



University of North Alabama
Office of Procurement
UNA Box 5025
Florence, AL 35632
Phone: (256)765-4206
Fax: (256)765-4329

RFP No. 2014-11 For: Financial Trustee

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INVITATION FOR BIDS:

Sealed Proposals for furnishing materials, equipment or services as described herein will be received at the Purchasing Department, Bibb Graves Hall, Room 21, University of North Alabama, Florence, Alabama, until 2:00 p.m. local time on June 12, 2014.

Time is of the essence to this bid and if delivery is not made within the time specified, the University reserves the right to cancel any order placed as a result of this bid. This bid may be withdrawn at any time prior to the scheduled time for the opening of bids, or any authorized postponement thereof.

DIRECTIONS FOR MAILING BIDS:

Do not place more than one bid in an envelope. Envelopes containing more than one bid may not be opened in time for a bid to be considered.

Envelopes containing bids must be sealed, marked and addressed as follows:

ADDRESSED TO:	(If via any postal service)	(If hand carry)
	University of North Alabama	University of North Alabama
	Purchasing Department - RFP 2014-11	Purchasing Department - RFP 2014-11
	UNA M/S 5025	Bibb Graves Hall, Room 21
	One Harrison Plaza	One Harrison Plaza
	Florence, AL 35632-0001	Florence, AL 35632-0001

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CAUTION – The above mailing address line, UNA Box 5025, is the address for the University of North Alabama Central Mail Room and is not part of the physical address for the University of North Alabama Purchasing Department. Envelopes or packages addressed to this box number may not be received in the Purchasing Department by the specified bid due date and time. It is the bidder's responsibility to ensure that the bid is received in the Purchasing Department by the date and time specified; no assumptions should be made in regard to an extension due to unforeseen circumstances of any kind, no due date or time will change without advance written notice from the Procurement Office.

Bidders are strongly cautioned to mail or ship bids to allow ample time for receipt in the Purchasing Department, not the Central Mail Room nor Central Receiving. Overnight or next day delivery services may not be adequate. Since bids must be received in a sealed envelope, faxed or emailed bid copies cannot be accepted.

Bids received in the Purchasing Department after the specified date and time set forth above will not be considered and will be returned to the bidder

RFPs will be opened in Bibb Graves Hall, Room 21 at 2:00 p.m. local time on June 12, 2014

Verbal communication before or while RFP is open shall have no force or affect whatsoever toward this bid as written, or the entire agreement. All parties represent that no promises, representations, or inducements have been made with respect to the subject matter of the bid nor a contract, except as specifically set forth herein. The bid or final contract, agreement, or order, can only be changed, altered, modified or amended by written agreement from both parties.

Revised 1/30/08

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I have read and understand the contents of this page



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PROPOSAL FORM

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In compliance with the University of North Alabama **INVITATION FOR BIDS** and **INSTRUCTIONS TO BIDDERS**, the undersigned hereby proposes to furnish and supply items to the University of North Alabama, Florence, Alabama, in strict accordance with the **SCHEDULE** and **SPECIFICATIONS**.

The undersigned bidder/proposer hereby certifies that it, its officers, partners, owners, providers, representatives, employees, and parties in interest, including the affiant, has not in any way colluded, conspired, connived or agreed, directly or indirectly, with any other bidder/proposer, potential bidder/proposer, firm or person, in connection with this solicitation, to submit a collusive or sham bid/proposal, to refrain from bidding/proposing, to manipulate or ascertain the price(s) of other bidders/proposers or potential bidders/proposers, or to secure through any unlawful act an advantage over other bidders/proposers or the university.

The prices submitted herein have been arrived at in an entirely independent and lawful manner by the bidder/proposer without consultation with other bidders/proposers or potential bidders/proposers or foreknowledge of the prices to be submitted in response to this solicitation by other bidders/proposers or potential bidders/proposers on the part of the bidder/proposer, its officers, partners, owners, providers, representatives, employees, or parties in interest, including the affiant.

DATED: _____

COMPANY NAME: _____

BY: _____

(Signature)

(Typed or Printed Name)

(Title)

BUSINESS ADDRESS: _____

TELEPHONE: _____

Email Address: _____

This address will be used to publish the bid tabulation & any other communication regarding bid results

If Bidder is a Corporation, write the State of Incorporation, and if a Partnership, give full name of partners, using space below.

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UNIVERSITY OF NORTH ALABAMA
VENDOR CERTIFICATION
PURSUANT TO ACT NO 2006-557, ACT NO 2012-491 & ACT2014-044

ALABAMA LAW (SECTION 41-4-116, CODE OF ALABAMA 1975) PROVIDES THAT EVERY BID SUBMITTED AND CONTRACT EXECUTED SHALL CONTAIN A CERTIFICATION THAT THE VENDOR, CONTRACTOR, AND ALL OF ITS AFFILIATES THAT MAKE SALES FOR DELIVER INTO ALABAMA OR LEASES FOR USE IN ALABAMA ARE REGISTERED, COLLECTING AND REMITTING ALABAMA STATE AND LOCAL SALES, USE, AND/OR LEASE TAX ON ALL TAXABLE SALES AND LEASES IN ALABAMA. BY SUBMITTING THIS BID, THE BIDDER IS HEREBY CERTIFYING THEIR COMPLIANCE WITH ACT NO 2006-557. THEY ARE NOT BARRED FROM BIDDING OR ENTERING INTO A CONTRACT PURSUANT TO 41-4-116, AND ACKNOWLEDGES THAT THE AWARDING AUTHORITY MAY DECLARE THE CONTRACT VOID IF THE CERTIFICATION IS FALSE.

ALABAMA LAW (SECTION 31-13-9 , CODE OF ALABAMA 1975: By signing a contract resulting from this proposal, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the state of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

For full compliance the Awarding contractor must provide documentation (copy of first page of MOU showing acceptance into program) establishing that the business entity or employer is enrolled in the E-Verify program. During the performance of the contract, the business entity or employer shall participate in the E-Verify program and shall verify every employee that is required to be verified according to the applicable federal rules and regulations.

ALABAMA LAW SECTION 16-25-26C , CODE OF ALABAMA 1975; Legislation requiring the University of North Alabama to report to Retirement Systems of Alabama individuals paid for personal services who are currently receiving benefits from TRSA or ESA became effective October 1, 2013. No minimum level of compensation was defined. **Any individual receiving direct or indirect compensation from this contract who is a retiree receiving benefits from the State of Alabama Retirement System MUST NOTIFY UNA of this status along with Bid/RFP Submission.**

Bidder hereby certifies full compliance with Act No. 2006-557; Act No. 2012-491 & Act No. 2014-044:

Date: _____

Company: _____

Authorizing Signature: _____

Printed Name: _____

Title: _____

State of _____ County of _____

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CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by Act 2012-491)

DATE: _____ RE: Contract/Grant/ Incentive (*describe by number or subject*):

_____ by and between

_____ (Contractor/Grantee) and

_____ (State Agency, Department or Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by Act 2012-491) which is described herein as "the Act".
2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure. **BUSINESS ENTITY.** Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit. "Business entity" shall include, but not be limited to the following:
 - a) Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.
 - b) Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

EMPLOYER.: Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer.

This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

_____(a) The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.

_____(b) The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;
4. Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this _____ day of _____ 20____.

Name of Contractor/Grantee/Recipient

By: _____

Its: _____

The above Certification was signed in my presence by the person whose name appears above, on this _____ day of _____ 20____.

WITNESS: _____ Printed name of Witness: _____

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State of Alabama
Disclosure Statement
(Required by Act 2001-955)

ENTITY COMPLETING FORM

Agreement Number

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

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STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

()

This form is provided with:

☐ Contract ☐ Proposal ☐ Request for Proposal ☐ Invitation to Bid ☐ Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

☐ Yes ☐ No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of good or services previously provided, and the amount received for the provision of such goods or services.

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

☐ Yes ☐ No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public

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officials/public employees work. (Attach additional sheets if necessary.)

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.

Signature

Date

Notary's Signature

Date

Date Notary Expires

Act 2001-995 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.

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This form must be completed and returned before any contract(s) will be issued by the University of North Alabama

Proposal to serve as Trustee

University of North Alabama is soliciting bids for a Bank Corporate Trust Department to serve as Trustee for outstanding and upcoming General Student Fee Bonds. Outstanding issues include \$8,015,000 Series 2010-A , \$25,915,000 Series 2010-B (BABs) and \$10,775,000 Series 2012-A. The proposed Series 2014 issue will be approximately \$31,130,000.

Trustee Fees:

Acceptance Fee: \$ _____

Annual Fees \$ _____

Trustee Counsel Fee \$ _____

Out-of-pocket expenses, if any, (including but not limited to legal fees, publication, secondary market disclosures, and overnight courier) will be billed at cost.

For any questions regarding expectation or performance of this service

Contact Clinton Carter; email cpcarter@una.edu

For questions regarding bid submission

Contact the Office of Procurement, Cindy Conlon (256)765-4293; email chconlon@una.edu

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I have read and understand the contents of this page