

CHICAGO HOUSING AUTHORITY
Department of Procurement & Contracts

CONTRACTOR'S AFFIDAVIT

agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) it will obtain identical certifications from proposed subcontractors prior to the award of Contracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause; that the CHA will retain such certifications in its files; and that it will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES. A certification of Non-segregated Facilities, as required by Section 60-1.8 of Title 41 of the Code of Federal Regulations, must be submitted prior to the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity Clause. (Note: The penalty for making false statement in offers is prescribed in 18 U.S.C. 1001).

- D. The Contractor certifies that it is not currently in receipt of any outstanding letters of deficiencies, show cause, probable cause, or other such notification of non-compliance with EEO regulations.

NOTE: THE PENALTY FOR MAKING FALSE STATEMENTS IN BIDS/PROPOSALS IS PRESCRIBED IN 18 U.S.C. 1001.

IX. EQUAL EMPLOYMENT OPPORTUNITY

The Equal Employment Opportunity Regulations of the Secretary of Labor (41 CFR Part 60) require that each prospective contractor or proposed subcontractor submit the following information with his bid, or at the outset of negotiations.

- A. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

YES X NO

- B. If answer to 1, is yes, have you filed with the Joint Reporting Committee, the Director of OFCC, any Federal agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements of these organizations?

YES X NO

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X. DAVIS - BACON CERTIFICATION

- A. By the submission of this Affidavit, the Contractor hereby certifies that neither it nor any person or firm who has an interest in the Contractor's firm is a person or firm ineligible to be awarded contracts by the United States Government or the CHA by virtue of Section 3(a) of the Davis-Bacon Act (29 CFR 5.12 (a) (1)).
- B. No part of the Contract resulting from this solicitation shall be subcontracted to any person or firm ineligible to be awarded Contracts by the United States Government or the CHA by virtue of Section 3 (a) of the Davis-Bacon Act (29 CFR 5.12 (A) (1)).
- C. Furthermore, the Contractor hereby certifies that the information contained in this Affidavit and representation, are accurate, complete and current. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

XI. SECTION 3 CERTIFICATION

For all contracts where Section 3 is applicable, the Contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135.1 et seq and CHA Resolutions implementing Section 3 requirements. The Prime Contractor will submit a Schedule B-Section 3 Utilization Plan to identify employment, subcontracting, and other economic opportunities for CHA residents and low- and very low-income Chicago area residents during the term of the contract between the Prime Contractor and CHA.

XII. INCORPORATION INTO CONTRACT AND COMPLIANCE

The above certifications set forth in this Contractor's Affidavit shall become part of Contract No. _____ and incorporated by reference as if fully set forth therein. Further, the Contractor shall comply with these certifications during the term of the Contract.

XIII. ETHICS POLICY

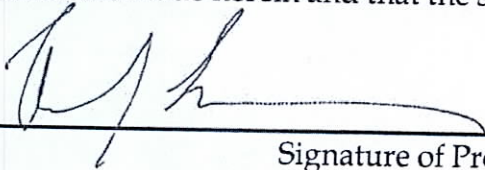
The Contractor hereby certifies that it shall comply with all the applicable provisions of the CHA's Ethics Policy adopted by the CHA Board on June 2004, 95-HUD-5 especially Sections 19 through 25 thereof. The Contractor further certifies that it has received and read a copy of the CHA's Ethics Policy.

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XIV. VERIFICATION

Under penalty of perjury, I certify that I am authorized to execute this Contractor's Affidavit on behalf of the Contractor set forth on page 1, that I have personal knowledge of all the certifications made herein and that the same are true.



Signature of President or Authorized Officer

Daniel Levenson

Name of President or Authorized Officer

Partner

Title

847.413.4701

Telephone Number

State of Illinois)

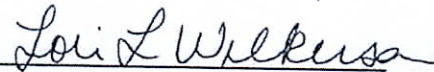
County of Cook)

Signed and sworn to before me this 4th day of November, 2015
by

Daniel Levenson (Name) as Partner

(Title) of RSM US LLP (Contractor)

Notary Public Signature



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Bidder/Proposer Name: McGladrey LLP

Bidder/Proposer Address: One South Wacker Drive, Suite 800
Chicago, Illinois 60606

IFB/RFP NUMBER: 30628155

Federal Employee I.D. #: or Social Security #:

Instructions: **FOR USE WITH ALL CONTRACTS.** Every Contractor submitting a bid/proposal to the Chicago Housing Authority ("CHA") must complete this Contractor's Affidavit. Special attention should be paid to those Sections which require the Contractor to provide certain information to the CHA. The Contractor should complete this Contractor's Affidavit by signing and notarizing Section XIV. Please note that in the event the Contractor is a joint venture, the joint venture and each of the joint venture partners must submit a separate and completed Contractor's Affidavit. In the event the Contractor is unable to certify to any of the statements contained herein, the Contractor must contact the Department of Procurement and Contracts of the CHA and provide a detailed factual explanation of the circumstances leading to the Contractor's inability to so certify.

The undersigned Daniel Levenson as Partner
(Name) (Title)

and on behalf of McGladrey LLP ("Contractor") having been duly
(Business Name)

sworn under oath certifies that:

I. DISCLOSURE OF OWNERSHIP INTERESTS

All bidders/proposers/contractors shall provide the following information with their bid/proposal/contract. Complete all blanks by entering the requested information or if the question is not applicable, answer with "NA". If the answer is none, please answer "none".

| | | | | |
|-----------------------|-------------------------------------|---------------|--------------------------|----------------------------|
| Bidder/Proposer is a: | <input type="checkbox"/> | Corporation | <input type="checkbox"/> | Sole Proprietor |
| (Check One) | <input checked="" type="checkbox"/> | Partnership | <input type="checkbox"/> | Not-for-Profit Corporation |
| | <input type="checkbox"/> | Joint Venture | <input type="checkbox"/> | Other |

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Average Annual Sales - Last 3 years: \$1,491,396

Current Net Worth: \$1,636,865,000 Date Business Started 1926

SECTION 1. FOR PROFIT CORPORATIONS

- a. Incorporated in the State of Iowa.
- b. Authorized to do business in the State of Illinois YES ☒ NO ☐
- c. Names of all officers of corporation (or Attach List): Names of all directors of corporation (or Attach List):

| NAME (Print/Type) | Title (Print/Type) | Name (Print/Type) | Title (Print/Type) |
|-------------------|--------------------|-------------------|--------------------|
|-------------------|--------------------|-------------------|--------------------|

| | | | |
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- d. If the corporation has fewer than 100 shareholders, indicate here or attach a list of names and addresses of all shareholders and the percentage interest of each.

| NAME (PRINT/Type) | Address | Ownership Interest |
|-------------------|---------|--------------------|
| <hr/> | <hr/> | <hr/> % |
| <hr/> | <hr/> | <hr/> % |
| <hr/> | <hr/> | <hr/> % |
| <hr/> | <hr/> | <hr/> % |

- e. Is the corporation owned partially or completely by one or more other Corporations?
YES ☐ NO ☒
- f. If the corporation has 100 or more shareholders, indicate here or attach a list of names and addresses of all shareholders owning shares equal to or in excess of 10%

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of the proportionate ownership of the corporation and indicate the percentage interest of each.

| NAME (PRINT/Type) | Address | Ownership Interest |
|-------------------|---------|--------------------|
| _____ | _____ | _____ % |
| _____ | _____ | _____ % |
| _____ | _____ | _____ % |
| _____ | _____ | _____ % |

NOTE: Generally, with corporations having 100 or more shareholders where no shareholder owns 10% of the shares, the requirements of this Section 1 would be satisfied by the bidder/proposer enclosing, with its bid/proposal, a copy of the corporation's latest published annual report and/or Form 10-K if the information is contained therein.

SECTION 2. PARTNERSHIP

If the bidder/proposer is a partnership, indicate the name of each partner (or attach list) and the percentage of interest of each therein.

| NAME OF PARTNERS (Print/Type) | PERCENTAGE INTEREST |
|---|--|
| <u>We have more than 800 partners in 85 offices across the nation.</u> | <u>Each partner has less than 1% interest%</u> |
| <u>Attached you will find a list of partners in our Chicago and IL offices.</u> | _____ % |
| <u>A list of all partners is available upon request.</u> | _____ % |
| _____ | _____ % |
| _____ | _____ % |

SECTION 3. SOLE PROPRIETORSHIPS

- a. The bidder/proposer is a sole proprietor and is not acting in any representative capacity in behalf of any beneficiary: YES ☒ NO ☐
If NO, complete items b. and c. of this Section 3.
- b. If the sole proprietorship is held by an agent(s) or a nominee (s), indicate the principal(s) for whom the agent or nominee holds such interest.

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Name(s) of Principal(s) (Print/Type)

- c. If the interest of a spouse or any other party is constructively controlled by another person or legal entity, state the name and address of such person or entity possessing such control and the relationship under which such control is being or may be exercised:

SECTION 4. NOT-FOR-PROFIT CORPORATIONS

- a. Incorporated in the State of _____.
- b. Authorized to do business in the State of Illinois YES [x] NO []
- c. Names of all officers of corporation (or Attach List): Names of all directors of corporation (or Attach List):

| NAME (Print/Type) | Title (Print/Type) | Name (Print/Type) | Title (Print/Type) |
|-------------------|--------------------|-------------------|--------------------|
|-------------------|--------------------|-------------------|--------------------|

| | | | |
|-------|-------|-------|-------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

NOTE: The General Counsel may require any such additional information from any entity to achieve full disclosure relevant to the Contract. Further, any material change in the information required above must be provided by supplementing this statement at any time up to the time the Director of Procurement and Contracts takes action on the Contract or other action required of the General Counsel.

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II. CONTRACTOR CERTIFICATION

A. CONTRACTOR'S ANTI-COLLUSIVE AFFIDAVIT

1. The Contractor or any subcontractor to be used in the performance of this contract, or any affiliated entity of the Contractor or any such subcontractor, or any responsible official thereof, or any other official, agent or employee of the Contractor, any such subcontractor or any such affiliated entity, acting pursuant to the direction or authorization of a responsible official thereof has not, during a period of three (3) years prior to the date of execution of this Contractor's Affidavit or if a subcontractor or subcontractor's affiliated entity during a period of three (3) years prior to the date of award of the subcontract:
 - a. Violated any of the provisions of 18 U.S.C. §666 (a) (2) and 720 ILCS 5/33E-1 et seq.
 - b. Bribed or attempted to bribe, or been convicted of bribery or attempting to bribe a public officer or employee of the CHA, the State of Illinois, any agency of the federal government or any state or local government in the United States (if an officer or employee, in that officer's or employee's official capacity); or
 - c. Agreed or colluded, or been convicted of an agreement or collusion among bidders or prospective bidders in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
 - d. Made an admission of guilt of such conduct described in 1(a) and (b) above which is a matter of record but has not been prosecuted for such conduct.
2. The Contractor or any agent, partner, employee or officer of the Contractor is not barred from contracting with any unit of Federal, state or local government as a result of engaging in or being convicted of bid-rigging in violation of the Illinois Criminal Code, 720 ILCS 5/33e-3, or any similar offense of any state of the United States which contains the same elements as the offense of bid-rigging during a period of five (5) years prior to the date of submittal of this bid, proposal or response.
3. The Contractor or any agent, partner, employee, or officer of the Contractor is not barred from contracting with any unit of state or local government as a result of engaging in or being convicted of bid-rotating in violation of the Illinois Criminal Code, 720 ILCS 5/33E-

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4, or any similar offense of any state of the United States which contains the same elements as the offense of bid-rotating.

4. Additionally, that the undersigned is the party making the foregoing proposal or bid, that such bid or proposal is genuine and not collusive, and that said bidder/proposer has not colluded, conspired, connived or agreed, directly or indirectly with any proposer or person, to put in a sham proposal or to refrain from proposing, and has not in any manner, directly or indirectly sought by agreement or collusion, or communication or conference, with any person, to fix the proposal price of affiant or of any other proposer, to fix overhead, profit or cost element of said proposal price, or that of any other proposer and has not secured any advantage against the Chicago Housing Authority or any person interested in the proposed contract, nor has said proposer participated with any person or business entity in any collusive scheme to rotate proposals, provide any bribes, kickbacks to CHA employees in violation of any of the provisions of 18 U.S.C. §666 (a) (1) and 720 ILCS 5/33E-1 et seq; or engage in bid rigging; that proposer is not barred from bidding on the subject contract as a result of a violation of either Section 33-E-3 or 33-E-4 of the Illinois Criminal Code, 720 ILCS 5/33E-1 et seq; and that all statements on said proposal are true. Under penalties of perjury as provided by law pursuant to Section 1-109 of the Code of Civil Procedure, the undersigned certifies that the statements set forth in this Contractor's Affidavit are true and correct.
5. The Contractor, its agent, officers or employees have not directly or indirectly solicited non-public information from a CHA officer or employee; entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with this proposal in violation of Illinois Criminal Code, 720 ILCS 5/33E-1 et seq. Failure to submit this statement as part of the bid/proposal will make the bid non-responsive and not eligible for award consideration.

B. SUBCONTRACTOR'S ANTI-COLLUSION AFFIDAVIT

1. The Contractor has obtained from all subcontractors to be used in performance of this contract, known by the Contractor at this time, certifications in form and substance equal to Sub-Section A of Section II of this affidavit.
2. The Contractor will, prior to using any subcontractor(s), obtain from such all subcontractor(s) to be used in the performance of this contract, but not yet known by the Contractor at this time certifications in form and substance equal to the certification Subsection A of Section II of this Affidavit. The Contractor shall not, without the prior written permission of the CHA, use any of such subcontractors in the performance of this contract if the Contractor, based on such certifications or any other information known or obtained by Contractor, becomes aware of such subcontractor, subcontractor's

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affiliated entity or any agent, employee or officer of such subcontractor or subcontractor's affiliated entity having engaged in or been convicted of any of the conduct described in Section II (A) hereof.

3. The Contractor will maintain on file for the duration of the contract all certifications required by Section II for any subcontractors to be used in the performance of this contract and will make such certifications promptly available to the CHA upon request.
4. The Contractor will not, without the prior written consent of the CHA, use as subcontractors any individual, firm, partnership, corporation, joint venture or other entity from whom the Contractor is unable to obtain a certification in form and substance equal to the certification.
5. Contractor hereby agrees, if the CHA so demands, to terminate its subcontract with any subcontractor, if such Contractor or subcontractor was ineligible at the time that the subcontract was entered into for award of such subcontract under the State of Illinois Criminal Code 720 ILCS 5/33e-1 eq seq. as amended. The Contractor shall insert adequate provisions in all subcontracts to allow it to terminate such subcontracts as required by this Section II.

Notes 1-4 For Section II. Contractor's Certification

1. Business entities are affiliated if, directly or indirectly, one controls or has the power to control the other, or if a third person control or has the power to control both entities. Indicia of control include without limitation: interlocking management or ownership identity of interests among family members; shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity using substantially the same management, ownership or principals as the ineligible entity.
2. No corporation shall be barred from contracting with any unit of State or local government as a result of a conviction, under either Section 33E-3 or Section 33E-4 of Article 33 of the State of Illinois Criminal Code of 1961, as amended, of any employee or agent of such corporation if this employee so convicted is no longer employed by the corporation and: (1) it has been finally indicated not guilty or (2) if it demonstrate to the governmental entity with which it seeks to contract and that entity finds that the commission of the offense was neither authorized, requested, commanded, nor performed by a director, officer or a high managerial agent in behalf of the corporation as provided in paragraph (2) of subsection (a) of Section 5-4 of the State of Illinois Criminal Code.

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3. For purposes of Section II (A) of this certification, a person commits the offense of and engages in bid-rigging when he knowingly agrees with any person who is, or but for such agreement should be, a competitor of such person concerning any bid submitted or not submitted by such person or another to a unit of State or local government when with the intent that the bid submitted or not submitted will result in the award of a contract to such person or another and he either (1) provides such person or receives from another information concerning the price or other material term or terms of the bid which would otherwise not be disclosed to a competitor in an independent non-collusive submission of bids or (2) submits a bid that is of such a price or other material term or terms that he does not intend the bid to be accepted (See, 720 ILCS 5/33F-3).
4. For purpose of Section II (A) of this certification, a person commits the offense of and engages in bid rotating when, pursuant to any collusive scheme or agreement with another, he engages in a pattern over time (which, for the purposes hereof, shall include at least 3 contract bids within a period of ten years, the most recent of which occurs after January 1, 1989) of submitting sealed bids to units of State or local government with the intent that the award of such bids rotates, or is distributed among, persons or business entities which submit bids on a substantial number of the same contract (See, 720 ILCS 5/33E-4).

III. STATE TAX DELINQUENCIES

In completing this Section III, authorized signatory must initial on the line next to the appropriate subsection.

1. SL Contractor is not delinquent in the payment of any tax administered by the Illinois Department of Revenue or, if delinquent, Contractor is contesting such delinquency in accordance with the procedures established by the appropriate Revenue Act, its liability for the tax or amount of the tax.
 2. _____ Contractor has entered into an agreement with the Illinois Department of Revenue for the payment of all such taxes that are due and is in compliance with such agreement.
 3. _____ Contractor is delinquent in the payment of any tax administered by the Department of Revenue and is not covered under any of the situations described in subsections 1 and 2 of this Section III, above 1.
1. 65 ILCS 5/11 - 42.1 - 1 provides that a municipality may not enter into a contract or agreement with an individual or other entity that is delinquent in the payment of any tax

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administered by the Illinois Department of Revenue unless the contracting party is contesting, in accordance with the procedures established by the appropriate Revenue Act its liability for the tax or the amount of the tax or unless the contracting party has entered into an agreement to pay the tax and is in compliance with the Agreement. Notwithstanding the above, the CHA may enter into the contract if the CHA's Operating Officer determines that:

- 1) the contract is for goods or services vital to the public health, safety, or welfare; and
- 2) the CHA is unable to acquire the goods or services at a comparable price and of comparable quality from other sources.

IV. PUNISHMENT

A Contractor or subcontractor who makes a false statement, material to Section II (A) and (B) of this certification commits a 3 class felony. 720 ILCS 5/33e-11(B). Making a false statement concerning Section III of this certification is a Class A misdemeanor, voids the Contract or and allows the CHA to recover all amounts paid to the Contractor under the contract in a civil action. 65 ILCS 5/11-42.1-1.

V CERTIFICATION REGARDING SUSPENSION AND DISBARMENT

- A. The Contractor certifies to the best of its knowledge and belief, that it and its principals:
1. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal, state or local government or agency;
 2. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for: the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, Local) transaction or contract under a public transaction; a violation of Federal or State antitrust statutes; or the commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property
 3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offense enumerated in Section II (A) (1) above; and
 4. Have not within a three-year period preceding this Agreement had one or more public transactions (Federal, State or Local) terminated for cause or default.

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- B. If the Contractor is unable to certify to any of the statements in this certification, the Contractor shall attach a detailed factual explanation to this certification.
- C. If any subcontractors are to be used in the performance of this Contract, the Contractor shall cause such subcontractors to certify as to paragraph of this Certification. In the event that any subcontractor is unable to certify to any of the statements in this certification, such subcontractor shall attach a detailed factual explanation to this certification.

VI. EPA CONTRACTOR LISTING

- A. Bidder/Proposer/Contractor shall comply with all applicable standards, orders and/or requirements established by and/or pursuant to:
 - 1. The Clean Air Act (42 U.S.C. 4701 et. seq.), as amended;
 - 2. The Clean Water Act (33 U.S.C. 1251 et. seq.), as amended;
 - 3. The Solid Waste Disposal Act as amended by the Resources Conservation and Recovery Act (RCA) of 1976 (42 U.S.C. 6901, et. seq.), as amended;
 - 4. The Toxic Substances Control Act (TSCA) (15 U.S.C. 2601 et. seq.), as amended;
 - 5. Occupational Safety and Health Administration (OSHA) regulations, and any amendments thereto;
 - 6. The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) (42 U.S.C. 9601 et. seq.), as amended;
 - 7. Illinois Environmental Protection Agency regulations, as amended;
 - 8. Illinois Department of Labor regulations, as amended;
 - 9. City of Chicago Ordinances, as amended;
- B. Bidder/Proposer/Contractor shall not use any facility on the Environmental Protection Agency's ("EPA") List of Violating Facilities in the performance of this Contract for the duration of time that the facility remains on the List.

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- C. Bidder/Proposer/Contractor shall immediately notify HUD which has awarded funds for this project if a facility it intends to use in the performance of this Contract is on the EPA's List of Violating Facilities or knows that it has been recommended to be placed on the List of Violating Facilities.
- D. Furthermore, Bidder/Proposer/Contractor shall, in the performance of this Contract, comply with all requirements of the Clean Air Act ("CAA"), 42 U.S.C. §7401-7642 and the Clean Water Act ("CWA"), 33 U.S.C. §1251-1387, including the requirements of Section 114 of the CAA and Section 308 of the CWA, and all other applicable clean air standards and clean water standards.

VII. CERTIFICATION OF RESTRICTION ON LOBBYING

THE CONTRACTOR CERTIFIES THAT:

- A. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, entering into any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal Contract, grant, loan or cooperative agreement.
- B. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- C. The undersigned shall require that the language of this certification to be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-contractors shall certify and disclose accordingly.
- D. This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. §1352.

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Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 or more than \$100,000 for each such failure.

VIII. CERTIFICATION OF NONSEGREGATED FACILITIES

As used in this Affidavit, the term "subcontract" includes the term "purchase order" and all other agreements effectuating purchase of supplies or services. If this Affidavit is submitted as part of a bid or proposal, the term "Contractor" shall be deemed to refer to the Bidder or proposer, or subcontractor or supplier. This Affidavit shall be renewed annually. Notwithstanding the foregoing, the certifications made herein shall remain applicable until completion of all nonexempt contracts/subcontracts awarded while this Affidavit is in effect. The undersigned Contractor certifies the following to the CHA

- A. REPORTS: Within thirty (30) days after CHA award to the Contractor of any contract/subcontract and prior to each March 31 thereafter during the performance of work under said subcontract, the Contractor shall file Standard Form 100, entitled "Equal Employment Opportunity Employer Information Report EEO" in accordance with instructions contained therein, unless the Contractor has either filed such report within 12 months preceding the date of the award or is not otherwise required by law or regulation to file such a report.
- B. PRIOR REPORTS: If the Contractor has participated in a previous contract or subcontract subject to Equal Opportunity Clause (41 C.F.R. Sec 60-1.4(a) (1) through (7), or the clause originally contained in Section 301 of Executive Order No. 10925, or the clause contained in Section 201 of the Executive Order No. submission of all required compliance reports, signed by proposed subcontractors, prior to awarding subcontracts not exempt from the Equal Opportunity Clause.
- C. CERTIFICATION OF NONSEGREGATED FACILITIES: The Contractor certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The Contractor agrees that a breach of this certification is a violation of the Equal Opportunity Clause in the IFB or RFP. As used in this certification, the term "segregated facilities" means waiting room, waiting area, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, or national origin, because of habit, local custom or otherwise. The Contractor further

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agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) it will obtain identical certifications from proposed subcontractors prior to the award of Contracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause; that the CHA will retain such certifications in its files; and that it will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES. A certification of Non-segregated Facilities, as required by Section 60-1.8 of Title 41 of the Code of Federal Regulations, must be submitted prior to the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity Clause. (Note: The penalty for making false statement in offers is prescribed in 18 U.S.C. 1001).

- D. The Contractor certifies that it is not currently in receipt of any outstanding letters of deficiencies, show cause, probable cause, or other such notification of non-compliance with EEO regulations.

NOTE: THE PENALTY FOR MAKING FALSE STATEMENTS IN BIDS/PROPOSALS IS PRESCRIBED IN 18 U.S.C. 1001.

IX. EQUAL EMPLOYMENT OPPORTUNITY

The Equal Employment Opportunity Regulations of the Secretary of Labor (41 CFR Part 60) require that each prospective contractor or proposed subcontractor submit the following information with his bid, or at the outset of negotiations.

- A. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

YES x NO

- B. If answer to 1, is yes, have you filed with the Joint Reporting Committee, the Director of OFCC, any Federal agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements of these organizations?

YES x NO

CHICAGO HOUSING AUTHORITY
Department of Procurement & Contracts

CONTRACTOR'S AFFIDAVIT

X. DAVIS - BACON CERTIFICATION

- A. By the submission of this Affidavit, the Contractor hereby certifies that neither it nor any person or firm who has an interest in the Contractor's firm is a person or firm ineligible to be awarded contracts by the United States Government or the CHA by virtue of Section 3(a) of the Davis-Bacon Act (29 CFR 5.12 (a) (1)).
- B. No part of the Contract resulting from this solicitation shall be subcontracted to any person or firm ineligible to be awarded Contracts by the United States Government or the CHA by virtue of Section 3 (a) of the Davis-Bacon Act (29 CFR 5.12 (A) (1)).
- C. Furthermore, the Contractor hereby certifies that the information contained in this Affidavit and representation, are accurate, complete and current. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

XI. SECTION 3 CERTIFICATION

For all contracts where Section 3 is applicable, the Contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135.1 et seq and CHA Resolutions implementing Section 3 requirements. The Prime Contractor will submit a Schedule B-Section 3 Utilization Plan to identify employment, subcontracting, and other economic opportunities for CHA residents and low- and very low-income Chicago area residents during the term of the contract between the Prime Contractor and CHA.

XII. INCORPORATION INTO CONTRACT AND COMPLIANCE

The above certifications set forth in this Contractor's Affidavit shall become part of Contract No. _____ and incorporated by reference as if fully set forth therein. Further, the Contractor shall comply with these certifications during the term of the Contract.

XIII. ETHICS POLICY

The Contractor hereby certifies that it shall comply with all the applicable provisions of the CHA's Ethics Policy adopted by the CHA Board on June 2004, 95-HUD-5 especially Sections 19 through 25 thereof. The Contractor further certifies that it has received and read a copy of the CHA's Ethics Policy.

CHICAGO HOUSING AUTHORITY
Department of Procurement & Contracts

CONTRACTOR'S AFFIDAVIT

XIV. VERIFICATION

Under penalty of perjury, I certify that I am authorized to execute this Contractor's Affidavit on behalf of the Contractor set forth on page 1, that I have personal knowledge of all the certifications made herein and that the same are true.

Daniel Levenson

Signature of President or Authorized Officer

Daniel Levenson

Name of President or Authorized Officer

Partner

Title

847.413.4701

Telephone Number

State of Illinois)

County of Cook)

Signed and sworn to before me this 25th day of September, 20 15
by

Daniel Levenson (Name) as Partner

(Title) of McGladrey LLP (Contractor)

Notary Public Signature

Ann M. Burke



CONFIDENTIAL - McGladrey partners in Illinois

| Last First, First Name | Last Name, First Name | Last Name, First Name |
|------------------------------|----------------------------|--------------------------|
| Abeles,Randy D | Gross,Guy M | Murphy,Christopher M |
| Abernethy,Linda S | Hagan,Patrick J | Nichols,K. Michael |
| Adams,Joseph M | Hague,John T | Nietzel,Terri L |
| Altschul,Daniel | Halkitis,Michael J | Nockels,Paul J |
| Antonopoulos,Nikolaos George | Hanover,Christine A | Nudelman,Mendel |
| Bailitz,Owen | Harvey,Mark | O'Brien,William J |
| Becker,Marla | Hasan,Hussain T | Peltz,Scott |
| Behringer,John | Hassett,William | Peterson,David B |
| Beneventi,Tom | Hill,Tammy M | Pinkus,Paul |
| Bergthold, Joseph | Hirsh,Mitchell | Pornoy,Karen |
| Bird,John | Holmberg, Martin | Ragan,Randy A |
| Blacklaw,Brian N | Holmes,Brian D | Randles,Gary R |
| Blakey,Paul | Jensen,Robert F | Rineberg,Michael S |
| Blaze,Thomas | Ji, Frank | Rosenthal,Barry |
| Bloom,Mark L | Johnson,Steven | Rotta,Matthew Joseph |
| Bosman,Andrew | Kathe,Shari L | Ruey, Nathaniel |
| Briggs,Todd | Kessel,Morton | Sasse,Denise A |
| Caforio,Jonathan R | Kimball,J. Scott | Schneidman,Byron |
| Castillo,Flavio R | Kirley,Thomas Michael | Schnell,Thomas M |
| Chaberski,Mark P | Kitchen,Patrick | Schultz,Charles |
| Coakley,Terrence | Klintworth,David J | Schwartz,Michael A |
| Cohn,Samuel | Koltun,Steven M | Schwartz,Terry |
| Cronauer,James J | Kreiner,Chaim H | Scudder,David |
| Curttright,Vincent A | Krowczyk-Mendoza,Sherrie A | Seaton,Jennifer |
| Devine,Martin F | Kurek,Karen L | Seiler,David J |
| Dombrowski,Robert A | Le Bihan,Franck | Shaw,Patrick T |
| Douvris,George | Leblanc,Larry L | Shaw,Thomas J |
| Dunlap,Randall W | Lemke,Eric | Smaroff,Duke G |
| Edelheit,Richard | Lenz,Thomas C | Sokolowski,Christopher J |
| Evans,Joseph J | Lesser,Simon | Spigelman,Alan Howard |
| Farrell,Thomas M | Levenson,Daniel F | Spizman,William D |
| Fischer,Charles J | Linders,Martina | Sterling,David A |
| Fleura,Shawn | Luzi,David S | Stoettner,Robert E |
| Fortsch,Zachary A | Machara,Joseph | Ten Pas,Harlan M |
| Fox,Michael | Mansk,James Kenneth | Tomasiewicz,Beverly |
| Frisbie,Hugh D | Marcotte,Milton J | Tomaw,Mark A |
| Furmanski,Neil | Maroules, Nick | Verdick,Martin E |
| Gaines,Mark | Marrano,Brian C | Wall,Daniel M |
| Gallagher,Timothy M | McMahan,Ben L | Waterman,Jonathan A |
| Geopfert,Daimon | Meyer,Joel | Weil,Lynne |
| George,John | Milewski,Thomas A | Whetstone,Tracy |
| Ginsburg,Noah | Miskell,Mark W | Wilgenbusch,Scott |
| Glazik,Robert Anthony | Moore,Robert B | Windlinger,John R |
| Glynn, Bob | Moritz,Timothy E | Wood,David |
| Green,Thomas | Mulvey,Peter T | Wozniczka,John |

4. SCHEDULE A - MBE/WBE/DBE UTILIZATION PLAN

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

RFP/IFB/CONTRACT/PURCHASE ORDER NO: 30628155 DATE FORM SUBMITTED: September 25, 2015

PROJECT TITLE: Internal Audit Services

PRIME CONTRACTOR NAME(S): McGladrey LLP

ADDRESS: One South Wacker Drive, Suite 800, Chicago, Illinois 60606 TELEPHONE: (847) 413.4701

CONTACT NAME/TITLE: Daniel Levenson

E-MAIL ADDRESS: dan.levenson@mcgladrey.com

Ethnicity: _____ Gender: _____

FEDERAL TAX IDENTIFICATION OR SOCIAL SECURITY NO. : XXXXXXXXXX

CONTRACT AMOUNT: \$ 2,700,750

M/W/DBE TOTAL: \$ 540,150

M/W/DBE TOTAL PERCENTAGE: 20 %

NOTE: The M/W/DBE Total represents the sum of all of the subcontracts listed on this Schedule A, including Self-Performing Prime's portion.

The Contractor shall in determining the manner of M/W/DBE participation, first consider **Direct Participation** with M/W/DBE companies as subcontractors, suppliers of goods and services, or as joint venture partners, directly related to the performance of this contract. After exhausting reasonable good faith efforts and with prior CHA approval, the bidder/proposer may also meet all or part of the CHA's M/W/DBE commitment goals, through **Indirect Participation**, by contracting with M/W/DBEs for the provision of goods and services not directly related to the performance of the contract/scope of work. Indirect participation can be demonstrated by providing copies of canceled checks (both front and back) paid to the certified subcontractors, and a Letter of Certification that was current at the time the checks were issued to the subcontractor (must be entered into B2Gnow and Contract Compliance Specialist will approve). Indirect participation must have occurred within a six month period of the dates of this contract and will not be considered as acceptable participation on multiple contracts.

Firms seeking M/W/DBE subcontracting credit via Direct or Indirect participation must include **one (1) current certification** from a CHA approved certifying agency. A copy of a current Letter of Certification is required. Applications for certified status will not be accepted. M/W/DBEs utilized for direct or indirect participation must be currently certified by one of the following agencies: City of Chicago, METRA, PACE, Cook County, State of Illinois - Central Management Services (CMS), Women Business Development Center (WBDC), Chicago Transit Authority (CTA), the Chicago Minority Supplier Development Council (CMSDC), Illinois Department of Transportation (IDOT), and/or the Small Business Administration (SBA 8(a)). For contractors whose principal business address is located outside of the metropolitan Chicago area, certification of comparable agencies will be considered.

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division
SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

I. DIRECT PARTICIPATION

A. COMPANY NAME: Adelfia LLC

ADDRESS: 400 E. Randolph St., Suite 705, Chicago, Illinois 60601-7725

CONTACT PERSON: Jennifer Roan

TELEPHONE: _____

E-MAIL ADDRESS: jsroan@adelfiacpas.com

ORIGINAL M/W/DBE DOLLAR VALUE: \$405,113

% of Total Contract Value: 15%

AMENDED M/W/DBE DOLLAR VALUE: _____

% of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Internal Audit Services

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): _____

B. COMPANY NAME: E.C. Ortiz & Co. LLP

ADDRESS: 333 South Des Plaines Street, Suite 2-N, Chicago, Illinois 60661

CONTACT PERSON: Edilberto Ortiz

TELEPHONE: _____

E-MAIL ADDRESS: ecortiz@ecortiz.com

ORIGINAL M/W/DBE DOLLAR VALUE: \$135,037

% of Total Contract Value: 5%

AMENDED M/W/DBE DOLLAR VALUE: _____

% of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Internal Audit Services

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): _____

C. COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____

TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____

% of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____

% of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): _____

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

D. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

E. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

F. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

G. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

H. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

I. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

II. INDIRECT PARTICIPATION

A. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: (_____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

B. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

C. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: (_____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

D. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

E. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

F. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

AFFIDAVIT OF PRIME CONTRACTOR

To the best of my knowledge, information and belief, the facts and representations contained in this Schedule A are true and no material facts have been omitted.

The undersigned will enter into agreements with the above listed companies for work as indicated on this Schedule A within five (5) days after receipt of a signed contract executed by the Chicago Housing Authority. Copies of agreements including but not limited to joint ventures, subcontracts supplier agreements, purchase orders referencing the SPEC., RFP, or Purchase Order Number shall be forwarded to the Procurement & Contracts Department, Contract Compliance Section, 60 East Van Buren, 13th Floor, Chicago, IL 60605.

I do solemnly declare and affirm under the penalty of perjury that the contents of the forgoing document are true and correct, and that I am authorized on behalf of the Prime Contractor to make this affidavit.

NAME OF PRIME CONTRACTOR (Print or Type)

McGladrey LLP

AUTHORIZED OFFICER

Daniel Levenson

Daniel Levenson

September 25, 2015

Name

Signature

Date

NAME OF NOTARY (Print or Type)

Ann Burke

STATE OF IL COUNTY OF Cook ON THIS 25 DAY OF

September 2015 BEFORE ME APPEARED (NAME) Daniel Levenson TO ME PERSONALLY

KNOWN WHO, BEING DULY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY

AUTHORIZED BY (NAME OF COMPANY) McGladrey LLP TO EXECUTE THIS AFFIDAVIT AND DID SO AS

HIS OR HER FREE ACT AND DEED. NOTARY PUBLIC *Ann M Burke* (SEAL) COMMISSION EXPIRES: 8/12/17



5. SCHEDULE B – SECTION 3 UTILIZATION PLAN

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

PRIME/GENERAL CONTRACTOR'S NAME: McGladrey LLP

RFP/IFB/RFQ/CONTRACT or PO NUMBER: 30628155

DATE FORM COMPLETED: September 25, 2015

PROJECT TITLE: Request for Proposal (RFP) For Internal Audit Services

CONTACT NAME/TITLE: Dan Levenson

E-MAIL ADDRESS: dan.levenson@mcgladrey.com

**PLEASE READ CAREFULLY AND SIGN THE ACKNOWLEDGMENT ON PAGE 4
PRIOR TO COMPLETING AND SUBMITTING SCHEDULE B**

Overview:

The contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135 and the CHA's Section 3 Policy. The Contractor hereby submits Schedule B to identify employment, subcontracting, and other opportunities for Chicago Housing Authority residents and low income Chicago area residents during the term of the contract between the Contractor and CHA. Any changes to this Utilization Plan must be approved by the Contract Compliance Specialist, via an amended Schedule B and Section 3 Change Form, when requested.

| Type of Contract | Contract Amount | Section 3 Requirements | | |
|---|---------------------|---------------------------------------|---|------------------------------|
| | | Hiring | Contracting | Other Economic Opportunities |
| Construction | All Contract Values | 30% <i>Of all <u>new</u> hires</i> | 10% <i>Of total contract value subcontracted</i> | See instructions |
| Other Contracts (Including Professional Service) | All Contract Values | 30% <i>Of all <u>new</u> hires</i> | 3% <i>Of total contract value subcontracted</i> | See instructions |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Instructions:

Part I: Hiring

- Per 24 CFR 135.30, Section 3 requires at least 30% of the contractor's new hires be Section 3 residents.
- The prime contractor is **required** to fill out the **Table I.b Hiring Chart- ENTIRE WORKFORCE for both Prime and all Subcontractors in Part I: Hiring**. This chart includes Section 3 hires, **AS WELL AS** all other non-section 3 hires for the scope of work.
- **Table I.a SAMPLE Hiring Chart Entire Workforce for both Prime and all Subcontractors** is provided to you as a sample.
- **Table I.b Hiring Chart Entire Workforce for both Prime and all Subcontractors** will require you to indicate the total workforce that you and your subcontractors already have in place and those you need to hire. You will need to list their (1) Job Titles, (2) Total Employees Needed at each Job Title, (3) Total Number of Employees Currently Employed at each Job Title, (4) Total New Hires Needed for each Job Title, (5) Total Section 3 Hires for each Job Title, (6) Total Columns (1) through (5) individually, and (7) Total New Section 3 Hires Required and (8) Percentage of New Hires that are Section 3.
- By filling out the hiring chart, the Contractor affirms that the jobs identified for Section 3 residents shall be for meaningful employment.
- A Prime Contractor may satisfy the CHA Resident Hiring Requirements through the hiring of Section 3 residents through his/her subcontractors.
- The Hiring Chart must be completed in its entirety, including a response for each column, in addition to proper calculations in each field where totals are required.
- If any proposed Section 3 positions cannot be filled, a Section 3 Change Form is required under the Section 3 Policy.
- Prime Contractors and Subcontractors are required to use CHA's Section 3 Job Opportunities website to fill all Section 3 positions.

Part II: Contracting

- Per 24 CFR 135.30, Section 3 requires Construction contracts to subcontract at least 10% of the work to Section 3 Business Concerns and 3% of the work for all Other Contracts.
- **The definition of 'Section 3 Business Concern' under HUD Regulations is:**
 - (1) 51 percent or more owned by section 3 residents; or
 - (2) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently section 3 residents, or within three years of the date of first employment with the business concern were section 3 residents; or
 - (3) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) in this definition of "section 3 business concern."
- Section 3 subcontracting refers to **direct participation** (only subcontracts for work that is included in the scope of the project).
- Contractors shall direct their efforts to award Section 3 covered contracts, to the greatest extent feasible, to Section 3 Business Concerns in the order of priority provided in 24 CFR 135.36.
- The Prime Contractor is required to fill out the contracting information in Table II: Contracting Commitments, Table II.a: Section 3 Business Concern Contracts, Table II.b.: Contracting Shortfall (if necessary), and/or Table II.c: Outreach Efforts (if necessary) of Part II.
- **Table II: Contracting Commitments** requires you to indicate the Total Dollar Value being subcontracted to Section 3 Business Concerns and the percentage of the total contract value, to which the total of all Section 3 Business Concern subcontracts is equivalent.

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

- **Table II.a. Section 3 Business Concern Contracts** requires you to identify each Section 3 Business Concern that will hold a subcontract under this Contract. The Company's Name, Contract Value, and Scope of Work to be Performed must be identified in order for the plan to be considered complete. A corresponding Schedule C must be submitted with the Schedule B.
- **Table II.b. Contracting Shortfall or Table II.c. Outreach Efforts** must be completed when the Prime Contractor is unable to meet the full minimum subcontracting requirements under 24 CFR 135.
 - When there is no plan or need to subcontract, please outline the reason(s) why in Table II.b. Contracting Shortfall
 - If the prime contractor is unable to contract to a Section 3 Business Concern, all outreach efforts must be documented in Table II.c. Outreach Efforts You must document all of the companies that have been contacted for subcontracting opportunities. If there are limited companies available who perform the necessary duties under this scope of work, please indicate in the 'reasons for not subcontracting'.
 - This is required before Other Economic Opportunities are proposed.
- **PRIME CONTRACTOR MUST USE CHA'S SECTION 3 JOB OPPORTUNITIES WEBSITE TO IDENTIFY AND HIRE ANY AND ALL SECTION 3 EMPLOYEES. CHA WILL NOT CONSIDER OR AUTHORIZE ANY ALTERNATE PROPOSALS TO IDENTIFY SUCH EMPLOYEES.**

Part III: Other Economic Opportunities

- In the event that a Prime Contractor has demonstrated no plan or need to hire and/or subcontract or is unable to meet the hiring and/or subcontracting requirements in Part I and Part II, the Prime Contractor is required to provide other economic opportunities by completing the **Table III: Other Economic Opportunities Plan(s)**.
- **PLEASE NOTE THAT THE INABILITY TO MEET THE HIRING AND/OR SUBCONTRACTING REQUIREMENT MUST BE DOCUMENTED COMPLETELY IN PART I: HIRING AND PART II: CONTRACTING BEFORE COMPLETING PART III: OTHER ECONOMIC OPPORTUNITIES.**
- Other Economic Opportunities could include indirect subcontracting with a Section 3 Business Concern (subcontracting for work not included in the scope of work), training programs, mentorship program participation, or other economic opportunities directed towards section 3 residents and businesses. Any Other Economic Opportunities must be proposed on pages 10 through 12 in Part III: OTHER ECONOMIC OPPORTUNITIES.
- If the other forms of Other Economic Opportunities are not feasible, the Prime Contract may propose a contribution to the Section 3 Fund. Guidance on how to contribute to the Section 3 Fund is outlined below:
 - **Hiring Requirements Contribution:** If a Prime Contractor chooses to contribute to the Section 3 Fund as its Other Economic Opportunity, because they cannot meet the full hiring requirements (30% of new hires), and cannot provide other economic opportunities outlined above, then the contractor must pay 5% of the total dollar amount of the contract for building, trade work or 1.5% for all other contracts will be paid to the Section 3 fund. **NOTE: The amount shall not exceed \$100,000 for any one contract.**
 - **Contracting Requirements Contribution:** If a Prime Contractor chooses to contribute to the Section 3 Fund as its Other Economic Opportunity, because they cannot meet the full Section 3 Business Concern subcontracting requirements, and cannot provide other economic opportunities outlined above, the difference between 10% of the covered contract (building, trade work) or 3% (non-construction) and the actual amount provided to Section 3 Business Concerns must be paid to the Section 3 Fund. **NOTE: The amount shall not exceed \$500,000 for any one contract.**
 - A Prime Contractor may also pay the entire 10% of the covered contract (building, trade work) or 3% (non-construction) if they have documented the infeasibility of offering any Other Economic Opportunities. **NOTE: The amount shall not exceed \$500,000 for any one contract.**

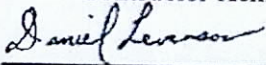
CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

- Charts have been provided for each category accepted under Other Economic Opportunities. You must outline the actual proposed opportunity, how you will measure the success of this opportunity, and the anticipated results. You will only need to complete the tables that apply to your Section 3 Plan.
- Please reference the Section 3 Policy for more details.

This page (page 4) must be signed by a Principal of the Contractor. The last page (page 12) must be signed and notarized. This document is subject to change, by the CHA, at any time.

Prime Contractor Acknowledgement of Section 3 Requirements:



Signature of Principal of Contractor

September 25, 2015

Date

Dan Levenson

Print Name

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

SAMPLE HIRING CHART

| (1) | (2) | (3) | (4) | (5) |
|--|--|--|--|--|
| Job Titles | Total Number of Employees Needed at each Job Title | Total Number of Employees Currently Employed at each Job Title | Total New Hires Needed for each Job Title | Total Section 3 Hires for Each Job Title |
| List the Job Titles that are needed to complete your scope of work- including the entire workforce for the Prime and any Subcontractors. This includes all Section 3 and non-Section 3 job titles. | List how many employees are needed to complete the Scope of Work for each Job Title. | List how many employees are currently employed at this position. | List how many of these positions are currently open. | List the number of Section 3 hires you will commit to for each position. |
| Painters | 10 | 8 | 2 | 0 |
| Laborers | 20 | 19 | 1 | 1 |
| Carpenters | 15 | 15 | 0 | 0 |
| Bricklayers | 4 | 4 | 0 | 0 |
| Sprinkler Fitter | 3 | 3 | 0 | 0 |
| Marble Mason | 1 | 1 | 0 | 0 |
| Electrician | 6 | 5 | 1 | 0 |
| Power Equipment Operator | 2 | 2 | 0 | 0 |
| Iron Worker | 5 | 5 | 0 | 0 |
| Cement Mason | 2 | 2 | 0 | 0 |
| Plumber | 4 | 4 | 0 | 0 |
| Roofer | 10 | 10 | 0 | 0 |
| Administrative Assistant | 2 | 1 | 1 | 1 |
| Superintendent | 1 | 1 | 0 | 0 |
| Payroll Coordinator | 1 | 0 | 1 | 1 |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| (6) Totals: | 86 | 80 | 6 | 3 |

2

50%

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

In the Section below, complete the hiring chart in accordance with the instructions on page 2. Please reference the Sample Hiring Chart.

Table I.b: Hiring Chart- ENTIRE WORKFORCE for both Prime and all Subcontractors

| (1) | (2) | (3) | (4) | (5) |
|--|--|--|--|--|
| Job Titles | Total Number of Employees Needed at each Job Title | Total Number of Employees Currently Employed at each Job Title | Total New Hires Needed for each Job Title | Total Section 3 Hires for Each Job Title |
| List the Job Titles that are needed to complete your scope of work- including the entire workforce for the Prime and any Subcontractors. This includes all Section 3 and non-Section 3 job titles. | List how many employees are needed to complete the Scope of Work for each Job Title. | List how many employees are currently employed at this position. | List how many of these positions are currently open. | List the number of Section 3 hires you will commit to for each position. |
| Partner | 1 | 1 | 0 | 0 |
| Director | 1 | 1 | 0 | 0 |
| Manager | 1 | 1 | 0 | 0 |
| Senior | 2 | 2 | 0 | 0 |
| Associate | 2 | 2 | 0 | 0 |
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| (6) Totals: | | | | |

| | |
|--|---|
| (7) Total New Section 3 Hires Required: (Total of column (4) x 0.3) round up to the nearest whole number | 0 |
| (8) Percentage of New Hires that are Section 3: (Total of column (5) ÷ Total of column (4)) x 100= % of New Hires | 0 |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Part II: CONTRACTING

Table II: Contracting Commitments

In the section below, outline the total dollar value and percentage of the total contract value that will be subcontracted with Section 3 Business Concerns.

| | |
|--|-------------|
| Total Dollar Value of Section 3 Business Concern Contracts: | \$ 0 |
| Total Percentage of Section 3 Business Concern Contracts: | 0 % |

Table II.a.- Section 3 Business Concern Contracts: In the table on the next page, outline the Section 3 Business Concerns that will be working on this contract. (Note: Each subcontractor listed below must submit a corresponding Schedule C)

| Contracts to Section 3 Business Concerns |
|--|
| <div>COMPANY NAME: <u>N/A</u></div> <div>ADDRESS: _____</div> <div>CONTACT PERSON: _____ TELEPHONE: _____</div> <div>E-MAIL ADDRESS: _____</div> <div>ORIGINAL CONTRACT DOLLAR VALUE: _____</div> <div>AMENDED CONTRACT DOLLAR VALUE: _____</div> <div><i>NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</i></div> <div>WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____</div> <div>Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): _____</div> |
| <div>COMPANY NAME: _____</div> <div>ADDRESS: _____</div> <div>CONTACT PERSON: _____ TELEPHONE: _____</div> <div>E-MAIL ADDRESS: _____</div> <div>ORIGINAL CONTRACT DOLLAR VALUE: _____</div> <div>AMENDED CONTRACT DOLLAR VALUE: _____</div> <div><i>NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</i></div> <div>WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____</div> <div>Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): _____</div> |

(If more space is needed, you can use page 8 multiple times)

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Contracts to Section 3 Business Concerns (continued)

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

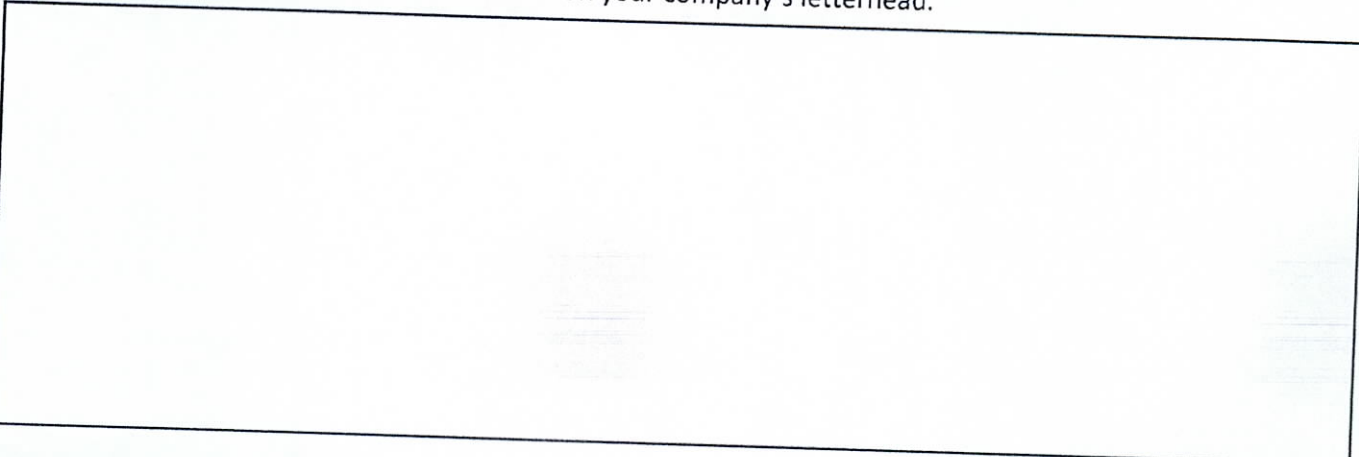
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

If the Prime Contractor cannot meet the minimum contracting requirements, outlined on pages 2 through 4, provide the reasoning below. You must include the scope of work and why you cannot meet the requirements. For additional space, please attach a document on your company's letterhead.



If the Prime Contractor is unable to find subcontractors, after exhausting all good faith efforts, to perform under this scope of work, list the Companies that were contacted for subcontracting opportunities for this contract.

| Outreach Efforts | |
|--------------------------------|------------|
| Business Name: | None known |
| Primary Contact: | |
| Phone Number: | |
| E-Mail Address: | |
| Reason for not subcontracting: | |

| | |
|--------------------------------|--|
| Business Name: | |
| Primary Contact: | |
| Phone Number: | |
| E-Mail Address: | |
| Reason for not subcontracting: | |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Part III: OTHER ECONOMIC OPPORTUNITIES

Table III: Other Economic Opportunities Plan(s)

THIS SECTION MUST BE COMPLETED IF YOUR PLAN DOES NOT MEET THE MINIMUM HIRING (30% OF NEW HIRES) AND/OR CONTRACTING (10%/3%) REQUIREMENTS.

In the space provided below, please outline your plan to provide other economic opportunities to a Section 3 or low-income person (if more space is needed, please provide an attachment to this Schedule B). Examples of plans may include internship programs, mentorship programs, and teaming agreements. Please note that any indirect subcontracting should also be described in the section below. Refer to the instruction page for more information.

Indirect Participation (subcontracting to a Section 3 business for work outside the scope)

Note: An indirect subcontractor should still submit a Schedule C to correspond with this information.

COMPANY NAME: N/A

ORIGINAL CONTRACT DOLLAR VALUE: _____

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

COMPANY NAME: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Mentorship Program Participation

Describe in detail the work that
will be performed by the Section 3
Resident or Business Concern

Quantifiable Goals

Anticipated Results

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Training Program

| | |
|--|--|
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

Internship Program

| | |
|--|--|
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

Other Results-Oriented Economic Opportunities (Please Describe)

Note: Any part-time hires can be represented here.

| | |
|--|--|
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Please select which type of contribution is being paid into the Section 3 Fund, according to your Schedule B- Section 3 Utilization Plan. If a contribution is being made for **Hiring and Contracting**, you should indicate that in the chart below.

Section 3 Fund

Note: Please refer to page three (3) Part III: Other Economic Opportunities for more details on contributions.

| | | |
|-------------|-------------------------------------|---|
| Hiring | <input type="checkbox"/> | 5% of total contract value (Construction)- Not to Exceed \$100,000 |
| | <input checked="" type="checkbox"/> | 1.5% of total contract value (Professional Service)- Not to Exceed \$100,000 |
| Contracting | <input type="checkbox"/> | Contributing the difference between the actual subcontracting dollar amount and the minimum subcontracting requirement Not to Exceed \$500,000 |
| | <input type="checkbox"/> | 10% of total contract value (Construction) Not to Exceed \$500,000 |
| | <input type="checkbox"/> | 3% (Other Contracts- including Professional Service) Not to Exceed \$500,000 |

Contribution to Section 3 Fund

(this is the total of all hiring and Contracting contributions identified in the Section 3 Fund chart above)

Dollar Value of Contribution

\$ 1.5% of total contract value, not to exceed \$100,000

How will I contribute the funds?

☒ CHA can deduct portions from each of my purchase orders

☐ I will submit one check to cover the full contribution amount

By signing below, the Contractor hereby agrees to comply with the Section 3 requirements indicated above. To the extent that the completion of this form is contingent upon future information, for example price negotiations, request for specific services, etc., the undersigned hereby affirms and agrees to fully adhere to the CHA Section 3 Policy. Furthermore, the undersigned acknowledges and affirms responsibility for completion and submission of this form at the time the bid or proposal is due.
McGladrey LLP

NAME OF PRIME CONTRACTOR (Print or Type)

Dan Levenson

Daniel Levenson

NAME OF AUTHORIZED OFFICER

Ann Burke Date September 24, 2015

NAME OF NOTARY (Print or Type)

STATE OF Illinois COUNTY OF Cook ON THIS 24th DAY OF September 2015 BEFORE ME APPEARED (NAME) Dan Levenson

TO ME PERSONALLY KNOWN WHO, BEING DULY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY AUTHORIZED BY THE PRIME CONTRACTOR TO EXECUTE THIS AFFIDAVIT AND DID SO AS HIS OR HER FREE ACT AND DEED.

NOTARY PUBLIC: Ann M. Burke (SEAL):

COMMISSION EXPIRES: 8/12/17



INTERNAL CHA APPROVAL: _____

COMPLIANCE MANAGER'S SIGNATURE

DATE

INTERNAL CHA APPROVAL: _____

SECTION 3 ADMINISTRATOR

DATE

(Applicable when Other Economic Opportunities are proposed)

**6. SCHEDULE C – MWDBE AND SECTION 3 SUBCONTRACTORS,
SUPPLIERS, CONSULTANTS**

CHICAGO HOUSING AUTHORITY (CHA)
Procurement & Contracts Department Contract Compliance Division

SCHEDULE C
Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants
(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

M/W/DBE or SECTION 3 BUSINESS CONCERN NAME: Adelfia LLC

Certification Status (Check One): ☐ MBE ☒ WBE ☐ DBE

Section 3 Business Concern: ☐ Yes ☒ NO

FEIN: [REDACTED] ETHNICITY: Asian GENDER: Female

CONTACT NAME/TITLE: Maria Fides Balita

E-MAIL ADDRESS: mfbalita@adelfiacpas.com

IFB/RFP/CONTRACT OR PURCHASE ORDER NO.:

PROJECT TITLE: Internal Audit Services DATE FORM COMPLETED: 09/11/2015

PRIME CONTRACTOR: McGladrey LLP
(NAME) (TELEPHONE NUMBER)

NOTE: M/W/DBE contractors must attach a Letter of Certification from one of the certifying agencies listed on the Schedule A - M/W/DBE Utilization Plan.

1. Will the Subcontractor contract any of the work to be performed on this contract to another firm? Yes ☐ No ☒

If yes, explain below (Include dollar amount & percentage that will be subcontracted to other firms):
N/A

2. List commodities/services to be provided for the above-referenced contract:
Direct participation to provide internal audit services, such as compliance testing, controls testing, program reviews, individual property audits.

3. Indicate the total dollar value: \$ 15% of contract price

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or purchase order agreements on the above-referenced contract (timeframe and other subcontract details):

Adelfia will serve as subcontractor of McGladrey LLP

CHICAGO HOUSING AUTHORITY (CHA)
Procurement & Contracts Department Contract Compliance Division

SCHEDULE C

Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants
(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

AFFIDAVIT

The undersigned will enter into a signed agreement with the Prime Contractor listed above within five (5) days after receipt of a signed contract executed by the Chicago Housing Authority.

I do solemnly declare and affirm under the penalty of perjury that the contents of the foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Adelfia LLC

(NAME OF MBE/WBE/DBE SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

Jennifer S. Roan
(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT)

9-11-2015
(DATE)

JENNIFER S. ROAN
(NAME OF NOTARY - PRINT OR TYPE)

STATE OF ILLINOIS COUNTY OF COOK

ON THIS 11th DAY OF September 20 15

BEFORE ME APPEARED (NAME) MARIA FIDES BALITA
to me personally known who, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by ADELFA LLC to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: Jennifer S. Roan (SEAL)

COMMISSION EXPIRES: 09/17/18



Adelfia LLC - Firm Overview

Adelfia LLC is a women and minority-owned public accounting firm. Adelfia provides assurance, accounting, tax, information technology review/audit and other services across industry-specialized practices: public sector/government, colleges and universities, home health agencies, benefit plans, not-for-profit, Fortune 500, and private companies. Formed in 2011, Adelfia LLC currently has 23 full time employees.

Supplier Diversity

Adelfia LLC is certified as Minority and Women Business Enterprise by the following agencies.

1. State of Illinois – Female and Minority Business Enterprise (FMBE)
2. Illinois Department of Transportation – Disadvantaged Business Enterprise (DBE)
3. City of Chicago – Women or Minority Business Enterprise (WBE/MBE)
4. Cook County of Illinois – Women and Minority Business Enterprise (W/MBE)
5. Chicago Minority Supplier Diversity Council – Minority Business Enterprise (MBE)

Relevant Experience

Adelfia's key professionals have relevant experience in providing internal audit services government and higher education entities. Our professionals have performed risk assessment and development of audit plans, as well as conducted audits in areas of grant and federal compliance, human resources review, endowment fund reviews, business expense reimbursement reviews, information technology general controls review, which are key focus areas identified by the Chicago Housing Authority. Clients served by our professionals in providing internal audit services and advisory projects, while with Adelfia include Roosevelt University, Chicago Park District, Chicago State University, and Morehouse College. Other internal audit clients served by our professionals prior to joining Adelfia include **Chicago Housing Authority**, City of Milwaukee Employee Retirement System, Chicago Public Schools, and Universal Service Administrative Company.

Adelfia's professional staff also has experience in providing audit and compliance services to various state and local government agencies, including conducting financial statement audits in accordance with Generally Accepted Auditing Standards (GAAS), audits in accordance with Generally Accepted Government Auditing Standards (GAGAS) (or Yellow Book Standards), including A-133 Single Audits, and other compliance attestations or examinations. In addition, our professional staffs are compliant with continuing professional education requirements of *Government Auditing Standards*.

Relevant Experience – Description of Projects

- Risk Assessment and Internal Audit Plan
 - Maria Balita and Ana Ausan both had experience performing annual risk assessment, a risk-based approach in developing a multi-year internal audit plan. The risk assessment is performed through interviews or surveys with management personnel to obtain information about the organization's vision, strategic plan, key initiatives, and risks which impact achievement of organization objectives. The risks are then categorized according to strategic, operational, financial, compliance and information technology. The risks are then ranked according to the organization's risk criteria. The risk information is summarized in a format to enable the organization to focus on those areas with most impact to ongoing business operations.

- Human Resources Review
 - Maria performed a review of the Human Resources Department processes, including, hiring, contracts monitoring, records management, compliance, performance evaluation, position request/personnel action form, and exit/termination processes.
- ✚ Reimbursed Expenses Review
 - Maria and Ana participated in audits of employee reimbursed expenses review. The objective of the review was to provide reasonable assurance that the employee's reimbursed expenses the period selected, are in accordance with the Employee Expense Reimbursement Policies. Procedures performed included obtaining expense listing from Finance Department's Controller's Office, supporting documentation, and review compliance with policies.
- ✚ Grants Administration Process and Controls Review
 - Ana led an audit of grants process and administration review. The review focused on grant funds that were not audited under the Single Audit Act and OMB Circular A-133, effectiveness of the post award administration process, and the adequacy of the controls on fiscal monitoring and reporting. The review was based upon the requirements in the grant agreements, policies governing grant and contract activities, and applicable federal and state laws.
- ✚ Section 3 – Davis Bacon Compliance Review
 - Maria participated in in internal audit project with the Chicago Housing Authority related to review of compliance with Section 3 Davis Bacon Act for payments made to construction contractors.
- ✚ Construction Contract Process Review
 - Adelfia professionals participated in a review of construction contracts processing. The scope of audit included a review of the Physical Resources department's construction contract processes, more specifically on bidding and contracting, change order process, invoice processing and payment for purchases of goods and services during the a specific period.



ILLINOIS

Bruce Rauner, Governor

DEPARTMENT OF CENTRAL MANAGEMENT SERVICES

September 01, 2015

Jennifer Roan
Adelfia LLC
400 E Randolph St Ste 705
Chicago, IL 60601-7725

Certification Expires: November 05, 2015

Dear Business Owner:

According to our records, your firm's Annual certification will expire on the date noted above with the Illinois Department of Central Management Services, Business enterprise Program (BEP) for Minorities, Females, and Persons with Disabilities. Pursuant to Title 44 Part 10 72, of the State of Illinois Adm. Code, "Annual Confirmation of Eligibility", a No-Change Affidavit must be filed on an annual basis to maintain your certification. (Note, if there has been any change of ownership within your company, you must complete a new full certification application).

To continue your firm's eligibility, you must complete and return the following documents:

- No-Change Affidavit (NCA)
(Download available at www2.illinois.gov/cms/business/scell2/bep/Pages/default.aspx)
- A copy of your firm's recent U.S. Federal and all Affiliates income tax returns (include all schedules and attachments)

All requested information must be received within 10 days before the expiration date as noted above in order to ensure your continued eligibility as a BEP certified vendor. If we do not hear from you within this period, we will assume your company does not wish to pursue continued certification with the Business Enterprise Program. Accordingly, your file will be closed for lack of information, and your firm will no longer appear in our directory as a certified vendor with the State's BEP Program. If in the future you wish to pursue certification with the Business Enterprise Program, you will need to reapply through the full certification process.

Thank you for your participation in the Business Enterprise Program. The State of Illinois values its relationship with small and diverse businesses and looks forward in doing business with your company.

For further information or if you have any questions, please contact our office at (312) 814-4190, Toll-free (800) 356-9206, Illinois Relay Line for the Hearing Impaired - TTY Users (800) 526-0844; Illinois Relay Line for the Hearing Impaired - Voice Users at (800) 526-0857; or Nextalk/Textnet at (888) 261-3212.

Sincerely,

Carlos Gutierrez
Certification Manager
Business Enterprise Program

(L51)

100 W Randolph St., Suite 4-100, Chicago, IL 60601

Printed on Recycled Paper

CHICAGO HOUSING AUTHORITY (CHA)
Procurement & Contracts Department Contract Compliance Division

SCHEDULE C
Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants
(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

M/W/DBE or SECTION 3 BUSINESS CONCERN NAME: E.C. Ortiz & Co., LLP

Certification Status (Check One): ☒ MBE ☐ WBE ☐ DBE

Section 3 Business Concern: ☐ Yes ☒ NO

FEIN: [REDACTED]

ETHNICITY: Asian

GENDER:

CONTACT NAME/TITLE: Edilberto Ortiz

E-MAIL ADDRESS: ecortiz@ecortiz.com

IFB/RFP/CONTRACT OR PURCHASE ORDER NO.: 211

PROJECT TITLE: Internal Audit Services

DATE FORM COMPLETED: 9/14/15

PRIME CONTRACTOR: McGladrey LLP

(NAME)

(TELEPHONE NUMBER)

NOTE: M/W/DBE contractors must attach a Letter of Certification from one of the certifying agencies listed on the Schedule A - M/W/DBE Utilization Plan.

1. Will the Subcontractor contract any of the work to be performed on this contract to another firm? Yes ☐ No ☒

If yes, explain below (Include dollar amount & percentage that will be subcontracted to other firms):

2. List commodities/services to be provided for the above-referenced contract:

Internal Audit

3. Indicate the total dollar value: \$

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or purchase order agreements on the above-referenced contract (timeframe and other subcontract details):

CHICAGO HOUSING AUTHORITY (CHA)
Procurement & Contracts Department Contract Compliance Division

SCHEDULE C

Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants
(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

AFFIDAVIT

The undersigned will enter into a signed agreement with the Prime Contractor listed above within five (5) days after receipt of a signed contract executed by the Chicago Housing Authority.

I do solemnly declare and affirm under the penalty of perjury that the contents of the foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Edilberto Ortiz

(NAME OF MBE/WBE/DBE SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

E. C. Ortiz
(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT)

9/14/15
(DATE)

LEILANI N. RODRIGO

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF Illinois COUNTY OF Cook

ON THIS 14th DAY OF September 2015

BEFORE ME APPEARED (NAME) EDILBERTO ORTIZ
to me personally known who, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by E. C. Ortiz & Co., LLC to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC:

[Signature]

(SEAL)

COMMISSION EXPIRES: 2/17/16



INTERNAL AUDIT EXPERIENCE

COOK COUNTY HEALTH AND HOSPITALS SYSTEM

The Cook County Health and Hospitals System (CCHHS) is comprised of the following entities: John H. Stroger Jr. Hospital (JSH); Oak Forest Hospital (OFH); Provident Hospital (PHCC); Cook County Department of Public Health (DPH); Cermak Health Services (Cermak); the Ruth M. Rothstein CORE Center; and the 16 Ambulatory and Community Health Network (ACHN) clinics. We visited JSH, OFH, PHCC, DPH and Cermak during the course of the audit.

E.C. Ortiz & Co., LLP (ECO) assisted the prime contractor in providing internal auditing services for the following internal audit work:

1. Grants

ECO performed a detailed process walkthrough to gain an understanding of grants function of JSH, DPH and Cermak. Areas covered were policies and procedures, personnel - grant administration and financial management, pre-award (pre-application and submission stage), post-award grant approval, grant set-up, grant accounting, grant performance and compliance, grant closing, and management governance and oversight. Interviews were done with key personnel, including Business Manager III, Senior Director of Finance, Director of Research Affairs, Administrative Assistant II, Director of Financial Reporting-Cook County Comptroller's Office, Staff Accountant Financial Reporting-Cook County Comptroller's Office, Director of Accreditation Quality Services / Acting WIC Coordinator, Black Lung Grant Administrator, Deputy Director-Department of Budget and Management Services, Budget Analyst/Grant Processor, DPH Accountant V (Budget Analyst), DPH Director of Finance Control III, and DPH Director of Finance. Based on the walkthroughs, we prepared narratives where internal controls and gaps in internal controls were also identified. We then designed, performed review and test procedures related to key processes to ensure they are adequately controlled and functioning as designed and intended.

2. Payroll

ECO performed a detailed process walkthrough to gain an understanding of the payroll process of CCHHS, JSH, Cermak, OFH and PHCC. Areas covered were duties and responsibilities, personnel, policies and procedures, information system/payroll system, payroll records, payroll processing, payroll reconciliation, reporting and payroll distribution. Interviews were done with key personnel, including Business Managers, Payroll Supervisors, Accountants, Systems Payroll Supervisor, and Systems Accountant. Based on the walkthroughs, we prepared narratives where internal controls and gaps in internal controls were also identified. We then designed, performed review and test procedures related to key processes to ensure they are adequately controlled and functioning as designed and intended.



3. Procurement – Finance and Accounts Payable

ECO performed a detailed process walkthrough to gain an understanding of the vendor setup and monitoring and invoice review and processing that take place at CCHHS for JSH. Areas covered were personnel, policies and procedures, information system, vendor set-up and maintenance and accounts payable – invoice review and payment. Interviews were done with key personnel, including Director of Financial Control II, Accounts Payable Supervisors, Accountants and System Director of Expenditure Control. Based on the walkthroughs, we prepared narratives where internal controls and gaps in internal controls were also identified. We then designed, performed review and test procedures related to key processes to ensure they are adequately controlled and functioning as designed and intended.

4. Procurement - Materials Management

ECO performed a detailed process walkthrough to gain an understanding of the materials management process, specifically the receiving and distribution of supplies that take place at CCHHS for JSH. Areas covered were personnel, policies and procedures, receiving of supplies and distribution of supplies. Interviews were done with key personnel, including Materials Management Director, Assistant Materials Management Director, Inventory Control and Warehouse Supervisors. Based on the walkthroughs, we prepared narratives where internal controls and gaps in internal controls were also identified. We then designed, performed review and test procedures related to key processes to ensure they are adequately controlled and functioning as designed and intended.

CITY COLLEGES OF CHICAGO (CCC)

Assisted the prime contractor in providing internal auditing services for the following internal audit work –

1. Monitoring of Truants' Alternative Optional Education Program (TAOEP) grants awarded to various contractors

Under the School Report Act (P.A. 84-126), the Illinois State Board of Education awarded TAOEP grants to CCC who subcontracted this grant to nine (9) schools/agencies to implement the program in accordance with the program requirements and budget. ECO visited the nine (9) schools/agencies, obtained their fiscal and administrative records (budgets, mid-year and end-of-year reports, annual audit report, expenditure reports), and performed testing on selected expenses. We also obtained programmatic and student records (Individualized Optional Education Plan, curriculum guides, syllabi for courses or classes offered) and performed testing on selected samples to determine compliance with the TAOEP program requirements.

2. Review of Adult Education Post-Testing Processes and Procedures

ECO performed a review of six (6) CCC campuses and off-site locations' (except Harold Washington) in relation to its Adult Education post-testing processes and procedures to determine student level gains. As a result, we provided recommendations for deficiencies observed during the testing.

3. Grants Administration Audit

ECO started the review of key processes related to CCC's grant administration operations to identify effectiveness and efficiency opportunities. Grant process was segregated into four phases, pre-award (grant proposal process), post-award (grant set-up, management, budget, expenses, payroll, billing and receivables processes), close-out, and report. Our testing focused on grant proposal and budgeting, expenditures which included payroll processing, and lastly, the billing and close-out process. We've identified a few deficiencies in the processes, however due to budget constraints, this project was not completed.

4. Campus Security Audit

ECO performed a detailed review of CCC campus security in compliance with federal and state laws on campus security. Areas tested include but not limited to the following:

- security sensitive positions
- campus arrest reports
- establishment of Community Task Force
- National Incident Management System documentation
- campus All-Hazards Emergency Response and Violence Prevention plan
- compliance with Jeanne Clery Act, Title IX, Sexual Violence Elimination Act, Sexual Assault Victims Bill of Rights, Sex Crime Prevention Act, Drug-Free Schools and Communities Act, and Part 86 of the Department's General Administrative Regulations

UNITED AIRLINES

Assisted the Internal Audit Department of United Airlines in performing the following internal audit work:

1. Compliance with Exit Facility Agreement

On February 2, 2006, United entered into an exit financing agreement with certain banks to pay down its loan and to United's emergence from bankruptcy.

To ensure compliance with certain restrictive provisions or covenants of the exit financing agreement, United created the Exit Financing Team. In addition, United



developed a process to monitor operating activity on a monthly basis. This process has been developed with the intent of providing an early warning of business decisions or activities that may inadvertently cause loan defaults or non-compliance.

In order to develop this process, United reviewed the exit financing agreement and other ancillary agreements (e.g., SGR, Security, etc.) and extracted key provisions or covenants that the company is required to comply with. These provisions or covenants were then compiled into an exit financing matrix.

ECO was engaged to review compliance of United Airlines with exit financing agreements. We Obtained copies of all agreements with the exit financing facilities, reviewed and determined that the agreements were properly executed in accordance with the Corporate Commitment Matrix, reviewed the agreements and identified all covenants that need to be monitored; compared the covenants identified through review of the agreements with the Covenant Matrix developed by United for completeness, obtained a copy of the compliance certification/report for September 2007 and determine if it has been submitted to the Lender on time; reviewed supporting documents and verified calculations of all financial covenants on a sample basis; reviewed monitoring procedures and determined compliance for all ancillary agreements other than Slot, Gate, Route, and Aircraft, Engines and Spare for adequacy; and reviewed the composition of the Exit Financing Team and ensure that they were the process owners who were knowledgeable of the requirements of the covenants.

2. Review of United Sublease Processes

United leases space at various airport or off-airport facilities. These lease contracts allow United to sublease part of the leased space to third parties. The subleased space represents gate and hold-room areas, kitchen spaces, offices, cargo, and off-airport space.

The primary objectives of the engagement were to obtain reasonable assurance that the part of the airport facilities United has subleased to third parties was properly identified as such; accurate rent payments were received for the space subleased

ECO selected sample of sublease agreements and confirmed sublease contracts with the Station Managers to validate the existence of sublease arrangements with third parties; reviewed the accuracy of database information of subleases; reviewed sublease contracts to determined they were executed by individuals with appropriate commitment authority; and tested rental income for accuracy and timeliness of collection.

3. SOX testing

ECO conducted testing of various processes and controls to ensure compliance Sarbanes Oxley Act.



E.C. ORTIZ & CO. LLP
CERTIFIED PUBLIC ACCOUNTANTS

HOSPIRA, INC. (now Pfizer)

1. SOX testing

ECO conducted testing of various processes and controls to ensure compliance Sarbanes Oxley Act.

CITY OF CHICAGO

ECO was contracted by the City of Chicago Internal Audit Department and the City Comptroller ("Internal Audit") to perform OMB A-122 Voucher Documentation Audits (agreed-upon procedures). ECO was assigned to audit, on a test basis, documentation supporting Delegate Agency Vouchers reimbursed by the City of Chicago (Comptroller's Office). The objective of the audit was to determine whether the expenditures are: (1) in compliance with the Delegate Agency contract budget and applicable City and Federal regulations; and (2) authorized properly, reconciled to applicable summaries, used within the approved budget line item, incurred within the grant period, and computed accurately.



ILLINOIS

Bruce Rauner, Governor

DEPARTMENT OF CENTRAL MANAGEMENT SERVICES

April 27, 2015

Edilberto Ortiz
E C Ortiz & Co LLP
333 S Des Plaines Street
Suite 2-N
Chicago, IL 60661-5514

Certification Term Expires: April 27, 2016

Dear Business Owner:

Re: MBE Recognition Certification Approval
(CMSDC)

Congratulations! After reviewing the information that you supplied, we are pleased to inform you that your firm has been granted certification as a Minority Business Enterprise (MBE) under the Business Enterprise Program for Minorities, Females, and Persons with Disabilities.

BEP accepts the Chicago Minority Supplier Development Council's (CMSDC) certification regarding your business status. This outside certification is in effect with the State of Illinois as long as it is valid with the CMSDC.

At least 60 days prior to the anniversary day of your certification, you will be notified by BEP to update your certification as a condition of continued certification. In addition, should any changes occur in ownership and/or control of the business or other changes affecting the firm's operations, you are required to notify BEP within two weeks. Failure to notify our office of changes will result in decertification of your firm.

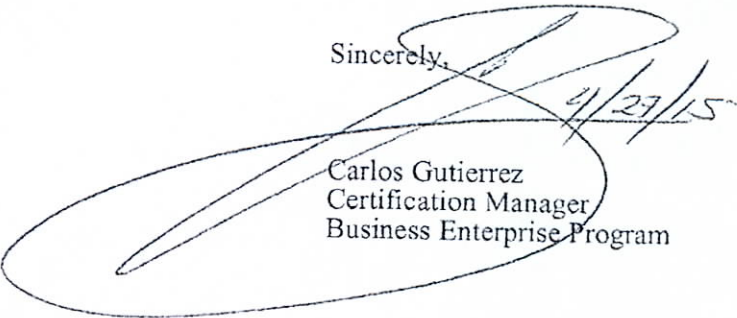
Please be advised, while this certification does not guarantee you will receive a State contract, it does assure your firm the opportunity to participate in the State's procurement process. Your firm's participation on State contracts will be credited only toward Minority Business Enterprise (MBE) goals in your area(s) of specialty. Your firm's name will appear in the State's Directory as a certified vendor with the Business Enterprise Program (BEP) in the specialty area(s) of:

SERVICES, AUDITING & ACCOUNTING

Please visit our website at www.sell2.illinois.gov to obtain information about current and upcoming procurement opportunities, contracts, forms, and also to register to receive email alerts when the State is preparing to purchase a product or service you may provide.

Thank you for your participation in the Business Enterprise Program (BEP). We welcome your participation and wish you continued success.

Sincerely,


Carlos Gutierrez
Certification Manager
Business Enterprise Program

(L21MBE)



DEPARTMENT OF PROCUREMENT SERVICES

CITY OF CHICAGO

APR 24 2014

Edilberto Calalang Ortiz
E.C. Ortiz & Co., LLP
333 S. DesPlaines Street
Chicago, IL 60661-5514

Dear Mr. Ortiz:

We are pleased to inform you that **E.C. Ortiz & Co., LLP** has been recertified as a **Minority Business Enterprise ("MBE")** by the City of Chicago ("City"). This **MBE** certification is valid until **04/15/2019**; however your firm's certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your **annual No-Change Affidavit 60 days** before your annual anniversary date.

It is now your responsibility to check the City's certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an annual No-Change Affidavit. Your firm's **annual No-Change Affidavit** is due by **04/15/2015, 04/15/2016, 04/15/2017, and 04/15/2018**. Please remember, you have an affirmative duty to file your **No-Change Affidavit 60 days** prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm's five year certification will expire on **04/15/2019**. You have an affirmative duty to file for recertification **60 days** prior to the date of the five year anniversary date. Therefore, you must file for recertification by **02/15/2019**.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm's eligibility for certification **within 10 days** of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a **MBE** if you fail to:

- File your annual No-Change Affidavit within the required time period;
- Provide financial or other records requested pursuant to an audit within the required time period;
- Notify the City of any changes affecting your firm's certification within 10 days of such change; or
- File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the City's Inspector General at chicagoinspectorgeneral.org, or 866-IG-TIPLINE (866-448-4754).

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than \$5,000 and not more than \$10,000 or both.

Your firm's name will be listed in the City's Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

NAICS Code(s):

541211 - Offices of Certified Public Accountants

541213 - Tax Preparation Services


541214 - Payroll Services

541219 - Other Accounting Services

Your firm's participation on City contracts will be credited only toward **Minority Business Enterprise** goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City's Minority and Women-Owned Business Enterprise (MBE/WBE) Program.

Sincerely,



Jamie L. Rhee
Chief Procurement Officer

JLR/si



CHICAGO MINORITY SUPPLIER DEVELOPMENT COUNCIL

THIS CERTIFIES THAT

E. C. ORTIZ & CO., LLP

Has met the requirements for certification as a bona fide Minority Business Enterprise as defined by the National Minority Supplier Development Council, Inc. (NMSDC) and as adopted by the Chicago Minority Supplier Development Council.

****NAICS Codes: 541211**

****Description of their product/services as defined by the North American Industry Classification System (NAICS)**

Product/Service Description: SINGLE, AUDIT, CONSULTING, REVIEW, BOOKKEEPING, TAX, PREPARATION, PAYROLL, FINANCIAL, STATEMENTS, INTERNAL, EXTERNAL

3/31/2015

Issued Date

3/31/2016

Expiration Date

CH1169

Certificate Number

Shelia C. Morgan
President, ChicagoMSDC

By using your assigned (through NMSDC only) password, NMSDC Corporate Members may view the original certificate by logging in at: <http://www.nmsdc.org>



An affiliate of the National Minority Supplier Development Council, Inc. (NMSDC)

**7. WAIVER REQUEST – M/W/DBE PARTICIPATION COMMITMENTS,
IF A WAIVER IS BEING REQUESTED, N/A**

**8. HUD FORM 5369-C CERTIFICATIONS & REPRESENTATIONS OF
OFFERORS - NON CONSTRUCTION CONTRACTS**

Certifications and Representations of Offerors

Non-Construction Contract

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This form includes clauses required by OMB's common rule on bidding/offering procedures, implemented by HUD in 24 CFR 85.36, and those requirements set forth in Executive Order 11625 for small, minority, women-owned businesses, and certifications for independent price determination, and conflict of interest. The form is required for nonconstruction contracts awarded by Housing Agencies (HAs). The form is used by bidders/offers to certify to the HA's Contracting Officer for contract compliance. If the form were not used, HAs would be unable to enforce their contracts. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality.

1. Contingent Fee Representation and Agreement

(a) The bidder/offers represents and certifies as part of its bid/offer that, except for full-time bona fide employees working solely for the bidder/offers, the bidder/offers:

(1) ☐ has, ☒ has not employed or retained any person or company to solicit or obtain this contract; and

(2) ☐ has, ☒ has not paid or agreed to pay to any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

(b) If the answer to either (a)(1) or (a) (2) above is affirmative, the bidder/offers shall make an immediate and full written disclosure to the PHA Contracting Officer.

(c) Any misrepresentation by the bidder/offers shall give the PHA the right to (1) terminate the resultant contract; (2) at its discretion, to deduct from contract payments the amount of any commission, percentage, brokerage, or other contingent fee; or (3) take other remedy pursuant to the contract.

2. Small, Minority, Women-Owned Business Concern Representation

The bidder/offers represents and certifies as part of its bid/offer that it:

(a) ☐ is, ☒ is not a small business concern. "Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.

(b) ☐ is, ☒ is not a women-owned small business concern. "Women-owned," as used in this provision, means a small business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.

(c) ☐ is, ☒ is not a minority enterprise which, pursuant to Executive Order 11625, is defined as a business which is at least 51 percent owned by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals.

For the purpose of this definition, minority group members are:

(Check the block applicable to you)

☐ Black Americans ☐ Asian Pacific Americans

☐ Hispanic Americans ☐ Asian Indian Americans

☐ Native Americans ☐ Hasidic Jewish Americans

3. Certificate of Independent Price Determination

(a) The bidder/offers certifies that—

(1) The prices in this bid/offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder/offers or competitor relating to (i) those prices, (ii) the intention to submit a bid/offer, or (iii) the methods or factors used to calculate the prices offered;

(2) The prices in this bid/offer have not been and will not be knowingly disclosed by the bidder/offers, directly or indirectly, to any other bidder/offers or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and

(3) No attempt has been made or will be made by the bidder/offers to induce any other concern to submit or not to submit a bid/offer for the purpose of restricting competition.

(b) Each signature on the bid/offer is considered to be a certification by the signatory that the signatory:

(1) Is the person in the bidder/offers's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or

(2) (i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above (insert full name of person(s) in the bidder/offers's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder/offers's organization);

(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and