



City of San Antonio

SUBJECT: Request for Qualifications (RFQ) for Broker Dealer Services (RFQ 016-071),
Scheduled to Close: **July 20, 2016**; Date of Issue: **June 20, 2016**

FROM: Denise D. Gallegos, C.P.M., CPPB
Procurement Administrator

DATE: June 30, 2016

**THIS NOTICE SHALL SERVE AS ADDENDUM NO. I - TO THE ABOVE REFERENCED
REQUEST FOR QUALIFICATIONS**

**THE ABOVE MENTIONED REQUEST FOR QUALIFICATIONS IS HEREBY AMENDED AS
FOLLOWS:**

1. **Add: Exhibit 5**, Pre-Submittal Sign in sheet dated June 29, 2016 – Exhibit is posted as a separate document.
2. **Add: Exhibit 6**, Small Business Presentation. Exhibit is posted as a separate document.

QUESTIONS SUBMITTED IN ACCORDANCE WITH SECTION 007, PRE-SUBMITTAL CONFERENCE

On June 29, 2016, the City of San Antonio hosted a Pre-Submittal Conference to provide information and clarification for Broker Dealer Services.

No questions were asked at the Pre-Submittal Conference.

QUESTIONS SUBMITTED IN ACCORDANCE WITH SECTION 011, RESTRICTIONS ON COMMUNICATION:

Question 1: Section 010 of the RFQ – Submission of Proposal, states, “**ONLY REQUIRED SECTIONS AND ATTACHMENTS listed by asterisk in Section 008, Proposal Requirements MUST** be divided by tabs and indexed in a Table of Contents page. Failure to meet the above conditions may result in disqualification of the proposal or may negatively affect scoring.” There are only 3 items marked with an asterisk in Section 008 (General Information Form, Statement of Qualifications, and Investment Policy Certification). Are these the only 3 items that should be divided by tabs and indexed in the Table of Contents, or should all of the underlined items listed in Section 008, pp. 4-5, be divided by tabs and indexed in the Table of Contents?

Response: All seven (7) copies should be tabbed and indexed with a Table of Contents, but only include the General Information Form, Statement of Qualifications Form and the Investment Policy Certification Form. The one (1) original that includes all of the documents should also be tabbed and indexed with a Table of Contents.

Question 2: Section 008 and the "Proposal Checklist" on p. 35 both list the SBEDA, LPP, and VOSB forms. If these forms are not applicable to our firm, should they be listed on our Table of Contents with "N/A" beside them? Should there be a tabbed section in our proposal for these that contains a sheet that says "Not Applicable"?

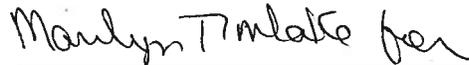
Response: All forms are required even if the Programs do not apply to your firm. Please fill out the SBEDA, LPP and VOSB forms to the best of your knowledge, sign all three (3) forms, add them to your Table of Contents and submit them with your original proposal only.

Question 3: Under "Proposal Format" on p. 7 of the RFQ, it says, "All hard copy proposals must be stapled." It would be very difficult to staple this much paper. Is it okay to place our proposal and the 7 hard copies in loose leaf binders?

Response: If the proposed document is too large to be stapled, please provide the proposal clamped together using binder clips.

Question 4: Our firm intends to submit a proposal for the Broker/Dealer Services RFQ and the RFQ for Financial Underwriting. Would our submission or approval for either RFQ preclude our firm from participating in the other?

Response: The submission of an RFQ for Broker/Dealer Services and possible approval of such services would not preclude the submission or possible approval for the Financial Underwriting Services RFQ.



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Finance Department – Purchasing Division