



OFFICE OF THE ILLINOIS STATE TREASURER
MICHAEL W. FRERICHS

Request for Proposals
Electronic Funds Transfer Services
370-500-17-005

November 10, 2016

Proposals due by 2:00 p.m. CT on December 22, 2016

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

Office of the Illinois State Treasurer
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 the benefit of the Treasurer and Illinois Department of Revenue (“IDOR”) for Electronic Funds Transfer (“EFT”) services, specifically the collection and processing of various tax payments. Financial institutions that submit Proposals (“Respondents”) shall submit their Proposals by 2:00 p.m. CT on December 22, 2016.

The Treasurer seeks a Contractor with an efficient and cost effective payment 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 five (5) 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 505/7, 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 numerous accounts with financial institutions in order to process deposits for check clearing, lockbox and EFT on the State’s behalf.

Via EFT, IDOR accepts various tax types, all of which are listed in the Electronic Tax Types Administered by IDOR as of January 1, 2017 (“FTA Tax Type Codes”), attached hereto as Appendix A. The Treasurer’s current EFT vendor (“Current Vendor”) accepts the FTA Tax Type Code payments in the form of Automated Clearing House (“ACH”) credits, ACH debits initiated by taxpayers through the Interactive Voice Response (“IVR”) system, and IDOR-initiated debits authorized through IDOR’s own website and then deposits them in an account at the direction of the Treasurer.

The Treasurer establishes internal accounts, at the request of IDOR, to record the tax payments received by the Treasurer. There are currently nineteen (19) internal accounts used to record the EFT transactions. The Treasurer executes a daily wire transfer at approximately 9:30 a.m. CT. The wire transfer is based on the actual available balance in the account (balance collected the previous day plus sweep investment, plus current day ACH and wire transfer transactions) minus

a predetermined amount to cover return items. The funds are then transferred to the Treasurer's concentration bank for daily investment.

Based on the processes set forth above, the following documents provide additional information:

1. Electronic Payment Volumes FY 2015 and 2016, attached hereto as Appendix B;
2. Daily Wire Transfer Volumes for FY 2015 and 2016, attached hereto as Appendix C;
3. Daily Sweep Repurchase Agreements Investments for FY 2015 and 2016, attached hereto as Appendix D; and
4. Monthly ACH Return Volumes FY 2015 and 2016, attached hereto as Appendix E.

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. IDOR's Services

In accordance with the Electronic Payment Specifications 2016, attached hereto as Appendix F, the Contractor shall perform the following:

1. Receive EFT FTA Tax Type Code payments from tax payers in the form of ACH debits and credits and Federal Reserve wire transfers;
2. Deposit FTA Tax Type Code payments in the Treasurer's Account (defined in Section III.B.1);
3. Establish on behalf of IDOR and maintain a toll-free number for an IVR system, which shall be used exclusively for taxpayers to call and authorize IDOR to initiate a debit of EFT payments. In the event that the Current Vendor surrenders the current toll-free number that is in use, the Contractor shall maintain such toll-free number. Upon termination of the Agreement, the Contractor shall surrender to IDOR or a successor vendor any toll-free number utilized by the Contractor for the Services;
4. Provide an ACH Notification of Changes ("NOC") solution to correct erroneous ACH data on transactions to avoid violating the National Automated Clearinghouse Association's ("NACHA") rules;

5. Transmit specific data regarding the FTA Tax Type Code payments to IDOR;
6. Provide IDOR a daily report in text file (“TXT”) format regarding all deposits. Refer to the Electronic Payment Specifications 2016 for an example of the TXT report;
7. Provide IDOR a daily report in TXT format regarding all ACH return items. Please see the Electronic Payment Specifications 2016 for an example of the TXT report; and
8. Perform any other requirements set forth in the Electronic Payment Specifications 2016.

B. Treasurer’s Services

For the Treasurer’s Account (defined in Section III.B.1), the Contractor shall perform the following:

1. Open an account for the Treasurer in which all EFT payments received by the Contractor will be deposited (“Treasurer’s Account”);
2. Accept outgoing wire transfers initiated by the Treasurer;
3. Collateralize 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 520-11, 11.1);
4. Pledge securities that comply with the Acceptable Collateral Listing: List of Financial Assets Qualified for Collateral to Secure Deposits and Repurchase Agreements, attached hereto as Appendix G. The collateral must be 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. 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;
5. Invest end of day collected balances. Refer to the Daily Sweep Repurchase Agreement Investments FY 2015 and 2016 for historical information regarding investment of the end of day balances;
6. Provide the Treasurer an earnings credit in the account analysis report, based on the average monthly collected balance in the Treasurer’s Account, and offset the fees related to the Treasurer’s Account with such earnings credit;
7. Provide an ACH debit block on the Treasurer’s Account to prevent ACH fraud;
8. Provide dual controls for both the establishment and maintenance of security administrator rights, as well as for the creation and maintenance of multiple users; and

9. Provide the Treasurer a specific point of contact for the Services, direct access to staff, and emergency contact phone numbers.
10. Provide the Treasurer oral or electronic notification prior to 2:00 p.m. CT of any adjustments or ACH returns affecting the Treasurer's Account in excess of \$25,000;
11. Provide the Treasurer the ability to electronically produce a return item report by company ID for both current and prior day activity that contains the following details: trace number, settlement date, confirmation number, amount, taxpayer name, and reason code;
12. Provide the Treasurer the ability to electronically obtain a report by 8:00 a.m. CT from the Contractor's Treasury Management System that contains current day totals for the following: ACH debit originated settlement, ACH credits received, and ACH transactions being returned;
13. Provide the Treasurer the ability to electronically obtain by 8:00 a.m. CT a current and prior day bank statement in BAI, comma separated values ("CSV"), and portable document format ("PDF") from the Contractor's Treasury Management System;
14. Provide the Treasurer the ability to search for specific transactions within Contractor's information reporting system;
15. Provide the Treasurer the ability to produce reports that provide who initiated and/or confirmed wire transfers;
16. Provide the Treasurer an electronic monthly account analysis statement that details all services provided by the Contractor and all associated charges within ten (10) business days, following the last day of the month; and
17. Provide the Treasurer, within ten (10) business days following the last calendar day of the month, an electronic data interchange ("EDI") transmission, detailing the monthly service charges, in an 822 format that is compatible with the Treasurer's account analysis program. Please see the Account Analysis 822 EDI Format, attached hereto as Appendix H, for an example.

IV. PROPOSAL

A. Proposal Format

1. Cover Page – The cover page shall provide the name, physical address, e-mail address, and telephone number of the person(s) available for contact regarding the Proposal. Such person(s) must be authorized to make representations on behalf of the Respondent.

2. Table of Contents – Please list the sections in Respondent’s Proposal and their corresponding page numbers.
3. Introduction – Include any introductory remarks, not to exceed three (3) pages, deemed appropriate. Briefly discuss such topics as the Respondent’s background, management, facilities, staffing, related experience, and financial stability.
4. Scope of Work – Respondent shall provide a brief five (5) page narrative, describing the general conceptual approach Respondent would take to provide the Services and any other information Respondent believes is relevant. Emphasis should be on clarity, brevity and completeness of the response.
5. Answers to Questions – Respondent must respond to all of the questions presented in Section V.B of this RFP. Respondent’s answers must include the headings (e.g. “Background”) and be numbered in the order provided in Section V.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 – Provide a list of the subcontractor(s) Respondent will use for 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).
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.

Proposals must be submitted in a sealed envelope or package bearing the title “Electronic Funds Transfer Services Proposal 370-500-17-005 for the Office of the Illinois State Treasurer” and the Respondent’s name and address. The package must include one (1) original and seven (7) copies of the Proposal. A separate envelope must contain one (1) original and seven (7) copies of the Cost Proposal. In addition, please provide five (5) electronic copies of the Proposal and five (5) separate electronic copies of the Cost Proposal. Each electronic Proposal copy and each electronic Cost Proposal copy shall be on a separate thumb drive.

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 your corporate structure, including hold companies, parents, and corporate affiliates.
2. Disclose your primary location as well as the location of any facility located outside of the primary location that will be used to provide the services.
3. For the subcontractors listed in Respondent's Proposal, explain why the subcontractor's functions cannot be performed by the Respondent.
4. Are there any investigations, administrative actions and/or inquiries by any regulatory agency or self-regulatory organization including, but not limited to, the Securities and Exchange Commission, Department of Justice, Department of Labor, Federal Reserve, Financial Industry Regulatory Authority, etc., in which Respondent, its officers, or principals have been involved in from January 1, 2011 to present? If so, provide a detailed explanation.
5. Has your organization been a party to a lawsuit from January 11, 2011 to present? If so, please provide a detailed explanation.
6. Has your organization been a party to any data breach or loss of personal, financial or other data considered private or confidential since January 1, 2011? 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.
7. Please discuss your organization's corporate governance and compliance practices.
8. Please describe your risk management practices and internal controls to ensure adherence to applicable federal and state laws, regulatory agency guidance, and industry best practices.
9. Please provide your most current IDC and CRA rating.
10. Please describe any changes in your ownership or management structure since January 1, 2011. Will these changes have any impact on your ability to provide the Services during the expected term of the Agreement?
11. Provide contact information for three client references. References must be entities to which Respondent has provided services most similar to the Services.
12. Does Respondent currently have or has Respondent had in the past five (5) years any contracts that contain services similar to the Services with similar 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;
 - c. A description of the services Respondent provides or provided under the contract;
13. Provide a description of the various types of insurance coverage (carriers, risk coverage, levels, limits, deductibles, expiration dates, etc.) the Respondent has in place to protect its customers.

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, the various phases (testing, etc.), materials available, and/or any on-site training provided by the Respondent.
16. How would Respondent provide an ACH debit block on the Treasurer's Account to prevent ACH fraud? Discuss in detail the available notification formats and timeline associated with the reporting of fraudulent activity.
17. What is the most efficient method to obtain information from the Respondent regarding account inquiries, discrepancies, questions, or any other type of information that may be sought?
18. What is Respondent's average response time to account inquiries, questions regarding discrepancies, and other requests for information?
19. How would Respondent staff this project in order to meet the Treasurer's customer service needs (direct access to staff, emergency contacts, etc.)?
20. Please confirm the ability of Respondent's internet Treasury Management System to produce the following reports in electronic formats by providing sample copies of them:
- a. Daily bank account statement (summary and detail);
 - b. Monthly bank account statement;
 - c. Previous day transaction report (summary and detail);
 - d. Current day transaction report (summary and detail);
 - e. Sweep report (end of day investments, including collateral pledged);
 - f. 822 monthly account analysis (electronic file and detail statement); Refer to the Account Analysis 822 EDI Format for the file format.

- g. ACH debit block exception review;
 - h. Current and prior day ACH return items report by company ID;
 - i. Ad-hoc reporting (the ability to search transactions based on specific criteria and export the results to either PDF or Excel formats); and
 - j. Administrative report.
21. 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, attached hereto as Appendix I.
22. Please identify any item listed in Section III of this RFP that Respondent is unwilling or unable to perform and explain why.

Qualifications and Experience

23. Please provide a list of previous and current clients or accounts for which Respondent provided or is providing services that are identical or similar in nature to the Services;
24. If possible, please provide a summary of any unique expertise, products, or services that would assist Respondent in performing the Services;
25. 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.
26. Provide documents that sufficiently demonstrate Respondent's intent to continue in the Services-related line of business throughout the proposed contract term.

Diversity

27. Please provide the number and percentage of Respondent's employees who are female, minority, persons with disabilities, or military veterans. Please cite with supporting data.
28. Please provide the number and percentage of Respondent's senior leaders (e.g. partner, president, COO, or managing director) who are female, minority, persons with disabilities, or military veterans. Please cite with supporting data.
29. Is the 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 cite with supporting data.

30. Using the definition provided above, 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.

Illinois Presence

31. Please describe what presence the Respondent has in the State of Illinois. Such "presence" can be demonstrated by the percentage of Respondent's full-time employees or employees who spend more than half their time in Illinois and having physical offices or a principal place of business located in Illinois.
32. Using the definition provided above, what is the percentage of Respondent's subcontractors for this Project, if any, that have an Illinois presence?

C. Cost Proposal

For the Cost Proposal, Respondent shall complete and submit the Proposed Cost Structure, attached hereto as Appendix J, 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. Take into account that there will be an earnings credit to the account analysis, based on the average monthly collected balance in the Treasurer's Account and such earnings credit will be used to offset fees related to the Treasurer's Account; 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:

Date	Event
November 10, 2016	RFP published on the Treasurer's website.
November 16, 2016	Notice of intent to attend Bidder's Conference due by 2:00 p.m. CT.
November 17, 2016	Optional Bidder's Conference at 2:00 pm CT.
November 28, 2016	All Respondent questions due by 2:00 p.m. CT.
December 7, 2016	Responses to all questions posted on the Treasurer's website by 4:00 p.m. CT.
December 22, 2016	Proposals due at 2:00 p.m. CT.
January 9-13, 2017	Interviews and site visits, if any, with final candidates.
January 17, 2017	If applicable, best and final offer due by 2:00 p.m. CT.
January 27, 2017	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 by 2:00 p.m. CT on November 28, 2016.

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 2:00 p.m. CT on November 16, 2016. Participation by telephone is acceptable. The Bidder's Conference shall be on November 17, 2016 at 2:00 p.m. CT 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 2:00 p.m. CT on December 22, 2016:

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.

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. 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.
10. 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 2:00 p.m. CT on December 22, 2016;
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; and

7. Have a minimum of five (5) years of experience performing services that are considered identical or similar in nature to the Services.

B. Scoring

Evaluation Factor	Maximum Number of Points Possible
Background and Experience	20
Quality of Financial Services	30
Diversity	10
Illinois Presence	10
Cost Proposal	20
Interview, if applicable	10
TOTAL	100

C. Determining Scores

1. Background and Experience
 Scoring will be based on Respondent’s demonstrated talent and experience of assigned personnel. The breadth and depth of similar engagements will be considered. The evaluation will also include reference checks regarding the Respondent's work for other clients who received or are receiving services similar to those required by this RFP.
2. Quality of Financial Services
 Respondent’s ability to perform the Services will be evaluated based on the answers Respondent provides in the Scope of Work and Answers to the 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.B.27 through 30 of this RFP. 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. Illinois Presence

Respondent's Illinois presence shall be scored based on the answers Respondent provides to questions IV.B.31 and IV.B.32. Respondents with a principal place in Illinois and a higher percentage of employees in Illinois shall receive higher scores.

5. Cost Proposal

The Evaluation Team shall evaluate the cost-effectiveness of Respondent's Cost Proposal in order to determine the Cost Proposal score.

6. 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 publically available information to perform its evaluation. Finally, the Evaluation Team will make a recommendation regarding the final Respondent.

VII. CONTRACT TERMS AND CONDITIONS

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

A. Contractual Responsibility

Contractor will be contractually responsible for all services provided. By responding to the RFP, Contractor expressly agrees to the contractual requirements herein. 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 initial term of the Agreement will 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) calendar days' notice. Upon termination, the Treasurer will pay for work satisfactorily completed prior to the date of termination.

2. Termination for Cause

Notwithstanding any language to the contrary, the Agreement may be terminated by the Treasurer or CPO 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 services provided under the Agreement are rejected and are not promptly corrected by the Contractor or repeatedly rejected even though Contractor offers to correct 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, Treasurer's, or IDOR's policies that would frustrate the purpose of the Agreement;
- h. Contractor disregards laws and ordinances, rules, or instructions of the Treasurer or his agents, acts in violation of any provision of the Agreement, or acts in conflict of any statutory or constitutional provision of the State of Illinois or the United States;
or
- i. Contractor commits any other breach of the Agreement or commits other unlawful acts.

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, designs, code, and ideas specially produced, developed, or designed by the Contractor under the Agreement, whether preliminary or final, (collectively, "Work Product") will become and remain the property of the Treasurer, including any copyright or service marks developed by the Contractor on behalf 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 its parent bank holding company, 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 execution of the Agreement, the Contractor and its subcontractor(s), if applicable shall provide the Treasurer a summary of their disaster recovery plan, back-up plan, and testing schedule.

I. Indemnification

The Contractor will indemnify, defend, and hold Treasurer and IDOR, their officers, agents, and employees, harmless from and against any and all liabilities, demands, claims, lawsuits, losses, damages, causes of action, fines, or judgments, including costs, attorneys' and witnesses' fees and expenses incident thereto, for all injuries, including, but not limited to, injuries to person and for loss of, damage to, or destruction of property due to the Contractor's negligent acts or omissions or willful misconduct of Contractor, its employees, or its agents in connection with this RFP and subsequent Agreement.

J. Subcontractors

The Contractor may not use subcontractors to perform the Services, unless the subcontractor is approved in advance by the Treasurer. Contractor 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 as Appendix K.

K. Record Retention and Audit

Contractor and subcontractors, if any, agree to maintain books and records related to the performance of the Agreement and 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. Contractor and subcontractors further agree 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.

L. Confidentiality and Security Requirements

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. 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. 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

The Contractor represents, warrants, and covenants that it has implemented and will maintain an information security program reasonably designed to protect Confidential Information, including customer information, which program includes administrative, technical, and physical safeguards to ensure the security and confidentiality of all customer 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 such customer information.

4. Privacy Policy

Contractor will comply with any applicable federal or state laws or regulations, as well as any privacy policy developed by the Treasurer. Contractor further agrees to establish, maintain, and comply with a privacy policy with respect to the Project that meets the requirements of applicable law.

5. Program Lists

The Contractor specifically agrees that it shall not, and shall cause its subcontractors and affiliates not to, sell, provide, or otherwise disclose information from, any program list to any third party, unless otherwise directed to or approved by the Treasurer or required by applicable law.

M. 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 this Agreement nor any of the rights or obligations under the Agreement may be transferred or assigned by a financial institution without the Treasurer's prior written consent. Any attempt by Contractor or subcontractor, if applicable, to transfer or assign any rights or obligations related to the Agreement without the prior written consent of the Treasurer shall render this Agreement voidable by the Treasurer. The Treasurer may unilaterally bind any successor of the Contractor to the terms and conditions of the Agreement.

N. Reporting and Testing

Following execution of the Agreement, the Contractor must provide a complete sample of all reports generated by your internet Treasury Management System. The reports must contain data specific to the type of transactions the account will be expecting on a daily basis. The selected respondent must also provide access to the Treasury Management System for the purpose of testing the exporting of information into the following formats: PDF, BAI2, CSV, and TXT. The export must also contain data specific to the type of transactions the account will be anticipating

on a daily basis. The Treasurer must receive all reports and test data as soon as possible after selection but prior to implementation of the contract in order to perform all necessary testing in advance of execution date.

In addition to the Treasurer's requirements, the Contractor shall be required to perform testing with IDOR in accordance with the Electronic Payment Specifications 2016.

O. Compensation

The Contractor shall provide the Services pursuant to the Agreement on a fee-for- service basis to both the Treasurer and IDOR, as noted in the Proposed Cost Structure and may be compensated by State warrant on a review of the account analysis statement. During the term of the Agreement, the Contractor will submit a detailed monthly invoice to the Treasurer. Payment via EFT may be an option, as authorized by the General Assembly. As an alternative, services may be paid through compensating balances, or other investment vehicles as deemed necessary.

P. Continuation of Services

The Contractor shall guarantee performance of the Services and agree to perform all Services in an efficient and professional manner. 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.

Q. Enforceability

The Contractor shall certify that the execution and delivery by the Contractor of the Agreement and the performance by the Contractor of its obligations pursuant to the Agreement have been duly and validly authorized, with no other corporate action on the part of the Contractor or its stockholders being necessary. The Contractor shall certify that it has the full legal right, power, and authority to execute and deliver the Agreement and to perform its obligations pursuant to the Agreement, 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.

R. No Conflicts

The Contractor shall certify 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:

1. 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;

2. 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
3. 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.

S. No Pending or Threatened Litigation

The Contractor shall certify 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.

T. Most Favorable Terms

If more favorable terms are granted by the Contractor to any similar governmental agency in any state in a contemporaneous agreement under the same or similar financial terms and circumstances for comparable services, the more favorable terms will be applicable under the Agreement.

U. 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.

V. Modification of the Agreement

The Services to be provided under the Agreement shall be subject to modification and supplementation only upon the written agreement of the duly authorized representatives of the contracting parties. No modification of the terms of the Agreement shall be made that would materially change the delivery of service, unless such changes are mutually agreed by and between the Treasurer and the Contractor and shall be incorporated in written amendments to the Agreement, processed through and approved by the Treasurer.

W. State Certifications/Disclosures

The Agreement will incorporate Contractor's fully executed State Certifications and Disclosure Forms, copies of which are attached hereto as Appendix K.

Appendix A
Electronic Tax Types Adminstered by the Illinois Department of Revenue
as of January 1, 2017

Tax Types Adminstered	FTA Tax Type Code	Due Date	IVR Supported?
INDIVIDUAL INCOME TAX			
IL-1040 payment	01301	Apr 15th or subject to IRS rules	
IL-1040-ES payments	012	Jan, Apr, Jun, Sept 15th	X
IL-505-I payment	014	Apr 15th or subject to IRS rules	X
BUSINESS INCOME TAX			
IL-1120 payment	02020	Mar or Oct 15th, or the 15th of any month	X
IL-1120-ES pyt	021	Potentially 15th of any given month	X
IL-1120-ST payment	02030	Mar or Oct 15th, or the 15th of any month	X
IL-1041 payment	02041	Apr or Oct 15th, or the 15th of any month	X
IL-1065 payment	02065	Apr or Oct 15th, or the 15th of any month	X
IL-990-T payment	02090	May or Dec 15th, or the 15th of any month	X
IL-505-B payment	0231	Mar, Apr or May 15th	X
IL-516-I payment	02140	Variable	
IL-516-B payment	02116	Variable	
WITHHOLDING INCOME TAX			
IL-501 payments	0112	Variable, due semi weekly or 15th of month	X
IL-941 payments	01141	Apr 30th, July, Oct and Jan 31st	X
SALES AND USE TAXES			
ST-1/ST2 payment	0411	20th of each month	X
ST-14 (Chicago soda) payment	076	20th of each month	X
RR-3 payments	0412	7th, 15th, 22nd and last day of month	X
PST-1 payments	0421	20th of each month	X
PST-3 payment	0422	7th, 15th, 22nd and last day of month	X
ST-4 (MPEA) payment	04230	20th of each month	X
CMFT-1 (county motor fuel) payment	056	20th of each month	X
ST-44 (use) payment	045	Apr 15th annually; last day of the month	
ART-1 (auto rental) payment	04730	20th of each month	X
ST-8 Tire User Fee	12008	Apr, Jul, Oct, Dec 20th	
ST-556 (auto sale) pyt (ERT & MTL)	047	Daily	
ST-556-LSE (auto sale) payment	04756	Daily	
ST-556-LSE MyTaxIL (auto sale) pyt	04757	Daily	
RUT-25 (auto use) payment	04710	Daily	
RUT-25-LSE (auto use lease) pyt	04725	Daily	
RUT-50 (auto use) payment	04720	Daily	
LSE-1 (auto lease true up)	04791	Daily	
MC-1 (Medical Cannabis)	0420	20th of each month	
Bingo payment (fees/return)	14110	Variable; Apr, Jul, Oct, Dec 20th	
Charitable Games payment (fees/return)	14120	Variable; Apr, Jul, Oct, Dec 20th	
Pull Tab payments (fees/return)	14130	Variable; Apr, Jul, Oct, Dec 20th	
Fracking Purchaser	08401	Unknown at this time	
Fracking Operator	08402	Unknown at this time	
EXCISE TAXES			
RT-2 (Telecom) payment	15031	Last day of the month	X
RT-10 (Telecom Infrastructure) pymt	15051	30th of each month (or Feb 28/29th)	X
RPU-13 (Electricity Excise) payment	15021	15th of each month	X
RG-1 (Gas Tax) payment	15011	15th of each month	X
ICT-1 (Electricity Invested Capital) pyt	15042	Mar, Jun, Sept and Dec 15th	X
ICT-4 (Electricity Invested Capital) pyt	15041	Mar 15th annually	X
RHM-1 (Hotel/Motel) payment	074	Last day of the month	X
RC-1-A (Cigarette Order) payment	07210	Variable	
RC-1-A (Cig Order) pyt-Out of State	07220	Variable	
RHSPS (Rental Housing) payment	21102	15th of each month	
MyDec (real estate) payment	21202	10th of each month	
TP-1 (Tobacco) payment	073	15th of each month	X
RG-6 (Energy Assistance Gas) payment	15014	20th of each month	
RPU-6 (Energy Assistance Electric) pymt	15024	20th of each month	
RPU-50 (accel for gas tax) pyt	15012	7th, 15th, 22nd and last day of the month	X
RPU-50 (accel for telecom tax) pyt	15032	7th, 15th, 22nd and last day of the month	X
RPU-50 (accel for electric tax) pyt	15022	7th, 15th, 22nd and last day of the month	X

Tax Types Adminstered	FTA Tax Type Code	Due Date	IVR Supported?
RL-26 (Liquor) payment	06010	15th of each month	X
RL-26-A (Liquor Airline) payment	06020	15th of each month	X
RL-26-W (Liquor Direct Wine) pyt	06030	15th of each month	
RCOA-1 (COAD-Coin Device Order) pyt	077	Jul 31st annually; variable	
DS-1 (Dry Cleaning Solvent) payment	09001	Apr, Jul, Oct, Dec 25th	
IDR-909 (Qualified Solid Waste) pyt	12000	15th of each Month	
RC-44 (Cigarette Use Tax) payment	07244	Variable	
LA-1 (Adult Entertainment) payment	078	Annually on Jan 20th	
Cigarette/Tobacco Retailer Fee	07250	Variable; end of month peak	
RC-55 (Little Cigar)	07255	15th of each Month	
MOTOR FUEL TAXES			
Motor Fuel Tax/IFTA Clearinghouse	05820	Variable	
Single Trip Permit	05910	Last day of month; variable	
MFUT-12 (Decals)	05312	Variable	
MFUT-12-R	05313	Variable	
MFUT-15 (Return)	05315	Apr 30th, Jun, Oct and Jan 31st	
MFUT-Assessment	05319	Variable	
MFUT-Violation	05340	Variable	
MFUT-Reinstatement	05399	Variable	
RMFT-5 (Distributor)	0505	20th of each Month	
RMFT-5-US (Underground Storage)	05058	20th of each Month	
RMFT-144 (Alternative Fuel)	0520	20th or each Month	
MISCELLANEOUS			
ILCC (IL Liq Control) Payment	066	Variable	
ELECTRONIC BAL DUE PAYMENT	20099	Variable	
AMNESTY	04707	Variable	
GENTAX PAYMENT AGREEMENT	21313	Daily	
WAGE LEVY-DEBIT	200	Variable	
WAGE LEVY-CREDIT	201	Variable	
UNEMPLOYMENT INSURANCE	01166	Reserved	

Appendix B

Electronic Payment Volumes FY 2015 and 2016

FY 2015

Deposits General Ledger	Start of FY Date											
	July-14	August-14	September-14	October-14	November-14	December-14	January-15	February-15	March-15	April-15	May-15	June-15
2370410005	\$ 1,282,281,483.12	\$ 1,128,802,832.39	\$ 1,852,524,387.54	\$ 1,404,433,170.97	\$ 1,147,928,775.62	\$ 2,129,348,021.15	\$ 1,473,901,680.42	\$ 1,034,200,556.97	\$ 1,843,692,415.01	\$ 1,892,355,612.25	\$ 933,171,243.97	\$ 1,489,750,342.77
2370410010	1,140,180,154.60	1,038,448,204.34	1,188,643,922.40	1,145,063,519.71	1,034,873,761.75	1,315,377,656.47	1,055,811,962.36	934,125,044.83	1,075,096,941.42	1,132,775,407.97	1,114,407,208.27	1,235,789,219.84
2370410015	42,828,820.81	42,761,340.35	57,230,877.29	30,250,293.14	19,691,067.26	275,822,525.45	26,303,977.81	16,519,993.25	36,862,937.66	62,986,091.67	21,359,547.06	43,545,830.84
2370410020	108,247,928.77	108,052,090.66	173,675,764.64	114,074,616.33	103,247,469.95	174,170,675.29	125,948,535.52	131,012,291.19	185,263,355.72	126,454,426.72	98,906,808.12	163,642,763.64
2370410025	7,472,384.08	15,577,079.90	15,697,558.65	23,069,075.81	23,967,241.70	91,242,590.30	26,308,232.43	24,188,598.06	19,830,690.05	24,986,422.66	23,325,127.09	20,570,304.79
2370410030	80,263,496.17	77,865,000.45	68,434,344.64	76,057,672.98	67,373,037.60	69,917,459.67	51,981,464.37	65,542,529.23	71,429,020.45	69,203,820.46	72,528,227.47	97,820,576.82
2370410035	29,404,783.54	21,331,484.54	23,050,623.51	22,337,163.39	24,642,031.36	23,187,380.22	31,837,724.07	16,989,651.65	100,035,008.00	14,046,448.53	15,214,854.67	24,022,233.82
2370410040	37,720,944.99	30,258,354.18	36,193,707.90	36,516,382.45	32,913,636.57	33,192,096.97	19,244,179.28	15,991,891.35	18,609,632.72	24,765,130.24	27,268,382.14	42,770,220.67
2370410045	7,201,690.52	8,380,956.31	8,616,714.11	7,268,800.00	7,205,285.57	5,431,713.76	5,682,718.21	4,982,088.17	4,853,215.60	5,544,872.13	6,036,308.10	6,708,183.93
2370410050	-	-	-	-	-	-	-	-	-	-	-	-
2370410055	-	-	-	-	1,100.00	-	-	-	-	-	-	-
2370410060	394,655.00	338,515.00	382,850.00	372,170.00	319,195.00	315,795.00	249,805.00	344,080.00	435,780.00	396,235.00	349,230.00	404,470.00
2370410065	3,671,464.00	4,533,223.00	4,124,007.50	4,505,794.50	3,432,331.50	3,123,576.50	5,036,639.00	3,406,924.00	2,979,155.50	3,857,756.00	3,763,148.50	3,316,250.00
2370410070	134,685.00	12,375.00	930.00	1,383.00	2,499.00	1,659.00	990.00	636.00	198.00	519.00	-	28,542.00
2370410075	3,868,921.57	3,540,590.86	3,440,825.44	3,693,447.87	2,809,479.58	4,342,536.86	4,102,607.27	3,553,408.15	3,986,488.22	3,942,945.06	3,422,316.14	3,124,691.53
2370410080	10,497,708.12	9,325,891.25	9,498,489.85	9,948,248.62	8,390,907.35	14,812,134.32	10,098,488.42	9,426,856.70	10,476,847.82	11,249,412.26	9,479,622.95	13,389,057.28
2370410085	-	-	-	-	-	-	-	-	-	-	-	-
2370410090	-	-	-	5,000.00	6,000.00	16,000.00	330,005.00	20,813.54	1,000.00	1,000.00	2,000.00	-
2370410095	99,075.00	79,255.00	132,580.00	159,995.00	166,165.00	188,735.00	200,005.00	263,950.00	287,955.00	338,970.00	319,990.00	258,550.00
Total Deposits by Month	\$ 2,754,268,195.29	\$ 2,489,307,193.23	\$ 3,441,647,583.47	\$ 2,877,756,733.77	\$ 2,476,969,984.81	\$ 4,140,490,555.96	\$ 2,837,039,014.16	\$ 2,260,569,313.09	\$ 3,373,840,641.17	\$ 3,372,905,069.95	\$ 2,329,554,014.48	\$ 3,145,141,237.93

Fiscal Year Total \$ 35,499,489,537.31

FY 2016

Deposits General Ledger	Start of FY Date											
	July-15	August-15	September-15	October-15	November-15	December-15	January-16	February-16	March-16	April-16	May-16	June-16
2370410005	\$ 1,060,482,645.72	\$ 910,402,929.52	\$ 1,661,627,574.96	\$ 1,058,218,974.10	\$ 1,029,487,728.42	\$ 1,738,452,740.22	\$ 1,295,085,178.89	\$ 998,439,347.65	\$ 1,810,311,378.44	\$ 1,618,201,668.39	\$ 944,094,715.01	\$ 1,492,419,318.71
2370410010	1,147,888,936.83	1,160,790,810.42	1,174,665,194.97	1,078,954,737.13	1,215,589,872.65	1,228,370,870.17	1,098,242,348.14	1,022,993,839.48	1,105,775,043.99	1,087,917,357.12	1,229,172,458.02	1,234,361,053.60
2370410015	17,103,702.87	12,002,281.16	39,748,419.10	20,799,850.28	31,192,502.53	110,774,246.64	15,737,271.39	27,773,895.91	20,392,403.56	32,556,973.60	25,070,890.30	40,634,939.84
2370410020	98,308,091.06	109,292,953.81	156,514,013.03	106,039,726.09	106,722,927.59	166,856,639.38	113,010,566.15	139,367,192.41	155,763,602.42	98,315,266.83	105,051,836.49	144,640,861.41
2370410025	75,292,240.16	86,151,589.33	80,117,922.52	94,410,941.99	96,409,353.03	90,175,364.16	109,329,214.09	108,125,090.30	96,943,772.89	114,371,801.07	112,043,434.58	110,370,472.88
2370410030	70,329,785.67	68,598,796.58	70,601,447.52	76,641,265.65	57,735,119.84	68,929,027.87	67,551,216.41	51,401,703.07	98,580,551.92	71,111,335.77	71,492,746.56	48,869,206.15
2370410035	29,142,344.79	22,758,432.11	22,202,089.33	24,505,156.77	24,185,175.10	22,800,220.43	33,838,171.69	15,771,197.47	19,637,585.15	24,217,758.50	21,002,967.84	25,760,177.69
2370410040	40,379,557.85	40,094,722.19	34,958,874.14	36,151,123.67	42,487,392.37	29,108,369.99	18,820,437.34	17,985,321.70	17,288,142.53	22,235,532.14	34,086,674.35	38,501,275.74
2370410045	7,477,154.27	8,809,774.74	8,740,084.07	7,229,738.49	7,180,254.90	5,767,713.23	5,771,840.77	4,962,367.62	5,072,677.04	5,781,660.13	5,928,356.29	6,970,461.62
2370410050	-	-	-	-	-	-	-	-	-	-	-	-
2370410055	-	-	-	-	-	-	-	-	-	-	-	-
2370410060	868,270.00	903,845.00	1,014,975.00	936,865.00	841,790.00	799,680.00	632,270.00	1,012,095.00	1,170,895.00	924,155.00	896,030.00	1,022,870.00
2370410065	5,742,588.50	5,642,216.50	5,367,789.50	4,424,874.00	5,634,683.50	3,986,888.00	4,510,282.50	3,876,985.00	5,147,035.00	4,515,137.80	6,663,840.70	3,502,080.25
2370410070	155,010.00	24,516.00	907.96	930.00	1,188.00	1,110.00	456.00	3,873.00	1,104.00	1,419.00	210.00	41,058.00
2370410075	4,165,940.60	3,539,499.72	3,974,425.91	3,907,634.88	3,265,824.82	4,498,897.38	3,838,545.35	3,689,712.38	4,096,605.24	3,523,375.46	3,372,512.11	3,746,208.37
2370410080	16,375,492.36	14,391,966.93	21,042,049.87	13,617,903.11	14,717,940.85	15,045,169.24	15,055,553.61	15,443,464.80	16,765,825.23	15,805,412.06	15,623,117.11	15,888,227.57
2370410085	-	-	-	-	-	-	-	-	-	-	-	-
2370410090	3,883.59	10,479.00	-	5,711.37	-	-	359,331.34	35,308.44	-	28,080.52	2,000.00	2,000.00
2370410095	264,090.00	219,695.00	229,380.00	239,535.00	234,325.00	288,180.00	245,285.00	362,960.00	408,685.00	436,585.00	441,370.00	391,100.00
Total Deposits by Month	\$ 2,573,979,734.27	\$ 2,443,634,508.01	\$ 3,280,805,147.88	\$ 2,526,084,967.53	\$ 2,635,686,078.60	\$ 3,485,855,116.72	\$ 2,782,027,968.67	\$ 2,411,244,354.23	\$ 3,357,355,307.41	\$ 3,099,943,518.39	\$ 2,574,943,159.36	\$ 3,167,121,711.83

Fiscal Year Total \$ 34,338,681,572.90

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.

Appendix C

Daily Wire Transfer Volumes FY 2015 and 2016

Execution Date	Amount	Execution Date	Amount	Execution Date	Amount
07/01/2014	\$35,075,000.00	09/02/2014	\$144,400,000.00	10/31/2014	\$147,475,000.00
07/02/2014	\$105,775,000.00	09/03/2014	\$62,950,000.00	11/03/2014	\$46,925,000.00
07/03/2014	\$130,650,000.00	09/04/2014	\$140,075,000.00	11/04/2014	\$39,575,000.00
07/07/2014	\$197,550,000.00	09/05/2014	\$173,900,000.00	11/05/2014	\$150,625,000.00
07/08/2014	\$93,890,000.00	09/08/2014	\$172,075,000.00	11/06/2014	\$135,300,000.00
07/09/2014	\$99,015,000.00	09/09/2014	\$42,550,000.00	11/07/2014	\$174,675,000.00
07/10/2014	\$91,775,000.00	09/10/2014	\$165,900,000.00	11/10/2014	\$51,425,000.00
07/11/2014	\$53,700,000.00	09/11/2014	\$125,750,000.00	11/12/2014	\$59,925,000.00
07/14/2014	\$62,100,000.00	09/12/2014	\$198,550,000.00	11/13/2014	\$95,200,000.00
07/15/2014	\$243,825,000.00	09/15/2014	\$591,450,000.00	11/14/2014	\$167,875,000.00
07/16/2014	\$127,575,000.00	09/16/2014	\$126,550,000.00	11/17/2014	\$223,800,000.00
07/17/2014	\$119,425,000.00	09/17/2014	\$167,400,000.00	11/18/2014	\$78,500,000.00
07/18/2014	\$173,200,000.00	09/18/2014	\$114,000,000.00	11/19/2014	\$218,800,000.00
07/21/2014	\$332,950,000.00	09/19/2014	\$195,200,000.00	11/20/2014	\$395,875,000.00
07/22/2014	\$173,000,000.00	09/22/2014	\$402,200,000.00	11/21/2014	\$102,050,000.00
07/23/2014	\$147,750,000.00	09/23/2014	\$71,700,000.00	11/24/2014	\$190,500,000.00
07/24/2014	\$77,250,000.00	09/24/2014	\$132,050,000.00	11/25/2014	\$38,000,000.00
07/25/2014	\$44,225,000.00	09/25/2014	\$72,100,000.00	11/26/2014	\$139,425,000.00
07/28/2014	\$50,045,000.00	09/26/2014	\$21,850,000.00	11/28/2014	\$145,925,000.00
07/29/2014	\$36,725,000.00	09/29/2014	\$109,325,000.00	12/01/2014	\$125,450,000.00
07/30/2014	\$117,675,000.00	09/30/2014	\$75,000,000.00	12/02/2014	\$24,925,000.00
07/31/2014	\$191,825,000.00	10/01/2014	\$172,075,000.00	12/03/2014	\$154,875,000.00
08/01/2014	\$43,500,000.00	10/02/2014	\$96,400,000.00	12/04/2014	\$146,300,000.00
08/04/2014	\$51,350,000.00	10/03/2014	\$93,825,000.00	12/05/2014	\$82,340,000.00
08/05/2014	\$35,000,000.00	10/06/2014	\$112,150,000.00	12/08/2014	\$267,750,000.00
08/06/2014	\$165,450,000.00	10/07/2014	\$138,625,000.00	12/09/2014	\$43,475,000.00
08/07/2014	\$249,345,000.00	10/08/2014	\$113,925,000.00	12/10/2014	\$75,975,000.00
08/08/2014	\$49,000,000.00	10/09/2014	\$82,400,000.00	12/11/2014	\$160,050,000.00
08/11/2014	\$39,145,000.00	10/10/2014	\$61,200,000.00	12/12/2014	\$199,825,000.00
08/12/2014	\$43,820,000.00	10/14/2014	\$79,500,000.00	12/15/2014	\$524,225,000.00
08/13/2014	\$88,490,000.00	10/15/2014	\$314,815,000.00	12/16/2014	\$110,450,000.00
08/14/2014	\$108,620,000.00	10/16/2014	\$149,885,000.00	12/17/2014	\$160,925,000.00
08/15/2014	\$234,325,000.00	10/17/2014	\$177,150,000.00	12/18/2014	\$140,100,000.00
08/18/2014	\$96,500,000.00	10/20/2014	\$328,150,000.00	12/19/2014	\$214,425,000.00
08/19/2014	\$93,725,000.00	10/21/2014	\$99,400,000.00	12/22/2014	\$466,975,000.00
08/20/2014	\$394,950,000.00	10/22/2014	\$286,000,000.00	12/23/2014	\$80,575,000.00
08/21/2014	\$188,075,000.00	10/23/2014	\$124,325,000.00	12/24/2014	\$189,500,000.00
08/22/2014	\$194,875,000.00	10/24/2014	\$43,625,000.00	12/26/2014	\$137,020,000.00
08/26/2014	\$67,025,000.00	10/27/2014	\$35,450,000.00	12/29/2014	\$74,335,000.00
08/27/2014	\$94,025,000.00	10/28/2014	\$38,345,000.00	12/30/2014	\$101,840,000.00
08/28/2014	\$96,150,000.00	10/29/2014	\$111,100,000.00	12/31/2014	\$325,000,000.00
08/29/2014	\$99,575,000.00	10/30/2014	\$110,200,000.00	01/02/2015	\$220,990,000.00
01/05/2015	\$79,950,000.00	03/06/2015	\$65,025,000.00	05/05/2015	\$42,400,000.00
01/06/2015	\$103,375,000.00	03/09/2015	\$152,450,000.00	05/06/2015	\$128,300,000.00

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Daily Wire Transfer Volumes FY 2015 and 2016

Execution Date	Amount	Execution Date	Amount	Execution Date	Amount
01/07/2015	\$258,600,000.00	03/10/2015	\$42,375,000.00	05/07/2015	\$238,300,000.00
01/08/2015	\$155,375,000.00	03/11/2015	\$169,400,000.00	05/08/2015	\$52,900,000.00
01/09/2015	\$42,100,000.00	03/12/2015	\$138,300,000.00	05/11/2015	\$35,275,000.00
01/12/2015	\$54,625,000.00	03/13/2015	\$222,825,000.00	05/12/2015	\$34,050,000.00
01/13/2015	\$42,950,000.00	03/16/2015	\$440,050,000.00	05/13/2015	\$105,250,000.00
01/14/2015	\$124,550,000.00	03/17/2015	\$155,250,000.00	05/14/2015	\$111,975,000.00
01/15/2015	\$340,900,000.00	03/18/2015	\$213,825,000.00	05/15/2015	\$218,700,000.00
01/16/2015	\$151,500,000.00	03/19/2015	\$217,100,000.00	05/18/2015	\$74,400,000.00
01/20/2015	\$339,425,000.00	03/20/2015	\$268,350,000.00	05/19/2015	\$113,450,000.00
01/21/2015	\$126,600,000.00	03/23/2015	\$167,350,000.00	05/20/2015	\$358,000,000.00
01/22/2015	\$308,825,000.00	03/24/2015	\$71,150,000.00	05/21/2015	\$232,725,000.00
01/23/2015	\$116,750,000.00	03/25/2015	\$78,475,000.00	05/22/2015	\$114,365,000.00
01/26/2015	\$29,825,000.00	03/26/2015	\$79,175,000.00	05/26/2015	\$44,600,000.00
01/27/2015	\$24,200,000.00	03/27/2015	\$92,850,000.00	05/27/2015	\$49,750,000.00
01/28/2015	\$84,175,000.00	03/30/2015	\$78,600,000.00	05/28/2015	\$72,075,000.00
01/29/2015	\$86,275,000.00	03/31/2015	\$119,375,000.00	05/29/2015	\$127,525,000.00
01/30/2015	\$80,975,000.00	04/01/2015	\$91,600,000.00	06/01/2015	\$119,040,000.00
02/02/2015	\$119,925,000.00	04/02/2015	\$90,225,000.00	06/02/2015	\$34,250,000.00
02/03/2015	\$28,075,000.00	04/03/2015	\$86,200,000.00	06/03/2015	\$133,275,000.00
02/04/2015	\$130,775,000.00	04/06/2015	\$97,675,000.00	06/04/2015	\$109,700,000.00
02/05/2015	\$122,825,000.00	04/07/2015	\$128,125,000.00	06/05/2015	\$81,025,000.00
02/06/2015	\$55,200,000.00	04/08/2015	\$124,350,000.00	06/08/2015	\$173,825,000.00
02/09/2015	\$144,265,000.00	04/09/2015	\$80,350,000.00	06/09/2015	\$40,525,000.00
02/10/2015	\$28,950,000.00	04/10/2015	\$79,300,000.00	06/10/2015	\$143,175,000.00
02/11/2015	\$77,850,000.00	04/13/2015	\$113,575,000.00	06/11/2015	\$95,725,000.00
02/12/2015	\$82,265,000.00	04/14/2015	\$177,900,000.00	06/12/2015	\$214,400,000.00
02/13/2015	\$86,650,000.00	04/15/2015	\$611,350,000.00	06/15/2015	\$506,125,000.00
02/17/2015	\$174,675,000.00	04/16/2015	\$244,865,000.00	06/16/2015	\$101,175,000.00
02/18/2015	\$119,200,000.00	04/17/2015	\$189,275,000.00	06/17/2015	\$122,780,000.00
02/19/2015	\$176,175,000.00	04/20/2015	\$318,575,000.00	06/18/2015	\$100,380,000.00
02/20/2015	\$375,000,000.00	04/21/2015	\$73,725,000.00	06/19/2015	\$202,080,000.00
02/23/2015	\$165,155,000.00	04/22/2015	\$275,600,000.00	06/22/2015	\$213,185,000.00
02/24/2015	\$68,475,000.00	04/23/2015	\$104,400,000.00	06/23/2015	\$252,125,000.00
02/25/2015	\$88,275,000.00	04/24/2015	\$37,350,000.00	06/24/2015	\$125,950,000.00
02/26/2015	\$84,725,000.00	04/27/2015	\$43,650,000.00	06/25/2015	\$66,675,000.00
02/27/2015	\$112,350,000.00	04/28/2015	\$37,650,000.00	06/26/2015	\$56,775,000.00
03/02/2015	\$119,425,000.00	04/29/2015	\$96,450,000.00	06/29/2015	\$51,875,000.00
03/03/2015	\$116,275,000.00	04/30/2015	\$188,250,000.00	06/30/2015	\$153,400,000.00
03/04/2015	\$76,175,000.00	05/01/2015	\$39,550,000.00		
03/05/2015	\$157,800,000.00	05/04/2015	\$38,800,000.00		

07/01/2015	\$86,875,000.00	08/28/2015	\$58,650,000.00	10/29/2015	\$77,375,000.00
07/02/2015	\$91,150,000.00	08/31/2015	\$138,850,000.00	10/30/2015	\$90,065,000.00
07/03/2015	\$48,425,000.00	09/01/2015	\$34,575,000.00	11/02/2015	\$113,175,000.00
07/06/2015	\$116,575,000.00	09/02/2015	\$165,050,000.00	11/03/2015	\$32,850,000.00
07/07/2015	\$104,975,000.00	09/03/2015	\$9,400,000.00	11/04/2015	\$123,900,000.00

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Daily Wire Transfer Volumes FY 2015 and 2016

Execution Date	Amount	Execution Date	Amount	Execution Date	Amount
07/08/2015	\$101,150,000.00	09/04/2015	\$106,650,000.00	11/05/2015	\$117,875,000.00
07/09/2015	\$65,585,000.00	09/08/2015	\$202,050,000.00	11/06/2015	\$59,950,000.00
07/10/2015	\$45,540,000.00	09/09/2015	\$67,075,000.00	11/09/2015	\$154,350,000.00
07/13/2015	\$45,740,000.00	09/10/2015	\$133,425,000.00	11/10/2015	\$36,850,000.00
07/14/2015	\$70,925,000.00	09/11/2015	\$149,300,000.00	11/12/2015	\$91,250,000.00
07/15/2015	\$270,400,000.00	09/14/2015	\$168,350,000.00	11/13/2015	\$245,325,000.00
07/16/2015	\$116,500,000.00	09/15/2015	\$532,675,000.00	11/16/2015	\$210,500,000.00
07/17/2015	\$125,950,000.00	09/16/2015	\$141,175,000.00	11/18/2015	\$128,075,000.00
07/20/2015	\$328,700,000.00	09/17/2015	\$120,375,000.00	11/19/2015	\$182,950,000.00
07/21/2015	\$117,500,000.00	09/18/2015	\$112,250,000.00	11/20/2015	\$346,175,000.00
07/22/2015	\$287,650,000.00	09/21/2015	\$416,325,000.00	11/23/2015	\$215,175,000.00
07/23/2015	\$101,520,000.00	09/22/2015	\$200,200,000.00	11/24/2015	\$94,350,000.00
07/24/2015	\$39,275,000.00	09/23/2015	\$160,250,000.00	11/25/2015	\$111,525,000.00
07/27/2015	\$39,375,000.00	09/24/2015	\$68,825,000.00	11/27/2015	\$104,500,000.00
07/28/2015	\$29,275,000.00	09/25/2015	\$50,300,000.00	11/30/2015	\$149,075,000.00
07/29/2015	\$88,825,000.00	09/28/2015	\$43,500,000.00	12/01/2015	\$18,025,000.00
07/30/2015	\$101,700,000.00	09/29/2015	\$37,375,000.00	12/02/2015	\$92,800,000.00
07/31/2015	\$125,440,000.00	09/30/2015	\$195,475,000.00	12/03/2015	\$79,200,000.00
08/03/2015	\$45,525,000.00	10/01/2015	\$79,650,000.00	12/04/2015	\$102,825,000.00
08/04/2015	\$42,375,000.00	10/02/2015	\$36,225,000.00	12/07/2015	\$234,625,000.00
08/05/2015	\$122,500,000.00	10/05/2015	\$54,325,000.00	12/08/2015	\$42,525,000.00
08/06/2015	\$133,800,000.00	10/06/2015	\$32,775,000.00	12/09/2015	\$106,250,000.00
08/07/2015	\$154,050,000.00	10/07/2015	\$242,425,000.00	12/10/2015	\$115,750,000.00
08/10/2015	\$43,390,000.00	10/08/2015	\$123,350,000.00	12/11/2015	\$145,015,000.00
08/11/2015	\$27,555,000.00	10/09/2015	\$39,665,000.00	12/14/2015	\$118,075,000.00
08/12/2015	\$79,040,000.00	10/13/2015	\$49,825,000.00	12/15/2015	\$395,575,000.00
08/13/2015	\$86,105,000.00	10/14/2015	\$94,050,000.00	12/16/2015	\$188,400,000.00
08/14/2015	\$98,820,000.00	10/15/2015	\$322,400,000.00	12/17/2015	\$126,000,000.00
08/17/2015	\$203,055,000.00	10/16/2015	\$140,725,000.00	12/18/2015	\$209,005,000.00
08/18/2015	\$74,125,000.00	10/19/2015	\$123,775,000.00	12/21/2015	\$328,800,000.00
08/19/2015	\$202,550,000.00	10/20/2015	\$302,375,000.00	12/22/2015	\$221,075,000.00
08/20/2015	\$395,200,000.00	10/21/2015	\$221,500,000.00	12/23/2015	\$194,200,000.00
08/21/2015	\$126,700,000.00	10/22/2015	\$268,800,000.00	12/24/2015	\$100,815,000.00
08/24/2015	\$198,775,000.00	10/23/2015	\$34,575,000.00	12/28/2015	\$65,890,000.00
08/25/2015	\$30,425,000.00	10/26/2015	\$34,275,000.00	12/29/2015	\$39,755,000.00
08/26/2015	\$84,125,000.00	10/27/2015	\$28,200,000.00	12/30/2015	\$225,875,000.00
08/27/2015	\$80,750,000.00	10/28/2015	\$98,125,000.00	12/31/2015	\$220,000,000.00
01/04/2016	\$82,225,000.00	03/04/2016	\$123,125,000.00	05/03/2016	\$37,325,000.00
01/05/2016	\$130,425,000.00	03/07/2016	\$216,150,000.00	05/04/2016	\$116,000,000.00
01/06/2016	\$196,700,000.00	03/08/2016	\$37,825,000.00	05/05/2016	\$123,815,000.00
01/07/2016	\$228,650,000.00	03/09/2016	\$120,200,000.00	05/06/2016	\$53,000,000.00
01/08/2016	\$51,550,000.00	03/10/2016	\$113,300,000.00	05/09/2016	\$146,700,000.00
01/11/2016	\$38,050,000.00	03/11/2016	\$85,775,000.00	05/10/2016	\$35,225,000.00
01/12/2016	\$42,075,000.00	03/14/2016	\$172,900,000.00	05/11/2016	\$91,775,000.00
01/13/2016	\$92,125,000.00	03/15/2016	\$375,575,000.00	05/12/2016	\$79,500,000.00

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Daily Wire Transfer Volumes FY 2015 and 2016

Execution Date	Amount	Execution Date	Amount	Execution Date	Amount
01/14/2016	\$116,450,000.00	03/16/2016	\$262,650,000.00	05/13/2016	\$93,500,000.00
01/15/2016	\$333,225,000.00	03/17/2016	\$164,600,000.00	05/16/2016	\$202,575,000.00
01/19/2016	\$98,175,000.00	03/18/2016	\$210,850,000.00	05/17/2016	\$67,400,000.00
01/20/2016	\$391,775,000.00	03/21/2016	\$362,375,000.00	05/18/2016	\$144,825,000.00
01/21/2016	\$284,375,000.00	03/22/2016	\$191,875,000.00	05/19/2016	\$194,600,000.00
01/22/2016	\$271,875,000.00	03/23/2016	\$162,200,000.00	05/20/2016	\$361,100,000.00
01/25/2016	\$41,775,000.00	03/24/2016	\$78,175,000.00	05/23/2016	\$205,600,000.00
01/26/2016	\$20,800,000.00	03/25/2016	\$35,875,000.00	05/24/2016	\$84,100,000.00
01/27/2016	\$84,225,000.00	03/28/2016	\$48,200,000.00	05/25/2016	\$86,305,000.00
01/28/2016	\$80,450,000.00	03/29/2016	\$33,850,000.00	05/26/2016	\$74,725,000.00
01/29/2016	\$74,215,000.00	03/30/2016	\$101,800,000.00	05/27/2016	\$73,400,000.00
02/01/2016	\$120,250,000.00	03/31/2016	\$181,600,000.00	05/31/2016	\$147,125,000.00
02/02/2016	\$34,175,000.00	04/01/2016	\$34,400,000.00	06/01/2016	\$41,925,000.00
02/03/2016	\$132,400,000.00	04/04/2016	\$38,700,000.00	06/02/2016	\$75,075,000.00
02/04/2016	\$118,500,000.00	04/05/2016	\$46,375,000.00	06/03/2016	\$135,875,000.00
02/05/2016	\$41,350,000.00	04/06/2016	\$144,825,000.00	06/06/2016	\$93,075,000.00
02/08/2016	\$135,750,000.00	04/07/2016	\$236,425,000.00	06/07/2016	\$161,680,000.00
02/09/2016	\$29,550,000.00	04/08/2016	\$62,150,000.00	06/08/2016	\$108,200,000.00
02/10/2016	\$87,000,000.00	04/11/2016	\$44,650,000.00	06/09/2016	\$69,825,000.00
02/11/2016	\$86,700,000.00	04/12/2016	\$81,025,000.00	06/10/2016	\$105,525,000.00
02/12/2016	\$68,370,000.00	04/13/2016	\$143,250,000.00	06/13/2016	\$91,575,000.00
02/16/2016	\$171,350,000.00	04/14/2016	\$165,825,000.00	06/14/2016	\$132,925,000.00
02/17/2016	\$70,700,000.00	04/15/2016	\$397,750,000.00	06/15/2016	\$475,375,000.00
02/18/2016	\$171,575,000.00	04/18/2016	\$216,200,000.00	06/16/2016	\$177,550,000.00
02/19/2016	\$263,200,000.00	04/19/2016	\$214,950,000.00	06/17/2016	\$169,200,000.00
02/22/2016	\$339,750,000.00	04/20/2016	\$498,150,000.00	06/20/2016	\$369,660,000.00
02/23/2016	\$89,825,000.00	04/21/2016	\$214,300,000.00	06/21/2016	\$124,350,000.00
02/24/2016	\$160,360,000.00	04/22/2016	\$203,275,000.00	06/22/2016	\$287,575,000.00
02/25/2016	\$73,325,000.00	04/25/2016	\$36,350,000.00	06/23/2016	\$101,025,000.00
02/26/2016	\$55,275,000.00	04/26/2016	\$20,885,000.00	06/24/2016	\$43,050,000.00
02/29/2016	\$125,050,000.00	04/27/2016	\$89,470,000.00	06/27/2016	\$42,075,000.00
03/01/2016	\$40,525,000.00	04/28/2016	\$79,375,000.00	06/28/2016	\$28,525,000.00
03/02/2016	\$106,800,000.00	04/29/2016	\$79,325,000.00	06/29/2016	\$92,150,000.00
03/03/2016	\$97,250,000.00	05/02/2016	\$123,075,000.00	06/30/2016	\$189,175,000.00

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.

Appendix D

Daily Sweep Repurchase Agreement Investments FY 2015 and 2016

Purchase Date	Investment	Maturity Date		Purchase Date	Investment	Maturity Date
07/01/2014	\$494,454.48	07/02/2014		09/02/2014	\$498,814.17	09/03/2014
07/02/2014	\$492,495.45	07/03/2014		09/03/2014	\$514,580.99	09/04/2014
07/03/2014	\$486,527.25	07/07/2014		09/04/2014	\$505,478.07	09/05/2014
07/07/2014	\$560,541.63	07/08/2014		09/05/2014	\$490,579.16	09/08/2014
07/08/2014	\$503,851.65	07/09/2014		09/08/2014	\$788,202.14	09/09/2014
07/09/2014	\$505,368.22	07/10/2014		09/09/2014	\$498,095.30	09/10/2014
07/10/2014	\$509,920.98	07/11/2014		09/10/2014	\$513,801.53	09/11/2014
07/11/2014	\$498,561.20	07/14/2014		09/11/2014	\$2,708,340.70	09/12/2014
07/14/2014	\$563,609.94	07/15/2014		09/12/2014	\$1,221,145.02	09/15/2014
07/15/2014	\$714,191.73	07/16/2014		09/15/2014	\$847,020.06	09/16/2014
07/16/2014	\$493,866.38	07/17/2014		09/16/2014	\$515,427.54	09/17/2014
07/17/2014	\$502,045.98	07/18/2014		09/17/2014	\$498,514.97	09/18/2014
07/18/2014	\$880,818.35	07/21/2014		09/18/2014	\$524,932.00	09/19/2014
07/21/2014	\$526,572.51	07/22/2014		09/19/2014	\$551,829.81	09/22/2014
07/22/2014	\$496,323.86	07/23/2014		09/22/2014	\$540,286.63	09/23/2014
07/23/2014	\$492,861.80	07/24/2014		09/23/2014	\$500,292.61	09/24/2014
07/24/2014	\$492,634.10	07/25/2014		09/24/2014	\$513,082.32	09/25/2014
07/25/2014	\$507,472.57	07/28/2014		09/25/2014	\$510,852.35	09/26/2014
07/28/2014	\$502,564.36	07/29/2014		09/26/2014	\$501,559.93	09/29/2014
07/29/2014	\$497,032.80	07/30/2014		09/29/2014	\$501,856.15	09/30/2014
07/30/2014	\$485,102.68	07/31/2014		09/30/2014	\$75,968,228.96	10/01/2014
07/31/2014	\$509,763.06	08/01/2014		10/01/2014	\$508,642.19	10/02/2014
08/01/2014	\$874,841.57	08/04/2014		10/02/2014	\$515,712.85	10/03/2014
08/04/2014	\$487,657.89	08/05/2014		10/03/2014	\$502,085.11	10/06/2014
08/05/2014	\$479,551.34	08/06/2014		10/06/2014	\$497,501.55	10/07/2014
08/06/2014	\$509,789.93	08/07/2014		10/07/2014	\$1,815,721.38	10/08/2014
08/07/2014	\$512,882.82	08/08/2014		10/08/2014	\$506,228.53	10/09/2014
08/08/2014	\$505,567.28	08/11/2014		10/09/2014	\$509,393.44	10/10/2014
08/11/2014	\$500,833.32	08/12/2014		10/10/2014	\$490,568.01	10/14/2014
08/12/2014	\$504,997.51	08/13/2014		10/14/2014	\$502,219.18	10/15/2014
08/13/2014	\$502,763.22	08/14/2014		10/15/2014	\$822,514.14	10/16/2014
08/14/2014	\$522,157.21	08/15/2014		10/16/2014	\$502,330.98	10/17/2014
08/15/2014	\$512,501.64	08/18/2014		10/17/2014	\$519,338.15	10/20/2014
08/18/2014	\$486,928.63	08/19/2014		10/20/2014	\$743,433.02	10/21/2014
08/19/2014	\$524,330.46	08/20/2014		10/21/2014	\$497,168.63	10/22/2014
08/20/2014	\$513,549.33	08/21/2014		10/22/2014	\$506,473.86	10/23/2014
08/21/2014	\$490,690.22	08/22/2014		10/23/2014	\$499,013.48	10/24/2014
08/22/2014	\$522,587.45	08/25/2014		10/24/2014	\$618,257.93	10/27/2014
08/25/2014	\$38,243,998.15	08/26/2014		10/27/2014	\$485,825.97	10/28/2014
08/26/2014	\$500,923.82	08/27/2014		10/28/2014	\$503,344.79	10/29/2014
08/27/2014	\$510,283.79	08/28/2014		10/29/2014	\$484,024.98	10/30/2014
08/28/2014	\$503,128.08	08/29/2014		10/30/2014	\$489,501.72	10/31/2014
08/29/2014	\$511,766.41	09/02/2014		10/31/2014	\$490,861.20	11/03/2014
11/03/2014	\$487,420.58	11/04/2014		01/07/2015	\$827,672.36	01/08/2015

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Daily Sweep Repurchase Agreement Investments FY 2015 and 2016

Purchase Date	Investment	Maturity Date		Purchase Date	Investment	Maturity Date
11/04/2014	\$502,058.67	11/05/2014		01/08/2015	\$509,631.91	01/09/2015
11/05/2014	\$500,127.96	11/06/2014		01/09/2015	\$491,995.56	01/12/2015
11/06/2014	\$496,171.49	11/07/2014		01/12/2015	\$1,034,857.31	01/13/2015
11/07/2014	\$545,149.49	11/10/2014		01/13/2015	\$579,991.17	01/14/2015
11/10/2014	\$508,455.63	11/12/2014		01/14/2015	\$4,467,905.75	01/15/2015
11/12/2014	\$457,775.56	11/13/2014		01/15/2015	\$625,807.69	01/16/2015
11/13/2014	\$511,086.07	11/14/2014		01/16/2015	\$498,219.05	01/20/2015
11/14/2014	\$521,267.43	11/17/2014		01/20/2015	\$7,773,768.18	01/21/2015
11/17/2014	\$505,249.02	11/18/2014		01/21/2015	\$660,051.75	01/22/2015
11/18/2014	\$621,265.32	11/19/2014		01/22/2015	\$498,603.40	01/23/2015
11/19/2014	\$479,730.10	11/20/2014		01/23/2015	\$482,967.35	01/26/2015
11/20/2014	\$590,772.09	11/21/2014		01/26/2015	\$510,953.09	01/27/2015
11/21/2014	\$490,879.51	11/24/2014		01/27/2015	\$486,312.11	01/28/2015
11/24/2014	\$506,174.87	11/25/2014		01/28/2015	\$503,159.60	01/29/2015
11/25/2014	\$501,369.01	11/26/2014		01/29/2015	\$486,475.34	01/30/2015
11/26/2014	\$505,351.36	11/28/2014		01/30/2015	\$491,488.55	02/02/2015
11/28/2014	\$487,766.47	12/01/2014		02/02/2015	\$510,248.33	02/03/2015
12/01/2014	\$518,447.35	12/02/2014		02/03/2015	\$497,918.94	02/04/2015
12/02/2014	\$600,475.54	12/03/2014		02/04/2015	\$491,541.03	02/05/2015
12/03/2014	\$507,289.22	12/04/2014		02/05/2015	\$487,358.77	02/06/2015
12/04/2014	\$990,543.74	12/05/2014		02/06/2015	\$517,836.19	02/09/2015
12/05/2014	\$597,437.13	12/08/2014		02/09/2015	\$504,146.55	02/10/2015
12/08/2014	\$754,644.38	12/09/2014		02/10/2015	\$544,778.49	02/11/2015
12/09/2014	\$495,456.40	12/10/2014		02/11/2015	\$496,020.94	02/12/2015
12/10/2014	\$509,927.48	12/11/2014		02/12/2015	\$501,111.19	02/13/2015
12/11/2014	\$508,230.28	12/12/2014		02/13/2015	\$535,380.76	02/17/2015
12/12/2014	\$503,911.22	12/15/2014		02/17/2015	\$820,502.22	02/18/2015
12/15/2014	\$555,470.54	12/16/2014		02/18/2015	\$495,304.90	02/19/2015
12/16/2014	\$499,237.55	12/17/2014		02/19/2015	\$505,979.30	02/20/2015
12/17/2014	\$510,727.56	12/18/2014		02/20/2015	\$513,193.98	02/23/2015
12/18/2014	\$499,578.34	12/19/2014		02/23/2015	\$499,193.45	02/24/2015
12/19/2014	\$630,112.85	12/22/2014		02/24/2015	\$507,453.30	02/25/2015
12/22/2014	\$936,191.08	12/23/2014		02/25/2015	\$503,504.58	02/26/2015
12/23/2014	\$951,888.41	12/24/2014		02/26/2015	\$503,214.84	02/27/2015
12/24/2014	\$504,358.88	12/26/2014		02/27/2015	\$496,549.88	03/02/2015
12/26/2014	\$504,837.94	12/29/2014		03/02/2015	\$517,643.03	03/03/2015
12/29/2014	\$1,002,893.98	12/30/2014		03/03/2015	\$493,948.39	03/04/2015
12/30/2014	\$503,121.77	12/31/2014		03/04/2015	\$487,941.40	03/05/2015
12/31/2014	\$58,365,816.63	01/02/2015		03/05/2015	\$510,759.84	03/06/2015
01/02/2015	\$563,227.40	01/05/2015		03/06/2015	\$501,513.12	03/09/2015
01/05/2015	\$556,925.17	01/06/2015		03/09/2015	\$496,495.12	03/10/2015
01/06/2015	\$515,398.76	01/07/2015		03/10/2015	\$498,577.27	03/11/2015
03/11/2015	\$502,996.77	03/12/2015		05/05/2015	\$519,026.06	05/06/2015
03/12/2015	\$2,203,881.21	03/13/2015		05/06/2015	\$488,007.03	05/07/2015
03/13/2015	\$587,520.25	03/16/2015		05/07/2015	\$501,974.82	05/08/2015

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Purchase Date	Investment	Maturity Date		Purchase Date	Investment	Maturity Date
03/16/2015	\$578,395.54	03/17/2015		05/08/2015	\$499,531.25	05/11/2015
03/17/2015	\$531,883.85	03/18/2015		05/11/2015	\$488,531.56	05/12/2015
03/18/2015	\$569,828.30	03/19/2015		05/12/2015	\$514,654.37	05/13/2015
03/19/2015	\$529,657.89	03/20/2015		05/13/2015	\$506,834.96	05/14/2015
03/20/2015	\$770,150.02	03/23/2015		05/14/2015	\$495,465.83	05/15/2015
03/23/2015	\$496,097.72	03/24/2015		05/15/2015	\$588,896.87	05/18/2015
03/24/2015	\$499,417.97	03/25/2015		05/18/2015	\$515,282.94	05/19/2015
03/25/2015	\$489,827.07	03/26/2015		05/19/2015	\$544,832.63	05/20/2015
03/26/2015	\$493,610.42	03/27/2015		05/20/2015	\$1,022,810.20	05/21/2015
03/27/2015	\$533,618.56	03/30/2015		05/21/2015	\$522,679.58	05/22/2015
03/30/2015	\$647,512.66	03/31/2015		05/22/2015	\$503,185.96	05/26/2015
03/31/2015	\$510,382.76	04/01/2015		05/26/2015	\$503,661.85	05/27/2015
04/01/2015	\$491,823.55	04/02/2015		05/27/2015	\$481,795.00	05/28/2015
04/02/2015	\$471,022.31	04/03/2015		05/28/2015	\$511,081.59	05/29/2015
04/03/2015	\$493,289.88	04/06/2015		05/29/2015	\$535,438.27	06/01/2015
04/06/2015	\$502,471.88	04/07/2015		06/01/2015	\$504,183.14	06/02/2015
04/07/2015	\$8,216,655.41	04/08/2015		06/02/2015	\$505,291.89	06/03/2015
04/08/2015	\$494,168.86	04/09/2015		06/03/2015	\$510,551.33	06/04/2015
04/09/2015	\$503,745.95	04/10/2015		06/04/2015	\$479,741.85	06/05/2015
04/10/2015	\$502,204.43	04/13/2015		06/05/2015	\$496,000.85	06/08/2015
04/13/2015	\$4,482,493.58	04/14/2015		06/08/2015	\$889,229.94	06/09/2015
04/14/2015	\$3,009,088.89	04/15/2015		06/09/2015	\$500,337.96	06/10/2015
04/15/2015	\$2,158,418.57	04/16/2015		06/10/2015	\$659,125.65	06/11/2015
04/16/2015	\$511,275.56	04/17/2015		06/11/2015	\$501,766.32	06/12/2015
04/17/2015	\$540,858.94	04/20/2015		06/12/2015	\$635,137.85	06/15/2015
04/20/2015	\$923,461.95	04/21/2015		06/15/2015	\$3,327,338.03	06/16/2015
04/21/2015	\$507,980.52	04/22/2015		06/16/2015	\$503,270.99	06/17/2015
04/22/2015	\$505,541.15	04/23/2015		06/17/2015	\$891,301.25	06/18/2015
04/23/2015	\$499,196.71	04/24/2015		06/18/2015	\$507,245.15	06/19/2015
04/24/2015	\$515,555.36	04/27/2015		06/19/2015	\$600,954.23	06/22/2015
04/27/2015	\$500,503.04	04/28/2015		06/22/2015	\$505,178.18	06/23/2015
04/28/2015	\$2,402,119.37	04/29/2015		06/23/2015	\$523,366.97	06/24/2015
04/29/2015	\$1,889,472.49	04/30/2015		06/24/2015	\$495,065.94	06/25/2015
04/30/2015	\$3,034,704.60	05/01/2015		06/25/2015	\$503,000.09	06/26/2015
05/01/2015	\$2,063,966.71	05/04/2015		06/26/2015	\$510,139.30	06/29/2015
05/04/2015	\$2,020,216.05	05/05/2015		06/29/2015	\$498,177.00	06/30/2015
				06/30/2015	\$930,625.02	07/01/2015
07/01/2015	\$524,193.19	07/02/2015		08/31/2015	\$501,746.29	09/01/2015
07/02/2015	\$498,744.15	07/03/2015		09/01/2015	\$500,319.38	09/02/2015
07/03/2015	\$504,141.07	07/06/2015		09/02/2015	\$568,018.58	09/03/2015
07/06/2015	\$510,155.93	07/07/2015		09/03/2015	\$556,142.77	09/04/2015
07/07/2015	\$543,149.19	07/08/2015		09/04/2015	\$498,901.07	09/08/2015
07/08/2015	\$506,190.30	07/09/2015		09/08/2015	\$699,128.94	09/09/2015
07/09/2015	\$501,462.73	07/10/2015		09/09/2015	\$1,869,498.93	09/10/2015
07/10/2015	\$501,417.97	07/13/2015		09/10/2015	\$1,281,191.81	09/11/2015

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Purchase Date	Investment	Maturity Date		Purchase Date	Investment	Maturity Date
07/13/2015	\$784,101.52	07/14/2015		09/11/2015	\$1,560,351.44	09/14/2015
07/14/2015	\$531,275.13	07/15/2015		09/14/2015	\$970,386.74	09/15/2015
07/15/2015	\$499,403.93	07/16/2015		09/15/2015	\$1,773,313.43	09/16/2015
07/16/2015	\$570,809.51	07/17/2015		09/16/2015	\$498,262.01	09/17/2015
07/17/2015	\$491,619.09	07/20/2015		09/17/2015	\$549,867.04	09/18/2015
07/20/2015	\$958,146.02	07/21/2015		09/18/2015	\$1,618,805.56	09/21/2015
07/21/2015	\$797,066.88	07/22/2015		09/21/2015	\$548,095.85	09/22/2015
07/22/2015	\$508,105.47	07/23/2015		09/22/2015	\$504,378.43	09/23/2015
07/23/2015	\$640,005.74	07/24/2015		09/23/2015	\$511,007.55	09/24/2015
07/24/2015	\$493,587.89	07/27/2015		09/24/2015	\$497,604.67	09/25/2015
07/27/2015	\$511,073.77	07/28/2015		09/25/2015	\$488,947.27	09/28/2015
07/28/2015	\$510,319.75	07/29/2015		09/28/2015	\$499,597.32	09/29/2015
07/29/2015	\$506,728.09	07/30/2015		09/29/2015	\$503,727.77	09/30/2015
07/30/2015	\$483,559.35	07/31/2015		09/30/2015	\$488,154.57	10/01/2015
07/31/2015	\$503,656.12	08/03/2015		10/01/2015	\$494,712.17	10/02/2015
08/03/2015	\$509,775.13	08/04/2015		10/02/2015	\$508,233.22	10/05/2015
08/04/2015	\$504,071.69	08/05/2015		10/05/2015	\$505,061.80	10/06/2015
08/05/2015	\$488,523.10	08/06/2015		10/06/2015	\$508,116.36	10/07/2015
08/06/2015	\$490,487.92	08/07/2015		10/07/2015	\$555,880.61	10/08/2015
08/07/2015	\$515,764.13	08/10/2015		10/08/2015	\$507,607.07	10/09/2015
08/10/2015	\$948,687.68	08/11/2015		10/09/2015	\$499,823.59	10/13/2015
08/11/2015	\$519,963.13	08/12/2015		10/13/2015	\$503,969.46	10/14/2015
08/12/2015	\$503,681.76	08/13/2015		10/14/2015	\$502,454.74	10/15/2015
08/13/2015	\$503,180.03	08/14/2015		10/15/2015	\$500,950.73	10/16/2015
08/14/2015	\$513,494.96	08/17/2015		10/16/2015	\$548,333.08	10/19/2015
08/17/2015	\$519,931.47	08/18/2015		10/19/2015	\$494,979.69	10/20/2015
08/18/2015	\$499,900.66	08/19/2015		10/20/2015	\$921,868.24	10/21/2015
08/19/2015	\$976,165.37	08/20/2015		10/21/2015	\$487,021.40	10/22/2015
08/20/2015	\$625,610.63	08/21/2015		10/22/2015	\$508,768.01	10/23/2015
08/21/2015	\$497,888.61	08/24/2015		10/23/2015	\$500,199.02	10/26/2015
08/24/2015	\$508,262.98	08/25/2015		10/26/2015	\$505,484.26	10/27/2015
08/25/2015	\$497,540.32	08/26/2015		10/27/2015	\$513,727.89	10/28/2015
08/26/2015	\$641,059.10	08/27/2015		10/28/2015	\$509,188.54	10/29/2015
08/27/2015	\$492,808.04	08/28/2015		10/29/2015	\$809,568.29	10/30/2015
08/28/2015	\$509,623.29	08/31/2015		10/30/2015	\$499,665.95	11/02/2015
11/02/2015	\$499,925.28	11/03/2015		01/06/2016	\$507,292.48	01/07/2016
11/03/2015	\$500,062.10	11/04/2015		01/07/2016	\$600,779.29	01/08/2016
11/04/2015	\$491,083.66	11/05/2015		01/08/2016	\$502,180.08	01/11/2016
11/05/2015	\$583,585.28	11/06/2015		01/11/2016	\$498,307.72	01/12/2016
11/06/2015	\$507,715.13	11/09/2015		01/12/2016	\$538,331.01	01/13/2016
11/09/2015	\$510,236.02	11/10/2015		01/13/2016	\$2,499,695.90	01/14/2016
11/10/2015	\$490,866.75	11/12/2015		01/14/2016	\$989,941.37	01/15/2016
11/12/2015	\$442,819.78	11/13/2015		01/15/2016	\$538,237.22	01/19/2016
11/13/2015	\$534,544.70	11/16/2015		01/19/2016	\$903,937.59	01/20/2016
11/16/2015	\$511,646.39	11/17/2015		01/20/2016	\$516,394.69	01/21/2016

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Purchase Date	Investment	Maturity Date		Purchase Date	Investment	Maturity Date
11/17/2015	\$1,165,019.71	11/18/2015		01/21/2016	\$490,847.48	01/22/2016
11/18/2015	\$547,707.73	11/19/2015		01/25/2016	\$507,387.54	01/26/2016
11/19/2015	\$554,963.81	11/20/2015		01/22/2016	\$509,500.68	01/25/2016
11/20/2015	\$987,042.07	11/23/2015		01/26/2016	\$3,587,390.97	01/27/2016
11/23/2015	\$495,093.58	11/24/2015		01/27/2016	\$490,282.11	01/28/2016
11/24/2015	\$559,449.45	11/25/2015		01/28/2016	\$508,411.60	01/29/2016
11/25/2015	\$513,557.63	11/27/2015		01/29/2016	\$500,577.06	02/01/2016
11/27/2015	\$507,182.53	11/30/2015		02/01/2016	\$504,824.02	02/02/2016
11/30/2015	\$513,102.99	12/01/2015		02/02/2016	\$505,315.19	02/03/2016
12/01/2015	\$508,602.72	12/02/2015		02/03/2016	\$499,204.35	02/04/2016
12/02/2015	\$503,918.34	12/03/2015		02/04/2016	\$514,092.68	02/05/2016
12/03/2015	\$510,055.19	12/04/2015		02/05/2016	\$4,414,551.89	02/08/2016
12/04/2015	\$500,115.90	12/07/2015		02/08/2016	\$4,417,758.24	02/09/2016
12/07/2015	\$512,479.68	12/08/2015		02/09/2016	\$4,392,372.59	02/10/2016
12/08/2015	\$529,202.34	12/09/2015		02/10/2016	\$422,195.83	02/11/2016
12/09/2015	\$503,441.62	12/10/2015		02/11/2016	\$488,500.55	02/12/2016
12/10/2015	\$506,782.00	12/11/2015		02/12/2016	\$549,873.88	02/16/2016
12/11/2015	\$503,746.86	12/14/2015		02/16/2016	\$689,814.72	02/17/2016
12/14/2015	\$1,295,323.17	12/15/2015		02/17/2016	\$506,644.73	02/18/2016
12/15/2015	\$1,152,469.96	12/16/2015		02/18/2016	\$503,336.90	02/19/2016
12/16/2015	\$545,019.92	12/17/2015		02/19/2016	\$581,486.06	02/22/2016
12/17/2015	\$521,893.64	12/18/2015		02/22/2016	\$1,288,891.83	02/23/2016
12/18/2015	\$1,289,531.83	12/21/2015		02/23/2016	\$493,772.14	02/24/2016
12/21/2015	\$496,478.54	12/22/2015		02/24/2016	\$509,203.93	02/25/2016
12/22/2015	\$898,197.80	12/23/2015		02/25/2016	\$511,054.66	02/26/2016
12/23/2015	\$507,978.16	12/24/2015		02/26/2016	\$498,106.31	02/29/2016
12/24/2015	\$502,355.82	12/28/2015		02/29/2016	\$507,794.33	03/01/2016
12/28/2015	\$501,404.72	12/29/2015		03/01/2016	\$506,528.64	03/02/2016
12/29/2015	\$506,480.61	12/30/2015		03/02/2016	\$500,534.64	03/03/2016
12/30/2015	\$1,076,419.78	12/31/2015		03/03/2016	\$523,302.07	03/04/2016
12/31/2015	\$498,602.09	01/04/2016		03/04/2016	\$505,805.87	03/07/2016
01/04/2016	\$568,090.96	01/05/2016		03/07/2016	\$602,207.80	03/08/2016
01/05/2016	\$504,664.67	01/06/2016		03/08/2016	\$503,103.44	03/09/2016
03/09/2016	\$482,627.11	03/10/2016		05/05/2016	\$487,476.89	05/06/2016
03/10/2016	\$506,129.73	03/11/2016		05/06/2016	\$510,747.55	05/09/2016
03/11/2016	\$639,597.45	03/14/2016		05/09/2016	\$503,350.78	05/10/2016
03/14/2016	\$2,542,913.84	03/15/2016		05/10/2016	\$498,314.67	05/11/2016
03/15/2016	\$1,349,390.21	03/16/2016		05/11/2016	\$566,756.54	05/12/2016
03/16/2016	\$501,368.05	03/17/2016		05/12/2016	\$524,612.24	05/13/2016
03/17/2016	\$514,502.61	03/18/2016		05/13/2016	\$497,289.83	05/16/2016
03/18/2016	\$1,475,092.41	03/21/2016		05/16/2016	\$535,429.46	05/17/2016
03/21/2016	\$855,938.28	03/22/2016		05/17/2016	\$495,129.10	05/18/2016
03/22/2016	\$502,716.34	03/23/2016		05/18/2016	\$499,592.58	05/19/2016
03/23/2016	\$504,186.11	03/24/2016		05/19/2016	\$554,735.77	05/20/2016
03/24/2016	\$504,910.29	03/25/2016		05/20/2016	\$1,624,375.73	05/23/2016

Appendix D

Daily Sweep Repurchase Agreement Investments FY 2015 and 2016

Purchase Date	Investment	Maturity Date		Purchase Date	Investment	Maturity Date
03/25/2016	\$500,266.41	03/28/2016		05/23/2016	\$500,036.55	05/24/2016
03/28/2016	\$516,870.49	03/29/2016		05/24/2016	\$510,092.85	05/25/2016
03/29/2016	\$489,714.25	03/30/2016		05/25/2016	\$503,546.18	05/26/2016
03/30/2016	\$498,938.86	03/31/2016		05/26/2016	\$493,549.05	05/27/2016
03/31/2016	\$502,046.55	04/01/2016		05/27/2016	\$487,411.53	05/31/2016
04/01/2016	\$504,082.15	04/04/2016		05/31/2016	\$496,130.11	06/01/2016
04/04/2016	\$498,893.60	04/05/2016		06/01/2016	\$497,842.60	06/02/2016
04/05/2016	\$510,003.85	04/06/2016		06/02/2016	\$530,634.20	06/03/2016
04/06/2016	\$521,523.77	04/07/2016		06/03/2016	\$510,878.13	06/06/2016
04/07/2016	\$953,459.31	04/08/2016		06/06/2016	\$488,020.20	06/07/2016
04/08/2016	\$582,487.77	04/11/2016		06/07/2016	\$513,937.54	06/08/2016
04/11/2016	\$1,454,188.39	04/12/2016		06/08/2016	\$519,481.89	06/09/2016
04/12/2016	\$535,866.04	04/13/2016		06/09/2016	\$530,556.55	06/10/2016
04/13/2016	\$1,070,935.21	04/14/2016		06/10/2016	\$522,158.13	06/13/2016
04/14/2016	\$3,509,752.98	04/15/2016		06/13/2016	\$791,114.45	06/14/2016
04/15/2016	\$8,667,076.85	04/18/2016		06/14/2016	\$602,076.69	06/15/2016
04/18/2016	\$768,795.56	04/19/2016		06/15/2016	\$1,662,133.09	06/16/2016
04/19/2016	\$965,533.64	04/20/2016		06/16/2016	\$524,602.77	06/17/2016
04/20/2016	\$529,510.30	04/21/2016		06/17/2016	\$563,553.92	06/20/2016
04/21/2016	\$501,578.58	04/22/2016		06/20/2016	\$976,590.91	06/21/2016
04/22/2016	\$501,503.51	04/25/2016		06/21/2016	\$492,672.92	06/22/2016
04/25/2016	\$506,139.85	04/26/2016		06/22/2016	\$1,059,461.86	06/23/2016
04/26/2016	\$514,237.37	04/27/2016		06/23/2016	\$508,393.36	06/24/2016
04/27/2016	\$504,092.57	04/28/2016		06/24/2016	\$507,963.03	06/27/2016
04/28/2016	\$490,728.66	04/29/2016		06/27/2016	\$513,905.37	06/28/2016
04/29/2016	\$499,333.94	05/02/2016		06/28/2016	\$514,056.24	06/29/2016
05/02/2016	\$501,642.44	05/03/2016		06/29/2016	\$497,820.76	06/30/2016
05/03/2016	\$505,671.46	05/04/2016		06/30/2016	\$519,513.63	07/01/2016
05/04/2016	\$505,008.63	05/05/2016				

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.

Appendix E

Monthly ACH Return Volumes FY 2015 and 2016

FY 2015

Returns												
General Ledger	July-14	August-14	September-14	October-14	November-14	December-14	January-15	February-15	March-15	April-15	May-15	June-15
2370410005	\$ 1,069,470.56	\$ 5,101,337.84	\$ 2,605,225.63	\$ 2,091,223.41	\$ 907,599.79	\$ 4,482,852.37	\$ 4,399,085.26	\$ 1,190,780.72	\$ 13,322,755.88	\$ 15,431,040.79	\$ 2,600,183.40	\$ 1,893,323.55
2370410010	3,041,435.60	2,074,886.01	1,948,074.89	2,175,547.52	2,532,702.31	1,827,856.35	2,381,349.66	1,423,989.31	1,166,241.58	1,334,301.11	73,450,642.29	3,158,950.12
2370410015	-	-	-	-	-	-	-	-	-	-	-	-
2370410020	4.63	-	63,136.00	113.47	1,655.27	74.80	22,067.59	3,616.07	588.60	12,190.65	1,644.66	-
2370410025	28,565.89	41,734.75	9,296.79	9,996.63	33,978.87	71,926,329.45	28,155.52	41,479.61	5,050.49	4,413.58	127,107.58	4,268.91
2370410030	57,018.21	2,936.04	-	1,579,743.00	-	-	3,252.24	25,156.50	-	-	292.69	-
2370410035	65.83	25,645.63	289.30	337.17	-	266.58	223.28	-	81,025,230.77	40.93	59.43	9.30
2370410040	5,984.41	7,019.10	43,469.36	12,267.06	11,005.92	15,489.66	7,883.47	34,235.41	18,890.45	6,553.68	15,219.74	-
2370410045	-	-	391.00	-	1,931.81	-	-	655.98	102,134.00	-	-	-
2370410050	-	-	-	-	-	-	-	-	-	-	-	-
2370410055	-	-	-	-	100.00	-	-	-	-	-	-	-
2370410060	-	-	-	-	-	-	-	-	-	-	-	-
2370410065	-	-	-	4,761.00	-	-	-	-	-	-	-	-
2370410070	360.00	-	-	-	-	-	-	-	-	-	-	2,370.00
2370410075	268,515.33	212,174.63	254,892.45	259,719.45	189,611.28	249,882.19	196,544.27	187,438.47	229,670.39	229,250.77	150,604.75	143,718.04
2370410080	240,492.89	166,619.48	217,029.05	325,997.76	326,734.67	5,322,476.57	299,023.92	314,727.25	324,608.46	431,790.52	236,305.61	332,712.25
2370410085	-	-	-	-	-	-	-	-	-	-	-	-
2370410090	-	-	-	-	-	-	-	5,000.00	-	-	-	-
2370410095	150.00	-	-	1,200.00	3,165.00	770.00	500.00	1,500.00	1,000.00	3,115.00	5,140.00	2,550.00
Total Returns by Month	\$ 4,712,063.35	\$ 7,632,353.48	\$ 5,141,804.47	\$ 6,460,906.47	\$ 4,008,484.92	\$ 83,825,997.97	\$ 7,338,085.21	\$ 3,228,579.32	\$ 96,196,170.62	\$ 17,452,697.03	\$ 76,587,200.15	\$ 5,537,902.17

Fiscal Year Total \$ 318,122,245.16

FY 2016

Returns												
General Ledger	July-15	August-15	September-15	October-15	November-15	December-15	January-16	February-16	March-16	April-16	May-16	June-16
2370410005	\$ 850,269.66	\$ 1,383,821.52	\$ 123,942,683.79	\$ 2,784,928.09	\$ 100,778,566.94	\$ 2,106,441.05	\$ 73,662,317.22	\$ 3,236,448.07	\$ 10,068,977.13	\$ 15,188,323.34	\$ 6,919,055.30	\$ 1,932,738.34
2370410010	2,483,426.11	1,949,938.00	1,796,989.45	3,713,526.87	1,882,756.33	2,020,261.61	31,025,409.13	2,249,512.54	1,861,947.30	1,889,325.01	7,254,348.07	1,993,225.93
2370410015	-	-	-	-	-	-	-	-	-	-	-	-
2370410020	542.46	110.07	72,533.00	-	2,276.21	17,694.64	620.26	137.11	5,537.76	128,294.66	-	135.27
2370410025	18,217.04	198,297.91	564,243.39	2,575,918.54	82,268.67	12,841.12	9,357.04	67,097.88	10,033.50	26,527.89	187,474.15	15,920.71
2370410030	-	698.40	61,279.02	5,559.43	-	2,627.04	6,952.86	719.86	536.21	1,610.64	58,735.50	150.00
2370410035	215.34	-	1,323.36	1,023.09	349.96	122.86	63.59	-	-	-	25,035.84	3,648.14
2370410040	19,418.23	47,322.66	81.17	21,121.73	1,444.61	52,221.60	38,118.64	67,022.06	36,299.98	13,313.12	23,418.83	41,689.19
2370410045	-	-	-	311.00	-	-	-	-	-	-	114.00	29,883.00
2370410050	-	-	-	-	-	-	-	-	-	-	-	-
2370410055	-	-	-	-	-	-	-	-	-	-	-	-
2370410060	-	-	-	-	-	-	-	-	-	-	-	-
2370410065	2,196.00	-	-	729.00	-	-	-	-	-	-	15,876.00	-
2370410070	90.00	390.00	-	-	-	-	-	1,350.00	-	-	-	1,380.00
2370410075	121,470.83	200,628.71	152,648.65	203,355.76	123,206.69	202,840.59	152,614.49	150,699.11	232,362.57	122,209.57	130,526.75	160,165.58
2370410080	547,780.26	305,790.95	260,181.79	310,783.69	342,008.10	334,371.98	424,079.71	354,016.60	491,398.64	495,969.06	551,708.92	348,923.52
2370410085	-	-	-	-	-	-	-	-	-	-	-	-
2370410090	1,500.00	-	-	-	-	-	5,000.00	-	-	-	2,000.00	-
2370410095	590.00	2,940.00	2,820.00	1,245.00	3,320.00	2,595.00	2,615.00	2,930.00	2,590.00	2,165.00	4,550.00	1,750.00
Total Returns by Month	\$ 4,045,715.93	\$ 4,089,938.22	\$ 126,854,783.62	\$ 9,618,502.20	\$ 103,216,197.51	\$ 4,752,017.49	\$ 105,327,147.94	\$ 6,129,933.23	\$ 12,709,683.09	\$ 17,867,738.29	\$ 15,172,843.36	\$ 4,529,609.68

Fiscal Year Total \$ 414,314,110.56

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.

**ELECTRONIC PAYMENT
SPECIFICATIONS**

2016

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SECTION I

Introduction

INTRODUCTION

The Illinois Department of Revenue's (IDOR) electronic payments program began in 1990. Initially, the Department accepted ACH credits and ACH debits via a toll-free number utilizing operator assisted entry. That toll-free number eventually became an Interactive Voice Response (IVR) system, with operator assistance available for administrative functions only.

In the late 1990's, the Department increased its ACH activity through the introduction of several online electronic payment debit authorization products, and as of the last five years, this activity has grown even more so with the introduction of the Department's latest integrated online account management tool, MyTax Illinois.

Additionally, please note ACH activity received from approved third party software vendors and payroll providers continues to increase substantially.

Beginning October 1, 1993, the Illinois Department of Revenue's voluntary Electronic Funds Transfer (EFT) Program became mandatory for Illinois taxpayers possessing the largest tax liabilities. Currently, depending on the tax type, if a taxpayer's annual liability is within a range from \$12,000 to \$200,000 or more, they are legally required to make their tax payments electronically. The mandate program continues to grow as thresholds have become lower.

It should also be noted that IDOR's electronic payment penetration is now close to 90% of all receipts collected. In Fiscal Year 2016, IDOR processed over 7.2 million ACH payments totaling over \$34 billion. Of these totals, IDOR received approximately 132,000 ACH debit authorizations through IVR totaling \$1.4 billion.

Types of Payment Options

The contractor will be required to accept and process three (3) different types of Electronic Funds Transfer.

- 1. Automated Clearing House Debit (ACH Debit)**
The contractor will likely receive multiple ACH Debit files from various sources.
- 2. Automated Clearing House Credit (ACH Credit)**
Can include both CCD+TXP and TPP conventions.
- 3. Fedwire - For emergency use only!**
Taxpayers must contact the Illinois Department of Revenue's Electronic Payments Section at (217)782-6257 to determine if a Fedwire is necessary.

SECTION II

Confidentiality and Security

Confidentiality and Security Requirements

CONFIDENTIALITY

Provisions for safeguarding Illinois Tax information are detailed in the Illinois Compiled Statutes, Chapter 35, Section 5/917 (a), and Chapter 35, Section 120/11. All taxpayer payment and return information received by the successful bidder or its subcontractors, whether received from the taxpayer or the Department, shall be confidential except for official purposes and pursuant to official procedures for the collection of State of Illinois taxes. The successful bidder and its employees, any subcontractors and their employees shall be subject to the same civil and criminal penalties for unauthorized disclosure as Illinois Department of Revenue employees.

Illinois Income Tax Act, 35 ILCS 5/917 (a)

Confidentiality and information sharing

Except as provided in this Section, all information received by the Department from returns filed under this Act, or from any investigation conducted under the provisions of this Act, shall be confidential, except for official purposes within the Department or pursuant to official procedures for collection of any State tax or pursuant to an investigation or audit by the Illinois State Scholarship Commission of a delinquent student loan or monetary award or enforcement of any civil or criminal penalty or sanction imposed by this Act or by another statute imposing a State tax, and any person who divulges any such information in any manner, except for such purposes and pursuant to order of the Director or in accordance with a proper judicial order, shall be guilty of a Class A misdemeanor. However, the provisions of this paragraph are not applicable to information furnished to (i) the Department of Healthcare and Family Services (formerly Department of Public Aid), State's Attorneys, and the Attorney General for child support enforcement purposes and (ii) a licensed attorney representing the taxpayer where an appeal or a protest has been filed on behalf of the taxpayer. If it is necessary to file information obtained pursuant to this Act in a child support enforcement proceeding, the information shall be filed under seal.

Illinois Retailers' Occupation Tax Act, 35 ILCS 120/11 (in pertinent part)

All information received by the Department from returns filed under this Act, or from any investigation conducted under this Act, shall be confidential, except for official purposes, and any person who divulges any such information in any manner, except in accordance with a proper judicial order or as otherwise provided by law, shall be guilty of a Class B misdemeanor with a fine not to exceed \$7,500.

IDOR EMPLOYEE HANDBOOK:

Confidentiality of Information, Section 5.34

All Department records are considered confidential information. All information on any tax return, tax payment, or any document accompanying any tax return is confidential taxpayer information. Information provided to the Department by any other governmental or private agency also must be considered sensitive and confidential information.

Unauthorized release of confidential taxpayer information may result in criminal prosecution under Illinois and federal laws. Unauthorized release of confidential information and/or taxpayer information may result in disciplinary action up to and including discharge.

You may not publish, divulge, disclose, or make known in any manner any information contained in any report, tax payment, or record when such information discusses or potentially could identify a taxpayer unless it is already a matter of public record.

You may not use any information obtained by virtue of your employment at the Department for actual or anticipated gain for yourself or another person.

Additionally, all records and documents in the custody of or accessible by Department employees should be considered confidential, and are to be accessed for business reasons only.

No contractor or contractor employee may publish, divulge, disclose, or make known in any manner any information contained in any report, tax payment, or record when such information discusses or potentially could identify a taxpayer unless it is already a matter of public record.

A contractor or contractor employee may not use for private purposes or gain any information which was obtained in the course of the contract services.

All records and documents in the custody of or accessible by a contractor or contractor employee are for official business use only.

Violations of State confidentiality laws are prosecuted as Class A or Class B misdemeanors. Class A misdemeanors are punishable by a fine not to exceed \$2,500 and up to 364 days in jail or both. Class B misdemeanors are punishable by a fine not to exceed \$1,500 and up to six months in jail or both.

In addition to violating Illinois tax laws, persons who make unauthorized disclosures of federal tax information are subject to prosecution under the U.S. Internal Revenue Code. Divulging federal tax information, in any manner, that could identify a taxpayer is a felony punishable by up to five years in prison and a fine of up to \$5,000. The Internal Revenue Code also allows a taxpayer, about whom confidential information has been improperly released, to seek court-invoked civil damages for willful or negligent disclosure of information. The taxpayer has up to two years from the time the unauthorized disclosure is discovered to file suit.

The court may award the taxpayer the amount in actual damages incurred because of the disclosure (for example, income lost) as well as punitive damages in the case of willful disclosure or a disclosure which is the result of gross negligence, but in no case shall the plaintiff receive less than \$1,000 for each disclosure plus the costs of the action. Employees who violate this provision may be subject to personal civil liability in addition to criminal liability and Department discipline.

Confidentiality and Care of Official Documents, Section 5.35

The care of official documents is regulated by state law. All records and documents in the custody of Department employees, contractors, or contractor employees are for official use only. It is prohibited for any employee to conceal, alter, mutilate, obliterate, copy without authorization or destroy records or documents or to remove or attempt to remove copies or originals of such records without authorization from the Director of Revenue or his/her designee. Such conduct is disciplinable up to and including discharge.

You must not remove or copy information, records or documents of the Department without approval from a proper authority. This includes all Department information, records or documents, regardless of location, gathered or created in the course of Department business or operations. This includes but is not limited to information, records, reports, notes, spreadsheets etc. that may be in offsite locations, including but not limited to vehicles and employee's homes.

All Department policies and procedures concerning security and confidentiality of information apply wherever Department records or information are located. All employees with offsite records or offsite access to Department information are responsible for protecting the records and information in their possession from unauthorized disclosure, use or copying. Minimally, the employee must:

- Ensure records or information cannot and are not seen, viewed or copied by persons not authorized by the Department, including, but not limited to, family, friends and neighbors or their children/parents, even if these people are an employee of the Department.
- Department records and information MUST NOT be recorded on any home PC as there are issues of IT security as well as those of security and confidentiality. If an employee needs to work at home on a PC they should be provided with one (normally a laptop) for this purpose. It is important that home PCs are not used for business work as there could be issues of viruses and information being kept on a home computer that could be accessed by other family members who have no right to see the information. It is important to note that even when the information is deleted it is quite often possible to re-create it if someone has the technical expertise.

Work papers, copies of reports, data and other official records and documents must be sent promptly to file when no longer needed for official purposes. Records, documents and data are to be disposed of in accordance with established procedures.

You will be held responsible for the loss, disappearance, or theft of official documents or data when such events are attributable to your carelessness or negligence. Make sure all such records, information and data are stored securely behind at least two locked barriers. Official documents and data should not be left unprotected in automobiles, on public conveyances, or in public places. Recovery of documents may not necessarily relieve you of responsibility for their loss.

Department employees frequently review, distribute, possess, or otherwise gain knowledge or control of memoranda, records, letters, and other documents relating to matters of official

Department business. You must not copy, distribute, or otherwise divulge the contents of any document for other than official purposes. Unauthorized copying, use, or disclosure of documents or the contents thereof may be grounds for disciplinary action up to and including discharge.

It is improper for you to make a copy for personal use of any Department document.

SECURITY

The contractor shall be subject to identical security and confidentiality provisions as the IDOR employees, as established by IDOR in accordance with State Law.

Before securing employment with IDOR, all applicants may be requested to complete an employee security check authorization form which entitles IDOR to check the applicant's taxpaying history. Applicant's tax filing status must be current to secure employment. The contractor must allow IDOR to complete a security check on any/all contractor employees which will have access to taxpayer returns or tax payments, coupons, records, etc. If a contractor employee is found not to have a current filing status, the contractor must ensure that the contractor employee will not have access to IDOR taxpayer returns. For the contractor's employee to obtain access to IDOR taxpayer returns, his/her filing status must be made current and the employee security check authorization form cleared through IDOR Internal Affairs office.

It is the policy of the Department of Revenue for the Internal Affairs Division (IAD) to conduct criminal background investigations on all individuals, whether they are other state agency employees, or they are vendors who work in a Revenue facility, or who by their job assignment work, process or have access to Revenue related data. Existing non-Revenue employees shall be checked on a yearly basis. Revenue employees, and their contractors and vendors, shall have a background conducted that includes both a criminal and tax compliance check.

Contractor Requirements

All work including programming, maintenance, customer support, etc. is required to be done in the continental United States.

The contractor shall be subject to any or all of the following forms of audit and/or verification:

- On-site IDOR employee(s)
- Unannounced or announced audits by IDOR Internal Auditors during bank processing hours
- Site security reviews performed by IDOR Internal Affairs office

SECTION III

Operational Requirements

IVR SYSTEM REQUIREMENTS

IVR Phone Number

The contractor shall maintain a toll free number, which shall be used exclusively for the taxpayer to call and authorize IDOR to initiate a debit of Electronic Funds Transfer Payments. If the existing IVR vendor surrenders the current toll free number that is in use, the contractor is expected to use that toll free number. If the current toll free number is not made available, the contractor is expected to establish a toll free number on behalf of IDOR. At contract termination, IDOR will retain ownership of this toll free number. The primary basis for the use of this number will be an Interactive Voice Response (IVR) system whereby taxpayers enter information in response to a prerecorded script using a touch tone phone. Operator assistance will be provided by the contractor for customer service related issues only.

The contractor may use a sub-contractor to perform the IVR requirements contained in this RFP. However, any sub-contractor must be pre-approved by the Treasurer and the Illinois Department of Revenue. Also, the contractor and sub-contractor need to meet, follow and complete the requirements in Section IV, V, and VII in the EFT Request for Proposal related to the use of Sub-Contractors.

Updating and Maintaining Debit Database

On each day the Department is open for business, the contractor shall electronically pick up a file of additions, changes, and deletions to the debit database from the department.

PIN Number

A PIN number shall be assigned and maintained by the contractor for each taxpayer. The contractor shall also have the ability to reset the PIN number as required. At contract termination, the PINs become Department property. These PINs must be released to the Department in an electronic data format prescribed by the Department.

Days of Operation

The contractor shall provide taxpayers access to IVR service seven (7) days a week (Monday through Sunday), 24 hours a day. The Department would prefer to have a daily transaction cutoff time of 7:00 PM Central Time with a minimum cutoff time of no earlier than 3:30 PM Central Time. Taxpayers initiating their call prior to the daily transaction cutoff time will be allowed to select the next business banking day as a settlement date.

Federal Reserve Bank

The Department will adopt the same treatment as the Federal Reserve System for recognizing due dates which fall on weekends or Federal Reserve holidays. Thus, when the statutory due date falls on a weekend or a holiday observed by the Federal Reserve, the Department will allow payments to be credited on the next business banking day.

Illinois Department of Revenue Observed Holidays

In 2017, the following dates are state holidays observed by the Department. This information is provided simply to inform you when Department personnel will not be available to assist in EFT inquiries or problems resolution. Future years are reflected at the following web address:
<https://www.illinois.gov/cms/Employees/Personnel/Pages/StateHolidays.aspx>

January 2	Monday	New Year's Day
January 16	Monday	Martin Luther King Day
February 13	Monday	Lincoln's Birthday
February 20	Monday	President's Day
May 29	Monday	Memorial Day
July 4	Tuesday	Independence Day
September 4	Monday	Labor Day
October 4	Monday	Columbus Day
November 10	Friday	Veteran's Day
November 23	Thursday	Thanksgiving
November 24	Friday	Day After Thanksgiving
December 25	Monday	Christmas

DATA EXCHANGE REQUIREMENTS

Data Exchange

This is an overview of the data exchanges that will occur between the Electronic Payments Vendor and the Illinois Department of Revenue (IDOR). Vendor is expected to remain current on all industry standards, including but not limited to EDI, encryption, security and changing industry standards and trends.

General Information for data exchanges:

All the data exchanges will utilize Secure FTP (*SSL or ***SSH) or IDOR Gateway (see IDOR Gateway section). If the file will reside on the **DMZ at the vendor site file level encryption will be required. File level encryption will be done using PKZIP version 9.0 or higher. PKZIP 9.0 provides AES 256 bit level encryption.

If Secure FTP is chosen, IDOR will send/receive all files to/from the vendor's FTP server.

- 1) One or more times each weekday IDOR (Illinois Department of Revenue) will create a debit initiation request file for the vendor.

Currently this is produced each weekday approximately 1:00 PM Central Time.
Record ID '*****DBTINIT'

- 2) The vendor will produce a debit initiation response file from the debit initiation file IDOR submitted. The debit initiation response file will contain one record for each record submitted. The response record will tell IDOR whether or not the vendor can submit the debit to the ACH system. If errors are detected in the debit initiation file up to 3 error codes can be returned in the debit initiation response file.

This file will be supplied to IDOR upon creation of the file
Record ID '*****DBTACKD',

- 3) After the debits have cleared the ACH system the vendor will produce a debit post file and supply it to IDOR. There will be one file for each day that deposits are made. Currently deposits are made Monday through Friday and IDOR receives files Tuesday through Saturday. The file will be sorted by FTA Tax Type Code and an EFT balance record will follow. All unidentified FTA Tax Type Codes shall be grouped into one section of the file and be followed by one EFT balance record. This file will include ALL the debits, credits, and Fed Wires that comprise the deposit for the day. In short IDOR will receive one file per day that represents the deposits for a day. A file may not include deposits from more than one day. The file will include debit requests supplied to the vendor by IDOR, debit requests submitted via the IVR system, ACH credits, and Fed Wires.

This file will be transmitted to IDOR upon creation of the file or by 3:00 AM Central Time.

RECORD ID '*****DBTPOST',

- 4) After receiving the debit post file IDOR will produce a debit post response file and transmit it to the vendor. The debit post response file will tell the vendor whether or not IDOR can process the file. This is a file level reject. If the file is rejected, error codes and other information will be provided in the debit post response file that will allow the vendor to correct and retransmit the file. For more information about the error codes see the 800 series error codes in the record layout section.

This file will be supplied to the vendor upon creation of the file.

RECORD ID '*****DBTACKD',

- 5) The vendor will create and transmit two files containing ACH reversals, notice of changes and pre-notes. One file will contain the reversals and notices of change; the second will contain the pre-notes. An example of a reversal is an ACH debit that was submitted to the ACH system but the account didn't have sufficient funds to honor the request

This file will be supplied to IDOR upon creation of the file or by 3:00 AM Central Time.

RECORD ID '*****DBTREVS',

- 6) After receiving the debit reversal file, IDOR will produce a debit reversal response file and supply it to the vendor. The debit reversal response file will tell the vendor whether or not IDOR can process the file. This is a file level reject. If the file is rejected, error codes and other information will be provided in the debit post response file that will allow the vendor to correct and retransmit the file.

This file will be supplied to the vendor upon creation of the file

RECORD ID '*****DBTACKD',

- 7) Once each working day IDOR will create an updated file reflecting changes made to the EFT enrollment system. IDOR will supply the file to the IVR vendor. The IVR vendor will use the file to update their system. This file will be used by the IVR system. The file contains taxpayer and banking information.

This file will be supplied to the vendor at approximately 3:00 PM Central Time

RECORD ID '*****DBTENRL'

- 8) Once a week, currently late Sunday p.m. or early Monday a.m., IDOR will create a file of all the current valid tax type codes. This is a CSV formatted file containing one header record one trailer record, and the detail records between the header and trailer.

*SSL stands for "Secure Sockets Layer". SSL Definition; Secure Sockets Layer is a protocol designed to enable applications to transmit information back and forth securely. Applications that use the Secure Sockets Layer protocol inherently know how to give and receive encryption keys with other applications, as well as how to encrypt and decrypt data sent between the two.

** In computer networks, a DMZ (demilitarized zone) is a computer host or small network inserted as a "neutral zone" between a company's private network and the outside public network. It prevents outside users from getting direct access to a server that has company data.

***SSH stands for "Secure Shell". SSH is a cryptographic network protocol for operating network services securely over an unsecured network.

Overview of File Layouts

Overview of the file layouts: See Section titled file layouts to get more detailed information.

All the data exchanges will use a single file layout. The function of the file will be designated by utilizing the Record ID field in the transmission files

'*****DBTINIT', ACH debit requests transmitted from IDOR to the Vendor

'*****DBTPOST', Payment posting records transmitted from the vendor to IDOR. This includes ACH Credits, ACH debits (IDOR initiated and IVR), and Fedwires deposited the previous business day.

'*****DBTACKD', Acknowledgements for DBTINIT, DBTREVS, and DBTPOST transmissions

'*****DBTREVS', Returned bank items transmitted from vendor to IDOR. This file will also include pre-notes and change notices

'*****DBTENRL' File of EFT Enrollment information created by IDOR and picked up by the vendor (for use by the IVR).

All transmissions will consist of

- 1) One Header record
- 2) One or more detail records
- 3) One or more balance records
- 4) One Trailer record

Transmissions will be sorted by FTA Tax Type Codes. One balance record will be present for each group of FTA Tax Type Codes in the transmission.

- Note that EFT enrollment transmissions will not include balance records.

Contingency Plan

In the event that conditions occur that prevent data exchanges between IDOR and the vendor these procedures will be followed:

- 1) The file that would normally be transmitted will be zipped and encrypted using PKZIP version 9.0 or higher.
- 2) The zipped and encrypted file will be written to a DVD. Other media may be approved by the IL. Dept. of Revenue but if no agreement is made DVD will be the media used.
- 3) The DVD, or other approved media, will be delivered to IDOR via overnight courier.

- 4) The vendor will call IDOR staff to verbally tell us the password used to encrypt the file.

If IDOR needs to deliver a file to the Vendor the same procedures will be followed.

Constructing IVR Confirmation Numbers

IDOR requires 14 character confirmation numbers. The confirmation numbers will be assigned using these procedures.

- 1) The first two characters of the confirmation will be the two digit year of the year the confirmation number was assigned.

Example: If the confirmation number is assigned in 2016 the first two digits of the confirmation number will be 16

- 2) Bytes 3 thru 5 of the confirmation will be a constant of 'EFT'
- 3) Bytes 6 thru 14 are a sequential counter starting at 000000001. As new confirmation numbers are assigned the counter is incremented by 1.

Examples:

Debit 1 is accepted by the vendors IVR system at 8:03 AM on 1/1/2010

Confirmation number assigned is '16EFT000000001'

Debit 2 is accepted by the vendors IVR system at 8:05 AM on 1/1/2010

Confirmation number assigned is '16EFT000000002'

Debit 3 is accepted by the vendors IVR system at 8:06 AM on 1/1/2010

Confirmation number assigned is '16EFT000000003'

- 4) When a new calendar year begins the first two bytes of the confirmation reflect the new year and bytes 6 thru 14 are initialized to zero or one depending on how the code is structured.

Example:

The first debit accepted by the vendors IVR system in 2017 will be assigned confirmation number '17EFT000000001'

Reports

The Contractor shall provide the following reports electronically or **online** or both:

- Daily Bank Statement. This should consist of both intraday and previous day activity with ACH Credit line items displaying trace numbers and all other identifying data with all EDI addenda segment(s) displayed (CCD+TXP and CCD+TPP).
- A Preliminary Report reflective of each day's activity stratified by tax type and clearing account. See below example:

EFSF175

SAMPLE PRELIMINARY 175 REPORT

Category	Doc Count	Sub Total Dollars	Total Dollars	Clearing Account
SALES				
RR3 - 0412	256	\$ 8,312,644.29		
STLPY - 0411	6,592	\$ 62,921,146.65		
STIX - 0413	0	\$ 0.00		
PST1 - 0421	10	\$ 120,683.48		
PST3 - 0422	0	\$ 0.00		
ST-556 - 047	2	\$ 5,208,895.00		
ST-556LSE - 04756	1	\$ 461,647.00		
MT-556LSE - 04757	7	\$ 11,181.00		
TAP 556 - 047	840	\$ 665,849.00		
LSE-1 - 04791	0	\$ 0.00		
CMFT - 056	7	\$ 17,181.00		
MPEA - 04230	226	\$ 670,547.91		
SOFTDRINK - 076	354	\$ 162,958.15		
RUT25 - 04710	3	\$ 71,249.00		
RUT25LSE - 04725	2	\$ 12,847.00		
ST44 - 045	6	\$ 15,222.00		
TIRE - 12008	0	\$ 0.00		
DRY CLEAN - 09001	0	\$ 0.00		
MEDMJ - 0420	2	\$ 5,931.43		
FRACK PURCH - 08401	0	\$ 0.00		
FRACK OPERA - 08402	0	\$ 0.00		
TOTAL				
SALES TAX	8,308	\$ 78,657,982.91	\$ 78,657,982.91	2370XX1111
TOTAL				
ART - 04730	17	\$ 70,225.34	\$ 70,225.34	2370XX2222
TOTAL				
AMN - 04707	0	\$ 0.00	\$ 0.00	2370XX3333
TOTAL SALES TAX				
SALES\ART\AMN	8,325	\$ 78,728,208.25		
INCOME				
1120ES - 021	221	\$ 16,867,464.50		
990T - 02090	0	\$ 0.00		
1041 - 02041	43	\$ 212,687.00		
1065 - 02065	237	\$ 1,538,653.51		
1120 RTN - 02020	281	\$ 1,316,428.22		
1120ST - 02030	1,075	\$ 1,649,302.51		
1023C - 02023	0	\$ 0.00		
505B - 0231	32	\$ 479,231.76		
IL516B - 02116	12	\$ 8,727,813.00		
SUBTOTAL				
BIT	1,901	\$ 30,791,580.50		
505I - 014	0	\$ 0.00		
1040ES - 012	5,991	\$ 25,595,160.20		
IL 1040 - 01301	223	\$ 220,738.16		
501 - 0112	8,744	\$ 19,876,146.70		
UI-WIT - 01166	0	\$ 0.00		

941V - 01141	184	\$	607,460.80		
IL516I - 02140	12	\$	214,095.00		
<hr/>					
SUBTOTAL					
IIT-WIT	15,154	\$	46,513,600.86		
<hr/>					
TOTAL INCOME TAX					
BIT\IIT-WIT	17,055	\$	77,305,181.36	\$	77,305,181.36 2370XX4444
<hr/>					
EXCISE					
PUBLIC UTILITIES					
GAS ACCL - 15012	1	\$	4,097.00		
TEL ACCL - 15032	13	\$	5,665,780.00		
ELEC ACCL - 15022	2	\$	6,044,512.00		
<hr/>					
SUBTOTAL					
ACCLERATED	16	\$	11,714,389.00		
<hr/>					
RETURNS					
GAS - 15011	4	\$	40,902.66		
EAC-G GAS - 15014	1	\$	2,151,606.91		
EAC ELEC - 15024	3	\$	9,216.25		
TELE RT2 - 15031	20	\$	65,960.64		
ELE RPU13 - 15021	6	\$	261,938.71		
TIMF RT10 - 15051	12	\$	2,477.48		
<hr/>					
SUBTOTAL					
RETURNS	46	\$	2,532,102.65		
<hr/>					
EST ICT1 - 15042	0	\$	0.00		
RTN ICT4 - 15041	0	\$	0.00		
<hr/>					
SUBTOTAL					
ICT	0	\$	0.00		
<hr/>					
TOTAL PUBLIC UTIL/ RETURNS/ICT	62	\$	14,246,491.65	\$	14,246,491.65 2370XX5555
<hr/>					
TRANSMITTALS					
IFTA - 05820	1	\$	20.86		
STP-MFUEL - 05910	17	\$	680.00		
MFUT-12 - 05312	30	\$	858.75		
MFUT-12R - 05313	0	\$	0.00		
MFUT-15 - 05315	6	\$	1,196.02		
MFUT VIOL - 05340	0	\$	0.00		
REINSTMT - 05399	0	\$	0.00		
ASSMT-PAY - 05319	0	\$	0.00		
RMFT-5 - 0505	23	\$	4,739,220.04		
RMFT-144 - 0520	2	\$	6,908.44		
<hr/>					
SUBTOTAL IFTA/STP/MFUEL	79	\$	4,748,884.11		
<hr/>					
RMFT-5-US - 05058	26	\$	285,851.11		
<hr/>					
SUBTOTAL UST	26	\$	285,851.11		
<hr/>					
TOTAL					
IFTA/STP-MFUEL/ MFUT	105	\$	5,034,735.22	\$	5,034,735.22 2370XX6666
<hr/>					
CIG - 07210	1	\$	292,545.00		
CIG-USE - 07220	1	\$	351,054.00		
CIG-TAX - 07244	0	\$	0.00		
TOBACCO - 073	41	\$	370,934.39		
CIG FEE - 07250	6	\$	450.00		
LITTLE CIGAR - 07255	0	\$	0.00		
<hr/>					
TOTAL CIG/CIG-USE					

TOBACCO	49	\$	1,014,983.39	\$	1,014,983.39	2370XX7777
LIQUOR - 06010	84	\$	210,123.44			
LIQ AIR - 06020	6	\$	234.67			
LIQ WINE - 06030	111	\$	9,853.80			
TOTAL						
LIQUOR	201	\$	220,211.91	\$	220,211.91	2370XX8888
TOTAL						
HOTEL-M - 074	68	\$	2,458,015.80	\$	2,458,015.80	2370XX9999
RHSFS - 21102	4	\$	24,462.00			
R-ESTATE - 21202	0	\$	0.00			
TOTAL RHSFS/ R-ESTATE	4	\$	24,462.00	\$	24,462.00	2370XX0000
TOTAL						
RUT50 - 04720	3	\$	23,045.00	\$	23,045.00	2370XX1112
TOTAL						
LEVY DEBIT - 200	0	\$	0.00	\$	0.00	
LEVY CREDIT - 201	0	\$	0.00	\$	0.00	
TOTAL						
LEVY	0	\$	0.00	\$	0.00	2370XX2223
BALDUE - 20099	625	\$	1,021,565.66			
BINGO - 14110	2	\$	297.12			
CHGAME - 14120	1	\$	242.20			
PULLTAB - 14130	2	\$	1,000.00			
TOTAL BALDUE/ BINGO/CHGAME/PULL	630	\$	1,023,104.98	\$	1,023,104.98	2370XX3334
TOTAL						
PAMSGET - 21313	745	\$	187,580.80	\$	187,580.80	2370XX4445
TOTAL						
QLD SOLID - 12000	0	\$	0.00	\$	0.00	2370XX5556
TOTAL						
COIN OPER - 077	1	\$	78.00	\$	78.00	2370XX6667
TOTAL						
ADTEN - 078	0	\$	0.00	\$	0.00	2370XX7778
TOTAL						
LIQ CONT - 066	81	\$	44,350.00	\$	44,350.00	2370XX8889
TOTAL EXCISE	1,949	\$	24,277,058.75	\$	24,277,058.75	
GRAND TOTAL SENT TO TAX SYSTEM	27,329	\$	180,310,448.36	\$	180,310,448.36	
TOTAL SUSPENSE	0	\$	0.00	\$	0.00	2370XX9990
TOTAL FROM BANK FILE		\$	180,310,448.36			

Note: The above is only an example. Information (clearing account numbers, etc.) contained may be subject to change.

- Internal Transfers Statement - A report with all internal transfers not converted and reflected as an ACH transaction when applicable.
Note: IDOR highly desires that internal transfers be converted to ACH transactions and submitted in the ACH file.
- ACH Return Items Statement - A report that includes electronically returned payments, ACH notices of change, and pre-notes.

Error/Out of Balance Conditions

The contractor shall be required to resolve error conditions within one business day from notification by IDOR. This time frame does not refer to the transmission being out of balance, as a transmission should never be sent to IDOR out of balance. IDOR's expectation is that a transmission error should be resolved and resent by 10:00 AM Central Time, the same business day, excluding Saturday, Sunday, and holidays.

The error rate is not to exceed 1/2 of 1%.

Future Services

As the Department expands its participation in electronic commerce, additional financial support services may be requested of the contractor. Expansion of mandated EFT into additional taxes and the increase of qualifying taxpayers because of possible changes in the qualifying criteria (tax liability threshold, etc.) will probably be one area requiring future support. The vendor will need the ability to add additional tax types or products within 90 days of notification from IDOR and the Illinois State Treasurer.

COMMUNICATION REQUIREMENTS—IDOR GATEWAY

Communications Information

These procedures are in effect currently. The Illinois Department of Revenue (IDOR) may find it necessary to alter procedures in the future to adapt to changing conditions.

Files must be transmitted to and from the IDOR Gateway server via the Internet using Secure Socket Layer (SSL) technology. File transmission must use the https post method. This type of transmission provides secure data exchange by strongly encrypting the data stream in both directions according to the SSL protocol.

Transmissions to the Gateway require a modern high speed Internet connection. High bandwidth Internet connections, such as a T1 line or DSL, is preferred; although slower 56K modem connections can be used provided that the connection to the Internet service provider is of high quality and somewhat above the 28.8 K-baud range. Noisy phone lines or transmission speeds below this range are not reliable. Transmissions should be posted to the following URL:

<https://biz.revenue.state.il.us/il/gateway>

Before users can transmit files, they must register with the Illinois Department of Revenue to obtain a login I.D. and password. Users who have transmitted in the past by z-modem should already have a login I.D. and password.

The Gateway conforms to standard http protocols. For fuller documentation regarding the http specification in general, refer to the World Wide Consortium web site at the following URL:

<http://www.w3c.org>

In particular, for documentation regarding the http protocol, see

RFC 2616: Hypertext Transfer Protocol – HTTP/1.1
at URL: <ftp://ftp.isi.edu/in-notes/rfc2616.txt>

For documentation regarding http authentication protocols, see

RFC 2617L: HTTP Authentication: Basic and Digest Access Authentication
at URL: <ftp://ftp.isi.edu/in-notes/rfc2617.txt>

The Gateway uses basic authentication, which is made secure by the SSL encryption. The login I.D. and password are applied to the https transmission headers in the form of a standard basic authentication header. The SSL protocol guarantees that the I.D. and password are also encrypted during transmission. As is standard practice, the basic authentication header must be base-64 encoded. The Gateway supports both challenge-response and pre-emptive authentication.

The Gateway adheres to the following practices:

- 1.) All transmissions or requests to the Gateway occur in a single request-response https session.
- 2.) No cookies are placed on the users' computers. No session tracking is required, and as a result, cookies are not needed.
- 3.) Only one file may be transmitted per session. To enforce this rule, the Gateway does not allow MIME attachments. One consequence of this is that transmitters cannot use the HTML forms transmission protocol built into most web browsers, as these automatically generate MIME headers.

Required HTTPS Transmission Headers

The following shows an example of a complete https post transmission including all HTTPS transmission headers:

```
POST /il/gateway HTTP/1.0
Host: biz.revenue.state.il.us
Authorization: Basic MQBxWrS7hmQ3V4ly (Base64 encoded)
Accept: text/plain, text/html, text/xml
```

User-Agent: (optional header)
X-Transmit-ID: doc1
Content-Type: text/plain
Content-Length: 97

```
*****  
The transmitted file goes here.  
*****
```

This example shows the presence of an authorization header with a value given as a base-64 encoded user I.D. and password. Also, as shown, transmitters must supply a “Content-Length” header for file uploads giving the byte-size of the transmitted file. The Gateway uses this value to verify that the number of bytes received matches what the transmitter actually intended to send. It is the responsibility of the transmitter to make sure this value accurately reflects the size of the file being transmitted.

The https transmission headers must also include one extended header named “X-Transmit-ID”. This header governs the action of the Gateway. The header has two reserved values – “NewAck” and “LastAck”. These values are not case sensitive. A value of “NewAck” will cause the Gateway to return all available acknowledgment files in the https response stream. These files will be concatenated together into one big file and, depending on the type of acknowledgements being returned, may or may not contain file separators. A value of “LastAck” given to the “X-Transmit-ID” header will cause the Gateway to re-transmit all acknowledgment files that were transmitted the last time the “NewAck” request was sent to the Gateway. Any other value of the “X-Transmit-ID” header will cause the Gateway to expect to receive a transmission from the user. This value will be echoed back to the user at the end of the transmission in an acknowledgment receipt response as explained in the next section.

Gateway Responses

As stated above, the Gateway responds by transmitting all available acknowledgment files when the transmitter issues a request via the “X-Transmit-ID” extended header. This type of response will always include a “Content-Length” https transmission header giving the exact number of bytes being returned. The transmitter should always verify that the number of bytes received matches exactly the number of bytes given in this “Content-Length” header.

In addition to returning acknowledgment files to the transmitter, the Gateway provides a number of feedback responses when files are received. If a transmitter sends a file with normal completion, the Gateway will respond with an acknowledgment receipt, called an Ack-One receipt. A typical example of an Ack-One response is as follows:

```
HTTP/1.1 200 OK  
Content-Type: text/plain  
Content-Length: 231  
Date: Tue, 09 Dec 2003 21:47:19 GMT  
Server: Apache Coyote/1.0
```

Connection: close

Illinois Department of Revenue Acknowledgement One

1. ETIN = 99999
2. TransmissionIDNumber = doc1
3. TransmissionTimeStamp = 12/09/2003 03:47:19 pm
4. FileSize = 97
5. SysFileName = T9999920031209154719146.343

This is the standard response to a successful file transmission and shows the time and date the department received the file. A transmission should not be considered successful unless an Ack-One response is received. The data given shows the received file size and also the value of the "X-Transmit-ID" header, labeled as "TransmissionIDNumber". This value is returned to the transmitter as a convenience in file tracking. Please keep in mind that the Ack-One response only confirms file "receipt" and not file "acceptance". It is the user's responsibility to pick up acknowledgment files at a later time to use to verify if the transaction/s were accepted or rejected.

The Gateway also returns two error responses. In case of an incorrect user I.D. or password, the Gateway will respond with an https status code of "401: Unauthorized" value in the https status code line of the response stream. Likewise, in cases during which some of the department's systems may be down, the Gateway will respond with an https status code of "503: Service Unavailable".

HTTPS Post Utility Program

The Illinois Department of Revenue has an HTTPS Post Utility Program available for use that transfers files to and from the Illinois Department of Revenue's Gateway server via the Internet using Secure Socket Layer (SSL) technology. The utility runs as a stand-alone application. The utility supports both a graphical user interface (GUI) mode of operation, as well as a command line mode suitable for batch processing. Installation consists in copying the executable file, HttpsPost.exe, to an empty directory or folder. For convenience in launching the application in its GUI mode, place shortcuts to the executable on the desktop or in the START menu. Simply launching the executable without command line arguments starts the application in its GUI mode. You can download a free copy at tax.illinois.gov/ElectronicServices/HttpsPost.exe with complete instructions and documentation at tax.illinois.gov/ElectronicServices/HttpsPost.pdf.

Hours of Availability

The Gateway is available to transmitters seven days a week, except from 10:00 p.m. Sunday evening to 2:00 a.m. Monday morning. This system down-time is required for scheduled system maintenance.

Error Recovery/Problems/Backups

Vendors must be able to recreate an entire transmission upon request. Please contact the Department during normal business hours if you are experiencing problems you feel are related to failure of the Department's hardware or software.

If the problem cannot be resolved, you may be required to send the data to the Department by courier on magnetic media or compact disk. This should be in the same format as the Electronic Data Transmissions without encryption and/or PKZIP.

Contact Information

Contact information will be made available to the vendor upon award of the contract.

SECTION IV

File Layouts

Appendix A: EFT File Layouts

Appendix A

EFT DETAIL RECORD						
FIELD NO	FIELD NAME	LENGTH	START POSITION	END POSITION	DESCRIP	COMMENTS
010	RECORD ID	12	1	12	A/N	CONSTANT '*****DBTINIT', '*****DBTPOST', '*****DBTACKD', '*****DBTREVS', '*****DBTENRL' OR '*****DBTENAK'.
020	RECORD CODE	3	13	15	A/N	CONSTANT 'DTL'.
030	FILE CREATE DATE	8	16	23	N	CCYYMMDD, STATIC THROUGH OUT FILE.
040	FILE CREATE TIME	6	24	29	N	HHMMSS, CREATE TIME, HOUR-MINUTE-SECOND, STATIC THROUGH OUT FILE.
050	FTA TAX TYPE	5	30	34	A/N	CODE IDENTIFYING TYPE OF TAX BEING PAID. FOR USE WITH TAX PAYMENT (TXP) BANKING CONVENTIONS.
060	ERROR CODE 1	3	35	37	A/N	RESERVED FOR ACKNOWLEDGMENTREVERSAL, ERROR CODE - SEE REVERSALERROR CODE SHEET FOR VALUE ELSE SPACE FILL.
070	ERROR MESSAGE 1	60	38	97	A/N	RESERVED FOR ACKNOWLEDGMENTREVERSAL, ERROR MESSAGE. IF NONE, SPACE FILL.
080	ERROR CODE 2	3	98	100	A/N	RESERVED FOR ACKNOWLEDGMENTREVERSAL, ERROR CODE - SEE REVERSALERROR CODE SHEET FOR VALUE ELSE SPACE FILL.
090	ERROR MESSAGE 2	60	101	160	A/N	RESERVED FOR ACKNOWLEDGMENTREVERSAL, ERROR MESSAGE. IF NONE, SPACE FILL.
100	ERROR CODE 3	3	161	163	A/N	RESERVED FOR ACKNOWLEDGMENTREVERSAL, ERROR CODE - SEE REVERSALERROR CODE SHEET FOR VALUE ELSE SPACE FILL.
110	ERROR MESSAGE 3	60	164	223	A/N	RESERVED FOR ACKNOWLEDGMENTREVERSAL, ERROR MESSAGE. IF NONE, SPACE FILL.
120	RECORD NUMBER	7	224	230	N	CAN BE USED AS RECORD COUNTER FOR '*****DBTINIT', '*****DBTPOST', '*****DBTACKD', '*****DBTREVS', OR '*****DBTENAK' FILES ELSE ZERO FILL. FOR '*****DBTENRL' ENROLLMENT RECORDS, LOCATOR RECORD ID NUMBER.
130	ACKNOWLEDGMENT RECORD ID	12	231	242	A/N	RESERVED FOR ACKNOWLEDGMENT, RECORD ID (FIELD 010) OF RECORD BEING ACKNOWLEDGED.
140	CREDIT/DEBIT AUTHORIZATION AMOUNT	15	243	257	N	FORMAT 13,2 IMPLIED DECIMAL, RIGHT JUSTIFY, LEFT ZERO FILL. AMOUNT OF PAYMENT. FIELD 140 MUST EQUAL THE SUM OF FIELDS 300 +320 + 340.
						CCYYMMDD, IF IT IS A DEBIT INIT FILE, IT CONTAINS REQUESTED SETTLEMENT DATE, MAY NOT END UP AS THE TRUE SETTLEMENT DATE DUE TO PROBLEMS. IF IT IS A DEBIT POST FILE, IT CONTAINS THE ACTUAL TRUE SETTLEMENT DATE. I.E. THE DATE THE FUNDS WERE DEPOSITED TO STATE BANK ACCOUNT. IF IT IS A DEBIT REV FILE, IT CONTAINS THE AFFECTED DEPOSIT DATE. FOR AN RBI, THE DATE THE FUNDS WERE REMOVED FROM THE STATE'S BANK ACCOUNT. FOR NOC AND PRENOTES, IT CONTAINS THE DEPOSIT DATE THAT WOULD HAVE BEEN AFFECTED IF IT WERE A POST OR RBI, THIS MAY BE BANK'S PROCESSING/RECEIVED DATE. IN ACK FILES, IT CONTAINS THE DATE SENT IN THE FILE THAT THE ACK IS FOR.
150	IDOR REQUESTED DEPOSIT DATE	8	258	265	N	NOTE: EACH FILES MUST ONLY CONTAIN THE RECORDS PERTAINING TO ONE SPECIFIC DEPOSIT DATE.
160	TAX IDENTIFICATION NUMBER	15	266	280	A/N	IBT - ILLINOIS BUSINESS TAX NUMBER, SSN - SOCIAL SECURITY NUMBER + POST, FEIN - FEDERAL IDENTIFICATION NUMBER, MATCHING NUMBER FOR ERT CREDITS OR OTHER ASSIGNED NUMBER IDENTIFYING ORIGINATING TAXPAYER.
170	APE	8	281	288	N	CCYYMMDD, ACCOUNT PERIOD ENDING - APE, VALID CALENDAR DATE OR ZERO FILL.
180	CONFIRMATION NUMBER	14	289	302	A/N	UNIQUE IDENTIFICATION FOR THE TRANSACTION. FOR ACH CREDITS, SPACE FILL. FOR ACH DEBIT, CONFIRMATION NUMBER ASSIGNED BY SOURCE APPLICATION. FOR FEDWIRE, FEDERAL REFERENCE NUMBER (17), TRUNCATE ON LEFT.
190	TAXPAYER BANK ROUTING NUMBER	9	303	311	A/N	TAXPAYER BANK ROUTING NUMBER.
200	TAXPAYER BANK ACCOUNT NUMBER	17	312	328	A/N	TAXPAYER BANK ACCOUNT NUMBER.
210	CHECKING OR SAVINGS INDICATOR	1	329	329	A/N	'C' - CHECKING INDICATOR 'S' - SAVINGS INDICATOR.

220	ACH STANDARD ENTRY CLASS CODE	3	330	332	A/N	'PPP' - PERSONAL INDICATOR 'CCP' - CORPORATE INDICATOR 'TEL' - TELEPHONE INDICATOR 'WEB' - WEB INDICATOR 'IAT' - IAT INDICATOR.
230	NAME ON ACCOUNT	35	333	367	A/N	NAME ON ACCOUNT.
240	PAYMENT METHOD CODE	1	368	368	A/N	'C' - CREDIT 'D' - DEBIT 'F' - FED WIRE 'M' - CREDIT MEMO 'V' - CREDIT CARD.
250	ORIGINATOR PHONE NUMBER	15	369	383	N	ORIGINATOR PHONE NUMBER.
260	BATCH NUMBER	10	384	393	N	RESERVED, ZERO FILL.
	BATCH NUMBER YEAR	2				BATCH NUMBER YEAR.
	BATCH NUMBER JULIAN	3				BATCH NUMBER JULIAN.
	BATCH NUMBER STATION	3				BATCH NUMBER STATION.
	BATCH NUMBER SEQUENCE	2				BATCH NUMBER SEQUENCE.
270	DOCUMENT NUMBER	3	394	396	N	RESERVED, ZERO FILL.
280	EFFECTIVE ENTRY DATE	8	397	404	N	DATE THE PHONE CALL WAS MADE ON IVR PHONE DEBIT SYSTEM ELSE ZERO FILL.
290	AMOUNT TYPE 1	1	405	405	A/N	AMOUNT TYPE 1. IF NONE, SPACE FILL.
300	AMOUNT 1	10	406	415	N	AMOUNT 1. FORMAT 8,2 IMPLIED DECIMAL, RIGHT JUSTIFY, LEFT ZERO FILL, IF NONE, ZERO FILL.
310	AMOUNT TYPE 2	1	416	416	A/N	AMOUNT TYPE 2. IF NONE, SPACE FILL.
320	AMOUNT 2	10	417	426	N	AMOUNT 2. FORMAT 8,2 IMPLIED DECIMAL, RIGHT JUSTIFY, LEFT ZERO FILL, IF NONE, ZERO FILL.
330	AMOUNT TYPE 3	1	427	427	A/N	AMOUNT TYPE 3. IF NONE, SPACE FILL.
340	AMOUNT 3	10	428	437	N	AMOUNT 3. FORMAT 8,2 IMPLIED DECIMAL, RIGHT JUSTIFY, LEFT ZERO FILL, IF NONE, ZERO FILL.
350	MEMO FIELD FOR FEDWIRE\CREDIT\DEBIT ADDENDA INFORMATION	160	438	597	A/N	MEMO FIELD FOR FEDWIRE\CREDIT\DEBIT ADDENDA INFORMATION
360	IAT INDICATOR	1	598	598	A/N	IF FIELD 360 = 'Y' USE 'IAT' FOR IAT INDICATOR FIELD 370 OR IF FIELD 360 = 'N', SPACE FILL FIELD 370. WELLS FARGO WILL USE IAT INDICATOR, FIELD 370 TO INDICATE IAT TRANSACTIONS. FIELD 220 WILL ALSO CONTAIN 'IAT' WHEN FIELD 360 = 'Y'.
370	TRANSACTION TYPE CODE	3	599	601	A/N	IF FIELD 360 = 'Y' USE 'IAT' FOR IAT INDICATOR OR IF FIELD 360 = 'N', SPACE FILL.
380	RECEIVER NAME	35	602	636	A/N	RECEIVER NAME.
390	ORIGINATOR NAME	35	637	671	A/N	ORIGINATOR NAME.
400	ORIGINATOR STREET ADDRESS	35	672	706	A/N	ORIGINATOR STREET ADDRESS.
410	ORIGINATOR CITY	30	707	736	A/N	ORIGINATOR CITY.
420	ORIGINATOR STATE	2	737	738	A/N	ORIGINATOR STATE.
430	ORIGINATOR PROVINCE	3	739	741	A/N	ORIGINATOR PROVINCE.
440	ORIGINATOR COUNTRY	3	742	744	A/N	ORIGINATOR COUNTRY.
450	ORIGINATOR POSTAL CODE	30	745	774	A/N	ORIGINATOR POSTAL CODE.
460	ODFI NAME	35	775	809	A/N	ODFI NAME.
470	ODFI ID	34	810	843	A/N	ODFI ID.

480	ODFI BRANCH COUNTRY CODE	3	844	846	A/N	ODFI BRANCH COUNTRY CODE.
490	RDFI NAME	35	847	881	A/N	RDFI NAME.
500	RDFI ID	34	882	915	A/N	RDFI ID.
510	RDFI BRANCH COUNTRY CODE	3	916	918	A/N	RDFI BRANCH COUNTRY CODE.
520	RECEIVERS ID NUMBER	15	919	933	A/N	RECEIVERS ID NUMBER.
530	RECEIVERS ID STREET ADDRESS	35	934	968	A/N	RECEIVERS ID STREET ADDRESS.
540	RECEIVERS CITY	30	969	998	A/N	RECEIVERS CITY.
550	RECEIVERS STATE	2	999	1000	A/N	RECEIVERS STATE.
560	RECEIVERS PROVINCE	3	1001	1003	A/N	RECEIVERS PROVINCE.
570	RECEIVERS COUNTRY	3	1004	1006	A/N	RECEIVERS COUNTRY.
580	RECEIVERS POSTAL CODE	30	1007	1036	A/N	RECEIVERS POSTAL CODE.
590	RETURNED BANK ITEM BDN	13	1037	1049	N	RESERVED FOR IDOR USE, ZERO FILL. RETURNED BANK ITEM BDN.
600	ADD\CHANGE\DELETE INDICATOR	1	1050	1050	A/N	'A' - ADD 'C' - CHANGE 'D' - DELETE INDICATOR USED FOR EFT ENROLLMENT. SPACE FILL FOR ALL OTHER RECORDS.
610	BANK DATE	8	1051	1058	N	CCYYMMDD, IF IT IS A DEBIT INIT FILE, IT CONTAINS REQUESTED SETTLEMENT DATE, MAY NOT END UP AS THE TRUE SETTLEMENT DATE DUE TO PROBLEMS. IF IT IS A DEBIT POST FILE, IT CONTAINS THE ACTUAL TRUE SETTLEMENT DATE. I.E. THE DATE THE FUNDS WERE DEPOSITED TO STATE BANK ACCOUNT. IF IT IS A DEBIT REV FILE, IT CONTAINS THE AFFECTED DEPOSIT DATE. FOR AN RBI, THE DATE THE FUNDS WERE REMOVED FROM THE STATE'S BANK ACCOUNT. FOR NOC AND PRENOTES, IT CONTAINS THE DEPOSIT DATE THAT WOULD HAVE BEEN AFFECTED IF IT WERE A POST OR REVERSAL, THIS MAY BE BANK'S PROCESSING/RECEIVED DATE. IN ACK FILES, IT CONTAINS THE DATE SENT IN THE FILE THAT THE ACK IS FOR.
620	TRACE NUMBER	40	1059	1098	A/N	NOTE: EACH FILE MUST ONLY CONTAIN THE RECORDS PERTAINING TO ONE SPECIFIC DEPOSIT DATE. TRACE NUMBER ELSE ZERO FILL. FOR ACH CREDIT, ACH TRACE NUMBER. FOR ACH DEBIT, ACH TRACE NUMBER. FOR FEDWIRE, USE WELLS FARGO IDENTIFIER (12) LEFT ZERO FILL.
630	ORIGINATOR EMAIL ADDRESS	60	1099	1158	A/N	ORIGINATOR EMAIL ADDRESS.
640	RECEIVERS PHONE NUMBER	15	1159	1173	N	RECEIVERS PHONE NUMBER.
650	RECEIVERS EMAIL ADDRESS	60	1174	1233	A/N	RECEIVERS EMAIL ADDRESS.
660	CARD TYPE	10	1234	1243	A/N	VISA - VISA MAST - MASTERCARD AMER - AMERICAN EXPRESS DISC - DISCOVER
670	VENDOR NAME	35	1244	1278	A/N	RESERVED, SPACE FILL.
680	INTENDED INITIATION DATE	8	1279	1286	N	CCYYMMDD, DATE PAYMENT SHOULD HAVE BEEN INITIATED
690	SECONDARY TAX IDENTIFICATION NUMBER	15	1287	1301	A/N	IBT - ILLINOIS BUSINESS TAX NUMBER, SSN - SOCIAL SECURITY NUMBER + POST, FEIN - FEDERAL IDENTIFICATION NUMBER, MATCHING NUMBER FOR ERT CREDITS OR OTHER ASSIGNED NUMBER IDENTIFYING ORIGINATING TAXPAYER.
700	IDOR INTERNAL REFERENCE ID	25	1302	1326	A/N	NORMALLY USED FOR EDI TPP07 (REFERENCE ID)
710	RESERVED	92	1327	1418	A/N	RESERVED, SPACE FILL.

220	ACH STANDARD ENTRY CLASS CODE	3	330	332	A/N	'PPP' - PERSONAL INDICATOR 'CCP' - CORPORATE INDICATOR 'TEL' - TELEPHONE INDICATOR 'WEB' - WEB INDICATOR 'IAT' - IAT INDICATOR.
230	NAME ON ACCOUNT	35	333	367	A/N	NAME ON ACCOUNT.
240	PAYMENT METHOD CODE	1	368	368	A/N	'C' - CREDIT 'D' - DEBIT 'F' - FED WIRE 'M' - CREDIT MEMO 'V' - CREDIT CARD.
250	ORIGINATOR PHONE NUMBER	15	369	383	N	ORIGINATOR PHONE NUMBER.
260	BATCH NUMBER	10	384	393	N	RESERVED, ZERO FILL.
	BATCH NUMBER YEAR	2				BATCH NUMBER YEAR.
	BATCH NUMBER JULIAN	3				BATCH NUMBER JULIAN.
	BATCH NUMBER STATION	3				BATCH NUMBER STATION.
	BATCH NUMBER SEQUENCE	2				BATCH NUMBER SEQUENCE.
270	DOCUMENT NUMBER	3	394	396	N	RESERVED, ZERO FILL.
280	EFFECTIVE ENTRY DATE	8	397	404	N	DATE THE PHONE CALL WAS MADE ON IVR PHONE DEBIT SYSTEM ELSE ZERO FILL.
290	AMOUNT TYPE 1	1	405	405	A/N	AMOUNT TYPE 1. IF NONE, SPACE FILL.
300	AMOUNT 1	10	406	415	N	AMOUNT 1. FORMAT 8,2 IMPLIED DECIMAL, RIGHT JUSTIFY, LEFT ZERO FILL, IF NONE, ZERO FILL.
310	AMOUNT TYPE 2	1	416	416	A/N	AMOUNT TYPE 2. IF NONE, SPACE FILL.
320	AMOUNT 2	10	417	426	N	AMOUNT 2. FORMAT 8,2 IMPLIED DECIMAL, RIGHT JUSTIFY, LEFT ZERO FILL, IF NONE, ZERO FILL.
330	AMOUNT TYPE 3	1	427	427	A/N	AMOUNT TYPE 3. IF NONE, SPACE FILL.
340	AMOUNT 3	10	428	437	N	AMOUNT 3. FORMAT 8,2 IMPLIED DECIMAL, RIGHT JUSTIFY, LEFT ZERO FILL, IF NONE, ZERO FILL.
350	MEMO FIELD FOR FEDWIRE\CREDIT\DEBIT ADDENDA INFORMATION	160	438	597	A/N	MEMO FIELD FOR FEDWIRE\CREDIT\DEBIT ADDENDA INFORMATION
360	IAT INDICATOR	1	598	598	A/N	IF FIELD 360 = 'Y' USE 'IAT' FOR IAT INDICATOR FIELD 370 OR IF FIELD 360 = 'N', SPACE FILL FIELD 370. WELLS FARGO WILL USE IAT INDICATOR, FIELD 370 TO INDICATE IAT TRANSACTIONS. FIELD 220 WILL ALSO CONTAIN 'IAT' WHEN FIELD 360 = 'Y'.
370	TRANSACTION TYPE CODE	3	599	601	A/N	IF FIELD 360 = 'Y' USE 'IAT' FOR IAT INDICATOR OR IF FIELD 360 = 'N', SPACE FILL.
380	RECEIVER NAME	35	602	636	A/N	RECEIVER NAME.
390	ORIGINATOR NAME	35	637	671	A/N	ORIGINATOR NAME.
400	ORIGINATOR STREET ADDRESS	35	672	706	A/N	ORIGINATOR STREET ADDRESS.
410	ORIGINATOR CITY	30	707	736	A/N	ORIGINATOR CITY.
420	ORIGINATOR STATE	2	737	738	A/N	ORIGINATOR STATE.
430	ORIGINATOR PROVINCE	3	739	741	A/N	ORIGINATOR PROVINCE.
440	ORIGINATOR COUNTRY	3	742	744	A/N	ORIGINATOR COUNTRY.
450	ORIGINATOR POSTAL CODE	30	745	774	A/N	ORIGINATOR POSTAL CODE.
460	ODFI NAME	35	775	809	A/N	ODFI NAME.
470	ODFI ID	34	810	843	A/N	ODFI ID.

480	ODFI BRANCH COUNTRY CODE	3	844	846	A/N	ODFI BRANCH COUNTRY CODE.
490	RDFI NAME	35	847	881	A/N	RDFI NAME.
500	RDFI ID	34	882	915	A/N	RDFI ID.
510	RDFI BRANCH COUNTRY CODE	3	916	918	A/N	RDFI BRANCH COUNTRY CODE.
520	RECEIVERS ID NUMBER	15	919	933	A/N	RECEIVERS ID NUMBER.
530	RECEIVERS ID STREET ADDRESS	35	934	968	A/N	RECEIVERS ID STREET ADDRESS.
540	RECEIVERS CITY	30	969	998	A/N	RECEIVERS CITY.
550	RECEIVERS STATE	2	999	1000	A/N	RECEIVERS STATE.
560	RECEIVERS PROVINCE	3	1001	1003	A/N	RECEIVERS PROVINCE.
570	RECEIVERS COUNTRY	3	1004	1006	A/N	RECEIVERS COUNTRY.
580	RECEIVERS POSTAL CODE	30	1007	1036	A/N	RECEIVERS POSTAL CODE.
590	RETURNED BANK ITEM BDN	13	1037	1049	N	RESERVED FOR IDOR USE, ZERO FILL. RETURNED BANK ITEM BDN.
600	ADD\CHANGE\DELETE INDICATOR	1	1050	1050	A/N	'A' - ADD 'C' - CHANGE 'D' - DELETE INDICATOR USED FOR EFT ENROLLMENT. SPACE FILL FOR ALL OTHER RECORDS.
610	BANK DATE	8	1051	1058	N	CCYYMMDD, IF IT IS A DEBIT INIT FILE, IT CONTAINS REQUESTED SETTLEMENT DATE, MAY NOT END UP AS THE TRUE SETTLEMENT DATE DUE TO PROBLEMS. IF IT IS A DEBIT POST FILE, IT CONTAINS THE ACTUAL TRUE SETTLEMENT DATE. I.E. THE DATE THE FUNDS WERE DEPOSITED TO STATE BANK ACCOUNT. IF IT IS A DEBIT REV FILE, IT CONTAINS THE AFFECTED DEPOSIT DATE. FOR AN RBI, THE DATE THE FUNDS WERE REMOVED FROM THE STATE'S BANK ACCOUNT. FOR NOC AND PRENOTES, IT CONTAINS THE DEPOSIT DATE THAT WOULD HAVE BEEN AFFECTED IF IT WERE A POST OR REVERSAL, THIS MAY BE BANK'S PROCESSING/RECEIVED DATE. IN ACK FILES, IT CONTAINS THE DATE SENT IN THE FILE THAT THE ACK IS FOR.
620	TRACE NUMBER	40	1059	1098	A/N	NOTE: EACH FILE MUST ONLY CONTAIN THE RECORDS PERTAINING TO ONE SPECIFIC DEPOSIT DATE. TRACE NUMBER ELSE ZERO FILL. FOR ACH CREDIT, ACH TRACE NUMBER. FOR ACH DEBIT, ACH TRACE NUMBER. FOR FEDWIRE, USE WELLS FARGO IDENTIFIER (12) LEFT ZERO FILL.
630	ORIGINATOR EMAIL ADDRESS	60	1099	1158	A/N	ORIGINATOR EMAIL ADDRESS.
640	RECEIVERS PHONE NUMBER	15	1159	1173	N	RECEIVERS PHONE NUMBER.
650	RECEIVERS EMAIL ADDRESS	60	1174	1233	A/N	RECEIVERS EMAIL ADDRESS.
660	CARD TYPE	10	1234	1243	A/N	VISA - VISA MAST - MASTERCARD AMER - AMERICAN EXPRESS DISC - DISCOVER
670	VENDOR NAME	35	1244	1278	A/N	RESERVED, SPACE FILL.
680	INTENDED INITIATION DATE	8	1279	1286	N	CCYYMMDD, DATE PAYMENT SHOULD HAVE BEEN INITIATED
690	SECONDARY TAX IDENTIFICATION NUMBER	15	1287	1301	A/N	IBT - ILLINOIS BUSINESS TAX NUMBER, SSN - SOCIAL SECURITY NUMBER + POST, FEIN - FEDERAL IDENTIFICATION NUMBER, MATCHING NUMBER FOR ERT CREDITS OR OTHER ASSIGNED NUMBER IDENTIFYING ORIGINATING TAXPAYER.
700	IDOR INTERNAL REFERENCE ID	25	1302	1326	A/N	NORMALLY USED FOR EDI TPP07 (REFERENCE ID)
710	RESERVED	92	1327	1418	A/N	RESERVED, SPACE FILL.

SECTION V

IVR PHONE SCRIPT AND WORKSHEET*

* The IVR vendor will be required to create specific edits per tax type in regards to taxpayer IDs, account types, and account periods as described in the IVR phone script and worksheet documents (Form EFT-10 & EFT-11). Note: Payment type IL-1023-C and IL-1023-CES are no longer supported however still reflected on Form EFT-11; accompanying spreadsheet should be used for actual IVR payment types currently supported.



Illinois Department of Revenue EFT-10 Electronic



For your payment to be received on your **business banking day before** 11:30 a.m. Hawaii; 12:30 p.m. Alaska



Call **1 888 453-6789** to update your information. Do **not** call the Illinois Department of Revenue for technical assistance.

Note: Before you call, complete your payment information.

IVR Phone Script Worksheets

1 You dial the toll-free number.

System responds "Welcome to the EFT-10 touch-tone menu."

You press **1**

System responds "To exit the system, press 9."

System prompts **2** "Please enter your account number."

You enter your account number.
Or, enter your account number.
Or, enter your account number.

System prompts **3** "Enter your PIN."

You enter your PIN.

System prompts **4** "Enter your payment amount."

You enter your payment amount.

System prompts **5** "To make your payment, press 1. To make a payment, press 2. To make a payment, press 3."

You press **1** #
Or, press **2** #
Or, press **3** #

If you pressed 1, system prompts **6** "Enter your tax ID number."

You enter your tax ID number.

System prompts **7** "Enter your account type."

You enter the account type.

System prompts **8** "You have entered your payment information. Press 1 to exit, or press 2 to continue."

You press **1** #
Or, press **2** #
Or, press **3** #

System prompts **9** "Enter your account number."

You enter the account number.

If you pressed 1, system prompts **10** "Payment successful. Repeat the process for other accounts."

You write down your account number.

System prompts **11** "To disconnect, press 2."

You hang up the phone.
Or, press **2** #

EFT-10 front (R-9/10)
IL-492-3743



EFT-10 Electronic Funds Transfer Payment System Phone Script (Operator-Assisted)

If you are on a rotary phone or you pressed 2 in Step 5 on Page 1, operator responds,

1 "Welcome to the Illinois Electronic Funds Transfer System. This is (says operator ID). May I have your Illinois EFT ID?"

You	tell the operator your Illinois EFT identification number from your EFT-11 worksheet.
Operator responds,	2 "What is your password?"
You	tell the operator your password.
Operator responds,	3 "What is your three-to-five digit tax type code?"
You	tell the operator your tax type code.
Operator responds,	4 "Will this be a payment, cancellation, inquiry, or password change?"
You	tell the operator which option you want.

Payment

If you are making a payment, the operator will follow the script on Page 1, beginning with Step 6.

Cancellation

If you are canceling a payment, the operator will use this script.

Operator responds,	5 "What is the confirmation number of the payment you wish to cancel?"
You	tell the operator the confirmation number. <i>(Your confirmation number allows the operator to have access to the transaction information stored on the system.)</i>
Operator responds,	6 <i>(First, the operator will repeat all transaction information, including the payment amount, for the confirmation number you provide.)</i> "Is this the payment you wish to cancel?"
You respond	"Yes," if that is the payment you want to cancel.
Or	"No," if that is not the correct payment — operator will verify the confirmation number.
Operator responds,	7 "Are you certain you wish to cancel this payment?"
You respond	"Yes."
Operator responds,	8 "Your payment has been cancelled. Is there anything else I can help you with?"

Password Change

If you are changing your password, the operator will use this script.

Operator responds,	5 "May I have your new password?"
You	tell the operator your new password (must be four numeric characters).
Operator responds,	6 "Please repeat it a second time for verification."
You	repeat your new password.
Operator responds,	7 "Your new password has been accepted. Please make a note of it for future use. Is there anything else I can help you with?"

Inquiry

The time during which you may inquire about a payment transaction is limited.

Operators can provide information about a payment transaction from the date you complete your call until seven days after the date your payment is due. After that time, operators will refer you to the Illinois Department of Revenue.

If you have trouble making your payment with the payment center, please call us weekdays between 8 a.m. and 5 p.m. at 1 800 732-8866 or 217 782-3336; or call the TDD - telecommunications device for the deaf at 1 800 544-5304.



EFT-11 Electronic Funds Transfer Payment System Worksheet (Audio response and operator-assisted)



In order for your payment to be received **on time**, you must complete your call **no later than 3:30 p.m. central time*** on or before the last business banking day before the due date.

*11:30 a.m. Hawaii	1:30 p.m. Pacific time	4:30 p.m. Eastern time
12:30 p.m. Alaska	2:30 p.m. Mountain time	5:30 p.m. Atlantic time



Complete the worksheet below before placing your call.

Dial 1 888 453-6789 to use the Electronic Funds Transfer Payment System. Calls may be placed 24 hours a day, 365 days per year. We recommend that you make copies of this worksheet for future use.

Electronic Funds Transfer Payment System Worksheet

◆ **Illinois EFT identification number** Write your Illinois EFT identification number. You can find this number on your registration acceptance letter. It will be one of the following three options.

Withholding income tax and business income taxes

Your EFT ID number is your nine-digit federal employer identification number (FEIN), three-digit sequence number, and one-number check digit.

____ - ____ - ____ - ____ - ____ - ____ - ____ - ____ - ____ (FEIN +4)

Or

Sales, use, and excise taxes

Your EFT ID number is your eight-digit account ID number.

____ - ____ - ____ - ____ - ____ - ____ - ____ - ____ (account ID)

Or

Individual income taxes

Your EFT ID number is your nine-digit Social Security number (SSN).

____ - ____ - ____ - ____ - ____ - ____ - ____ - ____ - ____ (SSN)

◆ **Password** A temporary password "0000" is assigned to first-time callers. You must establish your new password before making a payment by calling 1 888 453-6789. To change your password, follow the instructions on the EFT-10, Electronic Funds Transfer Payment System Phone Script. Your password must be four numeric characters.

____ - ____ - ____ - ____ Write your new four-digit password.

◆ **Tax type code** Write your three, four, or five-digit tax type code. See the chart on the back for your tax type code.

____ - ____ - ____ - ____

◆ **Last day of tax liability period** Write, in MMDDYY format, the last day of your tax liability period, **not** your return due date. See the chart on the back for the last day of your tax period.

____ / ____ / ____

◆ **Payment amount** \$ _____ Write the payment amount in dollars and cents.

◆ **Debit date** Write, in MMDDYY format, the date you want your account debited.

____ / ____ / ____

◆ **Confirmation number** Write the confirmation number you receive from this call. To cancel a payment, use the confirmation number you received when that payment was accepted. Then, follow the instructions on Page 2 of Form EFT-10.
(Write your confirmation number) _____

Chart for Electronic Payments by Phone: Tax Type Codes and Tax Liability Period Ending Dates

Section 1: Tax return payments (payments only)

Note: Making a payment through EFT does not eliminate your requirement to file your return.

<i>Tax return form number</i>	<i>Tax return name</i>	<i>Taxpayer ID</i>	<i>Tax type code</i>	<i>Last day of tax liability period</i>
ART-1	Automobile Renting Occupation and Use Tax Return	Account ID	04730	Last day of month or year
CMFT-1	County Motor Fuel Tax Return	Account ID	056	Last day of month, quarter, or year
ICT-4	Electricity Distribution and Invested Capital Tax Return	Account ID	15041	Last day of year
IL-941	Illinois Withholding Income Tax Return	FEIN plus 4	01141	Last day of quarter or year
IL-990-T	Exempt Organization Income and Replacement Tax Return	FEIN plus 4	02090	Last day of year
IL-1023-C	Composite Income and Replacement Tax Return	FEIN plus 4	02023	Last day of year
IL-1041	Fiduciary Income and Replacement Tax Return	FEIN plus 4	02041	Last day of year
IL-1065	Partnership Replacement Tax Return	FEIN plus 4	02065	Last day of year
IL-1120	Corporation Income and Replacement Tax Return	FEIN plus 4	02020	Last day of year
IL-1120-ST	Small Business Corporation Replacement Tax Return	FEIN plus 4	02030	Last day of year
PST-1	Prepaid Sales Tax Return	Account ID	0421	Last day of month
RG-1	Gas Tax Return	Account ID	15011	Last day of month, quarter, or year
RHM-1	Hotel Operators' Occupation Tax Return	Account ID	074	Last day of month or year
RL-26	Liquor Revenue Return	Account ID	06010	Last day of month
RL-26-A	Liquor Revenue Airline Return	Account ID	06020	Last day of month
RPU-13	Electricity Excise Tax Return	Account ID	15021	Last day of month, quarter, or year
RT-10	Telecommunications Infrastructure Maintenance Fees Return	Account ID	15051	Last day of month or quarter
RT-2	Telecommunications Tax Return	Account ID	15031	Last day of month, quarter, or year
ST-1	Sales and Use Tax Return	Account ID	0411	Last day of month, quarter, or year
ST-4	Metropolitan Pier and Exposition Authority (MPEA) Food and Beverage Tax Return	Account ID	04230	Last day of month, quarter, or year
ST-14	Chicago Home Rule Municipal Soft Drink Retailers' Occupation Tax Return	Account ID	076	Last day of month, quarter, or year
TP-1	Tobacco Products Tax Return	Account ID	073	Last day of month

Section 2: Estimated, quarter-monthly, and withholding tax payments

Note: Do not mail payment voucher or coupon forms, including extension vouchers.

<i>Voucher or coupon form number</i>	<i>Voucher or coupon name</i>	<i>Taxpayer ID</i>	<i>Tax type code</i>	<i>Last day of tax liability period</i>
ICT-1	Electricity Distribution and Invested Capital Tax Estimated Payment	Account ID	15042	Last day of year
IL-1023-CES	Composite Estimated Tax Payments for Partners and Shareholders	FEIN plus 4	021	Last day of year
IL-1040-ES	Estimated Income Tax Payments for Individuals	SSN	012	Last day of year
IL-1120-ES	Estimated Income and Replacement Tax Payments for Corporations	FEIN plus 4	021	Last day of year
IL-501	Payment Coupon (IL-941, IL Withholding Inc. Tax)	FEIN plus 4	0112	Last day of quarter or year
IL-505-B	Automatic Extension Payment (business)	FEIN plus 4	0231	Last day of year
IL-505-I	Automatic Extension Payment (individual)	SSN	014	Last day of year
PST-3	Prepaid Sales Tax Quarter-monthly Payment	Account ID	0422	Last day of month
RPU-50	Public Utility Quarter-monthly Payment (gas)	Account ID	15012	Last day of month
RPU-50	Public Utility Quarter-monthly Payment (telecom.)	Account ID	15032	Last day of month
RPU-50	Public Utility Quarter-monthly Payment (electric)	Account ID	15022	Last day of month
RR-3	Sales and Use Tax Quarter-monthly Tax Payment	Account ID	0412	Last day of month

EFT-11 back (R-9/10)

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%¹

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

¹ 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*Averge Ledger Balance\
AMT*FL*Averge Float\
AMT*AC*.Averge 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*Averge 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



The Illinois State Treasurer's Office **Investment Policy Statement for the State Investment Portfolio**

1.0 POLICY:

Under this instrument, the Illinois State Treasurer's Investment Policy ("Policy"), it is the policy of the Illinois State Treasurer's Office ("Treasurer") to invest all funds under its control in a manner that provides the highest investment return using authorized instruments and supports community development efforts while meeting the State's daily cash flow demands in conformance with all state statutes governing the investment of public funds.

This Policy applies to all investments entered into on or after the adoption of this instrument. Until the expiration of investments made prior to the adoption of this Policy, such investments will continue to be governed by the policies in effect at the time such investments were made.

This Policy applies to any investment under the control of the Treasurer for which no other specific investment policy exists.

2.0 OBJECTIVE:

The primary objective in the investment of state funds is to ensure the safety of principal, while managing liquidity to pay the financial obligations of the State, and providing the highest investment return using authorized instruments.

2.1 SAFETY:

The safety of principal is the foremost objective of the investment program. State investments shall be undertaken in a manner that seeks to ensure the preservation of capital in the portfolio. To achieve this objective, diversification, as defined in Section 8.0 of this Policy, is required to ensure that the Treasurer prudently manages market, interest rate and credit risks.

2.2 LIQUIDITY:

The investment portfolio shall remain sufficiently liquid to enable the State to meet all operating requirements that might be reasonably projected.

2.3 RETURN ON INVESTMENT:

The safety of principal and the availability of sufficient liquidity are the foremost objectives of the investment program. The investment portfolio shall be designed to obtain the highest available return given the foremost objectives. The Director of the State Portfolio and Banking shall seek to obtain the highest available return using authorized investments during budgetary and economic cycles as mandated in Section 1.0 of this Policy. When the Treasurer deposits funds in support of community development efforts, the rate of return shall include benefits other than direct investment income as authorized by Section 7 of the Deposit of State Moneys Act (15 ILCS 520/7).

The rate of return achieved on the Treasurer's portfolio is measured at regular intervals against relevant industry benchmarks established by the Investment Policy Committee (see Section 2.5 of this

Policy), to determine the effectiveness of investment decisions in meeting investment goals. Benchmarks shall be reviewed at a minimum of every two years to ensure accuracy and relevance.

2.4 SOCIALLY RESPONSIBLE INVESTING

Consistent with achieving the foremost investment objectives of the Treasurer set forth herein, the Treasurer's Office shall prudently exercise ethical and social stewardship in its investment decision-making as the Treasurer aspires to contribute to a more just, accountable and sustainable State of Illinois.

This Policy shall be implemented within a framework predicated on:

1. Integration of environmental, social and governance (ESG) factors as components of investment decision-making, due diligence and risk management given that these intangible factors may have a material financial impact as well as non-financial impacts;
2. Regular evaluation of ESG factors to ensure the factors are relevant to the Treasurer's investment portfolio and the evolving marketplace;
3. Attentive oversight of investment holdings to encourage the advancement of ESG through engagement with entities such as funds, companies, government bodies, and other organizations and to move the marketplace toward more socially responsible investment practices; and
4. Consideration of long-term sustainability and regulatory and reputational risks in addition to the current return environment in investment decision-making.

The Treasurer shall develop criteria for socially responsible investing that may pertain to particular products, funds, companies or government bodies, which shall be provided to internal and external investment managers to factor into their investment decision-making. The criteria for socially responsible investing shall be reviewed and updated every two (2) years at a minimum to ensure consistency within the rapidly changing definition of socially responsible investing.

The portfolio's investment officers shall endeavor to identify and select authorized investment options that meet the Treasurer's criteria for socially responsible investing and are within the framework of the investment objectives.

2.5 INVESTMENT POLICY COMMITTEE:

The Investment Policy Committee is chaired by the Treasurer and includes the following members of the Treasurer's office staff: Deputy Treasurer, Chief of Staff, Chief Investment Officer, Chief Policy and Programs Officer, General Counsel, Director of the Division of Accounting/Budget/Warrant, Director of the Division of State Portfolio and Banking, Portfolio Manager and Director of Portfolio Operations – Illinois Funds, Director of the Division of Illinois Funds and E-Pay Operations, Portfolio Investments & Cash Management Officer, and anyone else deemed appropriate by the Treasurer.

The Chief Investment Officer, who bears responsibility for the administration, planning, development and implementation of all financial and investment strategies per the direction of the Treasurer, shall assist the Treasurer in executing the duties and activities of the Investment Policy Committee.

3.0 ETHICS AND CONFLICTS OF INTEREST:

Authorized investment officers and employees in policy-making positions shall refrain from personal business activity that could conflict, or give the appearance of a conflict, with proper execution of the investment program, or that could impair their ability to make impartial investment decisions. Such individuals shall disclose to the Treasurer any material financial interests in financial institutions that conduct business within the State, and they shall further disclose any personal financial investment positions that could be related to the performance of the investment portfolio. In addition, such individuals shall subordinate their personal investment transactions to those of the investment portfolio, particularly with regard to the time of purchases and sales.

4.0 AUTHORIZED BROKERS/DEALERS AND FINANCIAL INSTITUTIONS:

A list shall be maintained of approved financial institutions, which shall be utilized by authorized investment officers. No state funds may be deposited in any financial institution until receipt of a current satisfactory or outstanding rating under the Community Reinvestment Act of 1977 and investment officers have conducted a safety and soundness review of the financial institution by consulting various bank rating services, unless the financial institution has not yet been rated by the bank rating services, in which case the institution may be eligible for a deposit that at maturity will not exceed \$250,000. The amount and duration of deposits shall be based on the safety and soundness review in accordance with guidelines established by the Investment Policy Committee and the diversification limits set forth in Section 8.0 of this Policy. Furthermore, the financial institution's record and current level of financial commitment to its local community will be considered when deciding whether to deposit state funds in that financial institution. No public deposit may be made except in a qualified public depository as defined by the Deposit of State Moneys Act (15 ILCS 520/et seq.).

In addition, a list shall be maintained of approved security brokers/dealers selected according to their creditworthiness, and their financial significance in the state, which shall be measured in terms of the location of the broker/dealer's corporate office, the number of full-time employees, the size of its payroll, or the extent that the broker/dealer has an economic presence in the state. The list may include "primary" dealers or regional dealers who qualify under Securities and Exchange Commission Rule 17 CFR § 15Cc3-1 (Net Capital Requirements for Brokers or Dealers).

All broker/dealers that wish to qualify to bid for investment transactions shall initially, and on a periodic basis upon request, provide to the Treasurer's credit review staff the following, where applicable:

- a)** Audited financial statements or a published Statement of Condition;
- b)** Proof of minority-, woman-, disabled-, and/or veteran-owned or -managed broker/dealer status;
- c)** A signed copy of the Treasurer's trading authorization;
- d)** Proof of State of Illinois registration;
- e)** Proof of registration with the Securities and Exchange Commission;
- f)** Completed Broker/Dealer and Authorized Counterparty Questionnaire;
- g)** Certification of notice and knowledge of this Policy; and
- h)** Any other documentation determined necessary by the Treasurer.

To the greatest extent feasible within the bounds of financial and fiduciary prudence, it is the policy of the Treasurer to remove any barriers to the full participation in investment transactions afforded via the investment program by actively identifying and considering for hire brokers/dealers that provide proof of minority-, female-, disabled-, and/or veteran-owned or -managed status. The Treasurer's Office shall establish a process by which said specially claimed statuses are verified, and a review shall be conducted at fixed intervals to ensure that special statuses continue to apply.

The Treasurer's Office shall seek to accord preference to qualified brokers/dealers that provide proof that their corporate headquarters is located in the State of Illinois. In doing so, the Treasurer's Office shall establish a process to verify the location of broker/dealers' corporate headquarters, and a review shall be conducted at fixed intervals to ensure that the Illinois-based location continues to apply.

An annual review of the financial condition and registration of qualified bidders will be conducted by the Treasurer's authorized investment officer(s). More frequent reviews may be conducted if warranted.

To the extent that the Investment Policy Committee deems it advisable to hire external investment consultants, it may do so in accordance with the procurement rules at 44 Ill. Adm. Code 1400.

5.0 AUTHORIZED AND SUITABLE INVESTMENTS:

The Treasurer has authorized the following types of investments subject to the provisions of the Deposit of State Moneys Act (15 ILCS 520) and the Public Funds Investment Act (30 ILCS 235):

- a)** Securities that are guaranteed by the full faith and credit of the United States of America ("United States") as to principal and interest;
- b)** Obligations of agencies and instrumentalities of the United States as originally issued by the agencies and instrumentalities; For purposes of this Section, the term "agencies and instrumentalities of the United States" includes: federal land banks, federal intermediate credit banks, banks for cooperative, federal farm credit banks, or any other entity authorized to issue debt obligations under the Farm Credit Act of 1971, and Acts amendatory thereto; the federal home loan banks and the federal home loan mortgage corporation; and any other agency created by Act of Congress and issues dollar-denominated debt;
- c)** Interest-bearing savings accounts, interest-bearing certificates of deposit, or interest-bearing time deposits of a bank as defined by Section 2 of the Illinois Banking Act (205 ILCS 5/2);
- d)** Interest-bearing accounts or certificates of deposit of any savings and loan association incorporated under the laws of the State of Illinois, any other state, or the United States;
- e)** Interest-bearing accounts for the deposit of funds in support of local community development efforts;
- f)** Dividend-bearing share accounts, share certificate accounts, or class of share accounts of a credit union chartered under the laws of the State of Illinois or the United States, which maintains its principal office in the State of Illinois;
- g)** Commercial paper of a corporation or a limited liability company that is organized in the United States with assets exceeding \$500,000,000 and is rated at the time of purchase at one of the two highest classifications established by at least two standard rating services;
- h)** Money market mutual funds registered under the Investment Company Act of 1940 (15 U.S.C.A. § 80a-1 et seq.) and rated at the highest classification of at least one standard rating service;
- i)** The Illinois Funds created under Section 17 of the State Treasurer Act (15 ILCS 505/17);
- j)** Repurchase agreements of government securities having the meaning set out in the Government Securities Act of 1986 (1 U.S.C.A. § 78o-5);
- k)** Interest-bearing bonds, at a price not to exceed par, issued by counties or municipal corporations of the State of Illinois, whether the interest earned thereon is taxable or tax-exempt under federal law. The bonds shall be registered in the name of the State of Illinois or held under a custodial agreement at a financial institution. The bonds shall be rated, at the time of purchase, within four intermediate credit ratings of the United States' sovereign credit rating by at least one accredited rating agency with nationally recognized expertise in rating bonds of states and their political subdivisions, but not less than an A- rating, or equivalent rating. The maturity or pre-refunded date(s) of the bonds authorized by this subsection shall, at the time of purchase, not exceed 10 years; provided that a longer maturity is authorized if the State of Illinois has a put option to tender the bonds within 10 years from the date of purchase;
- l)** Securities of a foreign government that are guaranteed by the full faith and credit of that government as to principal and interest and rated A or higher by at least two of the standard rating services, but only if the foreign government has not defaulted and has met its payment obligations in a timely manner on all similar obligations for at least 25 years prior to the time of acquiring those obligations;

- m)** Investments made in accordance with the Technology Development Act (30 ILCS 265/1 et seq.);
- n)** The Treasurer may lend any securities acquired under this policy. However, securities may be lent under this Policy only in accordance with Federal Financial Institution Examination Council guideline and only if the securities are collateralized at a level sufficient to assure the safety of the securities, taking into account market value fluctuation. The securities may be collateralized by cash or collateral acceptable under Sections 11 and 11.1 of the Deposit of State Moneys Act. Securities lending cash collateral may be invested according to the Securities Lending Agreement between the Treasurer and the Treasurer's Agent; and
- o)** Obligations of either corporations or limited liability companies organized in the United States, that have a significant presence in the State of Illinois, with assets exceeding \$500,000,000 and is rated at the time of purchase at one of the three highest classifications established by at least two standard rating services. At the time of purchase, the maturity or pre-refunded date(s) of the obligations authorized by this subsection shall not be less than 270 days and shall not exceed five years.

6.0 INVESTMENTS RESTRICTIONS:

- a)** Any investments not authorized by this or any other investment policy or applicable law of the office are prohibited.
- b)** Repurchase agreements may only be executed with approved financial institutions or broker/dealers meeting the Treasurer's standards, which include mutual execution of a Master Repurchase Agreement adopted by the Treasurer.
- c)** All qualified repurchase agreement dealers must have a corporate headquarters, corporate office, or operating location in the State of Illinois and that location must retain full-time staff employed within the State of Illinois or the dealer must have a significant economic presence in the State of Illinois as determined by the Treasurer;
- d)** All qualified commercial paper issuers must have a corporate headquarters, corporate office, or operating location in the State of Illinois and that location must retain full-time staff employed within the State of Illinois or the issuer must have a significant economic presence in the State of Illinois as determined by the Treasurer;
- e)** All qualified corporate bond issuers must have a corporate headquarters, corporate office, or operating location in the State of Illinois and that location must retain full-time staff employed within the State of Illinois or the issuer must have a significant economic presence in the State of Illinois as determined by the Treasurer;
- f)** Investments may not be made in any savings and loan association unless a commitment by the savings and loan association, executed by the president or chief executive officer of that association, is submitted in the form required by Section 22.5 of the Deposit of State Moneys Act (15 ILCS 520/22.5).
- g)** Any investments prohibited by Section 22.6 of the Deposit of State Monies Act.
- h)** Asset-backed commercial paper is prohibited.
- i)** Commercial paper with a credit rating or evaluation that is derived from any factor other than the full faith and credit of the issuing institution and/or the guarantee of the parent company.
- j)** Obligations may not be purchased from a corporation or limited liability company that has been placed on the list of restricted companies by the Illinois Investment Policy Board under Section 1-110.16 of the Illinois Pension Code.

k) The authorization of the Treasurer to invest in new obligations under Section 5.0(o) of this Policy shall expire on June 30, 2019.

7.0 COLLATERALIZATION:

a) All State deposits, repurchase agreements and securities lending shall be secured as required by the Treasurer and provided for by the Deposit of State Moneys Act (15 ILCS 520) and the Treasurer's Acceptable Collateral Listing, which may change from time to time. The Treasurer may take possession and title to any securities held as collateral and hold such securities until it is prudent to dispose of them.

b) Securities lending cash or securities collateral shall have the meaning as set forth in the Securities Lending Agreement between the Treasurer and the Treasurer's Agent. The Treasurer's Agent may reinvest cash collateral as indicated in the Securities Lending Agreement. The Treasurer or Treasurer's Agent may take possession and title to any cash or securities held as collateral and hold such securities according to the Securities Lending Agreement.

8.0 DIVERSIFICATION:

The investment portfolio shall be diversified to mitigate the risk of loss resulting from concentration of assets in a specific maturity, a specific issuer or a specific class of securities. In order to properly manage any risk attendant to the investment of state assets, the portfolio shall not deviate from the following diversification guidelines unless specifically authorized by the Treasurer in writing:

a) The Treasurer shall seek to achieve diversification in the portfolio by distributing investments among authorized investment categories among financial institutions, issuers and broker/dealers.

b) The investment portfolio shall not hold time deposits and/or term repurchase agreements that constitute more than 15% of any single financial institution's total deposits. Any deposits and/or repurchase agreements that constitute more than 10% of an institution's total deposits must qualify as community development deposits described in Section 7 of the Deposit of State Moneys Act (15 ILCS 520/7).

c) No financial institution shall at any time hold more than \$100,000,000 of time deposits and/or term repurchase agreements other than community development deposits described in Section 7 of the Deposit of State Moneys Act (15 ILCS 520/7). Provided, however, that:

i. Financial institutions that, as a result of a merger or acquisition, hold deposits that exceed \$100,000,000.00 may continue to be eligible to hold deposits that do not exceed the amount of deposits held on the date of the merger or acquisition.

d) The investment portfolio shall not contain investments that exceed the following diversification limits. These limits will apply to the total assets in the portfolio at the time of the origination or purchase. As maturities and or calls of instruments occur these limits will be monitored and adjusted accordingly:

i. With the exception of cash equivalents, treasury securities and time deposits, as defined in Section 5.0 of this Policy, no more than 55% of the portfolio shall be invested in other investment categories;

ii. No more than one-third of the investment portfolio shall be invested in commercial paper;

iii. As much as 40% of the portfolio may be invested in time deposits when required by the cash flow of the State;

iv. No more than ½ of 1% of the investment portfolio shall be invested in Foreign Government Securities, not to exceed a five year maturity, as defined in Section 5.0(k) of this Policy;

v. No more than 55% of the investment portfolio shall be allocated to investments greater than 2 years and less than or equal to 3 years;

vi. No more than 30% of the investment portfolio shall be allocated to investments greater than 3 years and less than or equal to 4 years (not including Foreign Government Securities).

vii. No more than 15% of the investment portfolio shall be allocated to investments greater than 4 years and less than or equal to 5 years;

viii. There shall be no limit to the amount of investment portfolio allocated to investments with a 0-2 year maturity band; and

ix. No more than 5% of the investment portfolio shall be invested in obligations of corporations or limited liability companies as defined by Section 5.0(o) of this Policy.

e) The investment portfolio shall not hold obligations of corporations or limited liability companies that exceed 10% of the corporation's or the limited liability company's outstanding obligations.

9.0 CUSTODY AND SAFEKEEPING:

The custody and safekeeping of collateral will be handled by Illinois financial institutions selected in compliance with the Treasurer's office procurement rules at 44 Ill. Adm. Code 1400. Financial institutions selected by the Treasurer's office to perform custody and safekeeping services will be required to enter into a contractual agreement approved by the General Counsel.

All security transactions entered into by the Treasurer shall be conducted on a delivery-versus-payment (DVP) or receipt-versus-payment (RVP) basis. Securities shall be held by a safekeeping agent designated by the Treasurer, and evidenced by safekeeping receipts or a statement of holdings.

10.0 INTERNAL CONTROLS:

The Treasurer and the Chief Investment Officer, with the assistance of the Investment Policy Committee, shall establish a system of internal controls and written operational procedures that shall be documented and filed with Treasurer's Chief Internal Auditor for review. The controls shall be designed to prevent the loss of public funds arising from fraud, employee error, and misrepresentation by third parties, unanticipated changes in financial markets or imprudent actions by authorized investment officers.

a) Asset Allocation: The allocation of assets within investment categories authorized under Section 5.0 of this Policy shall be approved by the Treasurer in writing.

b) Competitive Bidding: Authorized investment officers shall obtain competitive bids from at least three (3) broker/dealers prior to executing the purchase or sale of any authorized investments. Reverse inquiry investments and investments of a new issue at issue are exempt from this provision.

Certificates of deposit shall be purchased by authorized investment officers on the basis of a qualified financial institution's ability to pay a required rate of interest to the Treasurer, which is established on a daily basis. Such rate is generally determined on the basis of treasury or other appropriate market rates for a comparable term.

11.0 LIMITATION OF LIABILITY:

The standard of prudence to be used by authorized investment officers shall be the "prudent person" standard and shall be applied in the context of managing an overall portfolio. Authorized investment officers acting in accordance with written procedures and this Policy and exercising due diligence will be relieved of personal liability for an individual security's credit risk or market price changes,

provided deviations from expectations are reported in a timely manner and necessary action is taken to control adverse developments.

12.0 REPORTING:

Monthly reports are presented by the Chief Investment Officer to the Investment Policy Committee, chaired by the Treasurer, for its review. The monthly report shall contain sufficient information to enable the Investment Policy Committee to review the investment portfolio, its effectiveness in meeting the needs of the Treasurer's office for safety, liquidity, rate of return, and diversification, and the general performance of the portfolio. The following information shall be included in the monthly reports:

- a)** The total amount of funds held by the State Treasurer;
- b)** The asset allocation for the investments made by the State Treasurer;
- c)** The benchmarks established by the State Treasurer;
- d)** A report detailing and summarizing deposits of funds in support of local community development efforts including the intended benefits of the deposit(s), the rate of interest on the deposit(s), the rate of interest on the loan or extension of credit to borrower(s), and the overall rate of return including a quantifiable measure related to the benefits;
- e)** Current and historic return information;
- f)** Any circumstances resulting in a deviation from the standards established in Section 8.0 of this Policy; and
- g)** Impact of any material change in investment policy adopted during the month.

The Treasurer shall develop performance reports in compliance with established industry reporting standards within six (6) months following the adoption of this Investment Policy. Such reporting standards shall be in accordance with Generally Accepted Accounting Principles ("GAAP").

The Treasurer reserves the right to amend this Policy at any time.

13.0 EXTERNAL ADVISORY COMMITTEE

The Investment Policy Committee may convene an External Advisory Committee at the direction of the Treasurer to provide independent advice and counsel to the Treasurer and the Internal Committee on investment policy, investments and investment related issues for the benefit of all Illinois citizens.

14.0 EMERGENCY POWERS

In the event of an emergency, the Treasurer may, at his or her discretion, invoke emergency powers and suspend any or all of the provisions of this policy provided that:

- a)** The Treasurer shall, even in the event that emergency powers are invoked, comply with all state statutes governing the use and investment of state monies including, but not limited to, the State Treasurer Act, the Treasurer as Custodian of Funds Act, the Deposit of State Moneys Act, the Securities Safekeeping Act, and any other applicable statute;
- b)** The Treasurer reasonably believes that deviating from the Investment Policy is in the best interest of the taxpayers;

c) Within 30 days of invoking emergency powers the Treasurer shall provide an explanation in writing to the Chief Internal Auditor and the Investment Policy Committee, a copy of which shall be posted on the Treasurer's website that includes:

- i. The date and time that the emergency powers were invoked;
- ii. The date and time that emergency powers were repealed;
- iii. The section or sections of the Investment Policy that were affected by the emergency or use of emergency powers; and
- iv. The reason for invoking emergency powers resulting in the deviation from the written investment policy.

15.0 All statutory references in this policy shall include any amendments to or repeals of those statutes.

Appendix J

1

Proposed Cost Structure

<u>Description</u>	<u>TMA Code</u>	<u>Unit</u>	<u>Average Monthly Volume</u>	<u>Proposed Item Cost</u>	<u>Total Proposed Per Item 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	1		\$0.00
Debits Posted	01-0100	Item	74		\$0.00
ACH Settlement Debit	01-0100	Batch			\$0.00
Credits Posted	01-0101	Item	194,072		\$0.00
ACH Settlement Credit	01-0101	Batch			\$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
ACH Maintenance	25-0000	Account	1		\$0.00
ACH Debit Originated	25-0100	Item			\$0.00
ACH Credits Originated	25-0101	Item			\$0.00
ACH Originated Debit/Credit	25-0102	Item	11,030		\$0.00
ACH Addenda Originated	25-0120	Item	10,955		\$0.00
ACH Debit Prenotes Originated	25-0130	Item			\$0.00
ACH Network Fee Credit	25-0140	Item			\$0.00
ACH Network Fee Debit	25-0140	Item			\$0.00
ACH Premium Cycle Surcharge	25-0140	Item			\$0.00
ACH Debits Received	25-0200	Item			\$0.00
ACH Credits Received	25-0201	Item			\$0.00
ACH Received Debit/Credit	25-0202	Item	194,546		\$0.00
ACH Addenda Received	25-0220	Item			\$0.00
ACH Return Item Debit	25-0300	Item			\$0.00
ACH Return Item Credit	25-0301	Item			\$0.00
ACH Return Item Debit/Credit	25-0302	Item	9,793		\$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	153		\$0.00
ACH Return Item Notification	25-0400	Per Company ID	2		\$0.00
ACH Return Item Notification	25-0400	Item	1,106		\$0.00
ACH Return Transmission	25-0402	Item			\$0.00
ACH Input Automated Transmission	25-0501	File	43		\$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			\$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	21		\$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-Investigation	25-1010	Item	8		\$0.00
Debit Authorization Return	25-1050	Monthly	1		\$0.00
Debit Authorization Return	25-1050	Item	4		\$0.00
ACH Account Block	25-1052	Monthly	1		\$0.00
Debit Authorization Exception	25-1053	Item			\$0.00
ACH Account Filters	25-1056	Account	1		\$0.00
Special ACH Services-Notification of Change-Auto	25-1070	Item	560		\$0.00
Special ACH Services-Review for Notification of Change	25-1070	Item	405,429		\$0.00
Tax Payer Debit Initiator Vendor	26-0610	Monthly Pass Through	See Below		
EDI Maintenance-Origination	30-0000	Monthly	1		\$0.00
EDI Origination Transmission-Direct	30-0100	Daily	22		\$0.00
EDI Origination Transmission-ACH Transaction	30-0100	Item	394,429		\$0.00
EDI Origination Transmission-ACH Confirmation	30-0100	Item	394,429		\$0.00

<u>Description</u>	<u>TMA Code</u>	<u>Unit</u>	<u>Average Monthly Volume</u>	<u>Proposed Item Cost</u>	<u>Total Proposed Per Item Cost</u>
EDI Origination Translation-ANSI	30-0110	Item			\$0.00
EDI Data Transfer Origination	30-0110	Item			\$0.00
EDI Receiving Transmission-NACHA Formated	30-0200	Daily	21		\$0.00
EDI Receiving Transmission-ACH Transaction	30-0200	Item	195,529		\$0.00
EDI Receiving Transmission-Direct Addenda	30-0200	Item	195,548		\$0.00
EDI Receiving Translation	30-0210	Item			\$0.00
EDI Special Programming	30-0300	Pre-Approved			\$0.00
EDI in Network Translation Receipts	30-0222	Item			\$0.00
Funds Transfer System Maintenance	35-0000	Monthly	1		\$0.00
Wire Transfer-Out Rep Terminal	35-0100	Item			\$0.00
Wire Transfer-Out Non-Rep. Terminal	35-0104	Item			\$0.00
Outgoing Book Transfer	35-0123	Item	21		\$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	57		\$0.00
Incoming Book Transfer	35-0320	Item			\$0.00
Fund Transfer Advice-Automated	35-0400	Item			\$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 Summary	40-0270	Account	1		\$0.00
Internet Previous Day Detail	40-0271	Item	193,470		\$0.00
Internet Current Day Summary	40-0273	Account	1		\$0.00
Internet Current Day Detail	40-0274	Item	283,573		\$0.00
Internet History	40-0341	Account			\$0.00
Information History-Data Storage	40-0800	Item	193,702		\$0.00
Automatic Investment Maintenance	45-0020	Account	1		\$0.00
Automatic Investment Report	45-0403	Daily	22		\$0.00
Miscellaneous	99-0000	Pre-Approved			\$0.00
SSAE-16	99-2000	Pre-Approved/Pass Through			\$0.00
Development Cost	99-9999	One Time-Pre Approved			\$0.00

INITIATION OF DEBITS BY TAXPAYERS

					\$0.00
Data Input-Voice		Minute			\$0.00
Data Input/Output Voice		Item	228		\$0.00
Cancellation-Voice		Minute	28		\$0.00
Inquiry Voice		Minute	73		\$0.00
Data Input ARU		Minute	31,221		\$0.00
Data Input ARU		Item			\$0.00
Location Storage		Item	78,596		\$0.00
Location Add		Item	33		\$0.00
Location Change		Item	23		\$0.00
Location Delete		Item			\$0.00
PC Deposit		Item			\$0.00
ARU Abandoned		Minute	329		\$0.00
ARU Rollover		Minute	1,555		\$0.00
ACH Debit		Item	11,041		\$0.00

ADDITIONAL FEES

Total Average Monthly Cost **\$0.00**

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.

Appendix K

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.

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/offeror 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/Offeror

- a. If any individuals have one of the following financial interests in the contractor/offeror (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/offeror (or its parent) as follows:

If the proportionate share of the named individual(s) in the ownership of the contractor/offeror (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
_____ | No
_____ |
| b. | State employment for spouse, father, mother, son, or daughter, including contractual employment for services in the previous 2 years. | Yes
_____ | No
_____ |
| 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
_____ | No
_____ |
| d. | Relationship to anyone holding elective office currently or in the previous 2 years; spouse, father, mother, son, or daughter. | Yes
_____ | No
_____ |
| 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
_____ | No
_____ |
| f. | Relationship to anyone holding appointive office currently or in the previous 2 years; spouse, father, mother, son, or daughter. | Yes
_____ | No
_____ |
| g. | Employment, currently or in the previous 3 years, as or by any registered lobbyist of the State government. | Yes
_____ | No
_____ |
| h. | Relationship to anyone who is or was a registered lobbyist in the previous 2 years; spouse, father, mother, son, or daughter. | Yes
_____ | No
_____ |
| i. | Compensated employment, currently or in the previous 3 years, by any registered election or re-election committee registered with the Secretary of | Yes
_____ | No
_____ |

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
_____ | No
_____ |
|----|--|--------------|-------------|

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/offersors desiring to enter into certain contracts with the State of Illinois must disclose the information as specified below.

Contractor/offersor 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/offersor 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/offersor 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/offersor:

Name (printed) _____ Title _____

Signature _____ Date _____