing: Qualified Collateral attached hereto as Appendix G Acceptable Collateral Listing: List of Financial Assets Qualified for Collateral to Secure Deposits and Repurchase Agreements. The collateral will be placed for safe keeping under the control and in the name of the Treasurer with a third-party custodian designated by the Treasurer;
- Z. Provide the Treasurer an earnings credit in the account analysis report, based on the average monthly collected balance, if applicable, in the Treasurer's Accounts, and offset the fees related to the Treasurer's Accounts with such earnings credit;
- AA. Provide an ACH debit block and debit filter, with the ability to allow for specific company IDs to post to the Treasurer's Accounts in order to prevent ACH fraud;
- BB. Provide the Treasurer with dual controls for both the establishment and maintenance of security administrator rights, as well as for the creation and maintenance of multiple users' wire transfer and ACH Debit and Credit templates;
- CC. Provide the Treasurer a specific point of contact for the Services, direct access to staff, and emergency contact phone numbers;
- DD. Provide the Treasurer the ability to electronically obtain a report by 6:00 a.m. CT from the Contractor's Treasury Management System that contains current day ACH transactions and electronic data interchange ("EDI") detail;
- EE. Provide the Treasurer the ability to electronically obtain by 6:00 a.m. CT a current and prior day bank statement as well as current and prior day transaction details, including the Agency Identifier, for each account in Bank Administration Institute ("BAI") file format, comma separated values ("CSV"), and portable document format ("PDF") from the Contractor's Treasury Management System;
- FF. Provide the Treasurer the ability to search all data fields related to a specific transaction within Contractor's information reporting system, as well as the ability to conduct ad-hoc searches of transactions based on specific criteria and export the results to either PDF or Excel formats;
- GG. Provide the Treasurer the ability to produce reports that contain the details of the wire transfer, ACH Debits and ACH Credits transactions, including the initiating and confirming parties;

- HH. Provide the Treasurer the ability to produce a monthly account analysis statement within ten (10) business days following the last calendar day of the month, in PDF format from the Contractor's information reporting system, that details all services provided by the Contractor based on the agreed upon cost structure and all associated charges;
- II. Provide the Treasurer, within ten (10) business days following the last calendar day of the month, the ability to access an EDI transmission detailing the monthly service charges provided on the PDF version of the account analysis statement, in an 822 format that is compatible with the Treasurer's account analysis program. The Account Analysis format is attached as Appendix H Account Analysis 822 EDI Format;
- JJ. Provide the Treasurer and Agencies with separate billing or account analysis statements for services specified in the Cost Proposal, attached as Appendix I Proposed Cost Structure;
- KK. Provide the Treasurer the ability to assign each Treasury Management user with a daily limit for initiating or confirming wire transfer and ACH transactions; and
- LL. Accommodate changes to processes outlined herein this Section resulting from technological advancements, financial industry advancements or changes in any treasury management system(s) of the Treasurer.

#### **IV. PROPOSAL**

##### **A. Proposal Format**

All Proposals must be submitted within the prescribed format to facilitate objective review. Any Proposal that materially deviates from this format will be rejected without further consideration of its content. Proposals that contain false or misleading statements or that provide reference that do not support an attribute or condition claimed by the Respondent may also be rejected. Narratives should provide a concise description of capabilities to satisfy the requirements of the RFP. Emphasis should be on clarity, brevity and completeness of response. The following are the sections that must be provided in the Proposal. The sections should be labeled accordingly.

1. Cover Page – The Proposal must be accompanied by a transmittal letter that designates the name, physical address, e-mail address, and telephone number of the person or persons available for contact concerning the Proposal and who is authorized to make representations on behalf of the Respondent.
2. Table of Contents – Include a listing of the main chapters and paragraph headings contained in the Proposal, including page numbers.
3. Introduction – Include any introductory remarks, not to exceed two (2) pages, deemed appropriate. Briefly discuss such topics as the Respondent's background, management, facilities, staffing, related experience, and financial stability.

4. Scope of Work – Provide a narrative, not to exceed five (5) pages, describing the general conceptual approach to the delivery of specific services and any other information Respondent believes is relevant.
5. Answers to Questions – Respondent must respond to all of the questions presented in Section IV.B of this RFP. Respondent’s answers must include the headings (e.g. “Background”) and be numbered in the order provided in Section IV.B.
6. Service Team – Provide an organizational chart, biographies, and resumes for the proposed Service team, including research staff and support staff. Please identify the primary contact person and describe the role of each key person.
7. Subcontractors – Respondent shall provide a list of the subcontractor(s) that will be used to provide the services, if any, and the general type of work to be performed by each subcontractor.
8. State Certifications and Disclosures – Respondent and any subcontractor(s) must submit the following three (3) fully executed documents: Illinois State Treasurer Certifications, Disclosures Financial Interest and Potential Conflicts of Interest (Disclosure Form A), and the Disclosures Other Contract and Procurement Related Information (Disclosure Form B), attached as Appendix J.
9. Cost Proposal – Respondent’s price (“Cost Proposal”) shall be provided in a separately sealed envelope. The required elements of the Cost Proposal are provided in Section IV.C of this RFP.
10. Redacted Copy – If the Proposal contains any information that Respondent considers to be exempt from public disclosure under the Illinois Freedom of Information Act (“FOIA”) (5 ILCS 140) or other applicable laws and rules, Respondent should submit in a separately sealed envelope an additional copy of the Proposal with proposed confidential information redacted, as detailed in Section V.E.9 of this RFP (“Redacted Copy”).

Proposals must be submitted in a sealed envelope or package bearing the title “Agency Deposit Processing Services Proposal 370-500-19-015 for the Office of the Illinois State Treasurer” and the Respondent’s name and address. The package must include one (1) original and five (5) copies of the Proposal. A separate envelope must contain one (1) original and five (5) copies of the Cost Proposal. If confidentiality of any information is asserted, one (1) Redacted Copy should be provided in an additional separate envelope. In addition, please provide one (1) electronic copy of the Proposal and one (1) separate electronic copy of the Cost Proposal, and, if confidentiality of any information is asserted, one (1) electronic Redacted Copy. Each electronic Proposal copy, each electronic Cost Proposal copy and, if submitted, the Redacted Copy shall be on a separate thumb drive or CD-ROM.

#### **B. Questions to be Addressed in the Proposal**

Respondents shall provide answers to the following questions:



## Background and Experience

1. Provide a brief overview of the Respondent. Describe its corporate structure, including holding companies, parents, and corporate affiliates.
2. Certify whether since January 1, 2015, Respondent or its officer(s) or principal(s), acting within the scope of their employment, have been found liable or have been subject to a consent order as a result of any publicly disclosed enforcement action or other regulatory proceeding by any of the following entities, including any divisions thereof: the Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the Treasury, Federal Deposit Insurance Corporation, or the Federal Reserve System.
3. Since January 1, 2015, has Respondent or any of its officers or principals, acting within the scope of their employment, been subject to any enforcement actions by any of the following entities, including any divisions thereof: Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the Treasury, Federal Deposit Insurance Corporation, or the Federal Reserve System? If so, provide a detailed explanation.
4. Has Respondent been a party to any lawsuit from January 1, 2015 to present? If so, please provide a detailed explanation.
5. Has Respondent experienced any data breach or loss of personal, financial or other data considered private or confidential since January 1, 2015? If so, provide details and what steps were taken to address the issue both in the short term related to the specific breach/loss and also in the longer term to prevent such a breach/loss from happening again.
6. Describe Respondent's approach to and philosophy regarding cyber-security, including the steps Respondent would take to address a breach of the Treasurer's data.
7. Provide evidence of any insurance coverage Respondent maintains to address cyber-security threats (to include computer, data, privacy or information technology security) and discuss the benefits to the Treasurer of any such coverage.
8. Discuss Respondent's corporate governance compliance practices.
9. Describe Respondent's risk management practices and internal controls to ensure adherence to applicable federal and state laws, regulatory agency guidance, and industry best practices.
10. Provide Respondent's current IDC Financial Publishing, Inc. ("IDC") and Community Reinvestment Act ("CRA") rating.

11. Describe any changes in Respondent's ownership or management structure since January 1, 2015. Will these changes have any impact on Respondent's ability to provide the Services during the expected term of the Agreement?
12. Provide contact information for three (3) client references. References must be entities to which Respondent provided services most similar to the Services.
13. Does Respondent currently have or has Respondent had in the past ten (10) years any contracts that contain services similar to the Services with respect to size, scope, and complexity? For each contract, provide the following information:
  - a. The entity for which Respondent is providing or has provided services and a brief description of such entity;
  - b. The contract term; and
  - c. A description of the services Respondent is providing or has provided under the contract.

#### Financial Services

14. Please identify any item listed in Section III of this RFP that Respondent is unwilling or unable to perform and explain why.
15. Provide a proposed schedule for the implementation of the Services. The implementation schedule should include, but not be limited to, any specific implementation phases (e.g. testing, training, etc.), materials available, and/or any on-site training provided by the Respondent.
16. How would Respondent provide an ACH debit block and filter on each of the Treasurer's Accounts to prevent ACH fraud? Discuss in detail the available notification formats and timeline associated with the reporting of fraudulent activity and the available filter options.
17. Confirm Respondent's ability to assign user level limits for initiation and confirmation of both wire transfer and ACH transaction, including a minimum threshold of \$2,000,000,000 for both transaction types per user.
18. Confirm Respondent's ability to release executed outgoing wire transfers within 30 minutes of transaction executed through the online system.
19. Confirm Respondent's ability to ensure there are adequate funds so that no wire transfers are delayed due to daylight overdrafts.
20. Confirm Respondent's ability to provide fund availability to the Treasurer on settlement date for all ACH transactions.
21. Confirm Respondent's ability to provide premium availability for all deposits.

22. Confirm Respondent's ability to accept all deposits, including fees and taxes received by Agencies from the cannabis industry.
23. Confirm Respondent's ability to accept deposits made payable in foreign currency or drawn on non-US financial institutions, received by Agencies;
24. What is the most efficient method to obtain information from Respondent regarding account inquiries, discrepancies, questions, or any other type of information that may be sought?
25. What is Respondent's average response time to account inquiries, questions regarding discrepancies, and other requests for information?
26. How would Respondent staff this project in order to meet the Treasurer's customer service needs (direct access to staff, emergency contacts, etc.)?
27. Please confirm the ability of Respondent's internet Treasury Management System to produce the following reports in electronic formats, including the Agency Identifier, by providing sample copies of them:
  - a. Daily bank account statement (summary and detail);
  - b. Monthly bank account statement (detail);
  - c. Previous day transaction report (summary and detail);
  - d. Current day transaction report (summary and detail);
  - e. Return item report (summary and detail);
  - f. Daily Sweep report (end of day investments, including collateral pledged for repurchase agreements, money market funds included beginning balance, transaction detail, ending balance and daily factor);
  - g. Monthly Sweep report for money market funds, including beginning balance, transactions by date, ending balance at the end of each day and interest earned during the month. In addition, a monthly report containing the daily interest factors;
  - h. 822 monthly account analyses (electronic file and detail statement). Refer to the Account Analysis 822 EDI Format for the file format;
  - i. ACH debit block and filter exception review;
  - j. Current Day ACH transactions with addenda detail (EDI);
  - k. Initiation and confirmation of Treasurer's office wire transfers;

- l. Notifications of receipt of ACH files that are directly transmitted;
  - m. Ad-hoc reporting (the ability to search transactions based on specific criteria and export the results to either PDF or Excel formats); and
  - n. Administrative report.
28. Provide a detailed list of all of Respondent's current options for the investment of collected funds, their daily balance limitations, if applicable, and the historical rate of return. If available and applicable, prospectuses shall also be provided. Respondent's investment options must meet the requirements of the Illinois State Treasurer's Office Investment Policy Statement for the State Investment Portfolio, included on Treasurer's website:

[http://illinoistreasurer.gov/TWOCMS/media/doc/State%20Investments%20--%20Investment%20Policy%20Statement%20\(5.7.2018\).pdf](http://illinoistreasurer.gov/TWOCMS/media/doc/State%20Investments%20--%20Investment%20Policy%20Statement%20(5.7.2018).pdf)

#### Qualifications

29. Provide a summary of any unique expertise, products, or services that would assist Respondent in performing the Services;
30. Please provide ratings from two (2) rating agencies, registered with the Securities Exchange Commission as a Nationally Recognized Statistical Rating Organization ("NRSRO"). Include ratings for senior debt, subordinated debt, and long-term deposits, if available.
31. Provide documents that sufficiently demonstrate Respondent's intent to continue in the Services-related line of business throughout the proposed contract term.

#### Diversity

32. If publicly owned, please provide the number and percentage of members of Respondent's governance board who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.
33. If privately owned, is Respondent or its affiliates female, minority, persons with disabilities, or veteran-owned or managed? For purposes of this RFP, "female, minority, persons with disabilities, or veteran owned or managed" shall mean being owned or managed by 51% or more of a combination of female, minority, persons with disabilities, or military veteran. Please provide the number and percentage of Respondent's owners who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.
34. Please provide the number and percentage of Respondent's senior executive leaders (i.e. partner, president, COO, managing director, or other senior executives) who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.

35. Please provide the number and percentage of Respondent's staff (i.e. all full-time and part-time employees) who are female, minority, military veterans, or persons with disabilities. Please cite with supporting data.
36. What is the percentage of Respondent's intended use of subcontractors for this project, if any, that are female, minority, persons with disabilities, or veteran-owned or managed? Please cite with supporting data.

#### Corporate Responsibility – Environmental, Social and Governance Practices

37. Please note any policies, practices and/or business strategies Respondent has in place to address long-term environmental risks and opportunities that may impact long-term sustainability.
38. Please highlight any policies, practices or resources that Respondent has in place to retain and enhance the human capital.
39. Please explain how Respondent fosters a corporate governance structure that mitigates business risks and enhances business operations.
40. Please highlight any activities, projects, or services Respondent administers to alleviate societal issues and enhance its commitment to corporate social responsibility. Please cite with supporting data.

#### Illinois Presence

41. Is Respondent incorporated in Illinois? Please provide the physical address and website of Respondent's headquarters and all Illinois branch offices.
42. Please note how many full-time employees are located at Respondent's headquarters and all Illinois branch offices.
43. Please describe what presence Respondent has in the State of Illinois. Such "presence" can be demonstrated by noting (a) the number and (b) the percentage of Respondent's full-time employees who spend more than half their time in Illinois and have physical offices or a principal place of business located in Illinois.
44. Using the definition provided above, what percentage of Respondent's subcontractors for this project, if any, have an Illinois presence?
45. Please note whether Respondent has any plans to locate staff or hire additional staff in the State of Illinois. Please provide supporting data.

#### **C. Cost Proposal**

For the Cost Proposal, Respondent shall complete and submit the Proposed Cost Structure, attached hereto as Appendix I, using the pre-determined average monthly volumes provided. When preparing the Cost Proposal, Respondent shall do the following:

1. Do not change the pre-determined averagely monthly volumes provided in the Proposed Cost Structure;
2. Clearly communicate the price where fees are applicable, if there are pricing issues or options that require further or separate explanation;
3. Set the pricing schedules to cover an initial four-year period;
4. Include all of the costs Respondent would charge, based upon the requirements outlined in this RFP;
5. Provide pricing for all line items associated with this RFP, regardless of whether volumes have been provided or not. Pricing should not be provided in a bundled format;
6. Provide any costs not specifically mentioned in the Proposed Cost Structure but applicable to the RFP or pertinent to “Unique Capabilities” under “Additional Services;”
7. Note that, as stated earlier in this RFP, there will be an earnings credit to the account analysis, based on the average monthly collected balance in the Treasurer’s Accounts, and such earnings credit will be used to offset fees related to the Treasurer’s Accounts; and
8. Indicate which amounts, if any, shall be paid to subcontractors.

**V. RFP SCHEDULE AND PROCESS**

This Section provides the schedule and process for this RFP.

**A. RFP Schedule**

The following is the schedule for this RFP:

<b>Date</b>	<b>Event</b>
August 21, 2018	RFP published on the Treasurer’s website.
August 29, 2018	Notice of intent to attend Bidder’s Conference due by 1:00 p.m. CT.
August 30, 2018	Optional Bidder’s Conference at 1:00 p.m. CT.
September 5, 2018	All Respondent questions due by 1:00 p.m. CT.
September 13, 2018	Responses to all questions posted on the Treasurer’s website by 4:00 p.m. CT.
September 27, 2018	Proposals due at 1:00 p.m. CT.

Week of October 15, 2018	Interviews and site visits, if any, with final candidates.
October 22, 2018	If applicable, best and final offer due by 1:00 p.m. CT.
Week of October 29, 2018	Notification of award and begin negotiation of Agreement.

These dates are subject to change at the Treasurer’s discretion.

**B. Contact Information**

The Treasurer’s Chief Procurement Officer (“CPO”) is the sole point of contact concerning this RFP.

Respondents should submit questions about the intent or content of this RFP and request clarification of any and all procedures used for this procurement prior to the submission of a Proposal. Respondents must submit their questions in writing by e-mail to the CPO, Jim Underwood, at [junderwood@illinoistreasurer.gov](mailto:junderwood@illinoistreasurer.gov) by 1:00 p.m. CT on September 5, 2018.

**C. Optional Bidder’s Conference**

If a Respondent intends to participate in the Optional Bidder’s Conference, Respondent must e-mail the CPO notice of intent to participate by 1:00 p.m. CT on August 29, 2018. Participation by telephone is acceptable. The Bidder’s Conference shall be at 1:00 p.m. CT on August 30, 2018 at the following address:

400 West Monroe Street, Suite 401  
Springfield, IL 62704

**D. Proposal Submittal**

All Proposals must be submitted by mail or messenger to the following address, no later than 1:00 p.m. CT on September 27, 2018:

Mr. Jim Underwood  
Chief Procurement Officer  
400 West Monroe Street, Suite 401  
Springfield, IL 62704  
Telephone: 217.782.1708

**E. RFP Process**

1. Internet/E-mail Communications

The Treasurer may also communicate with Respondents via e-mail. Each Respondent should provide an e-mail address with its response for ease of communication throughout this RFP process.

2. Verbal Communications

Any verbal communication from the Treasurer's employees or its contractors concerning this RFP is not binding on the Treasurer, and shall in no way alter a specification, term or condition of this RFP.

3. Amendments

If it is necessary to amend this RFP, the Treasurer will post any amendments on its website at [www.illinoistreasurer.gov](http://www.illinoistreasurer.gov).

4. Respondent's Costs

The cost of developing a Proposal is each Respondent's responsibility and shall not be charged to the Treasurer.

5. Withdrawal of Proposal

Respondent may withdraw its Proposal at any time prior to the deadline for receipt of Proposals. The Respondent must submit a written withdrawal request, addressed to the CPO and signed by the Respondent's duly authorized representative.

6. Modification of Proposal

A Respondent may submit an amended Proposal before the deadline for receipt of Proposals. Such amended Proposal must be a complete replacement for the previously submitted Proposal and must be clearly identified as such in the transmittal letter to the CPO.

7. Proposal is a firm offer

A Proposal submitted in response to this RFP is a firm and binding offer, valid for 180 days after the due date for Proposals or the due date for the receipt of a best and final offer, whichever falls later.

8. Proposal is State Property

On the Proposal due date, all Proposals and related material submitted in response to this RFP become the property of the State of Illinois.

9. Proposal is Part of a Public Procurement File

All Proposals received by the Treasurer will be open to the public, though a Respondent may request that the Treasurer treat certain information as confidential in accordance with 44 Ill. Admin. Code §1400.2505. If Respondent requests confidential treatment of any information it considers to be exempt from public disclosure under FOIA or other applicable laws and rules, Respondent should submit a Redacted Copy, which copy shall be clearly identified as the "Redacted Copy." In a separate attachment to the Redacted Copy, Respondent shall supply a listing of the provisions of the Proposal, identified by section number, for which it seeks confidential treatment, identify the basis of each claimed exemption and show how that basis applies to the request for exemption in accordance with 44 Ill. Admin. Code §1400.2505(1). The Redacted Copy must retain as much of the Proposal as possible.



A request for confidential treatment will not supersede the Treasurer's legal obligations under FOIA. The Treasurer will not honor requests to keep entire Proposals confidential, and will in any event disclose the successful Respondent's name, the substance of the Response, and the price.

10. CPO May Cancel RFP

If the CPO determines that it is in the Treasurer's best interest, he reserves the right to do any of the following: a) cancel this RFP; b) modify this RFP in writing as needed; or c) reject any or all Proposals received in response to this RFP.

11. Additional Information

The Treasurer reserves the right to request additional information and to meet with representatives of Respondent to discuss their Proposals.

## **VI. EVALUATION PROCESS AND CRITERIA**

This Section explains how the Treasurer will evaluate the Proposals.

### **A. Mandatory Requirements**

Failure to meet any of the following requirements shall lead to Respondent's automatic disqualification:

1. Submit Proposal and accompanying Cost Proposal by 1:00 p.m. CT on September 27, 2018;
2. In Respondent's Proposal, provide all of the sections and the information required for each section as set forth in Section IV.A of this RFP;
3. Provide the Cost Proposal in a separately sealed envelope and on a separate electronic storage device;
4. Be authorized to do business in Illinois as an Illinois bank or a national bank with a presence in Illinois;
5. Be a member of the Federal Reserve System and have access to all services as a member bank. Qualify as a depository for public funds;
6. Be an established financial institution with all required licenses, bonding, facilities, equipment and trained personnel necessary to perform the work as specified in this RFP at the time of this RFP, or prior to that time, if required by law. The Treasurer reserves the right to require proof of said requirements within ten (10) calendar days from the date of receipt of the Respondent's Proposal, or at any time thereafter; and
7. Have a minimum of ten (10) years of experience performing services that are considered identical or similar in nature to the Services.

8. Since January 1, 2015, Respondent or its officer(s) or principal(s), acting within the scope of their employment, have not been found liable or have not been subject to a consent order as a result of any publicly disclosed enforcement action or other regulatory proceeding by any of the following entities, including any divisions thereof: the Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the Treasury, Federal Deposit Insurance Corporation, or the Federal Reserve System.

**B. Scoring**

<b>Evaluation Factor</b>	<b>Maximum Number of Points Possible</b>
Background and Experience	20
Qualifications and Quality of Financial Services	40
Diversity	10
Corporate Responsibility – Environmental, Social and Governance Practices	5
Illinois Presence	10
Cost Proposal	15
Interview, if applicable	5
<b>TOTAL</b>	<b>105</b>

**C. Determining Scores**

1. Background and Experience  
Scoring will be based on Respondent’s demonstrated talent and experience of assigned personnel and will incorporate the answers Respondent provides to the Background and Experience Questions in Section IV of this RFP. The breadth and depth of similar engagements will be considered. The evaluation will also include reference checks regarding Respondent's work for other clients who received or are receiving services similar to those required by this RFP.
2. Qualifications and Quality of Financial Services  
Respondent’s ability to perform the Services will be evaluated based on the Scope of Work narrative and the answers Respondent provides to the Financial Services and Qualifications questions sections of the Proposal.
3. Diversity  
Respondent’s diversity score will be scored based on the answers the Respondent provides to the Diversity questions in Section IV. The Evaluation Team shall award a higher diversity score to Respondents (including subcontractors) that are female, minority, person

with disabilities, or veteran owned or managed. Having a higher percentage of subcontractors that are female, minority, person with disabilities, or veteran owned or managed shall also result in higher scores.

4. Corporate Responsibility – Environmental, Social and Governance Practices  
Respondent's corporate responsibility shall be scored based on the answers Respondent provides to the Corporate Responsibility questions in Section IV.
5. Illinois Presence  
Respondent's Illinois presence shall be scored based on the answers Respondent provides to the Illinois Presence questions in Section IV. Respondents with a principal place in Illinois and a higher percentage of employees in Illinois shall receive higher scores.
6. Cost Proposal  
The Evaluation Team shall evaluate the cost-effectiveness of Respondent's Cost Proposal in order to determine the Cost Proposal score.
7. Interview  
In the event the Treasurer does not conduct interviews, all Respondents will be awarded zero (0) points for this evaluation factor.

#### **D. Evaluation Process**

All Proposals will be reviewed for compliance with the RFP requirements and specifications. Proposals deemed non-responsive will be eliminated from further consideration. The Chief Procurement Officer may contact the Respondent for clarification of the Proposal, and the Evaluation Team may use other sources of publicly available information to perform its evaluation. Finally, the Evaluation Team will make a recommendation regarding the final Respondent.

### **VII. CONTRACTUAL TERMS**

The Contractor shall agree to each contractual provision set forth in this Section.

#### **A. Contractual Responsibility**

If chosen to provide the services under this RFP, the Contractor will be contractually responsible for all services provided Contractor shall at all times provide services in a commercially reasonable manner.

#### **B. Governing Law**

The Agreement shall be governed in all respects by the laws of the State of Illinois, without regard to conflicts of law principles. Any action by Contractor against the Treasurer can only be brought in the Illinois Court of Claims.

#### **C. Term of Agreement**

The term of the Agreement shall be four (4) years, unless terminated in accordance with the terms of the Agreement. The Treasurer may with the consent of the Contractor, elect to extend the

Agreement for additional periods, not to exceed a total term of ten (10) years, including the initial four (4) years.

#### **D. Termination**

1. Termination without Cause

The Treasurer may elect to terminate the Agreement at any time upon thirty (30) days' notice. Upon termination, the Treasurer will pay for work satisfactorily completed prior to the date of termination as determined by the Treasurer in a reasonable manner.

2. Termination for Cause

The Agreement may be terminated by the Treasurer under any of the following circumstances:

- a. Contractor fails to furnish satisfactory performance within the time specified;
- b. Contractor fails to perform any of the provisions of the Agreement or so fails to make progress so as to endanger the performance of the Agreement in accordance with its terms;
- c. Any goods or services provided under the Agreement are rejected and are not promptly replaced or corrected by the Contractor or repeatedly rejected even though Contractor offers to replace or correct the goods or services promptly;
- d. There is sufficient evidence to show that fraud, collusion, conspiracy, or other unlawful means were used to obtain the Agreement;
- e. Contractor is guilty of misrepresentation in connection with another contract for services to the State;
- f. Contractor is adjudged bankrupt or enters into a general assignment for the benefit of its creditors or receivership due to insolvency;
- g. Change in federal or State law or rules, or the Contractor's, or Treasurer's policies that would frustrate the purpose of the Agreement;
- h. Contractor disregards or violates any applicable laws, rules, or the Treasurer's instructions, acts in violation of any provision of the Agreement, or the agreement conflicts with any statutory or constitutional provision of the State of Illinois or the United States;
- i. Any other breach of contract or other unlawful act by Contractor occurs; or
- j. Contractor provides notice pursuant to Section VII.U or fails to provide such notice.

Prior to terminating the Agreement for cause, the Treasurer shall issue a written warning that outlines the remedial action necessary to bring the Contractor into conformance with the

Agreement. If such remedial action is not completed to the satisfaction of the Treasurer within thirty (30) business days, a second written warning may be issued. If satisfactory action is not taken by Contractor within five (5) business days of the date of the second written warning, the Agreement may be cancelled and the Treasurer may recover any and all damages involved with the transition to a new vendor including incidental and consequential damages. Failure by the Treasurer to issue a warning or cancel this Agreement does not waive any of the Treasurer's rights to issue subsequent warnings.

In addition, the Treasurer reserves the right to reduce the amount paid to Contractor as compensation for services under the Agreement during any period Contractor fails to perform with reasonable care any of its obligations under the Agreement.

#### **E. Work Product**

1. Ownership of work product.

Except as otherwise agreed to in writing, all work product including, but not limited to, documents, reports, data, information, and ideas specially produced, developed, or designed by the Contractor pursuant to the Agreement, including any copyright or service marks developed on behalf of the Treasurer, whether preliminary or final, (collectively, the "Work Product") will become and remain the property of the Treasurer. The Treasurer shall have the right to use all such Work Product without restriction or limitation and without further compensation to the Contractor.

2. Return of Work Product

Within thirty (30) days after expiration or termination of the Agreement, the Contractor shall deliver to Treasurer, or to a third party, if so instructed by the Treasurer, all Work Product in Contractor's possession in the performance of the Agreement. If requested by the Treasurer, the Contractor shall certify in writing that all such Work Product has been delivered to the Treasurer.

#### **F. State Furnished Property**

Contractor shall be responsible for the security, protection, and return of all property furnished by the State of Illinois, if any, including but not limited to, items, research materials, photographs, and drawings.

#### **G. Internal Controls**

If applicable and upon request, the Contractor shall provide the Treasurer with a copy of the most recent Annual Report or Form 10-K of itself or its holding company and its most recent SSAE 16 report, both of which shall include the attestation of the company's independent registered accounting firm regarding the company's internal control over financial reporting.

#### **H. Back-up Facilities**

Upon request, the Contractor and its subcontractor(s), if applicable shall provide the Treasurer a copy of their disaster recovery plan, back-up plan, and results of the annual audit of the disaster recovery plan.

#### **I. Liability**

The Treasurer assumes no liability for the acts or omissions of the Contractor. This liability rests solely with the Contractor. The Contractor shall be liable to the Treasurer for actual and compensatory damages that are available to the Treasurer in law or remedies in equity.

**J. Indemnification**

Contractor shall indemnify and hold the Treasurer harmless from and against any and all losses, including but not limited to, any liabilities; demands; claims; lawsuits; damages; causes of action; settlements; judgments, including costs, attorneys' and witnesses' fees and expenses incident thereto; or fines, any of which arise out of or relate to violation of applicable law, breach of the Agreement, the negligent acts or omissions, or willful misconduct by Contractor, its employees, or agents. Contractor has a duty to select, with due diligence, all other entities that shall be necessary to implement the Agreement. Contractor shall establish and enforce reasonable procedures to assure the Treasurer of the performance by all other entities of the services necessary to implement this Agreement.

**K. Subcontractors**

The Contractor may not use subcontractors to perform the Services, unless the subcontractor is approved in advance by the Treasurer. Respondent must disclose the duties to be performed by the subcontractor. The Contractor will be required to obtain written approval from the Treasurer prior to adding or changing subcontractors. Subcontractors will be required to complete the attached State Certifications and Disclosure Forms, found at Appendix B.

**L. Record Retention and Audit**

Contractor and subcontractors, if any, shall maintain adequate books, records, and supporting documents related to the Agreement, including those necessary to support amounts charged to the State under the Agreement, for a minimum of three (3) years from the last action on the Agreement or after termination of the Agreement, whichever is longer. The Contractor and subcontractors agree to cooperate fully with any audit conducted by the Auditor General or the Treasurer and to provide full access to all relevant materials. If any litigation or claim involving the Agreement has been filed or any audit commenced before the expiration of the three (3) year period, the Contractor shall maintain the records required by this Section 1) in the case of any litigation or claim, until completion of the action and resolution of all issues that arise from it or until the end of the three (3) year period, whichever is later and 2) in the case of any audit, until completion of the audit or until the end of the three (3) year period, whichever is later. Failure to maintain the books, records and supporting documents required by this Section shall establish a presumption in favor of the Treasurer for the recovery of any funds paid by the Treasurer under the Agreement for which adequate books, records, and supporting documentation are not available to support their purported disbursement.

**M. Confidentiality**

This Section shall survive the termination of the Agreement.

1. Confidential Information

Contractor shall be prohibited from using or disclosing information received in the course of fulfilling its obligations pursuant to the Agreement ("Confidential Information"), except in the performance of its internal responsibilities and normal functions and as

directed by the Treasurer. Confidential Information includes all information but the following:

- a. Information already known or independently developed by the recipient;
  - b. Information required to be released by law;
  - c. Information in the public domain through no wrongful act of the recipient; and
  - d. Information received from a third party who was free to disclose it.
2. Use of Confidential Information by Employees and Agents of Contractor  
The requirement of confidentiality under this Agreement also applies to the employees and agents of the Contractor. The Contractor shall use its best efforts to ensure that its employees and agents adhere to the confidentiality requirements set forth herein. The Contractor's use by and disclosure to employees and agents of Confidential Information to the extent necessary to carry out the terms and purposes of this Agreement is acceptable.
3. Protection of Confidential Information  
Contractor represents, warrants, and covenants that it has implemented and will maintain an information security program reasonably designed to protect the Confidential Information, which program includes administrative, technical, and physical safeguards to ensure the security and confidentiality of all Confidential Information, to protect against anticipated threats or hazards to the security or integrity of such customer information, and to protect against unauthorized access to or use of the Confidential Information.
4. Privacy Policy and Cyber-Security  
Contractor will comply with any applicable federal or state laws or regulations, as well as any privacy or cyber-security policy developed by the Treasurer. Contractor further agrees to establish, maintain, and comply with a privacy policy and cyber-security policy with respect to the Agreement that meets the requirements of applicable law.

**N. Successor and Assignment**

Each term and provision of the Agreement is binding and enforceable against and inures to the benefit of any successors of the Treasurer and any successors of Contractor, but neither the Agreement nor any of the rights or obligations under the Agreement may be transferred or assigned without the Treasurer's prior written consent of the Treasurer shall render the Agreement voidable by the Treasurer. The Treasurer may unilaterally bind any successor of the Contractor to the terms and conditions of the Agreement.

**O. Certifications**

The Contractor shall certify the following:

1. That the Contractor has the full legal right, power, and authority to execute and deliver the Agreement and to perform its obligations pursuant to the Agreement with no other corporate action on the part of the Contractor or its stockholders being necessary, and that the Agreement has been duly and validly executed and delivered by the Contractor, thereby

constituting a legal, valid, and binding obligation of the Contractor, enforceable against the Contractor in accordance with its terms;

2. That the execution and delivery by the Contractor of the Agreement, the performance by Contractor of its duties and obligations thereunder, and the consummation of the transactions contemplated do not result in any of the following:
  - a. Conflict with or result in a violation or breach of any of the terms, conditions, or provisions of the charter or by-laws of Contractor;
  - b. Conflict with or result in a violation or breach of any term or provision of (a) any law, rule, regulation, judgment, decree, order, or injunction applicable to the Contractor or any of its assets and properties or (b) any agreement binding on or affecting the Contractor or any of its properties; or
  - c. Conflict with or result in a violation or breach of, or constitute (with or without notice or lapse of time or both) a default under any material agreement to which the Contractor is a party, or any material obligation or responsibility which the Contractor has to any third party.
3. That there is no action, suit, investigation, or proceeding pending or, to the best knowledge of the Contractor, threatened against the Contractor before any court, arbitrator, or administrative or governmental body that might result in any material adverse change in the operations of the Contractor or which might materially and adversely affect the ability of the Contractor to perform the Services or otherwise comply with its obligations under the Agreement.

**P. Review**

The Treasurer may conduct periodic performance reviews of the Contractor, during which its compliance with all aspects of the Agreement will be reviewed and assessed.

**Q. Severability**

If any provision, or portion thereof, of the Agreement is, or becomes, invalid under any applicable statute or rule of law, it is to be deemed stricken and the rest of the Agreement shall remain in full force and effect.

**R. Access to Information**

Upon request, the Contractor shall provide the Treasurer access to all files, records, documents, and data that are in its possession and control pursuant to the Agreement, regardless of how that information is stored. The information shall be provided in a form acceptable to the Treasurer.

**S. Reporting and Testing**

Within ten (10) days after full execution of the Agreement, the Contractor shall provide the Treasurer 1) a complete sample of all reports available on its online treasury management system and 2) access to the Contractor's treasury management system for the purpose of testing the export of information into the following formats: PDF, BAI2, CSV, and TXT. The reports and test



export shall contain data that is specific to the types of transactions provided in Section III of this RFP.

**T. Continuation of Services**

The Contractor shall guarantee performance of the Services and agree to perform all Services in an efficient and professional manner. Notwithstanding anything to the contrary in the Agreement, the Contractor's obligations and responsibilities pursuant to the Agreement shall not be affected in the event of personnel problems, strike by employees, work stoppages, and other employee-related events. The Contractor is responsible for and shall provide commercially reasonable backup systems and shall review the adequacy of those systems with the Treasurer upon request. The prevention of such business interruption shall be the sole responsibility of the Contractor, and the Contractor shall immediately notify the Treasurer in the event such business interruption takes place. The Contractor shall be liable for any losses or damages sustained by the Treasurer due, in whole or in part, to the Contractor's failure to provide reasonable backup systems.

**U. Notice**

The Contractor hereby agrees to give the Treasurer notice if at any point during the term of the Agreement, Contractor or its officer(s) or principal(s), acting within the scope of their employment, are found liable or become subject to a consent order as a result of any publicly disclosed enforcement action or other regulatory proceeding by any of the following entities, including any divisions thereof: the Securities and Exchange Commission, Department of Justice, Consumer Financial Protection Bureau, U.S. Department of the Treasury, Federal Deposit Insurance Corporation, or the Federal Reserve System. The Contractor shall provide the Treasurer such notice within five (5) business days of when Contractor knows or reasonably should have known of the liability or consent order. Contractor's delivery of notice pursuant to this Section or failure to provide the required notice shall give the Treasurer reason to terminate the Agreement for cause.

**V. Change of Law or Policy**

The Contractor shall notify the Treasurer in writing within ten (10) business days of any change or addition applicable to the Contractor in federal or state regulations or laws that would adversely affect either the terms of or the rights granted the Treasurer by the Agreement, and within five (5) business days of any legally required change in or addition to Contractor's internal operational policy that might affect the Contractor's performance of the Services, including but not limited to any policy that relates to management, maintenance, record keeping, safekeeping, custody, or subcontracting.

**W. State Certifications/Disclosures**

The Agreement shall incorporate Contractor's fully executed State Certifications and Disclosure Forms, a copy of which is attached hereto as Appendix J.

## Appendix A

### CURRENT DEMAND DEPOSIT ACCOUNT STRUCTURE

#### Clearing Account

Incoming Wire Transfers  
Outgoing Wire Transfer  
ACH Credits Received  
ACH Debits Received  
ACH Direct Transmission Files  
Incoming Book Transfers  
Outgoing Book Transfers  
Sweep Investment  
ACH Debit Block/Filter  
Positive Pay  
Image Cash Letter  
Remote Deposit Capture  
Remote Currency Manager

#### Child Support EFT Account

Incoming Wire Transfers  
Outgoing Wire Transfer  
ACH Credits Received  
ACH Debits Received  
ACH Direct Transmission Files  
Incoming Book Transfers  
Outgoing Book Transfers  
Sweep Investment  
ACH Debit Block/Filter  
Positive Pay

**Appendix B**  
**Monthly Deposit Volumes FY 2017 and 2018**

**Clearing Bank Account Deposit Item Count and Total Deposit Dollars**

<u>Month</u>	<u># of Deposits</u>	<u>\$ Amt. of Deposits</u>	<u>Month</u>	<u># of Deposits</u>	<u>\$ Amt. of Deposits</u>
Jun-18	12,293	\$807,706,552.52	Jun-18	60	\$342,605.16
May-18	13,174	\$704,304,233.03	May-18	58	\$267,451.16
Apr-18	12,941	\$1,666,737,070.80	Apr-18	48	\$330,664.23
Mar-18	12,835	\$1,183,373,323.25	Mar-18	53	\$624,710.18
Feb-18	10,032	\$618,034,575.69	Feb-18	38	\$603,227.20
Jan-18	11,753	\$762,080,741.79	Jan-18	50	\$1,615,220.40
Dec-17	10,877	\$905,412,560.76	Dec-17	39	\$436,601.46
Nov-17	10,850	\$547,313,433.33	Nov-17	44	\$494,186.00
Oct-17	12,477	\$896,352,719.23	Oct-17	43	\$452,936.35
Sep-17	11,522	\$777,478,794.77	Sep-17	43	\$459,999.45
Aug-17	12,647	\$655,951,558.76	Aug-17	42	\$287,657.00
Jul-17	11,502	\$727,548,148.44	Jul-17	51	\$389,632.17
Jun-17	13,259	\$830,593,048.36	Jun-17	53	\$309,882.40
May-17	13,225	\$580,175,868.47	May-17	45	\$245,946.41
Apr-17	12,680	\$1,394,554,753.75	Apr-17	27	\$269,304.00
Mar-17	14,615	\$1,198,116,355.35	Mar-17	36	\$736,981.00
Feb-17	10,978	\$634,272,857.42	Feb-17	27	\$233,433.00
Jan-17	11,453	\$727,871,806.67	Jan-17	34	\$1,758,906.61
Dec-16	11,902	\$745,053,013.19	Dec-16	32	\$390,863.33
Nov-16	10,382	\$510,258,769.26	Nov-16	34	\$544,438.10
Oct-16	11,915	\$696,748,599.66	Oct-16	48	\$693,410.37
Sep-16	12,603	\$790,591,430.34	Sep-16	32	\$362,018.90
Aug-16	14,296	\$622,754,557.07	Aug-16	30	\$195,497.66
Jul-16	11,483	\$828,270,837.17	Jul-16	25	\$93,465.13

**Child Support Clearing Account Deposit Item Count and Total Deposit Dollars**

<u>Month</u>	<u># of Deposits</u>	<u>\$ Amt. of Deposits</u>	<u>Month</u>	<u># of Deposits</u>	<u>\$ Amt. of Deposits</u>
Jun-18	92	\$9,814,929.74	Jun-17	87	\$9,960,146.77
May-18	104	\$9,967,128.22	May-17	99	\$9,899,828.83
Apr-18	95	\$9,243,104.41	Apr-17	78	\$8,167,421.30
Mar-18	100	\$9,665,077.93	Mar-17	95	\$9,652,281.96
Feb-18	80	\$7,670,671.98	Feb-17	76	\$7,899,096.43
Jan-18	89	\$8,359,040.24	Jan-17	88	\$8,457,448.99
Dec-17	87	\$8,142,265.46	Dec-16	96	\$9,134,299.90
Nov-17	88	\$8,643,311.55	Nov-16	82	\$9,000,100.42
Oct-17	86	\$8,377,783.70	Oct-16	81	\$8,337,888.20
Sep-17	85	\$8,537,147.92	Sep-16	92	\$8,558,892.29
Aug-17	100	\$9,381,157.47	Aug-16	105	\$9,739,812.24
Jul-17	77	\$8,446,268.84	Jul-16	83	\$8,255,235.18

## **Appendix C**

### **CURRENT STATE AGENCIES, BOARDS AND COMMISSIONS**

**Abraham Lincoln Presidential Library and Museum**

**Administrative Offices of the Illinois Courts**

**Attorney General's Office**

**Auditor General's Office**

**Board of Higher Education**

**Capital Development Board**

**Central Management Services**

**Chicago State University**

**Civil Service Commission**

**Clerk of the 1st Appellate Court**

**Clerk of the 2nd Appellate Court**

**Clerk of the 3rd Appellate Court**

**Clerk of the 4th Appellate Court**

**Clerk of the 5th Appellate Court**

**Clerk of the Supreme Court**

**Commission on Gov't Forecasting & Accountability**

**Comprehensive Health Insurance Board**

**Comptroller's Office**

**Court of Claims**

**Criminal Justice Information Authority**

**Deaf and Hard of Hearing Commission**

**Department of Agriculture**

**Department of Children & Family Services**

**Department of Commerce and Economic Opportunity**

**Department of Corrections**

**Department of Employment Security**

**Department of Human Rights**

**Department of Human Services**

**Department of Innovation & Technology**

**Department of Insurance**

**Department of Juvenile Justice**

**Department of Labor**

**Department of Military Affairs**

**Department of Natural Resources**

**Department of Public Health**

**Department of Revenue**

**Department of the Lottery**

**Department of Transportation**

**Department of Veteran's Affairs**

**Department on Aging**

**Division of Specialized Care for Children**

**Drycleaner Environmental Response Trust Fund**

**Educational Labor Relations**

**Emergency Management Agency**

**Environmental Protection Agency**

**Executive Ethics Commission**

**General Assembly Retirement System**

**Governor's Office**

**Governor's Office of Management and Budget**

**Guardianship & Advocacy Comm.**

**Healthcare and Family Services**

**House of Representatives - Democratic Fiscal Unit**

**House of Representatives - House Fiscal Office**

**House of Representatives - Minority**

**Human Rights Commission**

**IL Health Information Exchange Authority**

**IL Law Enforcement Training & Standards Board**

**IL Power Agency**

**IL Procurement Policy Board**

**Illinois Arts Council**

**Illinois Commerce Commission**

**Illinois Community College Board**

**Illinois Department of Financial and Professional Regulation**

**Illinois Finance Authority**

**Illinois Gaming Board**

**Illinois Housing Development Authority**

**Illinois Independent Tax Tribunal**

**Illinois Labor Relations Board**

**Illinois Mathematics & Science Academy**

**Illinois Racing Board**

**Illinois State Board of Education**

**Illinois State Charter School Commission**

**Illinois State Police**

**Illinois State Police Merit Board**

**Illinois State Senate**

**Illinois State Tollway Highway Authority**

**Illinois Student Assistance Commission**

**Illinois Supreme Court Library**

**Illinois Supreme Court Historical Preservation Comm**

**Illinois Workers Compensation Commission**

**Joint Committee on Administrative Rules**

**Judges Retirement System**

**Judicial Inquiry Board Miscellaneous**

**Legislative Audit Comm**

**Legislative Information Systems**

**Legislative Printing Unit**

**Legislative Reference Bureau**

**Legislative Research Unit**

**Office of Executive Inspector General**

**Office of the Architect of the Capitol**

**Office of the Lieutenant Governor**

**Prisoner Review Board**

**Property Tax Appeal Board**

**Secretary of State**

**State Appellate Defender**

**State Attorney's Appellate Prosecutor**

**State Board of Elections**

**State Employees' Retirement System**

**State Fire Marshal**

**State Treasurer's Office**

**Teachers' Retirement System**

**Appendix D**  
**Monthly Return Item Volumes FY 2017 and 2018**

**Clearing Bank Account Return Item Count and Total Dollars**

<b>Month</b>	<b># of Ret. Items</b>	<b>\$ Amt. of Return Items</b>	<b>Month</b>	<b># of Ret. Items</b>	<b>\$ Amt. of Return Items</b>
Jun-18	1,248	\$5,222,881.45	Jun-18	18	\$3,175.00
May-18	1,948	\$2,031,323.06	May-18	12	\$4,825.00
Apr-18	2,066	\$1,866,185.20	Apr-18	9	\$1,900.00
Mar-18	1,462	\$1,904,741.42	Mar-18	13	\$2,125.00
Feb-18	899	\$492,682.49	Feb-18	9	\$1,950.00
Jan-18	1,219	\$938,383.91	Jan-18	9	\$1,750.00
Dec-17	1,134	\$780,420.53	Dec-17	7	\$850.00
Nov-17	1,236	\$1,122,422.04	Nov-17	9	\$1,075.00
Oct-17	1,381	\$1,088,684.44	Oct-17	6	\$950.00
Sep-17	1,403	\$1,161,632.88	Sep-17	6	\$1,200.00
Aug-17	1,515	\$802,269.57	Aug-17	9	\$1,275.00
Jul-17	1,379	\$1,587,783.62	Jul-17	7	\$1,400.00
Jun-17	1,401	\$802,206.71	Jun-17	9	\$1,225.00
May-17	1,929	\$2,015,741.21	May-17	7	\$875.00
Apr-17	1,782	\$1,976,953.71	Apr-17	6	\$950.00
Mar-17	1,524	\$7,800,204.81	Mar-17	3	\$550.00
Feb-17	1,212	\$579,674.35	Feb-17	4	\$650.00
Jan-17	1,381	\$7,094,397.51	Jan-17	9	\$1,925.00
Dec-16	1,316	\$1,683,736.84	Dec-16	6	\$1,000.00
Nov-16	1,259	\$884,604.00	Nov-16	7	\$1,050.00
Oct-16	1,561	\$1,324,020.99	Oct-16	13	\$2,300.00
Sep-16	1,627	\$2,845,351.79	Sep-16	2	\$350.00
Aug-16	1,459	\$625,125.09	Aug-16	3	\$600.00
Jul-16	1,578	\$1,052,145.39	Jul-16	3	\$125.00

**Child Support Clearing Account Return Item Count and Total Dollars**

<b>Month</b>	<b># of Ret. Items</b>	<b>\$ Amt. of Return Items</b>	<b>Month</b>	<b># of Ret. Items</b>	<b>\$ Amt. of Return Items</b>
Jun-18	0	\$0.00	Jun-17	3	\$12,848.78
May-18	1	\$1,959.32	May-17	0	\$0.00
Apr-18	1	\$1,942.50	Apr-17	1	\$10,318.90
Mar-18	0	\$0.00	Mar-17	1	\$3,600.00
Feb-18	0	\$0.00	Feb-17	1	\$1,501.06
Jan-18	1	\$4,948.46	Jan-17	1	\$1,255.60
Dec-17	0	\$0.00	Dec-16	1	\$6,241.26
Nov-17	1	\$9,155.39	Nov-16	0	\$0.00
Oct-17	0	\$0.00	Oct-16	1	\$1,399.86
Sep-17	0	\$0.00	Sep-16	1	\$15,446.69
Aug-17	2	\$12,232.45	Aug-16	0	\$0.00
Jul-17	0	\$0.00	Jul-16	2	\$441.29



**Appendix E**  
**Daily Outgoing Wire Transfer Volumes FY 2017 and 2018**

**Clearing Daily Outgoing Wire Transfers**

<b>Wire Transfer Date</b>	<b>Wire Transfer Amount</b>	<b>Wire Transfer Date</b>	<b>Wire Transfer Amount</b>
07/01/2016	\$45,750,000.00	07/03/2017	\$38,600,000.00
07/05/2016	\$38,965,000.00	07/05/2017	\$78,900,000.00
07/06/2016	\$105,750,000.00	07/06/2017	\$57,650,000.00
07/07/2016	\$129,975,000.00	07/07/2017	\$74,225,000.00
07/08/2016	\$62,275,000.00	07/10/2017	\$66,275,000.00
07/11/2016	\$37,050,000.00	07/11/2017	\$45,550,000.00
07/12/2016	\$20,500,000.00	07/12/2017	\$14,575,000.00
07/13/2016	\$21,925,000.00	07/13/2017	\$16,890,000.00
07/14/2016	\$15,875,000.00	07/14/2017	\$16,855,000.00
07/15/2016	\$21,400,000.00	07/17/2017	\$37,275,000.00
07/18/2016	\$32,150,000.00	07/18/2017	\$45,525,000.00
07/19/2016	\$29,700,000.00	07/19/2017	\$26,875,000.00
07/20/2016	\$25,500,000.00	07/20/2017	\$22,350,000.00
07/21/2016	\$22,900,000.00	07/21/2017	\$19,660,000.00
07/22/2016	\$21,230,000.00	07/24/2017	\$22,525,000.00
07/25/2016	\$23,495,000.00	07/25/2017	\$26,575,000.00
07/26/2016	\$47,775,000.00	07/26/2017	\$26,375,000.00
07/27/2016	\$38,250,000.00	07/27/2017	\$38,025,000.00
07/28/2016	\$22,100,000.00	07/28/2017	\$20,525,000.00
07/29/2016	\$58,350,000.00	07/31/2017	\$31,150,000.00
08/01/2016	\$47,775,000.00	08/01/2017	\$36,700,000.00
08/02/2016	\$79,975,000.00	08/02/2017	\$112,500,000.00
08/03/2016	\$20,275,000.00	08/03/2017	\$20,525,000.00
08/04/2016	\$27,500,000.00	08/04/2017	\$15,025,000.00
08/05/2016	\$30,000,000.00	08/07/2017	\$24,235,000.00
08/08/2016	\$19,400,000.00	08/08/2017	\$21,395,000.00
08/09/2016	\$24,050,000.00	08/09/2017	\$23,430,000.00
08/10/2016	\$24,150,000.00	08/10/2017	\$17,225,000.00
08/11/2016	\$29,750,000.00	08/11/2017	\$13,380,000.00
08/12/2016	\$16,800,000.00	08/14/2017	\$11,750,000.00
08/15/2016	\$37,460,000.00	08/15/2017	\$56,375,000.00
08/16/2016	\$24,045,000.00	08/16/2017	\$17,425,000.00
08/17/2016	\$20,720,000.00	08/17/2017	\$14,025,000.00
08/18/2016	\$16,475,000.00	08/18/2017	\$34,100,000.00
08/19/2016	\$15,640,000.00	08/21/2017	\$17,600,000.00
08/22/2016	\$25,915,000.00	08/22/2017	\$24,750,000.00
08/23/2016	\$24,875,000.00	08/23/2017	\$22,925,000.00
08/24/2016	\$20,800,000.00	08/24/2017	\$16,400,000.00
08/25/2016	\$19,875,000.00	08/25/2017	\$14,125,000.00
08/26/2016	\$17,925,000.00	08/28/2017	\$31,525,000.00

08/29/2016	\$35,050,000.00	08/29/2017	\$64,850,000.00
08/30/2016	\$35,300,000.00	08/30/2017	\$32,225,000.00
08/31/2016	\$23,275,000.00	08/31/2017	\$17,200,000.00
09/01/2016	\$25,750,000.00	09/01/2017	\$27,400,000.00
09/02/2016	\$73,425,000.00	09/05/2017	\$29,500,000.00
09/06/2016	\$22,600,000.00	09/06/2017	\$38,250,000.00
09/07/2016	\$34,850,000.00	09/07/2017	\$17,900,000.00
09/08/2016	\$30,425,000.00	09/08/2017	\$21,500,000.00
09/09/2016	\$18,625,000.00	09/11/2017	\$22,650,000.00
09/12/2016	\$25,995,000.00	09/12/2017	\$34,525,000.00
09/13/2016	\$34,175,000.00	09/13/2017	\$37,000,000.00
09/14/2016	\$95,265,000.00	09/14/2017	\$15,250,000.00
09/15/2016	\$55,440,000.00	09/15/2017	\$39,330,000.00
09/16/2016	\$41,465,000.00	09/18/2017	\$56,050,000.00
09/19/2016	\$39,450,000.00	09/19/2017	\$32,825,000.00
09/20/2016	\$35,825,000.00	09/20/2017	\$54,900,000.00
09/21/2016	\$33,725,000.00	09/21/2017	\$40,350,000.00
09/22/2016	\$24,900,000.00	09/22/2017	\$62,050,000.00
09/23/2016	\$23,375,000.00	09/25/2017	\$42,850,000.00
09/26/2016	\$21,000,000.00	09/26/2017	\$27,125,000.00
09/27/2016	\$51,175,000.00	09/27/2017	\$67,450,000.00
09/28/2016	\$15,925,000.00	09/28/2017	\$73,125,000.00
09/29/2016	\$32,375,000.00	09/29/2017	\$38,770,000.00
09/30/2016	\$55,075,000.00	10/02/2017	\$20,675,000.00
10/03/2016	\$24,000,000.00	10/03/2017	\$21,200,000.00
10/04/2016	\$36,775,000.00	10/04/2017	\$82,200,000.00
10/05/2016	\$42,175,000.00	10/05/2017	\$86,825,000.00
10/06/2016	\$71,325,000.00	10/06/2017	\$30,570,000.00
10/07/2016	\$74,725,000.00	10/10/2017	\$20,275,000.00
10/11/2016	\$22,100,000.00	10/11/2017	\$18,475,000.00
10/12/2016	\$41,850,000.00	10/12/2017	\$35,675,000.00
10/13/2016	\$19,325,000.00	10/13/2017	\$70,325,000.00
10/14/2016	\$19,910,000.00	10/16/2017	\$39,025,000.00
10/17/2016	\$20,925,000.00	10/17/2017	\$45,975,000.00
10/18/2016	\$47,825,000.00	10/18/2017	\$22,625,000.00
10/19/2016	\$18,700,000.00	10/19/2017	\$28,300,000.00
10/20/2016	\$18,650,000.00	10/20/2017	\$28,700,000.00
10/21/2016	\$52,875,000.00	10/23/2017	\$30,975,000.00
10/24/2016	\$27,500,000.00	10/24/2017	\$35,025,000.00
10/25/2016	\$24,350,000.00	10/25/2017	\$43,750,000.00
10/26/2016	\$39,980,000.00	10/26/2017	\$37,975,000.00
10/27/2016	\$16,950,000.00	10/27/2017	\$48,600,000.00
10/28/2016	\$28,125,000.00	10/30/2017	\$39,100,000.00
10/31/2016	\$42,425,000.00	10/31/2017	\$88,500,000.00
11/01/2016	\$29,825,000.00	11/01/2017	\$42,750,000.00
11/02/2016	\$49,950,000.00	11/02/2017	\$30,950,000.00
11/03/2016	\$33,800,000.00	11/03/2017	\$44,000,000.00

11/04/2016	\$24,250,000.00	11/06/2017	\$16,750,000.00
11/07/2016	\$20,650,000.00	11/07/2017	\$27,275,000.00
11/08/2016	\$18,125,000.00	11/08/2017	\$46,900,000.00
11/09/2016	\$2,400,000.00	11/09/2017	\$18,250,000.00
11/10/2016	\$21,425,000.00	11/10/2017	\$12,575,000.00
11/14/2016	\$30,600,000.00	11/13/2017	\$34,550,000.00
11/15/2016	\$17,500,000.00	11/14/2017	\$17,500,000.00
11/16/2016	\$25,725,000.00	11/15/2017	\$17,200,000.00
11/17/2016	\$18,900,000.00	11/16/2017	\$16,275,000.00
11/18/2016	\$14,000,000.00	11/17/2017	\$22,250,000.00
11/21/2016	\$23,950,000.00	11/20/2017	\$17,100,000.00
11/22/2016	\$51,200,000.00	11/21/2017	\$29,250,000.00
11/23/2016	\$19,400,000.00	11/22/2017	\$26,075,000.00
11/25/2016	\$27,800,000.00	11/24/2017	\$26,525,000.00
11/28/2016	\$3,650,000.00	11/27/2017	\$3,425,000.00
11/29/2016	\$29,500,000.00	11/28/2017	\$49,825,000.00
11/30/2016	\$31,975,000.00	11/29/2017	\$22,625,000.00
12/01/2016	\$42,650,000.00	11/30/2017	\$51,550,000.00
12/02/2016	\$23,300,000.00	12/01/2017	\$12,075,000.00
12/05/2016	\$28,165,000.00	12/04/2017	\$47,400,000.00
12/06/2016	\$28,975,000.00	12/05/2017	\$21,950,000.00
12/07/2016	\$41,425,000.00	12/06/2017	\$30,355,000.00
12/08/2016	\$19,775,000.00	12/07/2017	\$15,150,000.00
12/09/2016	\$21,650,000.00	12/08/2017	\$18,905,000.00
12/12/2016	\$28,110,000.00	12/11/2017	\$19,425,000.00
12/13/2016	\$37,895,000.00	12/12/2017	\$32,200,000.00
12/14/2016	\$17,300,000.00	12/13/2017	\$25,650,000.00
12/15/2016	\$31,075,000.00	12/14/2017	\$44,675,000.00
12/16/2016	\$17,425,000.00	12/15/2017	\$16,755,000.00
12/19/2016	\$37,600,000.00	12/18/2017	\$17,400,000.00
12/20/2016	\$33,525,000.00	12/19/2017	\$42,600,000.00
12/21/2016	\$34,500,000.00	12/20/2017	\$58,500,000.00
12/22/2016	\$69,050,000.00	12/21/2017	\$84,460,000.00
12/23/2016	\$31,930,000.00	12/22/2017	\$43,765,000.00
12/27/2016	\$16,375,000.00	12/26/2017	\$24,590,000.00
12/28/2016	\$30,775,000.00	12/27/2017	\$45,795,000.00
12/29/2016	\$36,640,000.00	12/28/2017	\$67,790,000.00
12/30/2016	\$121,245,000.00	12/29/2017	\$187,780,000.00
01/03/2017	\$35,200,000.00	01/02/2018	\$75,950,000.00
01/04/2017	\$53,725,000.00	01/03/2018	\$60,825,000.00
01/05/2017	\$42,725,000.00	01/04/2018	\$50,975,000.00
01/06/2017	\$34,050,000.00	01/05/2018	\$71,650,000.00
01/09/2017	\$24,600,000.00	01/08/2018	\$65,975,000.00
01/10/2017	\$34,250,000.00	01/09/2018	\$30,500,000.00
01/11/2017	\$51,325,000.00	01/10/2018	\$22,150,000.00
01/12/2017	\$55,525,000.00	01/11/2018	\$22,300,000.00
01/13/2017	\$21,740,000.00	01/12/2018	\$14,825,000.00

01/17/2017	\$86,950,000.00	01/16/2018	\$48,275,000.00
01/18/2017	\$31,150,000.00	01/17/2018	\$23,075,000.00
01/19/2017	\$24,100,000.00	01/18/2018	\$31,700,000.00
01/20/2017	\$25,650,000.00	01/19/2018	\$57,150,000.00
01/23/2017	\$40,375,000.00	01/22/2018	\$18,725,000.00
01/24/2017	\$29,700,000.00	01/23/2018	\$23,200,000.00
01/25/2017	\$19,600,000.00	01/24/2018	\$28,475,000.00
01/26/2017	\$20,700,000.00	01/25/2018	\$19,675,000.00
01/27/2017	\$18,800,000.00	01/26/2018	\$13,150,000.00
01/30/2017	\$37,425,000.00	01/29/2018	\$45,800,000.00
01/31/2017	\$44,325,000.00	01/30/2018	\$53,975,000.00
02/01/2017	\$26,225,000.00	01/31/2018	\$24,425,000.00
02/02/2017	\$47,300,000.00	02/01/2018	\$18,500,000.00
02/03/2017	\$38,500,000.00	02/02/2018	\$30,075,000.00
02/06/2017	\$34,750,000.00	02/05/2018	\$68,650,000.00
02/07/2017	\$75,525,000.00	02/06/2018	\$26,275,000.00
02/08/2017	\$23,950,000.00	02/07/2018	\$15,950,000.00
02/09/2017	\$12,525,000.00	02/08/2018	\$17,325,000.00
02/10/2017	\$76,275,000.00	02/09/2018	\$19,200,000.00
02/13/2017	\$17,485,000.00	02/12/2018	\$24,045,000.00
02/14/2017	\$4,750,000.00	02/13/2018	\$4,250,000.00
02/15/2017	\$17,625,000.00	02/14/2018	\$18,750,000.00
02/16/2017	\$40,950,000.00	02/15/2018	\$64,950,000.00
02/17/2017	\$17,150,000.00	02/16/2018	\$21,700,000.00
02/21/2017	\$23,555,000.00	02/20/2018	\$23,725,000.00
02/22/2017	\$21,000,000.00	02/21/2018	\$44,155,000.00
02/23/2017	\$25,875,000.00	02/22/2018	\$31,800,000.00
02/24/2017	\$21,825,000.00	02/23/2018	\$26,750,000.00
02/27/2017	\$44,950,000.00	02/26/2018	\$70,225,000.00
02/28/2017	\$51,175,000.00	02/27/2018	\$41,600,000.00
03/01/2017	\$38,500,000.00	02/28/2018	\$39,175,000.00
03/02/2017	\$57,400,000.00	03/01/2018	\$28,350,000.00
03/03/2017	\$46,800,000.00	03/02/2018	\$41,200,000.00
03/06/2017	\$41,750,000.00	03/05/2018	\$64,775,000.00
03/07/2017	\$33,600,000.00	03/06/2018	\$26,375,000.00
03/08/2017	\$26,380,000.00	03/07/2018	\$43,610,000.00
03/09/2017	\$32,125,000.00	03/08/2018	\$23,000,000.00
03/10/2017	\$46,525,000.00	03/09/2018	\$35,325,000.00
03/13/2017	\$52,040,000.00	03/12/2018	\$48,650,000.00
03/14/2017	\$64,565,000.00	03/13/2018	\$39,250,000.00
03/15/2017	\$75,775,000.00	03/14/2018	\$64,245,000.00
03/16/2017	\$34,350,000.00	03/15/2018	\$36,775,000.00
03/17/2017	\$60,425,000.00	03/16/2018	\$44,115,000.00
03/20/2017	\$97,975,000.00	03/19/2018	\$55,350,000.00
03/21/2017	\$61,100,000.00	03/20/2018	\$87,750,000.00
03/22/2017	\$69,700,000.00	03/21/2018	\$110,100,000.00
03/23/2017	\$35,375,000.00	03/22/2018	\$62,300,000.00

03/24/2017	\$29,300,000.00	03/22/2018	\$50,000,000.00
03/24/2017	\$40,100,000.00	03/23/2018	\$39,725,000.00
03/27/2017	\$77,650,000.00	03/26/2018	\$57,825,000.00
03/28/2017	\$35,975,000.00	03/27/2018	\$44,075,000.00
03/29/2017	\$41,100,000.00	03/28/2018	\$59,030,000.00
03/30/2017	\$51,175,000.00	03/29/2018	\$80,260,000.00
03/31/2017	\$44,675,000.00	03/30/2018	\$29,925,000.00
04/03/2017	\$33,750,000.00	04/02/2018	\$40,100,000.00
04/04/2017	\$70,900,000.00	04/03/2018	\$61,175,000.00
04/05/2017	\$89,225,000.00	04/04/2018	\$36,175,000.00
04/06/2017	\$30,400,000.00	04/05/2018	\$47,650,000.00
04/07/2017	\$92,935,000.00	04/06/2018	\$80,775,000.00
04/10/2017	\$37,125,000.00	04/09/2018	\$70,975,000.00
04/11/2017	\$43,580,000.00	04/10/2018	\$40,350,000.00
04/12/2017	\$61,475,000.00	04/11/2018	\$95,475,000.00
04/13/2017	\$30,625,000.00	04/12/2018	\$95,225,000.00
04/14/2017	\$51,300,000.00	04/13/2018	\$64,410,000.00
04/17/2017	\$50,700,000.00	04/16/2018	\$59,175,000.00
04/18/2017	\$52,925,000.00	04/17/2018	\$112,900,000.00
04/19/2017	\$96,950,000.00	04/18/2018	\$62,075,000.00
04/20/2017	\$85,375,000.00	04/19/2018	\$85,995,000.00
04/21/2017	\$109,850,000.00	04/20/2018	\$106,700,000.00
04/24/2017	\$79,550,000.00	04/23/2018	\$82,825,000.00
04/25/2017	\$91,850,000.00	04/24/2018	\$129,775,000.00
04/26/2017	\$69,075,000.00	04/25/2018	\$136,275,000.00
04/27/2017	\$86,000,000.00	04/26/2018	\$69,400,000.00
04/28/2017	\$111,250,000.00	04/27/2018	\$87,500,000.00
05/01/2017	\$52,100,000.00	04/30/2018	\$84,875,000.00
05/02/2017	\$32,275,000.00	05/01/2018	\$70,500,000.00
05/03/2017	\$35,385,000.00	05/02/2018	\$56,435,000.00
05/04/2017	\$17,400,000.00	05/03/2018	\$32,525,000.00
05/05/2017	\$40,175,000.00	05/04/2018	\$36,050,000.00
05/08/2017	\$18,160,000.00	05/07/2018	\$38,550,000.00
05/09/2017	\$20,805,000.00	05/08/2018	\$19,700,000.00
05/10/2017	\$21,715,000.00	05/09/2018	\$43,450,000.00
05/11/2017	\$27,470,000.00	05/10/2018	\$28,380,000.00
05/12/2017	\$18,475,000.00	05/11/2018	\$31,175,000.00
05/15/2017	\$37,125,000.00	05/14/2018	\$36,945,000.00
05/16/2017	\$16,350,000.00	05/15/2018	\$20,275,000.00
05/17/2017	\$20,950,000.00	05/16/2018	\$33,725,000.00
05/18/2017	\$36,200,000.00	05/17/2018	\$21,125,000.00
05/19/2017	\$29,725,000.00	05/18/2018	\$19,350,000.00
05/22/2017	\$28,450,000.00	05/21/2018	\$27,825,000.00
05/23/2017	\$19,945,000.00	05/22/2018	\$18,200,000.00
05/24/2017	\$24,865,000.00	05/23/2018	\$30,625,000.00
05/25/2017	\$17,275,000.00	05/24/2018	\$19,900,000.00
05/26/2017	\$15,975,000.00	05/25/2018	\$20,115,000.00

05/30/2017	\$46,800,000.00	05/29/2018	\$30,625,000.00
05/31/2017	\$25,765,000.00	05/30/2018	\$42,075,000.00
06/01/2017	\$28,100,000.00	05/31/2018	\$53,575,000.00
06/02/2017	\$28,850,000.00	06/01/2018	\$27,350,000.00
06/05/2017	\$29,105,000.00	06/04/2018	\$36,700,000.00
06/06/2017	\$30,085,000.00	06/05/2018	\$22,325,000.00
06/07/2017	\$52,775,000.00	06/06/2018	\$23,500,000.00
06/08/2017	\$20,325,000.00	06/07/2018	\$25,025,000.00
06/09/2017	\$25,525,000.00	06/08/2018	\$16,375,000.00
06/12/2017	\$26,900,000.00	06/11/2018	\$24,580,000.00
06/13/2017	\$39,925,000.00	06/12/2018	\$39,635,000.00
06/14/2017	\$26,040,000.00	06/13/2018	\$81,535,000.00
06/15/2017	\$56,995,000.00	06/14/2018	\$47,355,000.00
06/16/2017	\$44,790,000.00	06/15/2018	\$29,210,000.00
06/19/2017	\$33,500,000.00	06/18/2018	\$30,275,000.00
06/20/2017	\$32,460,000.00	06/19/2018	\$31,550,000.00
06/21/2017	\$30,975,000.00	06/20/2018	\$38,025,000.00
06/22/2017	\$22,875,000.00	06/21/2018	\$38,800,000.00
06/23/2017	\$37,425,000.00	06/22/2018	\$54,150,000.00
06/26/2017	\$38,575,000.00	06/25/2018	\$41,250,000.00
06/27/2017	\$35,575,000.00	06/26/2018	\$30,600,000.00
06/28/2017	\$67,000,000.00	06/27/2018	\$49,950,000.00
06/29/2017	\$68,500,000.00	06/28/2018	\$61,350,000.00
06/30/2017	\$45,700,000.00	06/29/2018	\$47,725,000.00

**Child Support Clearing Daily Outgoing Wire Transfers**

<b>Wire Transfer Date</b>	<b>Wire Transfer Amount</b>	<b>Wire Transfer Date</b>	<b>Wire Transfer Amount</b>
07/01/2016	230,000.00	07/03/2017	400,000.00
07/05/2016	1,225,000.00	07/05/2017	585,000.00
07/06/2016	575,000.00	07/06/2017	1,135,000.00
07/07/2016	715,000.00	07/07/2017	400,000.00
07/08/2016	200,000.00	07/10/2017	350,000.00
07/11/2016	285,000.00	07/11/2017	435,000.00
07/12/2016	535,000.00	07/12/2017	375,000.00
07/13/2016	225,000.00	07/13/2017	500,000.00
07/14/2016	495,000.00	07/14/2017	430,000.00
07/15/2016	150,000.00	07/17/2017	300,000.00
07/18/2016	375,000.00	07/18/2017	400,000.00
07/19/2016	450,000.00	07/19/2017	350,000.00
07/20/2016	400,000.00	07/20/2017	500,000.00
07/21/2016	365,000.00	07/21/2017	265,000.00
07/22/2016	355,000.00	07/24/2017	250,000.00
07/25/2016	290,000.00	07/25/2017	525,000.00
07/26/2016	430,000.00	07/26/2017	415,000.00
07/27/2016	290,000.00	07/27/2017	325,000.00
07/28/2016	375,000.00	07/28/2017	275,000.00
07/29/2016	325,000.00	07/31/2017	310,000.00
08/01/2016	310,000.00	08/01/2017	425,000.00
08/02/2016	560,000.00	08/02/2017	475,000.00
08/03/2016	385,000.00	08/03/2017	390,000.00
08/04/2016	970,000.00	08/04/2017	975,000.00
08/05/2016	300,000.00	08/07/2017	385,000.00
08/08/2016	300,000.00	08/08/2017	470,000.00
08/09/2016	475,000.00	08/09/2017	280,000.00
08/10/2016	310,000.00	08/10/2017	480,000.00
08/11/2016	400,000.00	08/11/2017	270,000.00
08/12/2016	100,000.00	08/14/2017	325,000.00
08/15/2016	400,000.00	08/15/2017	375,000.00
08/16/2016	665,000.00	08/16/2017	300,000.00
08/17/2016	480,000.00	08/17/2017	350,000.00
08/18/2016	330,000.00	08/18/2017	235,000.00
08/19/2016	250,000.00	08/21/2017	415,000.00
08/22/2016	260,000.00	08/22/2017	575,000.00
08/23/2016	615,000.00	08/23/2017	475,000.00
08/24/2016	400,000.00	08/24/2017	310,000.00
08/25/2016	350,000.00	08/25/2017	300,000.00
08/26/2016	250,000.00	08/28/2017	435,000.00
08/29/2016	415,000.00	08/29/2017	415,000.00
08/30/2016	520,000.00	08/30/2017	375,000.00
08/31/2016	550,000.00	08/31/2017	350,000.00

09/01/2016	470,000.00	09/01/2017	200,000.00
09/02/2016	285,000.00	09/05/2017	1,175,000.00
09/06/2016	1,050,000.00	09/06/2017	620,000.00
09/07/2016	600,000.00	09/07/2017	640,000.00
09/08/2016	400,000.00	09/08/2017	150,000.00
09/09/2016	550,000.00	09/11/2017	340,000.00
09/12/2016	355,000.00	09/12/2017	490,000.00
09/13/2016	520,000.00	09/13/2017	375,000.00
09/14/2016	330,000.00	09/14/2017	410,000.00
09/15/2016	365,000.00	09/15/2017	225,000.00
09/16/2016	215,000.00	09/18/2017	340,000.00
09/19/2016	300,000.00	09/19/2017	490,000.00
09/20/2016	470,000.00	09/20/2017	425,000.00
09/21/2016	315,000.00	09/21/2017	375,000.00
09/22/2016	470,000.00	09/22/2017	250,000.00
09/23/2016	325,000.00	09/25/2017	365,000.00
09/26/2016	350,000.00	09/26/2017	500,000.00
09/27/2016	440,000.00	09/27/2017	445,000.00
09/28/2016	300,000.00	09/28/2017	350,000.00
09/29/2016	375,000.00	09/29/2017	325,000.00
09/30/2016	200,000.00	10/02/2017	325,000.00
10/03/2016	250,000.00	10/03/2017	565,000.00
10/04/2016	1,140,000.00	10/04/2017	1,050,000.00
10/05/2016	640,000.00	10/05/2017	360,000.00
10/06/2016	350,000.00	10/06/2017	200,000.00
10/07/2016	225,000.00	10/10/2017	365,000.00
10/11/2016	410,000.00	10/11/2017	450,000.00
10/12/2016	435,000.00	10/12/2017	535,000.00
10/13/2016	575,000.00	10/13/2017	375,000.00
10/14/2016	325,000.00	10/16/2017	300,000.00
10/17/2016	415,000.00	10/17/2017	450,000.00
10/18/2016	400,000.00	10/18/2017	495,000.00
10/19/2016	350,000.00	10/19/2017	350,000.00
10/20/2016	400,000.00	10/20/2017	275,000.00
10/21/2016	115,000.00	10/23/2017	285,000.00
10/24/2016	125,000.00	10/24/2017	400,000.00
10/25/2016	800,000.00	10/25/2017	435,000.00
10/26/2016	365,000.00	10/26/2017	335,000.00
10/27/2016	460,000.00	10/27/2017	190,000.00
10/28/2016	190,000.00	10/30/2017	300,000.00
10/31/2016	300,000.00	10/31/2017	410,000.00
11/01/2016	525,000.00	11/01/2017	275,000.00
11/02/2016	400,000.00	11/02/2017	400,000.00
11/03/2016	370,000.00	11/03/2017	190,000.00
11/04/2016	900,000.00	11/06/2017	1,140,000.00
11/07/2016	335,000.00	11/07/2017	490,000.00
11/08/2016	500,000.00	11/08/2017	315,000.00



11/09/2016	135,000.00	11/09/2017	475,000.00
11/10/2016	605,000.00	11/13/2017	185,000.00
11/14/2016	315,000.00	11/14/2017	725,000.00
11/15/2016	535,000.00	11/16/2017	375,000.00
11/16/2016	625,000.00	11/17/2017	300,000.00
11/17/2016	400,000.00	11/20/2017	275,000.00
11/18/2016	220,000.00	11/21/2017	360,000.00
11/21/2016	300,000.00	11/21/2017	415,000.00
11/22/2016	635,000.00	11/22/2017	550,000.00
11/23/2016	325,000.00	11/24/2017	395,000.00
11/28/2016	500,000.00	11/27/2017	50,000.00
11/29/2016	725,000.00	11/28/2017	625,000.00
11/30/2016	400,000.00	11/29/2017	475,000.00
12/01/2016	650,000.00	11/30/2017	450,000.00
12/02/2016	175,000.00	12/01/2017	400,000.00
12/05/2016	1,290,000.00	12/04/2017	1,060,000.00
12/06/2016	500,000.00	12/05/2017	500,000.00
12/07/2016	550,000.00	12/06/2017	400,000.00
12/08/2016	450,000.00	12/07/2017	435,000.00
12/09/2016	225,000.00	12/08/2017	210,000.00
12/12/2016	275,000.00	12/11/2017	325,000.00
12/13/2016	520,000.00	12/12/2017	400,000.00
12/14/2016	450,000.00	12/13/2017	525,000.00
12/15/2016	335,000.00	12/14/2017	290,000.00
12/16/2016	275,000.00	12/15/2017	380,000.00
12/19/2016	325,000.00	12/18/2017	350,000.00
12/20/2016	425,000.00	12/19/2017	390,000.00
12/21/2016	520,000.00	12/20/2017	460,000.00
12/22/2016	320,000.00	12/21/2017	420,000.00
12/27/2016	675,000.00	12/22/2017	285,000.00
12/28/2016	440,000.00	12/26/2017	270,000.00
12/29/2016	725,000.00	12/27/2017	380,000.00
12/30/2016	285,000.00	12/28/2017	590,000.00
01/03/2017	350,000.00	12/29/2017	230,000.00
01/04/2017	1,025,000.00	01/02/2018	325,000.00
01/05/2017	965,000.00	01/03/2018	540,000.00
01/06/2017	375,000.00	01/04/2018	1,200,000.00
01/09/2017	225,000.00	01/05/2018	250,000.00
01/10/2017	420,000.00	01/08/2018	365,000.00
01/11/2017	345,000.00	01/09/2018	390,000.00
01/12/2017	365,000.00	01/10/2018	465,000.00
01/13/2017	30,000.00	01/11/2018	325,000.00
01/17/2017	545,000.00	01/12/2018	250,000.00
01/18/2017	515,000.00	01/16/2018	320,000.00
01/19/2017	550,000.00	01/17/2018	475,000.00
01/20/2017	200,000.00	01/18/2018	475,000.00
01/23/2017	450,000.00	01/19/2018	265,000.00

01/24/2017	415,000.00	01/22/2018	340,000.00
01/25/2017	275,000.00	01/23/2018	545,000.00
01/26/2017	340,000.00	01/24/2018	300,000.00
01/27/2017	200,000.00	01/25/2018	290,000.00
01/30/2017	375,000.00	01/26/2018	140,000.00
01/31/2017	425,000.00	01/29/2018	400,000.00
02/01/2017	365,000.00	01/30/2018	350,000.00
02/02/2017	490,000.00	01/31/2018	315,000.00
02/03/2017	215,000.00	02/01/2018	365,000.00
02/06/2017	975,000.00	02/02/2018	415,000.00
02/07/2017	485,000.00	02/05/2018	890,000.00
02/08/2017	440,000.00	02/06/2018	400,000.00
02/09/2017	385,000.00	02/07/2018	325,000.00
02/10/2017	190,000.00	02/08/2018	365,000.00
02/13/2017	350,000.00	02/09/2018	260,000.00
02/14/2017	125,000.00	02/12/2018	265,000.00
02/15/2017	600,000.00	02/13/2018	75,000.00
02/16/2017	435,000.00	02/14/2018	610,000.00
02/17/2017	300,000.00	02/15/2018	640,000.00
02/21/2017	375,000.00	02/16/2018	260,000.00
02/22/2017	420,000.00	02/20/2018	315,000.00
02/23/2017	535,000.00	02/21/2018	495,000.00
02/24/2017	190,000.00	02/22/2018	515,000.00
02/27/2017	475,000.00	02/23/2018	150,000.00
02/28/2017	450,000.00	02/26/2018	450,000.00
03/01/2017	470,000.00	02/27/2018	425,000.00
03/02/2017	450,000.00	02/28/2018	470,000.00
03/03/2017	375,000.00	03/01/2018	335,000.00
03/06/2017	950,000.00	03/02/2018	440,000.00
03/07/2017	525,000.00	03/05/2018	960,000.00
03/08/2017	350,000.00	03/06/2018	425,000.00
03/09/2017	295,000.00	03/07/2018	540,000.00
03/10/2017	405,000.00	03/08/2018	575,000.00
03/13/2017	360,000.00	03/09/2018	360,000.00
03/14/2017	490,000.00	03/12/2018	300,000.00
03/15/2017	495,000.00	03/13/2018	435,000.00
03/16/2017	310,000.00	03/14/2018	440,000.00
03/17/2017	190,000.00	03/15/2018	455,000.00
03/20/2017	415,000.00	03/16/2018	345,000.00
03/21/2017	575,000.00	03/19/2018	360,000.00
03/22/2017	460,000.00	03/20/2018	390,000.00
03/23/2017	525,000.00	03/21/2018	460,000.00
03/24/2017	175,000.00	03/22/2018	500,000.00
03/27/2017	475,000.00	03/23/2018	300,000.00
03/28/2017	410,000.00	03/26/2018	400,000.00
03/29/2017	450,000.00	03/27/2018	425,000.00
03/30/2017	370,000.00	03/28/2018	490,000.00

03/31/2017	245,000.00	03/29/2018	410,000.00
04/03/2017	315,000.00	04/02/2018	575,000.00
04/04/2017	1,125,000.00	04/03/2018	465,000.00
04/05/2017	450,000.00	04/04/2018	1,200,000.00
04/06/2017	155,000.00	04/05/2018	965,000.00
04/07/2017	510,000.00	04/06/2018	200,000.00
04/10/2017	290,000.00	04/09/2018	340,000.00
04/11/2017	480,000.00	04/10/2018	435,000.00
04/12/2017	395,000.00	04/11/2018	400,000.00
04/13/2017	320,000.00	04/12/2018	385,000.00
04/14/2017	190,000.00	04/13/2018	225,000.00
04/17/2017	290,000.00	04/16/2018	300,000.00
04/18/2017	750,000.00	04/17/2018	370,000.00
04/19/2017	350,000.00	04/18/2018	690,000.00
04/20/2017	360,000.00	04/19/2018	500,000.00
04/21/2017	250,000.00	04/20/2018	260,000.00
04/24/2017	270,000.00	04/23/2018	290,000.00
04/25/2017	540,000.00	04/24/2018	350,000.00
04/26/2017	300,000.00	04/25/2018	325,000.00
04/27/2017	415,000.00	04/26/2018	475,000.00
04/28/2017	375,000.00	04/27/2018	425,000.00
05/01/2017	370,000.00	04/30/2018	360,000.00
05/02/2017	555,000.00	05/01/2018	500,000.00
05/03/2017	380,000.00	05/02/2018	585,000.00
05/04/2017	1,020,000.00	05/03/2018	325,000.00
05/05/2017	300,000.00	05/04/2018	1,025,000.00
05/08/2017	365,000.00	05/07/2018	425,000.00
05/09/2017	575,000.00	05/08/2018	400,000.00
05/10/2017	445,000.00	05/09/2018	370,000.00
05/11/2017	325,000.00	05/10/2018	425,000.00
05/12/2017	245,000.00	05/11/2018	475,000.00
05/15/2017	350,000.00	05/14/2018	300,000.00
05/16/2017	435,000.00	05/15/2018	350,000.00
05/17/2017	250,000.00	05/16/2018	460,000.00
05/18/2017	600,000.00	05/17/2018	485,000.00
05/19/2017	400,000.00	05/18/2018	230,000.00
05/22/2017	295,000.00	05/21/2018	340,000.00
05/23/2017	610,000.00	05/22/2018	415,000.00
05/24/2017	410,000.00	05/23/2018	525,000.00
05/25/2017	505,000.00	05/24/2018	525,000.00
05/26/2017	350,000.00	05/25/2018	215,000.00
05/30/2017	375,000.00	05/29/2018	300,000.00
05/31/2017	450,000.00	05/30/2018	440,000.00
06/01/2017	875,000.00	05/31/2018	775,000.00
06/02/2017	560,000.00	06/01/2018	265,000.00
06/05/2017	985,000.00	06/04/2018	1,100,000.00
06/06/2017	705,000.00	06/05/2018	475,000.00

06/07/2017	350,000.00	06/06/2018	475,000.00
06/08/2017	440,000.00	06/07/2018	750,000.00
06/09/2017	275,000.00	06/08/2018	350,000.00
06/12/2017	515,000.00	06/11/2018	370,000.00
06/13/2017	500,000.00	06/12/2018	610,000.00
06/14/2017	355,000.00	06/13/2018	475,000.00
06/15/2017	290,000.00	06/14/2018	355,000.00
06/16/2017	300,000.00	06/15/2018	740,000.00
06/19/2017	615,000.00	06/18/2018	575,000.00
06/20/2017	505,000.00	06/19/2018	470,000.00
06/21/2017	375,000.00	06/20/2018	345,000.00
06/22/2017	415,000.00	06/21/2018	460,000.00
06/23/2017	265,000.00	06/22/2018	285,000.00
06/26/2017	250,000.00	06/25/2018	310,000.00
06/27/2017	800,000.00	06/26/2018	370,000.00
06/28/2017	300,000.00	06/27/2018	550,000.00
06/29/2017	325,000.00	06/28/2018	325,000.00
06/30/2017	215,000.00	06/29/2018	215,000.00

**Appendix F**  
**Daily Sweep Repurchase Agreement Investments FY 2017 and 2018**

**Clearing Daily Sweep Repurchase Agreements**

<b>Purchase Date</b>	<b>Purchase Amount</b>	<b>Purchase Date</b>	<b>Purchase Amount</b>
07/01/2016	\$1,322,135.11	07/03/2017	\$1,942,750.28
07/05/2016	\$1,582,135.11	07/05/2017	\$982,750.28
07/06/2016	\$1,842,135.11	07/06/2017	\$6,982,750.28
07/07/2016	\$1,142,135.11	07/07/2017	\$6,302,750.28
07/08/2016	\$912,135.11	07/10/2017	\$1,622,750.28
07/11/2016	\$1,022,135.11	07/11/2017	\$492,750.28
07/12/2016	\$662,135.11	07/12/2017	\$762,750.28
07/13/2016	\$892,135.11	07/13/2017	\$732,750.28
07/14/2016	\$1,292,135.11	07/14/2017	\$16,932,750.28
07/15/2016	\$14,292,135.11	07/17/2017	\$1,092,750.28
07/18/2016	\$4,642,135.11	07/18/2017	\$1,102,750.28
07/19/2016	\$2,182,135.11	07/19/2017	\$702,750.28
07/20/2016	\$812,135.11	07/20/2017	\$802,750.28
07/21/2016	\$2,032,135.11	07/21/2017	\$1,202,750.28
07/22/2016	\$822,135.11	07/24/2017	\$932,750.28
07/25/2016	\$972,135.11	07/25/2017	\$1,142,750.28
07/26/2016	\$562,135.11	07/26/2017	\$18,852,750.28
07/27/2016	\$2,722,135.11	07/27/2017	\$1,432,750.28
07/28/2016	\$1,182,135.11	07/28/2017	\$1,052,750.28
07/29/2016	\$972,522.46	07/31/2017	\$1,203,395.54
08/01/2016	\$1,892,522.46	08/01/2017	\$803,395.54
08/02/2016	\$702,522.46	08/02/2017	\$1,193,395.54
08/03/2016	\$1,892,522.46	08/03/2017	\$1,893,395.54
08/04/2016	\$1,322,522.46	08/04/2017	\$923,395.54
08/05/2016	\$1,042,522.46	08/07/2017	\$993,395.54
08/08/2016	\$1,072,522.46	08/08/2017	\$573,395.54
08/09/2016	\$642,522.46	08/09/2017	\$713,395.54
08/10/2016	\$792,522.46	08/10/2017	\$863,395.54
08/11/2016	\$932,522.46	08/11/2017	\$743,395.54
08/12/2016	\$14,642,522.46	08/14/2017	\$16,803,395.54
08/15/2016	\$3,712,522.46	08/15/2017	\$813,395.54
08/16/2016	\$2,722,522.46	08/16/2017	\$1,183,395.54
08/17/2016	\$1,132,522.46	08/17/2017	\$883,395.54
08/18/2016	\$942,522.46	08/18/2017	\$833,395.54
08/19/2016	\$922,522.46	08/21/2017	\$4,053,395.54
08/22/2016	\$1,042,522.46	08/22/2017	\$693,395.54
08/23/2016	\$632,522.46	08/23/2017	\$713,395.54
08/24/2016	\$862,522.46	08/24/2017	\$873,395.54
08/25/2016	\$992,522.46	08/25/2017	\$1,103,395.54
08/26/2016	\$842,522.46	08/28/2017	\$1,043,395.54

08/29/2016	\$4,182,522.46	08/29/2017	\$2,323,395.54
08/30/2016	\$1,032,522.46	08/30/2017	\$1,933,395.54
08/31/2016	\$1,092,924.62	08/31/2017	\$1,083,643.92
09/01/2016	\$3,102,924.62	09/01/2017	\$1,213,643.92
09/02/2016	\$1,122,924.62	09/05/2017	\$1,223,643.92
09/06/2016	\$1,242,924.62	09/06/2017	\$773,643.92
09/07/2016	\$1,002,924.62	09/07/2017	\$983,643.92
09/08/2016	\$1,102,924.62	09/08/2017	\$873,643.92
09/09/2016	\$932,924.62	09/11/2017	\$1,023,643.92
09/12/2016	\$1,102,924.62	09/12/2017	\$653,643.92
09/13/2016	\$722,924.62	09/13/2017	\$833,643.92
09/15/2016	\$1,280,000.00	09/14/2017	\$843,643.92
09/16/2016	\$810,000.00	09/15/2017	\$903,643.92
09/19/2016	\$4,400,000.00	09/18/2017	\$1,143,643.92
09/20/2016	\$660,000.00	09/19/2017	\$833,643.92
09/21/2016	\$980,000.00	09/20/2017	\$1,063,643.92
09/22/2016	\$1,690,000.00	09/21/2017	\$733,643.92
09/23/2016	\$740,000.00	09/22/2017	\$1,043,643.92
09/26/2016	\$9,920,000.00	09/25/2017	\$1,143,643.92
09/27/2016	\$730,000.00	09/26/2017	\$10,233,643.92
09/28/2016	\$3,060,000.00	09/27/2017	\$21,823,643.92
09/29/2016	\$14,570,000.00	09/28/2017	\$803,643.92
09/30/2016	\$1,980,288.20	09/29/2017	\$1,023,932.49
10/03/2016	\$1,500,288.20	10/02/2017	\$1,383,932.49
10/04/2016	\$870,288.20	10/03/2017	\$893,932.49
10/05/2016	\$3,340,288.20	10/04/2017	\$1,063,932.49
10/06/2016	\$910,288.20	10/05/2017	\$1,053,932.49
10/07/2016	\$940,288.20	10/06/2017	\$1,163,932.49
10/11/2016	\$820,288.20	10/10/2017	\$723,932.49
10/12/2016	\$760,288.20	10/11/2017	\$763,932.49
10/13/2016	\$960,288.20	10/12/2017	\$813,932.49
10/14/2016	\$910,288.20	10/13/2017	\$17,023,932.49
10/17/2016	\$15,630,288.20	10/16/2017	\$883,932.49
10/18/2016	\$610,288.20	10/17/2017	\$673,932.49
10/19/2016	\$3,570,288.20	10/18/2017	\$943,932.49
10/20/2016	\$2,320,288.20	10/19/2017	\$783,932.49
10/21/2016	\$1,050,288.20	10/20/2017	\$1,133,932.49
10/24/2016	\$870,288.20	10/23/2017	\$4,053,932.49
10/25/2016	\$410,288.20	10/24/2017	\$693,932.49
10/26/2016	\$860,288.20	10/25/2017	\$813,932.49
10/27/2016	\$4,550,288.20	10/26/2017	\$733,932.49
10/28/2016	\$890,288.20	10/27/2017	\$2,663,932.49
10/31/2016	\$1,050,564.78	10/30/2017	\$1,193,932.49
11/01/2016	\$1,860,564.78	10/31/2017	\$1,154,364.81
11/02/2016	\$1,360,564.78	11/01/2017	\$1,964,364.81
11/03/2016	\$1,070,564.78	11/02/2017	\$1,274,364.81
11/04/2016	\$1,130,564.78	11/03/2017	\$894,364.81

11/07/2016	\$940,564.78	11/06/2017	\$1,034,364.81
11/08/2016	\$50,564.78	11/07/2017	\$884,364.81
11/09/2016	\$820,564.78	11/08/2017	\$774,364.81
11/10/2016	\$880,564.78	11/09/2017	\$644,364.81
11/14/2016	\$1,070,564.78	11/10/2017	\$664,364.81
11/15/2016	\$610,564.78	11/13/2017	\$624,364.81
11/16/2016	\$990,564.78	11/14/2017	\$664,364.81
11/17/2016	\$970,564.78	11/15/2017	\$784,364.81
11/18/2016	\$1,390,564.78	11/16/2017	\$784,364.81
11/21/2016	\$5,220,564.78	11/17/2017	\$784,364.81
11/22/2016	\$790,564.78	11/20/2017	\$2,214,364.81
11/23/2016	\$20,053.79	11/21/2017	\$704,364.81
11/23/2016	\$1,140,564.78	11/22/2017	\$744,364.81
11/25/2016	\$730,564.78	11/24/2017	\$694,364.81
11/28/2016	\$2,000,564.78	11/27/2017	\$4,554,364.81
11/29/2016	\$320,564.78	11/28/2017	\$554,364.81
11/30/2016	\$15,720,735.37	11/29/2017	\$924,364.81
12/01/2016	\$1,050,735.37	11/30/2017	\$1,164,513.45
12/02/2016	\$1,430,735.37	12/01/2017	\$18,244,513.45
12/05/2016	\$1,040,735.37	12/04/2017	\$1,314,513.45
12/06/2016	\$610,735.37	12/05/2017	\$544,513.45
12/07/2016	\$2,110,735.37	12/06/2017	\$894,513.45
12/08/2016	\$810,735.37	12/07/2017	\$1,064,513.45
12/09/2016	\$840,735.37	12/08/2017	\$894,513.45
12/12/2016	\$1,090,735.37	12/11/2017	\$1,124,513.45
12/13/2016	\$540,735.37	12/12/2017	\$594,513.45
12/14/2016	\$14,780,735.37	12/13/2017	\$17,184,513.45
12/15/2016	\$710,735.37	12/14/2017	\$674,513.45
12/16/2016	\$680,735.37	12/15/2017	\$894,513.45
12/19/2016	\$940,735.37	12/18/2017	\$934,513.45
12/20/2016	\$720,735.37	12/19/2017	\$734,513.45
12/21/2016	\$8,000,735.37	12/20/2017	\$6,624,513.45
12/23/2016	\$800,000.00	12/21/2017	\$1,184,513.45
12/27/2016	\$440,000.00	12/22/2017	\$654,513.45
12/28/2016	\$14,300,000.00	12/26/2017	\$504,513.45
12/29/2016	\$780,000.00	12/27/2017	\$23,304,513.45
12/30/2016	\$1,180,372.33	12/28/2017	\$864,513.45
01/03/2017	\$2,440,372.33	12/29/2017	\$1,545,112.29
01/04/2017	\$1,280,372.33	01/02/2018	\$1,185,112.29
01/05/2017	\$1,220,372.33	01/03/2018	\$1,055,112.29
01/06/2017	\$1,020,372.33	01/04/2018	\$875,112.29
01/10/2017	\$610,000.00	01/05/2018	\$1,045,112.29
01/11/2017	\$830,000.00	01/08/2018	\$935,112.29
01/12/2017	\$4,290,000.00	01/09/2018	\$585,112.29
01/13/2017	\$16,290,000.00	01/10/2018	\$2,095,112.29
01/17/2017	\$670,000.00	01/11/2018	\$795,112.29
01/18/2017	\$820,000.00	01/12/2018	\$18,115,112.29

01/19/2017	\$850,000.00	01/16/2018	\$4,625,112.29
01/20/2017	\$910,000.00	01/17/2018	\$685,112.29
01/23/2017	\$730,000.00	01/18/2018	\$865,112.29
01/24/2017	\$540,000.00	01/19/2018	\$855,112.29
01/25/2017	\$940,000.00	01/22/2018	\$845,112.29
01/26/2017	\$860,000.00	01/23/2018	\$565,112.29
01/27/2017	\$19,210,000.00	01/24/2018	\$755,112.29
01/30/2017	\$840,000.00	01/25/2018	\$675,112.29
01/31/2017	\$640,740.80	01/26/2018	\$655,112.29
02/01/2017	\$2,280,740.80	01/29/2018	\$2,075,112.29
02/02/2017	\$1,730,740.80	01/30/2018	\$525,112.29
02/03/2017	\$1,260,740.80	01/31/2018	\$795,632.31
02/06/2017	\$860,740.80	02/01/2018	\$1,075,632.31
02/07/2017	\$900,740.80	02/02/2018	\$1,085,632.31
02/08/2017	\$650,740.80	02/05/2018	\$1,535,632.31
02/09/2017	\$2,380,740.80	02/06/2018	\$555,632.31
02/10/2017	\$950,740.80	02/07/2018	\$715,632.31
02/13/2017	\$1,620,740.80	02/08/2018	\$695,632.31
02/14/2017	\$510,740.80	02/09/2018	\$265,632.31
02/15/2017	\$15,610,740.80	02/12/2018	\$525,632.31
02/16/2017	\$800,740.80	02/13/2018	\$255,632.31
02/17/2017	\$850,740.80	02/14/2018	\$18,155,632.31
02/21/2017	\$820,740.80	02/15/2018	\$1,015,632.31
02/22/2017	\$1,100,740.80	02/16/2018	\$845,632.31
02/23/2017	\$870,740.80	02/20/2018	\$745,632.31
02/24/2017	\$4,910,740.80	02/21/2018	\$905,632.31
02/27/2017	\$1,080,740.80	02/22/2018	\$895,632.31
02/28/2017	\$911,020.07	02/23/2018	\$905,632.31
03/01/2017	\$16,831,020.07	02/26/2018	\$3,125,632.31
03/02/2017	\$1,281,020.07	02/27/2018	\$745,632.31
03/03/2017	\$3,241,020.07	02/28/2018	\$1,315,838.93
03/06/2017	\$1,261,020.07	03/01/2018	\$1,245,838.93
03/07/2017	\$881,020.07	03/02/2018	\$19,005,838.93
03/08/2017	\$1,521,020.07	03/05/2018	\$1,655,838.93
03/09/2017	\$1,961,020.07	03/06/2018	\$1,185,838.93
03/10/2017	\$1,011,020.07	03/07/2018	\$965,838.93
03/13/2017	\$16,311,020.07	03/08/2018	\$1,125,838.93
03/14/2017	\$1,661,020.07	03/09/2018	\$935,838.93
03/15/2017	\$1,001,020.07	03/12/2018	\$3,225,838.93
03/16/2017	\$1,681,020.07	03/13/2018	\$1,215,838.93
03/17/2017	\$2,111,020.07	03/14/2018	\$1,035,838.93
03/20/2017	\$1,521,020.07	03/15/2018	\$1,475,838.93
03/21/2017	\$3,861,020.07	03/16/2018	\$1,235,838.93
03/22/2017	\$1,121,020.07	03/19/2018	\$2,485,838.93
03/23/2017	\$1,141,020.07	03/20/2018	\$2,135,838.93
03/24/2017	\$5,641,020.07	03/21/2018	\$1,305,838.93
03/27/2017	\$1,231,020.07	03/22/2018	\$3,175,838.93



03/28/2017	\$1,541,020.07	03/23/2018	\$775,838.93
03/29/2017	\$15,841,020.07	03/26/2018	\$1,225,838.93
03/30/2017	\$1,111,020.07	03/27/2018	\$1,055,838.93
03/31/2017	\$3,651,556.03	03/28/2018	\$24,875,838.93
04/03/2017	\$1,511,556.03	03/29/2018	\$2,325,838.93
04/04/2017	\$1,011,556.03	03/30/2018	\$1,086,425.26
04/05/2017	\$1,601,556.03	04/02/2018	\$1,516,425.26
04/06/2017	\$1,211,556.03	04/03/2018	\$1,426,425.26
04/07/2017	\$921,556.03	04/04/2018	\$1,396,425.26
04/10/2017	\$2,191,556.03	04/05/2018	\$1,246,425.26
04/11/2017	\$991,556.03	04/06/2018	\$1,166,425.26
04/12/2017	\$1,121,556.03	04/09/2018	\$1,356,425.26
04/13/2017	\$1,091,556.03	04/10/2018	\$1,466,425.26
04/14/2017	\$1,071,556.03	04/11/2018	\$23,176,425.26
04/17/2017	\$1,351,556.03	04/12/2018	\$1,286,425.26
04/18/2017	\$1,531,556.03	04/13/2018	\$1,416,425.26
04/19/2017	\$1,511,556.03	04/16/2018	\$2,126,425.26
04/20/2017	\$1,491,556.03	04/17/2018	\$1,226,425.26
04/21/2017	\$1,501,556.03	04/18/2018	\$1,916,425.26
04/24/2017	\$2,571,556.03	04/19/2018	\$1,666,425.26
04/25/2017	\$1,111,556.03	04/20/2018	\$2,066,425.26
04/26/2017	\$24,561,556.03	04/23/2018	\$3,166,425.26
04/27/2017	\$2,411,556.03	04/24/2018	\$1,206,425.26
04/28/2017	\$1,231,894.89	04/25/2018	\$7,956,425.26
05/01/2017	\$1,181,894.89	04/26/2018	\$1,956,425.26
05/02/2017	\$861,894.89	04/27/2018	\$3,976,425.26
05/03/2017	\$1,301,894.89	04/30/2018	\$4,846,835.71
05/04/2017	\$1,081,894.89	05/01/2018	\$646,835.71
05/05/2017	\$2,651,894.89	05/02/2018	\$1,316,835.71
05/08/2017	\$861,894.89	05/03/2018	\$1,236,835.71
05/09/2017	\$561,894.89	05/04/2018	\$1,026,835.71
05/10/2017	\$971,894.89	05/07/2018	\$1,136,835.71
05/11/2017	\$1,091,894.89	05/08/2018	\$576,835.71
05/12/2017	\$16,891,894.89	05/09/2018	\$846,835.71
05/15/2017	\$581,894.89	05/10/2018	\$846,835.71
05/16/2017	\$631,894.89	05/11/2018	\$706,835.71
05/17/2017	\$971,894.89	05/14/2018	\$3,716,835.71
05/18/2017	\$931,894.89	05/15/2018	\$436,835.71
05/19/2017	\$811,894.89	05/16/2018	\$746,835.71
05/22/2017	\$911,894.89	05/17/2018	\$876,835.71
05/23/2017	\$1,471,894.89	05/18/2018	\$1,176,835.71
05/24/2017	\$1,041,894.89	05/21/2018	\$776,835.71
05/25/2017	\$891,894.89	05/22/2018	\$586,835.71
05/26/2017	\$5,501,894.89	05/23/2018	\$806,835.71
05/30/2017	\$1,221,894.89	05/24/2018	\$906,835.71
05/31/2017	\$1,202,404.52	05/25/2018	\$956,835.71
06/01/2017	\$1,352,404.52	05/29/2018	\$3,176,835.71

06/02/2017	\$1,322,404.52	05/30/2018	\$16,126,835.71
06/05/2017	\$1,352,404.52	05/31/2018	\$1,177,093.00
06/06/2017	\$1,122,404.52	06/01/2018	\$1,197,093.00
06/07/2017	\$1,212,404.52	06/04/2018	\$1,657,093.00
06/08/2017	\$922,404.52	06/05/2018	\$697,093.00
06/09/2017	\$972,404.52	06/06/2018	\$1,007,093.00
06/12/2017	\$4,472,404.52	06/07/2018	\$977,093.00
06/13/2017	\$582,404.52	06/08/2018	\$1,087,093.00
06/14/2017	\$17,652,404.52	06/11/2018	\$1,287,093.00
06/15/2017	\$792,404.52	06/12/2018	\$667,093.00
06/16/2017	\$1,222,404.52	06/13/2018	\$19,617,093.00
06/19/2017	\$1,052,404.52	06/14/2018	\$297,093.00
06/20/2017	\$902,404.52	06/15/2018	\$1,017,093.00
06/21/2017	\$1,122,404.52	06/18/2018	\$3,067,093.00
06/22/2017	\$962,404.52	06/19/2018	\$887,093.00
06/23/2017	\$932,404.52	06/20/2018	\$947,093.00
06/26/2017	\$972,404.52	06/21/2018	\$1,087,093.00
06/27/2017	\$772,404.52	06/22/2018	\$767,093.00
06/28/2017	\$19,172,404.52	06/25/2018	\$1,367,093.00
06/29/2017	\$1,142,404.52	06/26/2018	\$637,093.00
06/30/2017	\$4,282,750.28	06/27/2018	\$21,397,093.00
		06/28/2018	\$1,137,093.00
		06/29/2018	\$1,337,438.78

### Child Support Clearing Daily Sweep Repurchase Agreements

Purchase Date	Purchase Amount	Purchase Date	Purchase Amount
07/01/2016	\$30,036.50	07/03/2017	\$20,100.08
07/05/2016	\$30,036.50	07/05/2017	\$20,100.08
07/06/2016	\$30,036.50	07/06/2017	\$30,100.08
07/07/2016	\$20,036.50	07/07/2017	\$30,100.08
07/08/2016	\$30,036.50	07/10/2017	\$20,100.08
07/11/2016	\$20,036.50	07/11/2017	\$20,100.08
07/12/2016	\$30,036.50	07/12/2017	\$30,100.08
07/13/2016	\$40,036.50	07/13/2017	\$30,100.08
07/14/2016	\$20,036.50	07/14/2017	\$20,100.08
07/15/2016	\$30,036.50	07/17/2017	\$30,100.08
07/18/2016	\$30,036.50	07/18/2017	\$20,100.08
07/19/2016	\$50,036.50	07/19/2017	\$30,100.08
07/20/2016	\$30,036.50	07/20/2017	\$30,100.08
07/21/2016	\$20,036.50	07/21/2017	\$20,100.08
07/22/2016	\$20,036.50	07/24/2017	\$30,100.08
07/25/2016	\$20,036.50	07/25/2017	\$40,100.08
07/26/2016	\$20,036.50	07/26/2017	\$20,100.08
07/27/2016	\$30,036.50	07/27/2017	\$20,100.08
07/28/2016	\$30,036.50	07/28/2017	\$10,100.08

07/29/2016	\$20,040.49	07/31/2017	\$30,103.60
08/01/2016	\$20,040.49	08/01/2017	\$30,103.60
08/02/2016	\$30,040.49	08/02/2017	\$30,103.60
08/03/2016	\$20,040.49	08/03/2017	\$20,103.60
08/04/2016	\$20,040.49	08/04/2017	\$30,103.60
08/05/2016	\$20,049.49	08/07/2017	\$20,103.60
08/08/2016	\$30,040.49	08/08/2017	\$20,103.60
08/09/2016	\$20,040.49	08/09/2017	\$20,103.60
08/10/2016	\$30,040.49	08/10/2017	\$20,103.60
08/11/2016	\$20,040.49	08/11/2017	\$20,103.60
08/12/2016	\$160,040.49	08/14/2017	\$20,103.60
08/15/2016	\$30,040.49	08/15/2017	\$30,103.60
08/16/2016	\$20,040.49	08/16/2017	\$30,103.60
08/17/2016	\$30,040.49	08/17/2017	\$30,103.60
08/18/2016	\$20,040.49	08/18/2017	\$30,103.60
08/19/2016	\$20,040.49	08/21/2017	\$20,103.60
08/22/2016	\$20,040.49	08/22/2017	\$20,103.60
08/23/2016	\$20,040.49	08/23/2017	\$30,103.60
08/24/2016	\$20,040.49	08/24/2017	\$20,103.60
08/25/2016	\$40,040.49	08/25/2017	\$70,103.60
08/26/2016	\$30,040.49	08/28/2017	\$30,103.60
08/29/2016	\$20,040.49	08/29/2017	\$20,103.60
08/30/2016	\$20,040.49	08/30/2017	\$30,103.60
08/31/2016	\$30,046.30	08/31/2017	\$30,108.15
09/01/2016	\$20,046.30	09/01/2017	\$220,108.15
09/02/2016	\$30,046.30	09/05/2017	\$30,108.15
09/06/2016	\$30,046.30	09/06/2017	\$80,108.15
09/07/2016	\$30,046.30	09/07/2017	\$20,108.15
09/08/2016	\$20,046.30	09/08/2017	\$20,108.15
09/09/2016	\$30,046.30	09/11/2017	\$30,108.15
09/12/2016	\$20,046.30	09/12/2017	\$20,108.15
09/13/2016	\$20,046.30	09/13/2017	\$30,108.15
09/14/2016	\$30,046.30	09/14/2017	\$50,108.15
09/15/2016	\$20,046.30	09/15/2017	\$30,108.15
09/16/2016	\$20,046.30	09/18/2017	\$20,108.15
09/19/2016	\$40,046.30	09/19/2017	\$40,108.15
09/20/2016	\$20,046.30	09/20/2017	\$30,108.15
09/21/2016	\$20,046.30	09/21/2017	\$20,108.15
09/22/2016	\$50,046.30	09/22/2017	\$20,108.15
09/23/2016	\$20,046.30	09/25/2017	\$20,108.15
09/26/2016	\$30,046.30	09/26/2017	\$30,108.15
09/27/2016	\$20,046.30	09/27/2017	\$20,108.15
09/28/2016	\$30,046.30	09/28/2017	\$80,108.15
09/29/2016	\$30,046.30	09/29/2017	\$20,116.25
09/30/2016	\$20,050.19	10/02/2017	\$30,116.25
10/03/2016	\$30,050.19	10/03/2017	\$20,116.25
10/04/2016	\$30,050.19	10/04/2017	\$20,116.25

10/05/2016	\$30,050.19	10/05/2017	\$50,116.25
10/06/2016	\$20,050.19	10/06/2017	\$20,116.25
10/07/2016	\$20,050.19	10/10/2017	\$20,116.25
10/11/2016	\$20,050.19	10/11/2017	\$30,116.25
10/12/2016	\$20,050.19	10/12/2017	\$20,116.25
10/13/2016	\$30,050.19	10/13/2017	\$20,116.25
10/14/2016	\$20,050.19	10/16/2017	\$20,116.25
10/17/2016	\$20,050.19	10/17/2017	\$20,116.25
10/18/2016	\$30,050.19	10/18/2017	\$30,116.25
10/19/2016	\$30,050.19	10/19/2017	\$30,116.25
10/20/2016	\$30,050.19	10/20/2017	\$20,116.25
10/21/2016	\$30,050.19	10/23/2017	\$20,116.25
10/24/2016	\$20,050.19	10/24/2017	\$30,116.25
10/25/2016	\$20,050.19	10/25/2017	\$20,116.25
10/26/2016	\$20,050.19	10/26/2017	\$20,116.25
10/27/2016	\$30,050.19	10/27/2017	\$30,116.25
10/28/2016	\$20,050.19	10/30/2017	\$30,116.25
10/31/2016	\$30,053.79	10/31/2017	\$20,120.02
11/01/2016	\$20,053.79	11/01/2017	\$20,120.02
11/02/2016	\$30,053.79	11/02/2017	\$30,120.02
11/03/2016	\$20,053.79	11/03/2017	\$20,120.02
11/04/2016	\$20,053.79	11/06/2017	\$30,120.02
11/07/2016	\$20,053.79	11/07/2017	\$20,120.02
11/08/2016	\$20,053.79	11/08/2017	\$20,120.02
11/09/2016	\$30,053.79	11/09/2017	\$20,120.02
11/10/2016	\$20,053.79	11/10/2017	\$40,120.02
11/14/2016	\$20,053.79	11/13/2017	\$20,120.02
11/15/2016	\$30,053.79	11/14/2017	\$20,120.02
11/16/2016	\$20,053.79	11/15/2017	\$20,120.02
11/17/2016	\$30,053.79	11/16/2017	\$20,120.02
11/18/2016	\$20,053.79	11/17/2017	\$20,120.02
11/21/2016	\$40,053.79	11/20/2017	\$20,120.02
11/22/2016	\$30,053.79	11/21/2017	\$30,120.02
11/23/2016	\$20,053.79	11/22/2017	\$30,120.02
11/25/2016	\$460,053.79	11/24/2017	\$20,120.02
11/28/2016	\$40,053.79	11/27/2017	\$20,120.02
11/29/2016	\$140,053.79	11/28/2017	\$20,120.02
11/30/2016	\$150,064.32	11/29/2017	\$30,120.02
12/01/2016	\$30,064.32	11/30/2017	\$30,123.59
12/02/2016	\$30,064.32	12/01/2017	\$20,123.59
12/05/2016	\$30,064.32	12/04/2017	\$30,123.59
12/06/2016	\$30,064.32	12/05/2017	\$30,123.59
12/07/2016	\$20,064.32	12/06/2017	\$30,123.59
12/08/2016	\$20,064.32	12/07/2017	\$30,123.59
12/09/2016	\$30,064.32	12/08/2017	\$20,123.59
12/12/2016	\$30,064.32	12/11/2017	\$30,123.59
12/13/2016	\$70,064.32	12/12/2017	\$50,123.59

12/14/2016	\$20,064.32	12/13/2017	\$20,123.59
12/15/2016	\$20,064.32	12/14/2017	\$30,123.59
12/16/2016	\$20,064.32	12/15/2017	\$20,123.59
12/19/2016	\$20,064.32	12/18/2017	\$30,123.59
12/20/2016	\$30,064.32	12/19/2017	\$30,123.59
12/21/2016	\$20,064.32	12/20/2017	\$20,123.59
12/22/2016	\$20,064.32	12/21/2017	\$20,123.59
12/23/2016	\$270,064.32	12/22/2017	\$20,123.59
12/27/2016	\$30,064.32	12/26/2017	\$20,123.59
12/28/2016	\$20,064.32	12/27/2017	\$20,123.59
12/29/2016	\$20,064.32	12/28/2017	\$20,123.59
12/30/2016	\$20,073.67	12/29/2017	\$20,127.06
01/03/2017	\$20,073.67	01/02/2018	\$30,127.06
01/04/2017	\$20,073.67	01/03/2018	\$30,127.06
01/05/2017	\$30,073.67	01/04/2018	\$20,127.06
01/06/2017	\$30,073.67	01/05/2018	\$30,127.06
01/09/2017	\$30,073.67	01/08/2018	\$20,127.06
01/10/2017	\$20,073.67	01/09/2018	\$30,127.06
01/11/2017	\$20,073.67	01/10/2018	\$20,127.06
01/12/2017	\$20,073.67	01/11/2018	\$20,127.06
01/13/2017	\$200,073.67	01/12/2018	\$20,127.06
01/17/2017	\$20,073.67	01/16/2018	\$20,127.06
01/18/2017	\$20,073.67	01/17/2018	\$30,127.06
01/19/2017	\$20,073.67	01/18/2018	\$30,127.06
01/20/2017	\$30,073.67	01/19/2018	\$30,127.06
01/23/2017	\$20,073.67	01/22/2018	\$20,127.06
01/24/2017	\$20,073.67	01/23/2018	\$20,127.06
01/25/2017	\$30,073.67	01/24/2018	\$20,127.06
01/26/2017	\$20,073.67	01/25/2018	\$20,127.06
01/27/2017	\$30,073.67	01/26/2018	\$30,127.06
01/30/2017	\$20,073.67	01/29/2018	\$20,127.06
01/31/2017	\$30,080.98	01/30/2018	\$20,127.06
02/01/2017	\$20,080.98	01/31/2018	\$30,131.08
02/02/2017	\$30,080.98	02/01/2018	\$30,131.08
02/03/2017	\$20,080.98	02/02/2018	\$30,131.08
02/06/2017	\$20,080.98	02/05/2018	\$20,131.08
02/07/2017	\$20,080.98	02/06/2018	\$20,131.08
02/08/2017	\$30,080.98	02/07/2018	\$20,131.08
02/09/2017	\$30,080.98	02/08/2018	\$30,131.08
02/10/2017	\$20,080.98	02/09/2018	\$30,131.08
02/13/2017	\$30,080.98	02/12/2018	\$20,131.08
02/14/2017	\$20,080.98	02/13/2018	\$30,131.08
02/15/2017	\$30,080.98	02/14/2018	\$30,131.08
02/16/2017	\$20,080.98	02/15/2018	\$20,131.08
02/17/2017	\$40,080.98	02/16/2018	\$30,131.08
02/21/2017	\$20,080.98	02/20/2018	\$20,131.08
02/22/2017	\$20,080.98	02/21/2018	\$20,131.08

02/23/2017	\$20,080.98	02/22/2018	\$20,131.08
02/24/2017	\$20,080.98	02/23/2018	\$30,131.08
02/27/2017	\$20,080.98	02/26/2018	\$30,131.08
02/28/2017	\$50,084.44	02/27/2018	\$30,131.08
03/01/2017	\$20,084.44	02/28/2018	\$20,134.85
03/02/2017	\$30,084.44	03/01/2018	\$30,134.85
03/03/2017	\$30,084.44	03/02/2018	\$30,134.85
03/06/2017	\$30,084.44	03/05/2018	\$20,134.85
03/07/2017	\$20,084.44	03/06/2018	\$20,124.85
03/08/2017	\$20,084.44	03/07/2018	\$20,134.85
03/09/2017	\$20,084.44	03/08/2018	\$20,134.85
03/10/2017	\$40,084.44	03/09/2018	\$20,134.85
03/13/2017	\$30,084.44	03/12/2018	\$20,134.85
03/14/2017	\$30,084.44	03/13/2018	\$30,134.85
03/15/2017	\$30,084.44	03/14/2018	\$30,134.85
03/16/2017	\$20,084.44	03/15/2018	\$30,134.85
03/17/2017	\$30,084.44	03/16/2018	\$20,134.85
03/20/2017	\$20,084.44	03/19/2018	\$30,134.85
03/21/2017	\$20,084.44	03/20/2018	\$30,134.85
03/22/2017	\$20,084.44	03/21/2018	\$20,134.85
03/23/2017	\$30,084.44	03/22/2018	\$30,134.85
03/24/2017	\$50,084.44	03/23/2018	\$30,134.85
03/27/2017	\$20,084.44	03/26/2018	\$20,134.85
03/28/2017	\$20,084.44	03/27/2018	\$30,134.85
03/29/2017	\$20,084.44	03/28/2018	\$30,134.85
03/30/2017	\$30,084.44	03/29/2018	\$30,134.85
03/31/2017	\$20,089.04	03/30/2018	\$260,138.62
04/03/2017	\$30,089.04	04/02/2018	\$20,138.62
04/04/2017	\$30,089.04	04/03/2018	\$20,138.62
04/05/2017	\$30,089.04	04/04/2018	\$30,138.62
04/06/2017	\$20,089.04	04/05/2018	\$30,138.62
04/07/2017	\$20,089.04	04/06/2018	\$20,138.62
04/10/2017	\$10,089.04	04/09/2018	\$30,138.62
04/11/2017	\$20,089.04	04/10/2018	\$20,138.62
04/12/2017	\$20,089.04	04/11/2018	\$20,138.62
04/13/2017	\$20,089.04	04/12/2018	\$20,138.62
04/14/2017	\$30,089.04	04/13/2018	\$20,138.62
04/17/2017	\$10,089.04	04/16/2018	\$30,138.62
04/18/2017	\$30,089.04	04/17/2018	\$30,138.62
04/19/2017	\$30,089.04	04/18/2018	\$20,138.62
04/20/2017	\$20,089.04	04/19/2018	\$30,138.62
04/21/2017	\$30,089.04	04/20/2018	\$20,138.62
04/24/2017	\$30,089.04	04/23/2018	\$30,138.62
04/25/2017	\$30,089.04	04/24/2018	\$30,138.62
04/26/2017	\$20,089.04	04/25/2018	\$30,138.62
04/27/2017	\$20,089.04	04/26/2018	\$20,138.62
04/28/2017	\$20,092.36	04/27/2018	\$20,138.62

05/01/2017	\$20,092.36	04/30/2018	\$30,145.69
05/02/2017	\$20,092.36	05/01/2018	\$20,145.69
05/04/2017	\$30,092.36	05/02/2018	\$20,145.69
05/05/2017	\$20,092.36	05/03/2018	\$30,145.69
05/08/2017	\$20,092.36	05/04/2018	\$30,145.69
05/09/2017	\$30,092.36	05/07/2018	\$30,145.69
05/10/2017	\$20,092.36	05/08/2018	\$20,145.69
05/11/2017	\$20,092.36	05/09/2018	\$20,145.69
05/12/2017	\$20,092.36	05/10/2018	\$30,145.69
05/15/2017	\$30,092.36	05/11/2018	\$20,145.69
05/16/2017	\$20,092.36	05/14/2018	\$20,145.69
05/17/2017	\$20,092.36	05/15/2018	\$20,145.69
05/18/2017	\$20,092.36	05/16/2018	\$20,548.78
05/19/2017	\$20,092.36	05/17/2018	\$20,145.69
05/22/2017	\$30,092.36	05/18/2018	\$30,145.69
05/23/2017	\$20,092.36	05/21/2018	\$20,145.69
05/24/2017	\$20,092.36	05/22/2018	\$20,145.69
05/25/2017	\$40,092.36	05/23/2018	\$30,145.69
05/26/2017	\$30,092.36	05/24/2018	\$30,145.69
05/30/2017	\$20,092.36	05/25/2018	\$30,145.69
05/31/2017	\$20,096.12	05/29/2018	\$20,145.69
06/01/2017	\$20,096.12	05/30/2018	\$30,145.69
06/02/2017	\$20,096.12	05/31/2018	\$30,149.61
06/05/2017	\$20,096.12	06/01/2018	\$20,149.61
06/06/2017	\$20,096.12	06/04/2018	\$20,149.61
06/07/2017	\$30,096.12	06/05/2018	\$30,149.61
06/08/2017	\$20,096.12	06/06/2018	\$30,149.61
06/09/2017	\$40,096.12	06/07/2018	\$30,149.61
06/12/2017	\$20,096.12	06/08/2018	\$30,149.61
06/13/2017	\$30,096.12	06/11/2018	\$70,149.61
06/14/2017	\$20,096.12	06/12/2018	\$30,149.61
06/15/2017	\$40,096.12	06/13/2018	\$40,149.61
06/16/2017	\$20,096.12	06/14/2018	\$20,149.61
06/19/2017	\$60,096.12	06/15/2018	\$20,149.61
06/20/2017	\$30,096.12	06/18/2018	\$30,149.61
06/21/2017	\$40,096.12	06/19/2018	\$30,149.61
06/22/2017	\$10,096.12	06/20/2018	\$20,149.61
06/23/2017	\$20,096.12	06/21/2018	\$20,149.61
06/26/2017	\$50,096.12	06/22/2018	\$30,149.61
06/27/2017	\$20,096.12	06/25/2018	\$30,145.61
06/28/2017	\$30,096.12	06/26/2018	\$30,149.61
06/29/2017	\$20,096.12	06/27/2018	\$20,149.61
06/30/2017	\$20,100.08	06/28/2018	\$30,149.61
		06/29/2018	\$30,153.63

# Appendix G

## **Acceptable Collateral Listing: List of Financial Assets Qualified for Collateral to Secure Deposits and Repurchase Agreements**

Financial institutions receiving state or Illinois Funds deposits or repurchase agreements may collateralize from the following list of instruments, subject to the discretion of the Treasurer. Particular securities may be unacceptable due to the administrative difficulties in pricing.

Please note that any security including a floating, variable, inverse, structured, or step-up feature is unacceptable.

### **REPURCHASE AGREEMENTS/DEMAND DEPOSIT ACCOUNTS – 102%/MBS - 103%<sup>1</sup>**

Government Securities having the meaning set out in the Government Securities Act of 1986, as may be amended, which include but are not limited to:

Direct Obligations of the United State Government (Bills, Notes and Bonds), Federal Home Loan Mortgage Corporation, Federal National Mortgage Association, Government National Mortgage Association, Student Loan Marketing Association, Financing Corporation, Commodity Credit Corporation, Export-Import Bank, Farm Credit System, Federal Home Loan Bank Board, Federal Home Loan Banks, Tennessee Valley Authority, or the U.S. Postal Service.

### **TIME DEPOSITS**

#### **U.S. Treasury Obligations – 105%**

Direct Obligations of the United States Government (Bills, Bonds and Notes)

#### **U.S. Agency Obligations – 105% / MBS – 110%**

- Agency for International Development (AID)
- Federal Housing Administration (FHA)
- General Services Administration (GSA)
- Government National Mortgage Association (GNMA)
- Private Export Funding Corporation
- Small Business Administration (SBA) Debentures (non-amortizing)
- Tennessee Valley Authority (TVA) Notes and Bonds

#### **U.S. Instrumentality Securities & Obligations – 105% / MBS – 110%**

- Federal Farm Credit System
- Federal Credit Consolidated Systemwide Discount Notes
- Farmers Home Administration (FmHA) Insured Notes (non-amortizing)
- Federal Farm Credit Bank (FFCB) Consolidated Systemwide Bonds
  - Federal Intermediate Credit Banks

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<sup>1</sup> Illinois Funds only



- Banks for Cooperatives
- Federal Land Banks
- Federal Home Loan Banks (FHLB) Consolidated Notes and Bonds
- Federal Home Loan Mortgage Corporation (FHLMC)
- Federal National Mortgage Association (FNMA)
- Financing Corporation Bonds (FICO)
- Resolution Funding Corporation (REFCORP)
- Student Loan Marketing Association (SLMA) Notes
- U.S. Postal Service Bonds and Notes (No Bonds issued recently or currently outstanding)

**Obligations of the State and its Agencies rated “A” or better by Moody’s unless otherwise noted – 105%**

- General Obligations of the State of Illinois
- Revenue bonds of the State of Illinois or any authority, board, commission, or similar agency thereof
- Illinois Building Authority Notes or Bonds
- Illinois Environmental Facilities Financing Authority Pollution Control Revenue Bonds (if they are guaranteed by the U.S. Small Business Administration and if that guarantee is full faith and credit obligation of the United States)
- Illinois Housing Development Authority (IHDA) Bonds
- Illinois State Scholarship Bonds
- Illinois Toll Highway Authority Bonds
- Public Housing Authority Bonds or Notes
- Bonds issued by State of Illinois Colleges or Universities

**Local and Municipal Obligations rated “A” or better by Moody’s unless otherwise noted – 105%**

- Chicago School Finance Authority Bonds
- General Obligation Municipal Bonds (including school districts) within the State of Illinois rated Mig 1 or 2 by Moody’s
- Public Building Commission Bonds
- Revenue and Special Obligation Bonds of Illinois Municipalities that are payable from an escrow consisting of direct U.S. Government Obligations and rated “AAA” by Moody’s

**TIME DEPOSITS/DEMAND DEPOSIT ACCOUNTS – 102%/**

- MBIA Certificates (issued by the Municipal Bond Investors Assurance Corporation)
- Letters of Credit (issued by Federal Home Loan Bank (FHLB))
- Share Certificates (issued by credit unions)

## Appendix H

### Account Analysis 822 EDI Format

ISA\*00\* \*00\* \*ZZ\*0000000000000000\*ZZ\* \*050202\*0858\*U\*00304\*00000000\*0\*T\*>\

GS\*AA\*0000000000000000\*\*050202\*0858\*00000000\*X\*003040\  
ST\*822\*0000\  
BGN\*00\*200412310858000\*050201\*085804\*LT\  
DTM\*009\*050202\*\*\*20\  
DTM\*150\*XXXXXX Beginning Month Date\*\*\*20\  
DTM\*151\*XXXXXX Ending Month Date\*\*\*20\  
N1\*BK\*Bank Name\*13\*Bank ABA Number\  
N3\*Bank Street Address\  
N4\*Bank City\*Bank State\*Bank Zip Code\  
PER\*IC\*Bank Contact\*TE\*Contact Telephone Number\  
N1\*AO\*Account Title\  
N2\*Additional Account Title\  
N2\*Account Street Address\  
N3\*Account City, Account State Account Zip Code\  
N4\*\*Account State\*Account Zip Code\  
ACT\*Account Number\*Account Title\*13\*Bank ABA Number\  
RTE\*1\*XX.XXXX Reserve Requirement\  
DTM\*151\*XXXXXX Month of Analysis\*\*\*20\  
RTE\*2\*X.XXXX Earnings Credit Rate\*\*XX Days in Month\*XXX Year Basis\  
DTM\*151\*XXXXXX Month of Analysis\*\*\*20\  
BAL\*M\*AL\*Average Ledger Balance\  
AMT\*FL\*Average Float\  
AMT\*AC\*.Average Collected Balance\  
AMT\*AD\*.00\  
AMT\*CB\*Balance Required\  
AMT\*NY\*-Excess/Deficit Balance\  
AMT\*8\*.00\  
AMT\*SC\*Current Period Analyzed Charges\  
AMT\*NP\*-Current Period Excess/Deficit\  
AMT\*PL\*Average Daily Book Balance\  
AMT\*5\*Current Period Fees Due\  
DTM\*151\*XXXXXX Month of Analysis\*\*\*20\

SER\*TB\*000013XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Uncollected Overdraft Surcharge\  
SER\*TB\*000211XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Overdraft Interest Fees\  
SER\*TB\*000212XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Charge for Overdraft\  
SER\*TB\*000230XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*FDIC\  
SER\*TB\*000241XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Earnings Credit Adjustment\  
SER\*TB\*010000XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*DDA Maintenance\  
SER\*TB\*010100XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Debits\  
SER\*TB\*010101XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Credits\  
SER\*TB\*010310XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*DDA Statement Weekly\  
SER\*TB\*010310XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*DDA Statement Monthly\  
SER\*TB\*010630XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Audit Confirmation\  
SER\*TB\*990000XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Miscellaneous\  
SER\*TB\*250200XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*ACH Debits Received\  
SER\*TB\*250201XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*ACH Credits Received\  
SER\*TB\*350100XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Wire Transfer Out Rep Terminal\  
SER\*TB\*350103XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Wire Transfer Out Non-Rep Terminal\  
SER\*TB\*350200XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Wire Transfer Out Rep Telephonic\  
SER\*TB\*350201XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Wire Transfer Out Non-Rep Telephonic\  
SER\*TB\*350300XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Wire Transfer Incoming\  
SER\*TB\*350412XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Wire Transfer Advice\  
SER\*TB\*010401XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*822 Acct Analysis customer dial-in\  
SER\*TB\*010402XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*822 Acct Analysis bank transmission\  
SER\*TB\*350000XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Wire Module Fee\  
SER\*TB\*400052XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Domestic Information Maintenance Prior Day\  
SER\*TB\*400272XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*On-Line Prior Day Per Transaction\  
SER\*TB\*450001XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Domestic Custody Maintenance\  
SER\*TB\*450140XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Domestic Custody Interest/Dividend Collection\  
SER\*TB\*450170XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Domestic Custody Security Receipt/Presentment Fed\  
SER\*TB\*450174XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Domestic Custody Security Receipt/Presentment DTC\  
SER\*TB\*450176XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Domestic Custody Receipt/Delivery Fed\  
SER\*TB\*45017BXXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Domestic Custody Receipt/Delivery DTC\  
SER\*TB\*450400XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Investment/Custody Information Report\  
SER\*TB\*450403XXXX Bank ID Code\*Balance Method\*Charge\*Price\*Volume\*Investment/Custody Information Report\  
CTT\*1\  
SE\*139\*0000\  
GE\*1\*000000000\  
IEA\*1\*000000000

**APPENDIX I  
PROPOSED COST STRUCTURE**

<u>Description</u> <b><u>SERVICES PAID BY TREASURER</u></b>	<u>TMA Code</u>	<u>Unit</u>	<u>Volume</u>	<u>Per Unit Cost</u>	<u>Total Cost</u>
Uncollected Overdraft Surcharge	00-0013	Occurrence			\$0.00
Overdraft Interest Fees	00-0211	Occurrence			\$0.00
Charge for Overdraft	00-0212	Occurrence			\$0.00
FDIC	00-0230	Variable/Pass Through			\$0.00
Earnings Credit Adjustment	00-0241	Variable/Pass Through			\$0.00
DDA Maintenance	01-0000	Account	2		\$0.00
Debits Posted	01-0100	Item	70		\$0.00
Credits Posted	01-0101	Item	7		\$0.00
DDA Statement Internet	01-0337	Monthly	1		\$0.00
Account Analysis Automated Internet	01-0407	Account	1		\$0.00
Account Analysis 822 Internet	01-0447	Monthly	1		\$0.00
Audit Confirmation	01-0630	Item			\$0.00
Deposit Correction Non-Cash	04-1035	Item			\$0.00
Branch Deposit	10-0000	Item	6,106		\$0.00
Branch Deposit Bundled	10-000Z	Item			\$0.00
Branch Deposit Coin Loose	10-0010	Item			\$0.00
Branch Deposit Coin Rolled	10-0011	Item	3		\$0.00
Branch Deposit in Non-Standard Bag	10-0012	Item			\$0.00
Branch Deposit Fed Standard Bag	10-0014	Item			\$0.00
Branch Deposit Currency Loose	10-0015	Item	366,829		\$0.00
Branch Deposit Currency Fed Standard Strap	10-0016	Item	50		\$0.00
Branch Deposit Currency Half Strap	10-0017	Item	4,560		\$0.00
Branch Deposit Coin/Currency Bundled	10-001Z	Item			\$0.00
Branch Coin/Currency Order-Manual	10-0040	Item	7		\$0.00
Branch Coin/Currency Order-Standing	10-0041	Item			\$0.00
Branch Coin/Currency Order-Special	10-0042	Item			\$0.00
Branch Order Coin Loose	10-0043	Item			\$0.00
Branch Order Coin Roll	10-0044	Item	1		\$0.00
Branch Order Coin Half Box	10-0045	Item			\$0.00
Branch Order Coin Full Box	10-0046	Item			\$0.00
Branch Order Coin Standard Bag	10-0047	Item			\$0.00
Branch Order Currency Loose	10-0048	Item	224		\$0.00
Branch Nigh Deposit-Rental	10-0052	Item	16		\$0.00
Branch Order Currency Fed Standard Strap	10-004A	Item	11		\$0.00
Branch Order Currency Half Strap	10-004B	Item			\$0.00
Vault Deposit	10-0100	Item	2,768		\$0.00
Vault Deposit -Network			346		\$0.00
Vault Deposit Coin	10-0101	Item	169		\$0.00
Vault Deposit Coin-Network	10-0101	Item	62		\$0.00
Vault Deposit Currency	10-0102	Item	10,122,763		\$0.00
Vault Deposit Currency-Network	10-0102	Item	1,022,276		\$0.00
Vault Deposit Checks-Network	10-0103	Item	39		\$0.00
Vault Deposit Reverification	10-0106	Item			\$0.00
Vault Deposit Bundled	10-010Z	Item			\$0.00
Vault Deposit Bundled-Network	10-010Z	Item			\$0.00
Vault Deposit Coin Rolled	10-0110	Item			\$0.00
Vault Deposit Coin Non-Standard Bag	10-0111	Item			\$0.00
Vault Deposit Coin-Fed Std Bag	10-0113	Item			\$0.00
Vault Deposit Currency Loose	10-0114	Item	168,735		\$0.00
Vault Deposit Currency Loose -Network	10-0114	Item	35,772		\$0.00
Vault Deposit Currency Fed Standard Strap	10-0115	Item	177,784		\$0.00
Vault Deposit Currency Fed Standard Strap-Network	10-0115	Item	1,867		\$0.00
Vault Deposit Currency Half Strap-Network	10-0116	Item	37		\$0.00

<u>Description</u>	<u>TMA Code</u>	<u>Unit</u>	<u>Volume</u>	<u>Per Unit Cost</u>	<u>Total Cost</u>
Vault Deposit Currency Brick	10-0117	Item	11		\$0.00
Vault Deposit Currency Brick-Network	10-0117	Item	1		\$0.00
Vault Deposit Currency Mixed	10-0118	Item			\$0.00
Vault Deposit Coin/Currency Bundled	10-011Z	Item	1		\$0.00
Vault Coin/Currency Order Manual	10-0140	Item			\$0.00
Vault Coin/Currency Order Automated Network	10-0141	Item	1		\$0.00
Vault Coin/Currency Order Standing	10-0142	Item			\$0.00
Vault Coin/Currency Order Special	10-0143	Item			\$0.00
Vault Furnished Coin Rolled-Network	10-0144	Item	2		\$0.00
Vault Furnished Coin Half Box	10-0145	Item			\$0.00
Vault Furnished Coin Full Box	10-0146	Item			\$0.00
Vault Furnished Coin Standard Bag	10-0147	Item			\$0.00
Vault Furnished Coin Full Box	10-0148	Item			\$0.00
Vault Access Fee Armored Car	10-0153	Monthly	3		\$0.00
					\$0.00
Vault Deposit Special	10-0154	Item	39		\$0.00
Vault Furnished Currency Fed Standard Strap	10-014A	Item	2		\$0.00
					\$0.00
Vault Furnished Currency Half Strap	10-014B	Item	37		\$0.00
Vault Furnished Currency Brick	10-014C	Item	1		\$0.00
Check Deposit Processing	10-0200	Item	5,792		\$0.00
Encoded Checks-On Us	10-0210	Item			\$0.00
Encoded Checks-Local Clearinghouse	10-0212	Item			\$0.00
Encoded Checks-Local Fed	10-0213	Item			\$0.00
Encoded Checks-Other Fed	10-0214	Item			\$0.00
Encoded Checks-Fed RCPC	10-0215	Item			\$0.00
Encoded Checks-Direct Sends	10-0218	Item			\$0.00
Unencoded Checks-On Us	10-0220	Item	5		\$0.00
Unencoded Checks-Local Clearinghouse	10-0222	Item			\$0.00
Unencoded Checks-Local Fed	10-0223	Item			\$0.00
Unencoded Checks-Other Fed	10-0224	Item	57		\$0.00
Unencoded Checks-Fed RCPC	10-0225	Item			\$0.00
Unencoded Checks-Direct Sends	10-0226	Item			\$0.00
Check Encoding	10-0228	Item	221,432		\$0.00
Unencoded Checks-Bundled	10-022Z	Item	221,432		\$0.00
Checks Deposit MICR Reject/Repair	10-0230	Item	1,605		\$0.00
Domestic Collection Outgoing	10-0300	Item			\$0.00
Non-US Collection Item	10-0310	Item			\$0.00
Deposit Items Returned	10-0400	Item	1,426		\$0.00
Return Item Processing Special Handling	10-0401	Item	7		\$0.00
Return Item Processing-Reclear Item	10-0402	Item			\$0.00
Return Item Notification Transmission	10-0411	Monthly	2		\$0.00
Return Item Notification Image	10-0415	Item	2,822		\$0.00
Return Item Notification Internet	10-0416	Monthly	2		\$0.00
Return Item Notification-Data Capture	10-0430	Keystroke	34,958		\$0.00
Deposit Adjustment	10-0500	Item	48		\$0.00
Coin/Currency Adjustments	10-0501	Item	16		\$0.00
Coin/Currency Adjustments Network	10-0501	Item	4		\$0.00
Deposit Correction Non-Cash	10-0502	Item			\$0.00
Deposit Adjustment Notification-Internet	10-0515	Item			\$0.00
Deposit Reconciliation Processing	10-0610	Item	11,911		\$0.00
Deposit Supplies Furnished-Bundled	10-08ZZ	Pass Through			\$0.00
Coin Bags Ordered	10-0820	Item			\$0.00
Armored Car/Carrier Service	10-1010	Monthly	1		\$0.00
Check Photocopy	10-1030	Item	87,931		\$0.00
Paper Disbursement Maintenance-Positive Pay	15-0030	Monthly	1		\$0.00
					\$0.00
Positive Pay Email Alert	15-0122	Item	26		\$0.00

<u>Description</u>	<u>TMA Code</u>	<u>Unit</u>	<u>Volume</u>	<u>Per Unit Cost</u>	<u>Total Cost</u>
Stop Payment-Manual	15-0420	Item	1		\$0.00
ACH Maintenance	25-0000	Account	1		\$0.00
ACH Debit Originated	25-0100	Item	3,237		\$0.00
ACH Credits Originated	25-0101	Item	104		\$0.00
ACH Addenda Originated	25-0120	Item			\$0.00
ACH Debit Prenotes Originated	25-0130	Item			\$0.00
ACH Debits Received	25-0200	Item	11		\$0.00
ACH Credits Received	25-0201	Item	1,463		\$0.00
ACH Addenda Received	25-0220	Item	1,135		\$0.00
ACH Return Item Debit	25-0300	Item			\$0.00
ACH Return Item Credit	25-0301	Item			\$0.00
ACH Redeposit	25-0310	Item			\$0.00
ACH Return Item Dishonored	25-0311	Item			\$0.00
ACH Return Item Unauthorized	25-0312	Item	3		\$0.00
ACH Return Item Notification	25-0400	Item	1		\$0.00
ACH Return Item Debit/Credit	25-0401	Item	3		\$0.00
ACH Input Automated Transmission	25-0501	Item	31		\$0.00
ACH Except Processing-Item Modification	25-0610	Item			\$0.00
ACH Except Processing-Batch Modification	25-0611	Batch			\$0.00
ACH Except Processing-File Modification	25-0612	File			\$0.00
ACH Except Processing-Item Deletion	25-0620	Item			\$0.00
ACH Except Processing-Batch Deletion	25-0621	Batch			\$0.00
ACH Except Processing-File Deletion	25-0622	File	1		\$0.00
ACH Except Processing-Item Reject	25-0630	Item			\$0.00
ACH Except Processing-Batch Reject	25-0631	Batch			\$0.00
ACH Except Processing-File Reject	25-0632	File			\$0.00
ACH Except Processing-Item Reversal	25-0640	Item			\$0.00
ACH Except Processing-Batch Reversal	25-0641	Batch			\$0.00
ACH Except Processing-File Reversal	25-0642	File			\$0.00
ACH Positive Pay Filter Maintenance	25-1050	Account	2		\$0.00
ACH Positive Pay-Decision Pay	25-1051	Item	2		\$0.00
ACH Positive Pay-Decision Return	25-1051	Item	2		\$0.00
ACH Positive Pay Filter	25-1053	Item	13		\$0.00
ACH Positive Pay	25-1056	Account			\$0.00
Special ACH Services-Notification of Change-Auto	25-1070	Item	103		\$0.00
Special ACH Services-Notification of Change-Manual	25-1071	Item	48		\$0.00
EDI Receiving Transmission-Direct	30-0200	Daily			\$0.00
EDI Receiving Translation	30-0210	Daily			\$0.00
Funds Transfer System Maintenance	35-0000	Monthly	1		\$0.00
Wire Transfer-Out Rep Terminal	35-0100	Item	44		\$0.00
Wire Transfer-Out Non-Rep. Terminal	35-0104	Item			\$0.00
Outgoing Book Transfer	35-0123	Item			\$0.00
Wire Transfer Out-Rep Telephonic	35-0200	Item			\$0.00
Wire Transfer Out-Non-Rep. Telephonic	35-0202	Item			\$0.00
Wire Transfer-In	35-0300	Item	15		\$0.00
Incoming Book Transfer	35-0320	Item			\$0.00
Cust Main Template Storage	35-0551	Item			\$0.00
Internet Previous Day File Maintenance	40-0012	Account	2		\$0.00
Internet Previous Day Maintenance	40-0050	Monthly	1		\$0.00
Internet Current Day Maintenance	40-0053	Monthly	1		\$0.00
Internet Previous Day File	40-0232	Item			\$0.00
Internet Previous Day Summary	40-0270	Account	2		\$0.00
Internet Previous Day Detail	40-0271	Item	12,190		\$0.00
Internet Current Day Summary	40-0273	Account	2		\$0.00
Internet Current Day Detail	40-0274	Item	1,585		\$0.00
Internet History	40-0341	Account	2		\$0.00
Automatic Investment Maintenance	45-0020	Account	2		\$0.00

<u>Description</u>	<u>TMA Code</u>	<u>Unit</u>	<u>Volume</u>	<u>Per Unit Cost</u>	<u>Total Cost</u>
Miscellaneous	99-0000	Pre-Approved			\$0.00
BAI Prior Day Report Monthly Base		Monthly	4		\$0.00
BAI Prior Day Per Account		Account	4		\$0.00
BAI Prior Day Report Detail		Item	25,044		\$0.00
BAI Prior Day Report 88 Field		Item	3,760		\$0.00
Return Order Processing		Item			\$0.00
Return Order Processing		Item			\$0.00
Vault Return Order Processing		Item			\$0.00
Vault Return Order Processing		Item			\$0.00
ACH Originated-ARC	25-010F	Item			\$0.00
ACH Originated-RCK	25-010G	Item			\$0.00
ACH Originated-BOC	25-010M	Item			\$0.00
ACH Received-ARC	25-020C	Item			\$0.00
ACH Received-RCK	25-020D	Item			\$0.00
ACH Received-BOC	25-020J	Item			\$0.00
Image Cash Letter IQA Suspect		Item			\$0.00
Image Cash Letter Non Conforming Image Items		Item			\$0.00
Image Cash Letter Set-up and Testing		One Time			\$0.00
Image Cash Letter Transmission Deposit		File			\$0.00
Image Cash Letter Transmission Maintenance		Monthly			\$0.00
Image City Cleared Image Exchange		Item			\$0.00
Image Clearing Adjustments		Item			\$0.00
Image Clearing Deposit Item Return		Item			\$0.00
Image Clearing File Transmission Fee		Item			\$0.00
Image Clearing Image Quality Assurance (CAR/LAR & OCR)		Item			\$0.00
Image Clearing MICR Line Correction		Item			\$0.00
Image Clearing Per Item Cleared Image Exchange		Item	150,623		\$0.00
Image Clearing Research Request		Item			\$0.00
Image County Cleared Image Exchange		Item			\$0.00
Image County Clearing Substitute Check		Item			\$0.00
Image On-Us Cleared Image Exchange		Item			\$0.00
Image On-Us Clearing Substitute check		Item			\$0.00
Image RCPC Cleared Image Exchange		Item			\$0.00
Image RCPC Clearing Substitute Check		Item			\$0.00
Image Local Fed Cleared Image Exchange		Item			\$0.00
Image Local Fed Clearing Substitute Check		Item			\$0.00
Image Other Fed Cleared Image Exchange		Item			\$0.00
Image Other Fed Clearing Substitute Check		Item			\$0.00
Image Retrieval		Item			\$0.00
Image Transit Cleared Image Exchange		Item			\$0.00
Image Transit Clearing Substitute Check		Item			\$0.00
RDC Balancing Corrections		Item			\$0.00
RDC Image Cash Letter Deposit		Item	4,581		\$0.00
RDC Item Capture- Image		Item	230,165		\$0.00
RDC Item Capture- IRD		Item	52		\$0.00
RDC Item Capture-ACH Conversion		Item			\$0.00
RDC Location Maintenance		Item	338		\$0.00
RDC MICR Correction		Item			\$0.00
EDM A/R Fields Per Item		Item	115,848		\$0.00
EDM City		Item			\$0.00
EDM County		Item			\$0.00
EDM On-Us		Item	3,629		\$0.00
EDM RCPC		Item			\$0.00
EDM Local Fed		Item			\$0.00
EDM Other Fed		Item			\$0.00

<u>Description</u>	<u>TMA Code</u>	<u>Unit</u>	<u>Volume</u>	<u>Per Unit Cost</u>	<u>Total Cost</u>
EDM Deposited Before 4:00		Item	200,304		\$0.00
EDM Deposited After 4:00		Item	31,583		\$0.00
EDM Deletion		Item	1		\$0.00
EDM Deletion Image Quality		Item	1		\$0.00
EDM Deletion Duplicate Item					\$0.00
EDM Reject/Repair		Item			\$0.00
Returned Check Conversion-Maintenance	10-0450	Monthly			\$0.00
Returned Check Conversion-Set-Up	10-0451	One Time			\$0.00
Returned Check Conversion-Sorting	10-0452	Item			\$0.00
Returned Check Conversion-Data Capture	10-0453	Item			\$0.00
Returned Check Conversion-Data Entry	10-0454	Item			\$0.00
Returned Check Conversion-File Formatting	10-0455	Batch			\$0.00
Returned Check Conversion-Special Handling	10-0456	Item			\$0.00

**TOTAL SERVICES PAID BY  
TREASURER** **\$0.00**

**SERVICES PAID BY AGENCIES**

**REMOTE DEPOSIT MACHINES**

Epson Capture One 60-100	One Time-Purchase Equipment		\$0.00
Epson Capture One 60-100	2 year Maintenance		\$0.00
Cannon 1901i	One Time-Purchase Equipment		\$0.00
Cannon 1901i	2 year Maintenance		\$0.00
TS 240-50	One Time-Purchase Equipment	20	\$0.00
TS 240-75	One Time-Purchase Equipment	10	\$0.00
TS 240-100	One Time-Purchase Equipment	14	\$0.00
TS 240-50	2 year Maintenance		\$0.00
TS 240-75	2 year Maintenance		\$0.00
TS 240-100	2 year Maintenance		\$0.00

**REMOTE CURRENCY MANAGER**

Currency Manager (RCM) Monthly Charge per location-1 day per month	Monthly per location		\$0.00
Currency Manager (RCM) Monthly Charge per location-every other week	Monthly per location		\$0.00
Currency Manager (RCM) Monthly Charge per location-1 day per week	Monthly per location		\$0.00
Currency Manager (RCM) Monthly Charge per location-2 days per week	Monthly per location		\$0.00
Currency Manager (RCM) Monthly Charge per location-3 days per week	Monthly per location		\$0.00
Currency Manager (RCM) Monthly Charge per location-4 days per week	Monthly per location		\$0.00

**TOTAL SERVICES PAID BY AGENCIES** **\$0.00**

**GRAND TOTAL OF ALL SERVICES** **\$0.00**



# Appendix J

## ILLINOIS STATE TREASURER CERTIFICATIONS

\_\_\_\_\_ (“CONTRACTOR”) makes the following certifications:

### **1.0 ANTI-BRIBERY.**

CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under Section 50-5 of the Illinois Procurement Code (30 ILCS 500/50-5). Section 50-5 prohibits a contractor from entering into a contract with a State agency if the contractor has been convicted of bribery or attempting to bribe an officer or employee of the State of Illinois, or if the contractor has made an admission of guilt of such conduct with is a matter of record. The contractor further acknowledges that the chief procurement officer may declare the related contract void if this certification is false.

### **2.0 BID-RIGGING/BID-ROTATING.**

CONTRACTOR certifies that it has not been barred from contracting with a unit of State or local government as a result of a violation of Section 33E-3 or 33E-4 of the Criminal Code of 1961 (720 ILCS 5/33E-3, 33E-4).

### **3.0 DRUG FREE WORKPLACE.**

This certification is required by Section 3 of the Drug Free Workplace Act (30 ILCS 580/3). The Drug Free Workplace Act, effective January 1, 1992, requires that CONTRACTOR shall not be considered for the purposes of being awarded a contract for the procurement of any services from the State unless CONTRACTOR has certified to the State that CONTRACTOR will provide a drug free workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract payments, termination of the contract and debarment of contracting opportunities with the State for at least one (1) year but not more than five (5) years.

CONTRACTOR certifies and agrees that it will provide a drug free workplace by:

- a. Publishing a statement:
  - i. Notifying employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance, including cannabis, is prohibited in the grantee’s or contractor’s workplace.
  - ii. Specifying the actions that will be taken against employees for violation of such prohibition.
  - iii. Notifying the employee that, as a condition of employment on such contract or grant, the employee will:
    - a. abide by the terms of the statement; and
    - b. notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.
- b. Establishing a drug free awareness program to inform employees about:
  - i. the dangers of drug abuse in the workplace;
  - ii. CONTRACTOR’s policy of maintaining a drug free workplace;

- iii. any available drug counseling, rehabilitation, and employee assistance programs; and
- iv. the penalties that may be imposed upon an employee for drug violations.
- c. Providing a copy of the statement required by Section (a) to each employee engaging in the performance of the contract or grant and to post the statement in a prominent place in the workplace.
- d. Notifying the Treasurer's Office within ten (10) days after receiving notice under part (b) of paragraph (iii) of Section (a) above from an employee or otherwise receiving actual notice of such conviction.
- e. Imposing a sanction on, or requiring the satisfactory participation in drug abuse assistance or rehabilitation program by, an employee who is so convicted, as required by Section 5 of the Drug Free Workplace Act.
- f. Assisting employees in selecting a course of action in the event of drug counseling, treatment, and rehabilitation is required and indicating that a trained referral team is in place.
- g. Making a good faith effort to continue to maintain a drug free workplace through implementation of the Drug Free Workplace Act.

#### **4.0 U.S. EXPORT ACT.**

CONTRACTOR certifies that neither CONTRACTOR nor any substantial-owned affiliated company is participating or shall participate in an international boycott in violation of the provisions of the U.S. Export Administration Act of 1979 (50 U.S.C.A. App. § 2401 et seq.) or the regulations of the U.S. Department of Commerce promulgated under that Act.

#### **5.0 NON-DISCRIMINATION.**

CONTRACTOR certifies that it is in compliance with the State and Federal Constitutions, the U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, and all applicable rules that prohibit unlawful discrimination in performance of this Agreement and all other activities, including employment and other contracts. As a condition of receiving the Agreement, CONTRACTOR represents or certifies that services, programs and activities provided under the Agreement are and will continue to be in compliance with State and Federal Constitutions, the U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, and all applicable laws that prohibit unlawful discrimination.

#### **6.0 AMERICANS WITH DISABILITIES ACT.**

CONTRACTOR certifies that it is in compliance with the Americans with Disabilities Act ("ADA") (42 U.S.C. 12101 et seq.) and the regulations thereunder (28 CFR 35.130) prohibit discrimination against persons with disabilities by the Treasurer, whether directly or through contractual arrangements, in the provision of any aid, benefit or service. As a condition of receiving the Agreement, CONTRACTOR represents or certifies that services, programs and activities provided under the Agreement are and will continue to be in compliance with the ADA.

#### **7.0 ILLINOIS HUMAN RIGHTS ACT.**

CONTRACTOR certifies that it is presently in compliance with all of the terms, conditions and provisions of Section 5/2-105 of the Illinois Human Rights Act (775 ILCS 5/2-105), together with all rules and regulations promulgated and adopted pursuant thereto.

## **8.0 FELONY.**

CONTRACTOR certifies that it has not been barred from being awarded a contract under Section 50-10 of the Illinois Procurement Code (30 ILCS 500/50-10). Section 50-10 prohibits a contractor from entering into a contract with a State agency if the contractor has been convicted of a felony and 5 years have not passed from the completion of the sentence for that felony. The contractor further acknowledges that the chief procurement officer may declare the related contract void if this certification is false.

## **9.0 FORMER EMPLOYMENT.**

CONTRACTOR has informed the Treasurer's Office in writing if CONTRACTOR was formerly employed by the Treasurer's Office and has received an early retirement incentive under Section 14-108.3 or 16-133.3 of the Illinois Pension Code (30 ILCS 105/15a).

## **10.0 INDUCEMENT.**

CONTRACTOR has not paid any money or valuable thing to induce any person to refrain from bidding on a State contract, nor has CONTRACTOR accepted any money or other valuable thing, or acted upon the promise of same, for not bidding on a State contract (30 ILCS 500/50-25).

## **11.0 REVOLVING DOOR PROHIBITION.**

CONTRACTOR certifies that neither it nor its employees and agents are in violation of section 50-30 of the Illinois Procurement Code (30 ILCS 500/50-30). Section 50-30 prohibits for a period of (2) years after terminating an affected position certain State employees and their designees from engaging in any procurement activity relating to the State agency most recently employing them for a specified period of time.

## **12.0 REPORTING ANTICOMPETITIVE PRACTICES.**

CONTRACTOR shall report to the Illinois Attorney General and the Chief Procurement Officer any suspected collusion or other anticompetitive practice among any bidders, offerors, contractors, proposers or employees of the State (30 ILCS 500/50-40, /50-45, /50-50).

## **13.0 DISCRIMINATORY CLUB.**

CONTRACTOR agrees not to pay any dues or fees on behalf of its employees or agents or subsidize or otherwise reimburse them for payments of any dues or fees to a discriminating club as prohibited by Section 2 of the Discriminatory Club Act (775 ILCS 25/2).

## **14.0 TAXPAYER IDENTIFICATION NUMBER AND LEGAL STATUS OF CONTRACTOR.**

CONTRACTOR shall be in compliance with applicable tax requirements and shall be current payment of such taxes. Under penalty of perjury, CONTRACTOR certifies that # \_\_\_\_\_ is its correct Taxpayer Identification Number and that it is doing business as a (please check one):

Individual  
 Sole Proprietor  
 Partnership/Legal Corporation  
 Tax Exempt  
 Corporation providing or billing  
     medical and/or health care services  
 Corporation NOT providing or billing  
     medical and/or health care services  
 Other: \_\_\_\_\_

Government Entity  
 Nonresident alien  
 Estate or trust  
 Pharmacy (Non-Corp.)  
 Pharmacy/Funeral Home/Cemetery  
     (Corp.)  
 Limited Liability Company (select  
     applicable tax classification.)  
 C = corporation  
 P = partnership

**15.0 LICENSE; AUTHORIZED BIDDER OR OFFEROR**

CONTRACTOR, directly or through its employees, shall have and maintain any license required by this Agreement. CONTRACTOR further certifies that it is a legal entity authorized to do business in Illinois prior to the submission of the bid, offer, or proposal pursuant to section 20-43 of the Illinois Procurement Code (30 ILCS 500/20-43).

**16.0 APPROPRIATION.**

This Agreement is subject to termination and cancellation in any year for which the General Assembly fails to make an appropriation for payments under the terms of the contract.

**17.0 RECORDS RETENTION; RIGHT TO AUDIT.**

CONTRACTOR agrees to maintain books and records related to the performance of the contract and necessary to support amounts charged to the State under the contract for a minimum of three years from the last action on the contract or after termination of the Agreement, whichever is longer. Contractor further agrees to cooperate fully with any audit and to make the books and records available for review and audit by the Auditor General, chief procurement officers, internal auditor and the Treasurer; CONTRACTOR agrees to cooperate fully with any audit conducted by the Auditor General or the Treasurer and to provide full access to all relevant materials. The three-(3)-year period shall be extended for the duration of any audit in progress during the term. Failure to maintain the books, records and supporting documents required by this Section shall establish a presumption in favor of the State for the recovery of any funds paid by the State under this Agreement for which adequate books, records, and supporting documentation are not available to support their purported disbursement.

**18.0 CONFLICTS OF INTEREST.**

CONTRACTOR has disclosed, and agrees that it is under a continuing obligation to disclose, to the Treasurer financial or other interests (public or private, direct or indirect) that may be a potential conflict of interest that would prohibit CONTRACTOR from entering into or performing the Agreement. Conflicts of interest include, but are not limited to, conflicts under Section 1400.5020 of the Treasurer’s Procurement Rules (44 Ill. Adm. Code 1400.5020) and Sections 50-13, 50-20, and 50-35 of the Illinois Procurement Code (30 ILCS 500/50).

## **19.0 LATE PAYMENTS.**

Late payment charges, if any, shall not exceed the formula established in the Illinois Prompt Payment Act (30 ILCS 540/1) and the Illinois Administrative Code (74 Ill. Adm. Code 900).

## **20.0 LIABILITY.**

The State's liability for damages is expressly limited by and subject to the provisions of the Illinois Court of Claims Act (705 ILCS 505/1) and to the availability of suitable appropriations.

## **21.0 DEBT DELINQUENCY.**

CONTRACTOR certifies that it, or any affiliate, is not barred from being awarded a contract or subcontract under section 50-11 of the Illinois Procurement Code (30 ILCS 500/50-11). Section 50-11 prohibits a contractor from entering into a contract with the Treasurer's Office if it knows or should know that it, or any affiliate, is delinquent in the payment of any debt to the State as defined by the Debt Collection Board. CONTRACTOR further acknowledges that the Treasurer's Office may declare the Agreement void if this certification is false or if CONTRACTOR or any affiliate is determined to be delinquent in payment of any debt during the term of the Agreement.

## **22.0 EDUCATIONAL LOAN DEFAULT.**

CONTRACTOR certifies that it is not barred from being awarded a contract under the Educational Loan Default Act (5 ILCS 385). Section 3 of the Educational Loan Default Act prohibits an individual from entering into a contract with the Treasurer's Office if that individual is in default of an educational loan. CONTRACTOR further acknowledges that the Treasurer's Office may declare the Agreement void if this certification is false or if CONTRACTOR is determined to be in default of an educational loan during the term of the Agreement.

## **23.0 FORCE MAJEURE.**

Failure by either party to perform its duties and obligations shall be excused by unforeseeable circumstances beyond its reasonable control, including acts of nature, acts of the public enemy, riots, labor or material shortages, labor disputes, fire, flood, explosion, legislation, and governmental regulation.

## **24.0 ANTITRUST ASSIGNMENT.**

CONTRACTOR hereby assigns, sells and transfers to the State of Illinois all right, title and interest in and to any claims and causes of action arising under antitrust laws of Illinois or the United States relating to the subject matter of the Agreement.

## **25.0 PROHIBITION OF GOODS FROM FORCED LABOR.**

CONTRACTOR certifies that it is not barred from being awarded a contract under the State Prohibition of Goods from Forced Labor Act (30 ILCS 583). Section 10 of the State Prohibition of Goods from Forced Labor Act prohibits a contractor from entering into a contract with the Treasurer's

Office if that contractor knew that the foreign-made equipment, materials, or supplies furnished to the State were produced in whole or part by forced labor, convict labor, or indentured labor under penal sanction. CONTRACTOR further acknowledges that the Treasurer's Office may declare the Agreement void if this certification is false or if CONTRACTOR is determined to have known that the foreign-made equipment, materials, or supplies furnished to the State during the term of the Agreement were produced in whole or part by forced labor, convict labor, or indentured labor under penal sanction.

#### **26.0 PROHIBITION OF GOODS FROM CHILD LABOR.**

CONTRACTOR certifies in accordance with Public Act 94-0264 that no foreign-made equipment, materials, or supplies furnished to the State under the contract have been produced in whole or in part by the labor of any child under the age of 12.

#### **27.0 SARBANES-OXLEY ACT AND ILLINOIS SECURITIES LAW**

CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-10.5 of the Illinois Procurement Code (30 ILCS 500). Section 50-10.5, amongst other things, prohibits a contractor from bidding or entering into a contract or subcontract with the Treasurer's Office if the contractor or any officer, director, partner, or other managerial agent of the contractor has been convicted in the last 5 years of a felony under the Sarbanes-Oxley Act of 2002 or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953 or if the contractor is in violation of Subsection (e). CONTRACTOR further acknowledges that the Treasurer's Office may declare the agreement void if this certification is false or if CONTRACTOR is determined to have been convicted of a felony under the Illinois Sarbanes-Oxley Act of 2002 or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953 during the term of the agreement.

#### **28.0 DISPUTES.**

Any claim against the State arising out of this Agreement must be filed exclusively with the Illinois Court of Claims (705 ILCS 505/1). The State shall not enter into binding arbitration to resolve any agreement dispute. The State of Illinois does not waive sovereign immunity by entering into this Agreement. Any provision containing a citation to an Illinois statute (cited "ILCS") may not contain the complete statutory language. The official text, which is incorporated by reference, may be found in the appropriate chapter and section of the Illinois Compiled Statutes. An unofficial version may be viewed at [www.ilga.gov](http://www.ilga.gov).

#### **29.0 THIRD-PARTY PAYMENTS.**

CONTRACTOR certifies that no fee was paid to a third-party in expectation of being awarded a contract by the Treasurer.

#### **30.0 MOST FAVORABLE TERMS.**

If more favorable terms are granted by the CONTRACTOR to any similar governmental agency in any state in a contemporaneous agreement let under the same or similar financial terms and

circumstances for comparable supplies or services, the more favorable terms will be applicable under the Agreement between the Treasurer's Office and the CONTRACTOR.

### **31.0 BOARD OF ELECTIONS REGISTRATION**

\_\_\_\_\_ The CONTRACTOR certifies that they are not required to register as a business entity with the State Board of Elections pursuant to the Illinois Procurement Code (30 ILCS 500/20-160). Further, the CONTRACTOR acknowledges that all contracts or subcontracts between State agencies and a business entity that do not comply with this Section shall be voidable under Section 50-60 of the Illinois Procurement Code (30 ILCS 500/50-60).

*(or)*

\_\_\_\_\_ The CONTRACTOR certifies that they have registered as a business entity with the State Board of Elections and acknowledges a continuing duty to update the registration pursuant to the Illinois Procurement Code (30 ILCS 500/20-160). Further, the CONTRACTOR acknowledges that all contracts or subcontracts between State agencies and a business entity that do not comply with this Section shall be voidable under Section 50-60 of the Illinois Procurement Code (30 ILCS 500/50-60).

### **32.0 COLLECTION AND REMITTANCE OF ILLINOIS USE TAX**

The CONTRACTOR certifies that it is not barred from being awarded a contract under section 50-12 of the Illinois Procurement Code (30 ILCS 500/50-12). Section 50-12 prohibits a contractor from entering into a contract or subcontract with a State agency if the CONTRACTOR or affiliate has failed to collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with the provisions of the Illinois Use Tax Act. The CONTRACTOR further acknowledges that the contract or subcontract may be voided if this certification is false.

### **33.0 ENVIRONMENTAL PROTECTION ACT VIOLATIONS**

The CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-14 of the Illinois Procurement Code (30 ILCS 500/50-14). Section 50-14 prohibits a CONTRACTOR from entering into a contract or subcontract with a State agency if the CONTRACTOR has been found by a court or the Pollution Control Board to have committed a willful or knowing violation of the Environmental Protection Act within the last (5) years. The CONTRACTOR further acknowledges that the contracting State agency may declare the related contract or subcontract void if this certification is false.

### **34.0 LEAD POISONING PREVENTION ACT VIOLATIONS**

The CONTRACTOR certifies that it is not barred from entering into a contract or subcontract under section 50-14.5 of the Illinois Procurement Code (30 ILCS 500/50-14.5). Section 50-14.5 prohibits a CONTRACTOR from entering into a contract or subcontract with the State of Illinois or a State agency if the CONTRACTOR, while the owner of a residential building, committed a willful or knowing violation of the Lead Poisoning Prevention Act. The CONTRACTOR further acknowledges that the Treasurer may declare the related contract or subcontract void if this certification is false.

### **35.0 BOND ISSUANCES**

The CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-21 of the Illinois Procurement Code (30 ILCS 500/50-21). Section 50-21 prohibits State agencies from entering into contracts or subcontracts with respect to the issuances of bonds or other securities by the State or a State agency with any entity that uses an “independent consultant” as defined in section 50-21.

### **36.0 POLITICAL CONTRIBUTIONS**

The CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-37 of the Illinois Procurement Code (30 ILCS 500/50-37). Section 50-37 prohibits business entities whose contracts with State agencies, in the aggregate, annually total more than \$50,000, or whose aggregate pending bids and proposals on State contracts total more than \$50,000, and any affiliated entities or affiliated persons of such business entity, from making any contributions to any political committee established to promote the candidacy of the office holder responsible for awarding the contract on which the business entity has submitted a bid or proposal during the period beginning on the date the invitation for bids or request for proposals are issued and ending on the day after the date the contract is awarded.

### **37.0 LOBBYING RESTRICTIONS**

The CONTRACTOR certifies that it is not barred from being awarded a contract or subcontract under section 50-38 of the Illinois Procurement Code (30 ILCS 500/50-38). Section 50-38 prohibits a CONTRACTOR from billing the State for any lobbying costs, fees, compensation, reimbursements, or other remuneration provided to any lobbyist who assisted the CONTRACTOR in obtaining the contract or subcontract.

### **38.0 DISCLOSURE OF BUSINESS OPERATIONS WITH IRAN (30 ILCS 500/50-36)**

Each bid, offer, or proposal submitted for a State contract, other than a small purchase defined in Section 20-20 [of the Illinois Procurement Code], shall include a disclosure of whether or not the bidder, offeror, or proposing entity, or any of its corporate parents or subsidiaries, within the 24 months before submission of the bid, offer, or proposal had business operations that involved contracts with or provision of supplies or services to the Government of Iran, companies in which the Government of Iran has any direct or indirect equity share, consortiums or projects commissioned by the Government of Iran and:

(1) more than 10% of the company’s revenues produced in or assets located in Iran involve oil-related activities or mineral-extraction activities; less than 75% of the company’s revenues produced in or assets located in Iran involve contracts with or provision of oil-related or mineral – extraction products or services to the Government of Iran or a project or consortium created exclusively by that Government; and the company has failed to take substantial action; or

(2) the company has, on or after August 5, 1996, made an investment of \$20 million or more, or any combination of investments of at least \$10 million each that in the aggregate equals or exceeds \$20 million in any 12- month period that directly or significantly contributes to the enhancement of Iran’s ability to develop petroleum resources of Iran.



You must check one of the following items and if item 2 is checked you must also make the necessary disclosure:

\_\_\_ There are no business operations that must be disclosed to comply with the above cited law.

\_\_\_ The following business operations are disclosed to comply with the above cited law:

\_\_\_\_\_

CONTRACTOR

By:

\_\_\_\_\_

Signature

\_\_\_\_\_

Name

\_\_\_\_\_

Title

\_\_\_\_\_

Date

DISCLOSURES

FINANCIAL INTEREST AND POTENTIAL CONFLICTS OF INTEREST  
(Disclosure Form A)

The Treasurer’s Procurement Regulations (44 Ill. Adm. Code 1400.5035) require that contractors/offers desiring to enter into certain contracts with the State of Illinois must disclose the financial and potential conflicts of interest information as specified below.

Contractor/offers shall disclose the financial interest and potential conflicts of interest information identified in Sections 1 and 2 below as a condition of receiving an award or contract. Submit this information along with your bid, proposal or offer.

This requirement applies to contracts with an annual value exceeding \$10,000.

A publicly traded entity may submit its 10K disclosure in satisfaction of the disclosure requirements set forth in both Sections 1 and 2 below.

Sec. 1. Disclosure of Financial Interest in the Contractor/Offers

- a. If any individuals have one of the following financial interests in the contractor/offers (or its parent), please check all that apply and show their name and address:

Ownership exceeding 5% ( )
Ownership value exceeding \$106,447.20 ( )
Distributive Income Share exceeding 5% ( )
Distributive Income Share exceeding \$106,447.20 ( )

Name: \_\_\_\_\_

Address: \_\_\_\_\_
\_\_\_\_\_

- b. For each individual named above, show the type of ownership/distributable income share: sole proprietorship \_\_\_\_\_ stock \_\_\_\_\_ partnership \_\_\_\_\_ other (explain)

\_\_\_\_\_.

- c. For each individual named above, show the dollar value or proportionate share of the ownership interest in the contractor/offers (or its parent) as follows:

If the proportionate share of the named individual(s) in the ownership of the contractor/offers (or its parent) is 5% or less, and if the value of the ownership interest of the named individual(s) is \$106,447.20 or less, check here ( )

If the proportionate share of ownership exceeds 5% or the value of the ownership interest exceeds \$106,447.20, show either.

The percent of ownership \_\_\_\_\_%

or

The value of the ownership interest \$ \_\_\_\_\_

Sec. 2. Disclosure of Potential Conflicts of Interest. For each of the individuals having the level of financial interest identified in Section 1 above, check “Yes” or “No” to indicate which, if any, of the following potential conflicts of interest relationships apply. If “Yes,” please describe (use space under applicable section to explain your answers – attach additional pages as necessary).

- |    |  |              |             |
|----|--|--------------|-------------|
| a. | State employment, currently or in the previous 3 years, including contractual employment of services   | Yes<br>_____ | No<br>_____ |
| b. | State employment for spouse, father, mother, son, or daughter, including contractual employment for services in the previous 2 years.  | Yes<br>_____ | No<br>_____ |
| c. | Elective status; the holding of elective office of the State of Illinois, the government of the United States, any unit of local government authorized by the Constitution of the State of Illinois, or the statutes of the State of Illinois currently or in the previous 3 years.  | Yes<br>_____ | No<br>_____ |
| d. | Relationship to anyone holding elective office currently or in the previous 2 years; spouse, father, mother, son, or daughter.   | Yes<br>_____ | No<br>_____ |
| e. | Appointive office; the holding of any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of expenses incurred in the discharge of that office currently or in the previous 3 years. | Yes<br>_____ | No<br>_____ |
| f. | Relationship to anyone holding appointive office currently or in the previous 2 years; spouse, father, mother, son, or daughter.   | Yes<br>_____ | No<br>_____ |
| g. | Employment, currently or in the previous 3 years, as or by any registered lobbyist of the State government.  | Yes<br>_____ | No<br>_____ |
| h. | Relationship to anyone who is or was a registered lobbyist in the previous 2 years; spouse, father, mother, son, or daughter.  | Yes<br>_____ | No<br>_____ |
| i. | Compensated employment, currently or in the previous 3 years, by any registered election or re-election committee registered with the Secretary of   | Yes<br>_____ | No<br>_____ |

State or any county clerk in the State of Illinois, or any political action committee with either the Secretary of State or the Federal Board of Elections.

- |    |  |              |             |
|----|--|--------------|-------------|
| j. | Relationship to anyone; spouse, father, mother, son, or daughter, who is or was a compensated employee in the last 2 years of any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections. | Yes<br>_____ | No<br>_____ |
|----|--|--------------|-------------|

This disclosure is submitted on behalf of

\_\_\_\_\_  
(Name of Contractor/Offeror)

Official authorized to sign on behalf of contractor/offeror:

Name (printed) \_\_\_\_\_ Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

DISCLOSURES  
OTHER CONTRACT AND PROCUREMENT RELATED INFORMATION  
(Disclosure Form B)

The Treasurer's Procurement Regulations (44 Ill. Adm. Code 1400.5035) require that contractors/offerors desiring to enter into certain contracts with the State of Illinois must disclose the information as specified below.

Contractor/offeror shall disclose the information identified below as a condition of receiving an award or contract.

This requirement is applicable to only those contracts with an annual value exceeding \$10,000.

You must submit this information along with your bid, proposal or offer.

- a. Contractor/offeror shall identify whether it has current contracts (including leases) with other units of State of Illinois government by checking "Yes" \_\_\_\_\_ or "No" \_\_\_\_\_.

If "Yes" is checked, identify each contract by showing agency name and other descriptive information such as purchase order or contract reference number (attach additional pages as necessary).

- b. Contractor/offeror shall identify whether it has pending contracts (including leases), bids, proposals, or other ongoing procurement relationships with other units of State of Illinois government by checking "Yes" \_\_\_\_\_ or "No" \_\_\_\_\_.

If "Yes" is checked, identify each such relationship by showing agency name and other descriptive information such as bid or project number (attach additional pages as necessary).

This disclosure is submitted on behalf of \_\_\_\_\_  
(Name of Contractor/Offeror)

Official authorized to sign on behalf of contractor/offeror:

Name (printed) \_\_\_\_\_ Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_