

**COMMISSIONERS OF THE LAND OFFICE  
STATE OF OKLAHOMA**

**REQUEST FOR PROPOSAL**

September 14, 2021

**INVESTMENT MANAGER,  
MANAGEMENT SERVICES OF DIRECT-INVESTMENT FINANCIAL SECURITIES FOR  
ONE YEAR WITH FOUR ONE-YEAR RENEWAL OPTIONS**

**PROPOSALS DUE:**

**October 1, 2021**

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## **Section 1: Background, Purpose and Minimum Qualifications**

### **Background:**

The Commissioners of the Land Office (CLO) is a federally created and State managed Trust for the benefit of the common schools (public schools) and institutions of higher education in the State of Oklahoma. The Land Office invests over two billion dollars of funds held as investments and manages in excess of 1,700,000 acres of agricultural, commercial and mineral interests throughout the State of Oklahoma. Unlike other State agencies, the Land Office has a mandate by law to generate the maximum return possible from its holdings.

### **Purpose:**

The CLO is seeking proposals from investment managers to manage certain Direct Investments of financial securities which are not typically traded on financial markets to generate income for the support of the CLO Trust beneficiaries.

Pursuant to the rules and regulations governing the CLO and the investment plan, the CLO is considering the acquisition of financial securities not openly traded on financial markets. These securities, hereinafter referred to as "Direct Investments" will primarily be in the form of equity class investments and may include but are not limited to: stock ownership (common shares or preferred shares) of corporations, ownership shares in limited liability companies, limited partnership shares of limited partnerships, and other financial securities as allowed by law and as offered under specific registration exemptions under blue-sky and/or federal securities laws. Direct Investments will be recommended by the Secretary of the Commissioners of the CLO after going through extensive due diligence and legal review process. Direct Investments shall generate distributable interest or dividend income for current Trust beneficiaries, support future Trust beneficiaries through appreciation or future investment rights, or both. Management of the newly acquired Direct Investments by the selected respondent(s) will be based upon a contract mutually agreed upon by the CLO and successful respondent(s).

In addition to providing investment management services, the successful respondent(s) shall assist the CLO in identifying and/or determining the risk, value, and profitability of Direct Investments including market analysis, cash flow pro forma financial statements, acquisition and transition (take-over and exit) strategies, and other investment services deemed necessary by the CLO.

The CLO requests proposals from responsible investment managers or firms to provide full-service management of Direct Investments acquired by the CLO.

### **Minimum Qualifications:**

Must be or become a state vendor (See application in Appendix)

Must meet one or more of the following qualifications:

- Registered under the Investment Company Act of 1940; or
- Registered under the Investment Advisors Act of 1940; or
- A bank, as defined in that Act; or
- An insurance company qualified under the laws of more than one state to perform the services of managing, acquiring, or disposing of CLO assets; or
- A person or organization authorized by applicable law or regulation to function as an investment manager.

Must have personnel experienced with the desired investment style, continuity of key personnel, and a reasonable fee schedule.

Must have personnel experienced with institutional investors including but not limited to pensions, state trusts, etc. with a preference of such institutional investors located within the State of Oklahoma.

Must have a clearly defined investment philosophy and decision-making process.

Must demonstrate generally favorable, consistent historical performance, calculated on a time-weighted basis, based on a composite of all their fully discretionary accounts of similar investment style relative to a predetermined benchmark.

## **Section 2: Scope of Services**

The CLO seeks to establish a relationship and contract with the selected investment manager(s) before Direct Investments are acquired by the CLO. Respondents should contact the CLO for information they may need on CLO-identified Direct Investments for the purposes of responding to this RFP.

Services expected to be provided by the respondent include full-service investment management such as:

- Supervising and reporting on the collection of dividends and all other income from Direct Investments under management.
- Actively tracking all deadlines, milestones, and other conditions of Directed Investments under management.
- Providing Monthly, Quarterly and Annual Reports (as applicable) comparing actual performance of Direct Investments to expected performance.
- Working with CLO staff to formulate recommendations for investment policies.
- Working with CLO staff to formulate recommendations for asset allocations and strategy.

- Attending CLO Investment Committee meetings as requested.
- Evaluating CLO investment strategy.
- Providing such other information, comments, or advice as may be deemed to be beneficial to the CLO. This may include reporting on various types of investments that the CLO staff or Investment Committee members would like to explore.

### **Section 3: Evaluation**

#### **Evaluation of Proposals**

Public Review: Proposals will be subject to public review.

Evaluation Committee: The Evaluation Committee shall review all qualified proposals received by the proposal deadline.

Interviews: The Evaluation Committee may elect to conduct interviews with one or more respondents. Representatives of the Evaluation Committee may contact respondent to request clarification or additional information to enable the Evaluation Committee to fully understand the proposal. Representatives of the Evaluation Committee may request additional material, documents, information, and references from the respondent including financial information. Respondents must be available to meet with representatives of the Evaluation Committee in Oklahoma City, Oklahoma within a reasonable time after notification.

Agreements: After completion of review and evaluation of any proposals and any information and proposals subsequently submitted, the Evaluation Committee shall select at least one (1) investment manager for the signing of the contract but based on the quality of the applicants may sign contracts with more than one investment manager.

#### **Evaluation Criteria**

Proposals shall be analyzed and evaluated to the following criteria. The maximum score for a proposal is 100 points. The Evaluation Committee will recommend the proposal that provides the greatest overall benefit to the CLO, which may or may not be the proposal that receives the highest score.

#### **Experience (40 points)**

Type of investment management experience.

Experience in the management of securities not traded in open markets,

including but not limited to I.P.O. offerings and venture capital.

Experience in managing the investments of institutional investors, including but not limited to trusts and governmental agencies.

Level of investment management services provided.

Unique investment management experience for other types of investments.

Entity history, location of headquarters and branch offices.

Ownership structure and number of employees.

Financial relationships with other entities, such as an insurance companies, brokerage firms, commercial banks, investment banking firms, actuaries, state agencies, etc.

Experience in providing investment-consulting services to public institutional funds.

Services provided to clients in a full-service consulting relationship. Indicate any services, which may be considered the entity's areas of greatest expertise.

Personnel who would be assigned to the CLO account, with details of their experience and time with the firm.

Future goals, particularly how such goals may pertain to accepting new client business and the overall quality of client service.

### **Economic and Related Impact (40 points)**

The proposed monetary terms for investment management to include commissions or fees, fees for any administrative work and fees to develop cash flow and pro forma models.

NOTE: There is no set format or criteria for reporting monetary terms in this RFP to allow respondents the maximum flexibility to discuss their valuation or pricing model for how their management or other fees are calculated.

### **Financial Abilities and Litigation History (20 points)**

Financial strength of respondent

Litigation history

## Section 4: Timeline

September 14, 2021	RFP Issued
September 20, 2021	Questions to CLO due via email submitted to Kimberly Noble at <a href="mailto:Kimberly.noble@clo.ok.gov">Kimberly.noble@clo.ok.gov</a>
September 23, 2021	Questions and answers posted on CLO website located at <a href="http://www.clo.ok.gov">www.clo.ok.gov</a>
October 1, 2021	Proposal Deadline
October 4, 2021	Finalist(s) Selected
October 6-8, 2021	Finalist(s) Interview
October 11, 2021	Vendor Selected by CLO and Contract Negotiated
October 14, 2021	Vendor Submitted for Commissioners for Consideration and Recommended Approval
October 15, 2021	Contract Executed and Contract Start Date

The CLO reserves the right to modify the RFP timeline with written notice. Any modifications will be posted at [www.clo.ok.gov](http://www.clo.ok.gov).

## Section 5: General Conditions

This section outlines the general conditions for the submission of proposals for investment manager, management services of Direct Investment securities.

All materials submitted in response to this RFP shall become the property of the CLO.

Any questions or requests for interpretation, clarification, or additional information relating to the RFP must be made in writing to the CLO by September 20, 2021, by 4:00 p.m. CDT. The CLO is not responsible for any oral interpretations or information given by any CLO employee or any other person. The CLO will attempt to notify all prospective respondents who have expressed an interest in the contracting for services as an investment manager for management services of Direct Investment securities of any changes to the RFP. **It is the responsibility of each respondent to contact Kimberly Noble at [Kimberly.noble@clo.ok.gov](mailto:Kimberly.noble@clo.ok.gov) or at (405) 522-5186 or view the CLO website ([www.clo.ok.gov](http://www.clo.ok.gov)) prior to submission of any proposal to determine if changes or addenda to the RFP have been issued. Any questions and answers will be posted on the CLO website.**

The CLO reserves the right in its sole and absolute discretion to (a) accept or reject any and/or all proposals or other submissions in response to this RFP; (b) waive irregularities, technicalities or non-conformance in connection with any proposal; and

(c) accept any alternative submission or proposal which, in the CLO's opinion, would best serve the interests of the CLO.

The CLO reserves the right to make such investigation as it deems appropriate to determine the ability and feasibility of any investment manager to carry out the work and duties in accordance with its proposal. The CLO also reserves the right to request additional information from any investment manager in connection with such review. Such requested information may include, but without limitation, audited financial statements, verification of available resources and past performance records. Each respondent by making the proposal agrees to authorize the release of any information reasonably requested by the CLO from third parties during the due diligence process and to execute any written instruments to that effect which the CLO may reasonably request.

Proposals will be evaluated in accordance with Section 3 of this RFP.

Any submission of proposals may be withdrawn up until the date and time for opening of the submissions. **Any submission not so withdrawn shall, upon opening, constitute an irrevocable offer to the CLO for a period of one hundred and twenty (120) days.**

All expenses for making the submission of qualifications shall be borne by the respondent.

Final approval by the CLO Commissioners shall be required before the final contract is executed.

## **Section 6: General Contract Requirements**

At least One (1) one investment manager will be selected by the CLO to manage Direct Investments. An investment management contract will be developed to comply with all applicable rules and regulations and will include the following terms:

**Contract Period:** The Contract will include a maximum term of five years including renewal options.

**Responsibility:** The investment manager will be solely and entirely responsible for its acts and the acts of its agents, employees, servants, contractors, subcontractors, licensees, and invitees during the term of the agreement.

**Assignability:** The investment manager cannot assign or transfer any interest in the Direct Investment Management Contract without the prior written consent of the CLO.

Insurance and Indemnification: The contract will require the investment manager to indemnify and hold harmless the CLO from any claims or losses arising out of the actions of the investment manager outside the scope of this contract. The investment manager will be required to provide customary insurance required for investment management firms.

Discrimination: The investment manager and its contractors, subcontractors and other firms must comply with the President's Executive Order No. 11246 and 11375, which prohibit discrimination in employment regarding race, color, religion, sex or national origin. Firms must also comply with Title VI of the Civil Rights Act of 1964, Copeland Anti-Kick Back Act, the Contract Work Hours and Safety Standards Act, Section 402 of the Vietnam Veterans Adjustment Act of 1974, Section 503 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1990, all of which are herein incorporated by reference.

## **Section 7: Proposal Requirements**

Vendors responding to this RFP must prepare their proposals as requested herein and provide any relevant attachments as required:

Business Entity: Provide the legal name, type of entity, address, telephone number and contact person for the investment management firm. Identify all owners of a 5% or greater ownership interest in the business.

Investment Management Team: Provide the names of members of the investment management team who have been identified at the time of submission of the proposal that will be responsible for the Direct Investment management. Provide background information and experience for each team member.

Experience: Provide a statement of the investment manager's experience in investment management, private equity funding, and all other relevant experience. Include a list of three (3) references with investments under management which include contact person that may be used as a reference concerning firm's investment management capabilities.

Legal Matters: Provide a statement as to whether the investment management firm or any officer, owner, principal employee, subsidiary or affiliate of the firm has been adjudged bankrupt, either voluntary or involuntary, or has been convicted of a felony, in either case, within the last 10 years. Additionally, provide a statement as to whether the firm or any officer, owner, principal employee, subsidiary or affiliate of the firm the type and extent of prior property management related litigation or claims as it relates to the management of a property (exclude actions for suing tenants for non-payment or non-performance).

Pending Litigation: Provide a summary of any pending lawsuits, unsatisfied judgments and/or judgment liens currently filed against the investment management firm or any officer, owner, principal, employee, subsidiary or affiliate of the manager.

Financial Information: Provide an audited financial statement and two (2) financial letters of reference. If any of this information is confidential then respondent must seal this information in an envelope that clearly states: "confidential financial information" and include this within the respondent's proposal package.

Fee for Investment Management Services - The proposal must include a detailed fee schedule for all services anticipated in the action of managing Direct Investment securities to be acquired by the CLO that will be managed by the respondent.

Contract Terms - The proposal must include any proposed special contractual terms including proposed length of contract for services.

Accounting and Reporting - The proposal must provide a description of the proposed process for handling all administrative functions relating to Direct Investment securities management including accounting, reporting of expenses, receipts, administration and shareholder relations. Respondent must note in its proposal how often they will submit the bill for costs and fees and provide detailed information.

**NOTE: All payments due the CLO from the Direct Investment, including dividends, interest, penalties, fees and any other revenues will be paid directly to the CLO through a custodial account established by the CLO. No payments or other revenues from the Direct Investment will be paid to the investment manager or any agent thereof.**

Pro Forma and Cash Flow Analysis for Investments - The proposal must provide a description of the ability of respondent to develop a pro forma and cash flow analysis for a Direct Investment that may be acquired by the CLO. Costs or fees associated with this activity, if any, must be detailed.

## **Section 8: Submission Instructions**

Proposal Submission: The Proposal should be submitted electronically via email in a PDF file which is formatted to be printed on 8 ½" x 11" paper. The proposal must clearly indicate the legal name, address, telephone number, contact person and type of entity (corporation, partnership, individual, etc.) of the investment manager. An officer of the investment manager who is duly authorized to bind the business to a

contract must sign the proposal. Each copy of the proposal must bear a signature above the typed or printed name and title of the signer.

Delivery of Proposals: Proposals must be received at the office of the CLO before 3:30 CST on October 1, 2021. The electronic file must be emailed with a subject line clearly identifying it as the "Investment Manager, Direct Investment Securities" proposal.

The proposals must be emailed to:

The Commissioners of the Land Office  
Attn: Kimberly Noble, CPO  
[Kimberly.noble@clo.ok.gov](mailto:Kimberly.noble@clo.ok.gov)

It is the sole responsibility of the respondent to have the proposal delivered to the CLO at or before the delivery deadline. The CLO reserves the right to reject any proposals which are not received by the proposal deadline or which are not submitted in the required form. Submitted proposals become the property of the CLO and will not be returned to the respondent.

Format: Proposals must be submitted in PDF file format and designed to be printed on 8 1/2" x 11" paper. Pages must be consecutively numbered.

**Contents - Each proposal must include the following contents in the following order:**

1. Proposal Cover Sheet submission form
2. Table of contents
3. One (1) page summary for public review
4. Proposal
5. Attachments and appendices, if any

**Appendix: Questionnaire, Proposal Cover Sheet, Non-Collusion Certification, Supplier Contract Certification and Vendor Payee Form**

**Questionnaire**

- List all pertinent information and qualifications requested within this RFP.
- List any potential conflicts that may result in entering into a contract with an agency of the State of Oklahoma.
- List a minimum of three references where similar services are already provided, three references for whom you manage similar Direct Investments.
- If respondent is a Placement Agent for any Direct Investment securities, provide a list of such securities and provide respondent's policies and procedures to mitigate any conflict of interest if respondent is also the investment manager for said securities.

**PROPOSAL COVER SHEET**

<b>RFP Date</b>		<b>Proposal Deadline</b>
September 14, 2021 Investment Manager – Direct Investment Securities		Must be Received by October 1, 2021 3:30 p.m. CST

**Vendor Identification**

Name	_____
Address	_____
	_____
City/State/Zip	_____
Telephone	_____
Facsimile	_____
Email	_____

**Vendor Signature:** \_\_\_\_\_

\_\_\_\_\_  
Name & Title

Date: \_\_\_\_\_



**NOTE:** A certification shall be included with any competitive bid and/or contract exceeding \$5,000.00 submitted to the State for goods or services.

Agency Name: Commissioners of the Land Office Agency Number: 410

Solicitation or Purchase Order #: \_\_\_\_\_

Supplier Legal Name: \_\_\_\_\_

**SECTION I [74 O.S. § 85.22]:**

A. For purposes of competitive bid,

1. I am the duly authorized agent of the above named bidder submitting the competitive bid herewith, for the purpose of certifying the facts pertaining to the existence of collusion among bidders and between bidders and state officials or employees, as well as facts pertaining to the giving or offering of things of value to government personnel in return for special consideration in the letting of any contract pursuant to said bid;
2. I am fully aware of the facts and circumstances surrounding the making of the bid to which this statement is attached and have been personally and directly involved in the proceedings leading to the submission of such bid; and
3. Neither the bidder nor anyone subject to the bidder's direction or control has been a party:
  - a. to any collusion among bidders in restraint of freedom of competition by agreement to bid at a fixed price or to refrain from bidding,
  - b. to any collusion with any state official or employee as to quantity, quality or price in the prospective contract, or as to any other terms of such prospective contract, nor
  - c. in any discussions between bidders and any state official concerning exchange of money or other thing of value for special consideration in the letting of a contract, nor
  - d. to any collusion with any state agency or political subdivision official or employee as to create a sole-source acquisition in contradiction to Section 85.45j.1. of this title.

B. I certify, if awarded the contract, whether competitively bid or not, neither the contractor nor anyone subject to the contractor's direction or control has paid, given or donated or agreed to pay, give or donate to any officer or employee of the State of Oklahoma any money or other thing of value, either directly or indirectly, in procuring this contract herein.

**SECTION II [74 O.S. § 85.42]:**

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For the purpose of a contract for services, the supplier also certifies that no person who has been involved in any manner in the development of this contract while employed by the State of Oklahoma shall be employed by the supplier to fulfill any of the services provided for under said contract.

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The undersigned, duly authorized agent for the above named supplier, by signing below acknowledges this certification statement is executed for the purposes of:

- the competitive bid attached herewith and contract, if awarded to said supplier;
- OR
- the contract attached herewith, which was not competitively bid and awarded by the agency pursuant to applicable Oklahoma statutes.

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Supplier Authorized Signature

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Certified This Date

---

Printed Name

---

Title

---

Phone Number

---

Email

---

Fax Number



---

Solicitation or Purchase Order #: \_\_\_\_\_

Supplier name: \_\_\_\_\_

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

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Email address: \_\_\_\_\_

A. In accordance with 74 O.S. § 85.42, the supplier named herein certifies that no person who has been involved in any manner in the development of this contract while employed by the State of Oklahoma shall be employed by the supplier to fulfill any of the services provided for under said contract.

In accordance with 74 O.S. § 85.41, if this contract is for professional services as defined in 74 O.S. § 85.2, and if the final product is a written proposal, report, or study, the supplier named herein further certifies that (s)he has not previously provided the state agency or any other state agency with a final product that is a substantial duplication of the final product of the proposed contract.

\_\_\_\_\_  
Supplier Authorized Representative Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supplier Authorized Representative Printed Name

\_\_\_\_\_  
Title



## Vendor/Payee Form

**Agency:** OMES Vendor Management requires the following information for all new non-registered vendors (payees) before payments may be processed. Information is used to establish the payee in the State's PeopleSoft vendor file for payment and procurement activities.

**DO NOT use this form for:**

- **Garnishment Payees:** Use [OMES Form GarnVendor](#)
- **State Employees:** Use [OMES Employee Vendor Request Form](#)
- **Vendors pending contract award** to a solicitation released by the division of Central Purchasing or another Oklahoma state agency **MUST** first register online with the state unless exempt per statute. For additional information, please refer to [Central Purchasing Vendor Registration](#).

**AGENCY SECTION** (To be completed by state agency representative):

**State agency representative should provide form to payee for completion of the vendor section shown below. Upon receipt of the completed form the agency should enter request instructions below. Please email completed and signed form to [vendor.form@omes.ok.gov](mailto:vendor.form@omes.ok.gov) or fax to 405-522-3663.**

<b>Agency Name</b>		<b>Contact Name</b>	
<b>Phone #</b>		<b>Fax #</b>	<b>Email</b>
<b>Agency Request To</b> – Please select all applicable request types			
<input type="checkbox"/> Add New Vendor	<input type="checkbox"/> Update Existing Vendor	PeopleSoft 10-digit Vendor ID	_____
<input type="checkbox"/> Add New Address	<input type="checkbox"/> Change Address/Location	PeopleSoft Address #	_____ PeopleSoft Location # _____
<input type="checkbox"/> Change Vendor Tax ID	<input type="checkbox"/> Change Vendor Name	<input type="checkbox"/> Add Alternate Payee Name	PeopleSoft Location # _____
<input type="checkbox"/> Other	Explain _____		
<b>Vendor 1099 Reportable Status</b>	<b>Attention Paying Agency:</b> Please check the <b>Add</b> box on the left if payments to this vendor/payee are represented by Account Codes listed on page 3 of this form. If the vendor is incorrectly showing as 1099 Reportable, check the <b>Remove</b> box. The PeopleSoft system requires specific details regarding the type of transaction. Please check the box that applies to this vendor:		
<input type="checkbox"/> <b>Add:</b>	<input type="checkbox"/> 1 - Rents	<input type="checkbox"/> 2 - Royalties	<input type="checkbox"/> 3 – Other Income
<input type="checkbox"/> <b>Remove:</b>	<input type="checkbox"/> 6 - Medical & Health Care	<input type="checkbox"/> 7 - Non-Employee Compensation	<input type="checkbox"/> 10 - Crop Insurance Proceeds
	<input type="checkbox"/> 14 - Gross Proceeds to an Attorney		

**VENDOR/PAYEE SECTION** (To be completed by vendor/payee)

**Please print legibly or type information. Form must be completed and signed by authorized individual. Email or fax to requesting state agency.**

<b>Payee Information:</b> Please provide the requested information for the payee receiving funds from the Oklahoma state agency. All information should match U.S. Internal Revenue Service filing records for the business, individual or government entity receiving payment.						
<b>Name</b>		<b>Contact Name</b>				
<i>Payee Legal Name for Business, Individual or Government Entity as filed with IRS</i>		<b>Contact Title</b>				
<b>DBA Name</b>		<b>Phone #</b>				
<i>Doing Business As "DBA", or Disregarded Entity Name if different than Legal Name</i>		<b>Fax #</b>				
<b>Tax Identification Number (TIN) and Type:</b>		<input type="checkbox"/> Federal Employer ID (FEIN) <input type="checkbox"/> Social Security Number (SSN)				
<b>Business Address</b> -- Please provide primary address as reflected on payee's annual U.S. Internal Revenue Service tax documentation						
<b>Address</b>			<b>City</b>			
<b>State</b>	<b>Zip+4</b>	<b>Remittance Email</b>				
<b>Optional Addresses</b> – Please select address type as applicable						
Type:	<input type="checkbox"/> Remitting	<input type="checkbox"/> Ordering	<input type="checkbox"/> Pricing	<input type="checkbox"/> Returning	<input type="checkbox"/> Mailing	<input type="checkbox"/> Other:
<b>Address</b>			<b>City</b>			
<b>State</b>	<b>Zip+4</b>	<b>Remittance Email</b>				
<b>Financial Registration:</b> Please provide contact information for the Authorized Individual who can provide financial information used for ACH Electronic Funds Transfer payment processes. An email will be sent providing instructions for accessing the State of Oklahoma online registration system.						
<b>Name</b>			<b>Title</b>			
				<b>Email</b>		

The information below is requested under U.S. Tax Laws. Failure to provide this information may prevent you from being able to do business with the state, or may result in the state having to deduct backup withholding amounts from future payments.

**U.S. Taxpayer Identification Number (TIN)**

Please provide tax identification number applicable for payee IRS tax reporting

Federal Employer Identification Number (FEIN) \_\_\_\_\_ If none, but applied for, date applied \_\_\_\_\_

U.S. Social Security Number (SSN) \_\_\_\_\_ If none, but applied for, date applied \_\_\_\_\_

**Entity Filing Classification:**

Domestic (U.S.) Sole Proprietor or Individual  Domestic (U.S.) Partnership  Domestic (U.S.) Corporation Type: \_\_\_\_\_

Limited Liability Company Type: \_\_\_\_\_

LLC Disregarded Entity:  YES  NO **Must be verified by LLC's tax division. If applicable, parent name/tax id is required.**

Domestic (U.S.) Other Explain: \_\_\_\_\_

Foreign (Non-U.S.) Sole Proprietor or Individual\*  Foreign (Non-U.S.) Partnership\*  Foreign (Non-U.S.) Type: \_\_\_\_\_

Foreign (Non-U.S.) Other\* Explain: \_\_\_\_\_

**FOREIGN VENDOR INSTRUCTIONS: \* ADDITIONAL DOCUMENTATION IS REQUIRED.**

Please submit the proper U.S. Internal Revenue Service (IRS) Form W-8, Certificate of Foreign Status. Select form below matching the payee's entity or individual description. Please refer to IRS for additional instructions (<http://www.irs.gov/pub/irs-pdf/fw8.pdf>).

- **Form W-8BEN:** Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals). <http://www.irs.gov/pub/irs-pdf/fw8ben.pdf>
- **Form W-8BEN-E:** Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities). <http://www.irs.gov/pub/irs-pdf/fw8bene.pdf>
- **Form W-8ECI:** Certificate of Foreign Person's Claim That Income is Effectively Connected With the Conduct of a Trade or Business in the United States. <http://www.irs.gov/pub/irs-pdf/fw8eci.pdf>
- **Form W-8EXP:** Certificate of Foreign Government or Other Foreign Organization for United States Tax Withholding and Reporting. <http://www.irs.gov/pub/irs-pdf/fw8exp.pdf>
- **Form W-8IMY:** Certificate of Foreign Intermediary, Foreign Flow-Through Entity, or Certain U.S. Branches for United States Tax Withholding and Reporting. <http://www.irs.gov/pub/irs-pdf/fw8imy.pdf>

**This may exempt you from backup withholding. Form W-8 does not exempt you from the 30% (or lower percentage by treaty) non-resident withholding taxes. To claim this exemption, you must file IRS Form 8233 with us. For more information, refer to IRS Publication 519.**

**SIGNATURE - AND SUBSTITUTE IRS FORM W-9 CERTIFICATION**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below), and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement account (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN.**

\_\_\_\_\_  
Signature of Vendor Representative or Individual Payee

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title of individual signing form for company

\_\_\_\_\_  
Vendor/Payee (Must be the same as Payee Name from page 1)

**Account Codes for 1099 Reporting - By Category (TO BE COMPLETED BY AGENCY REPRESENTATIVE)**

<input type="checkbox"/> <b>1 - RENTS</b> 532110 Rent of Office Space 532120 Rent of Land 532130 Rent of Other Building Space 532140 Rent of Equipment and Machinery 532150 Rent of Telecommunications Equip 532160 Rent of Electronic Data Processing Equipment 532170 Rent of Electronic Data Processing Software 532190 Other Rents	<input type="checkbox"/> <b>1- RENTS (continued)</b> 532141 Rent of Motor Vehicles 532142 Lease of Motor Vehicles  <input type="checkbox"/> <b>2 – ROYALTIES</b> 553170 Royalties	<input type="checkbox"/> <b>3 – OTHER INCOME</b> 552120 Incentive Awards – Monetary & Material 552160 Incentive Payments – Oklahoma Horse Breeders & Owners 552170 Incentive Payments – Oklahoma Film Enhancement Rebate 553165 Current/Former Employee Reportable Court Ordered or Legal Settlements 553220 Other IRS Reportable Income
<input type="checkbox"/> <b>6 - MEDICAL &amp; HEALTH CARE PAYMENTS</b> 515530 Veterinary Services 515700 Offices of Physicians (except Mental Health Specialists) 515710 Offices of Physicians, Mental Health Specialists 515720 Offices of Dentists 515730 Offices of Chiropractors 515740 Offices of Optometrists 515750 Offices of Mental Health Practitioners (except Physicians) 515760 Offices of Physical, Occupational & Speech Therapists, & Audiologists  515770 Offices of Podiatrists 515780 Offices of all other Miscellaneous Health Practitioners 515790 Family Planning Centers 515800 Outpatient Mental Health & Substance Abuse Centers 515810 Other Outpatient Care Centers 515820 Medical and Diagnostic Laboratories	515830 Home Health Care Services 515840 Ambulance Services 515850 All other Ambulatory Health Care Services 515860 General Medical & Surgical Hospitals 515870 Psychiatric & Substance Abuse Hospitals 515880 Specialty Hospitals (except Psychiatric & Substance Abuse) 515890 Nursing Care Facilities 515900 Residential Services for People with Developmental Disabilities 515910 Residential Mental Health & Substance Abuse Facilities 515920 Community Care Facilities for the Elderly 515930 Other Residential Care Facilities 537210 Laboratory Services & Supplies 551230 Medical Services to Indigents (from agencies other than DHS) 551240 Hospital Services to Indigents (from agencies other than DHS) 551250 Other Health Services to Indigents (from agencies other than DHS)	
<input type="checkbox"/> <b>7 - NON-EMPLOYEE COMPENSATION</b> 515010 Office of Lawyers 515020 Offices of Notaries 515030 Other Legal Services 515060 Accounting, Tax Preparation, Bookkeeping & Payroll Services 515210 Payments for Contract Mentor Services 515220 Architectural Services 515230 Landscape Architectural Services 515240 Engineering Services 515250 Drafting Services 515260 Building Inspection Services 515270 Geophysical Surveying & Mapping Services 515280 Surveying and Mapping (except geophysical) Services 515290 Testing Laboratories 515300 Interior Design Services 515310 Industrial Design Services 515320 Graphic Design Services 515330 Other Specialized Design Services 515350 Custom Computer Programming Services 515360 Computer Systems Design Services 515370 Computer Facilities Management Services 515380 Other Computer Related Services 515400 Administrative Management & General Management Consulting Services  515410 Human Resources & Executive Search Consulting Services 515420 Marketing Consulting Services 515430 Process, Physical Distribution, & Logistics Consulting Services 515440 Other Management Consulting Services 515450 Environmental Consulting Services 515460 Other Scientific & Technical Consulting Services 515470 Research & Development in the Physical, Engineering, & Life Sciences  515480 Research & Development in the Social Sciences & Humanities 515490 Advertising and Related Services 515500 Marketing Research & Public Opinion Polling 515510 Photographic Services 515520 Translation & Interpretation Services 515540 All other Professional, Scientific and Technical Services 515550 Management of Companies & Enterprises 515560 Office Administrative Services 515570 Employment Placement Services 515580 Business Support Services 515590 Document Preparation Services	515600 Telephone Call Centers 515610 Business Service Centers 515620 Collection Agencies 515630 Credit Bureaus 515640 Other Business Support Services 515650 Investigation & Security Services 515660 Educational Services 515940 Individual & Family Services 515950 Community Food, Housing & Emergency & Other Relief Services 515960 Vocational Rehabilitation Services 515970 Child Day Care Services 515980 Arts, Entertainment and Recreation 515990 Other Services (except Public Administration) 517110 Moving Expense – Employee Transfer 531150 Printing and Binding Contract 531160 Advertising 531170 Informational Services 531190 Exhibitions, Shows and Special Events 531220 Burial Charges 531330 Jury and Witness Fees 531500 Moving Expenses – General 533100 Maintenance & Repair – Other Items 533110 Maintenance & Repair of Buildings & Grounds (outside vendors) 533120 Maintenance & Repair – Equipment (outside vendors) 533130 Maintenance & Repair of Telephone Equipment (outside vendors) 533140 Maintenance & Repair of Data Processing Equipment (outside vendors) 533150 Maintenance & Repair of Data Processing Software (outside vendors)  533190 Maintenance & Repair – Employee Uniforms 545110 Purchase of Land Improvements 545210 CIP (Construction in Progress) – Land Improvements 546210 Buildings and Other Structures – Construction and Renovation 546220 Major Maintenance and Repair of Equipment 547110 Highway and Bridge Construction Expense – Contractual 547120 Maintenance and Repairs to Highways and Bridges 547210 Major Maintenance and Renovation – Bridges 552100 Stipends – Other 552120 Teacher Stipends (“Incentive” payments) 552130 Oklahoma Police Corps Stipends 553160 Non-Employee Reportable Court Ordered or Legal Settlements 554190 Voter Registration Services 561140 Pollution Remediation	
<input type="checkbox"/> <b>14 - GROSS PROCEEDS TO AN ATTORNEY</b> 553180 Settlements – Paid To/Thru Attorney		