



County of Collier
CLERK OF THE CIRCUIT COURT
COLLIER COUNTY COURTHOUSE

3315 TAMAMIAMI TRL E STE 102
NAPLES, FL 34112-5324

Dwight E. Brock - Clerk of Circuit Court

P.O. BOX 413044
NAPLES, FL 34101-3044

Clerk of Courts • Comptroller • Auditor • Custodian of County Funds

May 12, 2014

TO: Interested Proposers/Distribution List
RFP 2014-001 Banking Services

The Clerk of the Circuit Court of Collier County, Florida is seeking proposals for the above-referenced Request for Proposal (RFP) 2014-001. Enclosed is the proposal packet to be completed.

Sealed proposals must be submitted before 2 P.M. EST on June 13, 2014. Any questions or requests for more information regarding this proposal should be addressed to Alina Bec at Alina.Bec@collierclerk.com

Please direct sealed proposals to:

Alina Bec, Purchasing Specialist
Collier County Clerk of the Circuit Court
Clerk's Administration – 2nd Floor
3315 Tamiami Trail East, Suite #102
Naples, Florida 34112-5324

Please note that sealed proposals must be submitted before 2 P.M. EST, June 13, 2014.

Sincerely,



Alina Bec
Purchasing Specialist

Enclosures

PUBLIC NOTICE

NOTICE IS HEREBY GIVEN that sealed proposals will be received by the Clerk of the Circuit Court of Collier County in the Administration Office on the 2nd Floor of the Collier County Courthouse Annex located at 3315 Tamiami Trail East, Ste 102, Naples, Florida 34112 until 2:00 P.M. EST on June 13, 2014 for:

RFP 2014-001 Banking Services

A mandatory pre-proposal conference will be held on Tuesday, May 20, 2014 at 2:00 P.M. EST in the Collier County Clerk of the Circuit Court's Administration Office on the 2nd Floor of the Collier County Courthouse Annex located at 3315 Tamiami Trail East, Ste 102, Naples, Florida 34112. Any proposer wishing to respond to said RFP shall be in attendance.

A copy of the purchasing policy, proposal instructions, specifications, exhibits and samples for this proposal may be obtained from Alina Bec, Purchasing Specialist for the Clerk of the Circuit Court of Collier County.

All proposals shall be made upon the Official Proposal Form attached to the specifications which may be obtained by bona fide proposals from:

- The Office of the Clerk of the Circuit Court
- DemandStar - www.demandstar.com
- The Clerk of the Circuit Court's website www.CollierClerk.com

Any questions regarding this proposal shall be directed to Alina Bec, Purchasing Specialist for Clerk of the Circuit Court, at alina.bec@collierclerk.com

The Clerk of the Circuit Court of Collier County does not discriminate based on age, race, color, sex, religion, national origin or disability.

Proposals will be opened publicly at 2:00 P.M. EST, June 13, 2014 in the Collier County Clerk of the Circuit Court's Administration Office on the 2nd Floor of the Collier County Courthouse Annex located at 3315 Tamiami Trail East, Ste 102, Naples, Florida 34112.

DWIGHT E. BROCK
CLERK OF THE CIRCUIT COURT
COLLIER COUNTY, FLORIDA

BY: Alina Bec
Purchasing Specialist

Broadcast via Demand Star on Monday, May 12, 2014

Published in Naples Daily News on Monday, May 12, 2014

Published on the Clerk's website, www.CollierClerk.com Monday, May 12, 2014

I. Introduction

A. Objective

The Collier County Clerk of the Circuit Court, acting in his capacity as custodian of County funds and Chief Financial Officer of Collier County, Florida, a political subdivision of the State of Florida, is soliciting proposals from qualified financial institutions (as defined by Florida Statute 280.02) licensed in the State of Florida for the purpose of providing banking services and to act as a depository bank for the Collier County Board of County Commissioners (BOCC), the Collier County Clerk of the Circuit Court (COCC) and the Collier County Supervisor of Elections (SOE), collectively, "the Clerk". Banking services will be contracted for five (5) years with three (3) optional one (1) year renewals.

This Request for Proposal (RFP) is intended to identify the financial institution best qualified to meet the cash management goals of the Clerk. These goals are enumerated below:

- Maximum accountability and minimum risk
- Lowest cost to the taxpayer
- Maximizing return on overnight investment

B. Instructions

1. Bank Proposal Conference

A representative from each financial institution wishing to respond to the Clerk of the Circuit Court's RFP must be in attendance. This conference will be held at 2:00 P.M. EST, Tuesday, May 20, 2014 in the Collier County Clerk of the Circuit Court's Conference Room, 2nd Floor Courthouse Annex, at 3315 Tamiami Trail East, Suite #102 Naples, Florida 34112-5324.

2. Sealed Proposals

All responses to this RFP shall be received no later than Friday, June 13, 2014 by 2:00 P.M. EST, clearly identified as follows:

Collier County Clerk of the Circuit Court
RFP 2014-001 BANKING SERVICES

Mail or deliver to:

Alina Bec, Purchasing Specialist,
Collier County Clerk of the Circuit Court
Clerk's Administration – 2nd Floor
3315 Tamiami Trail East, Suite #102
Naples, Florida 34112-5324

3. Written Responses (Technical and Pricing)

All financial institutions submitting a proposal are required to adhere to the following:

- a. Proposals must use letterhead bearing the financial institution's name and be signed by an officer of the bank.
- b. Proposals must provide a complete listing of contact personnel and phone numbers in the following areas:
 - Customer Service
 - Treasury Management
 - Bank Reconciliation
 - Bank Conversion Services Planning
 - Wire Transfer
 - Automated Clearing House Transmissions
 - Positive Pay Services
 - Retail and Wholesale Lockbox Processing
 - Preauthorized Debit Processing
 - Merchant Services Processing
 - Technological Opportunities
- c. Proposals must bear the bank's corporate seal.
- d. Proposals must include the following completed exhibits and information as provided within this RFP:

Pricing Response

- Exhibit A – Pricing Proposal Form

Technical Response

- Exhibit B – Proposal Exception Form
 - Exhibit C – General Information
 - Exhibit D – Sworn Statement on Public Entity Crimes
 - Exhibit E – Letter of Intent
 - Exhibit F – BAI Critical Quality Indicator
 - Bank's audited financials for the previous two years
 - Bank's availability schedule
 - Map of offices within Collier County, Florida with an outline of services available at each branch
 - Statement of Qualified Public Depositor (QPD) status and collateral verification
- e. Each financial institution must submit five (5) unbound copies of the Technical Response, two (2) copies of the Pricing Response and one (1) complete electronic copy.

4. Schedule

The Clerk's Office and all participating financial institutions shall adhere to the following time schedule regarding this Request for Proposal:

- a. May 12, 2014 – Post Public Notice of Request for Proposal.
- b. May 20, 2014 – Mandatory pre-proposal conference at 2:00 P.M. EST, in the Clerk of the Circuit Court's conference room, at the address listed below:

Collier County Clerk of the Circuit Court
Clerk's Administration – 2nd Floor
3315 Tamiami Trail East, Suite #102
Naples, Florida 34112-5324

The pre-proposal conference is intended to provide participants the opportunity to ask questions and receive clarification on any requirements within the RFP. All participating banks are requested to contact the Clerk's Purchasing Specialist at 239-252-8472 between 8:00 A.M. and 5:00 P.M. EST, to confirm their attendance by May 19, 2014, as well as complete Exhibit E, "Letter of Intent". Letters of Intent can be faxed to the Clerk's Purchasing Specialist at 239-252-8838, or scanned to Alina.Bec@collierclerk.com. No questions or clarifications will be handled outside of this conference, except as noted in Section I.8 "Questions and Additional Information".

- c. Beginning June 13, 2014 the Clerk's Office will evaluate each proposal. The top ranked institutions may be invited to make oral presentations June 23, 2014 through June 27, 2014. The Clerk reserves the right to schedule additional question and answer periods, as needed.
- d. Friday, July 11, 2014, the Clerk's Office will post notification of the award, as well as complete rankings on the Clerk's Official Website, www.CollierClerk.com.
- e. The Clerk's Office will adhere to this schedule as closely as possible. The Clerk reserves the right to modify the schedule when he deems it in the best interest of the County. In the event of changes in the schedule all parties will be notified in writing.

5. Selection Criteria

The following criteria are the minimum requirements by the Collier County Clerk of the Circuit Court. **Failure to meet these minimum requirements may result in rejection of proposer's response to RFP 2014-001 Banking Services.**

- a. The bank must be a Qualified Public Depository (QPD) as defined in Florida Statutes, Chapter 280 as well as a Federal Withholding Tax Depository.

- b. The financial institution must be organized for the purpose of providing commercial banking services and have three (3) years previous experience with proven effectiveness in administering the specified services for governmental institutions and have a proven ability for immediate contract start-up.
- c. The bank must have a complete and comprehensive response to all questions in the RFP, as well as completed Exhibits A through F attached to this RFP. In addition, the proposal must demonstrate attention to detail and be responsive to each service outlined in Section III, titled "Scope of Banking Services".
- d. The bank must allow for the handling of periodic daylight overdrafts.
- e. The bank must maintain multiple branches within the boundaries of Collier County, Florida. The bank must provide a map of locations and services provided at each location, including automated teller machine (ATM) locations.
- f. Must have the ability to provide various electronic banking services that should include, but not be limited to, wire transfers, online services such as check imaging, account balance inquiry, positive pay validation, direct deposit, electronic deposit and ACH.
- g. The bank must maintain a drug-free workplace policy.
- h. The proposing bank must provide a local contact, at a decision making level, that will resolve issues in a timely manner.
- i. The bank must demonstrate the quality of its business relationships through the references provided.
- j. Each bank must provide their current Standard & Poor's, Fitch or Moody's Investor Service credit rating(s) at the time of proposal.
- k. In order to facilitate employee use of payroll direct deposit, only banks with the capability to provide workplace banking shall be considered. A proposing bank's workplace banking program shall provide a checking account and a savings account for BCC, COCC and SOE employees with no maintenance fees and no minimum balance requirements.

6. Evaluation and Criteria

The Clerk's office will evaluate all proposals and select the best provider. This determination will be made at the sole discretion of the Clerk of Courts after evaluating the price and other technical criteria. In addition, the determination or the criteria and process by which proposals are evaluated, the decision as to who shall receive the contract award, or whether or not an award shall ever be made as a result of this request, shall be at the sole discretion of the Clerk of the Circuit Court. **The decision of the Clerk is final.**

Responsiveness to RFP – 15 points maximum

- Conformance with and applicability of information to RFP requirements
- Quality and scope of the proposal
- Reasonableness and clarity of cost estimate

Qualifications and experience – 40 points maximum

- Respondent's bank history, structure, experience and capacity
- The safety and soundness of the financial institution
- The respondent's experience with large governmental units, particularly in Florida
- Respondent's total staff size and composition
- Respondent's demonstrated experience with banking and cash management services the County is requesting
- Respondent's experience with large governmental units, particularly in Florida
- References provided in Section III.O "Designated Account Executive and References"
- Local office staff size and resources
- Commitment to provide continuity of qualified staff and to staff with local resources
- Staffing structure and qualifications of assigned staff

Understanding County Needs – 20 points maximum

- Degree of dedicated and priority attention by assigned banking personnel
- Respondent's ability to provide adequate and convenient services
- Respondent's ability to use and provide access to technology for services
- Management's involvement and commitment to direction and review of services provided
- Competitive differences

Investment Options – 10 points

- Interest income from funds placed on deposit with the bank

Cost of Banking Services – 15 points

- Cost structure (up-front costs and recurring costs)

7. Terms and Conditions

All proposals must acknowledge if the financial institution can comply with each of the following terms and conditions:

- a. The Clerk reserves the right to reject any or all proposals, waive any irregularities or formalities in any proposal or in the proposal proceedings which, in his opinion, are in the best interest of the County. The contract will be awarded to the vendor whose proposal, in the opinion of the Clerk, is the best taking into consideration all aspects of the proposer's response, including total cost to the County. The winning bank's proposal, and this RFP, shall become integral parts of the contract. Exceptions to any specification must be placed on Exhibit B "Proposal Exception Form" and will be considered in the final analysis of the proposal. Exception costs will be added or subtracted from the submitted proposal to arrive at a cost to the County. **Failure to include an exception on Exhibit B will render the exception invalid.**
- b. The financial institution understands that time is of the essence. If a fully executed contract is not received within fifteen (15) business days of initial award, the Clerk will notify the financial institution of his intent to award the contract to the next most qualified institution. **The Clerk assumes no cost to any of the proposer's in preparation of their response to this RFP.**
- c. Participation in this RFP may subject the financial institution to an examination of their facilities and procedures to ensure compatibility with the Clerk's system and procedures. The successful proposer must have a structure that is compatible with the Clerk's current SAP financial system.
- d. Upon being notified, the financial institution awarded the contract will be requested by the Clerk to attend a conference in order to coordinate the transfer of funds, establish accounts and exchange information and determine conversion details. During the term of the contract relevant bank personnel shall attend, in person or by conference call, monthly bank meetings.
- e. This RFP contains estimates of transactions in Exhibit A, "Pricing Proposal Form". Although these estimates are based upon research, the Clerk's Office cannot guarantee such levels will be met or exceeded at any given time.
- f. The contract may be terminated by the financial institution upon providing written notice to the Clerk of the Circuit Court no less than 180 days prior to the effective date of such termination. The Clerk may terminate the agreement with the financial institution upon 30 days' written notice prior to the effective date of the termination. **Under no circumstances will any damages be paid by the Clerk as a result of the termination of this contract and its related services.**
- g. The banking agreement shall be for an initial period of five (5) years and may be extended for an additional three (3), one (1) year periods by mutual agreement between the Clerk and the institution awarded the banking contract. **Continuation of the contract beyond the initial term is the Clerk's prerogative and not a right of the successful proposer.**

- h. The awarded financial institution agrees to maintain the fee structure as outlined in Exhibit A for the full term of this agreement, including extensions.
- i. The qualified financial institution must submit one copy of their audited financial statements for each of the last two fiscal years and last two reports issued pursuant to Statement on Standards for Attestation Engagements (SSAE) No. 16. Access to audited annual financial statements and SSAE No. 16 reports will be required during the term of this agreement as well as collateralization verification related to Florida Statutes, Chapter 280.
- j. Submit notarized sworn statement under Florida Statutes Chapter 287.133 on Public Entity Crimes, Exhibit D, "Sworn Statement on Public Entity Crimes".
- k. Bank must respond to the Clerk's annual audit confirmation process at no additional cost. Please indicate if the bank uses an automated process for confirmation purposes.
- l. Proposals will be on file in the Office of the Clerk of the Circuit Court as outlined in Florida Statutes, Chapter 119 regarding Public Records.
- m. The Clerk's Office prefers that the services listed herein be provided by a single bank, however, the Clerk reserves the right to separate specific services and award to more than one institution should that be found to be in the best interest of the taxpayers of Collier County.
- n. The awarded contract shall not be assigned without the express written approval of the Clerk of the Circuit Court. In addition, the contract shall not be transferred, by merger or acquisition, in whole or in part without providing 60 days' notice to the Clerk's Office. **In addition, the bank will absorb all costs of conversion resulting from bank transfer, sale or merger.**
- o. If, following the announcement of the award of the contract from this request, an unsuccessful proposer wishes to challenge that award; they must do so in writing, within two (2) business days following the award announcement. The unsuccessful proposer in their protest must enumerate those parts of the proposal and evaluation process they consider flawed or unfair, and why. Please refer to the Clerk's Purchasing Policy, available on the Clerk's website, for further information.
- p. The financial institution understands that the Clerk requires the ability to solve problems in a timely manner and at a local level. The Clerk's office will be assessing performance of the financial institution on a daily basis.
- q. All pricing for services related to this RFP shall be submitted in the Pricing Response, Exhibit A, or the Clerk is not responsible for payment. Any additional services added subsequent to this RFP will be separately negotiated in accordance with the Clerk's Purchasing Policy.

8. Questions and Additional Information

Requests for clarification or additional information shall be made in writing to:

Alina Bec, Purchasing Specialist
Collier County Clerk of the Circuit Court
Clerk's Administration – 2nd Floor
3315 Tamiami Trail East, Suite #102
Naples, Florida 34112-5324
E-mail @ Alina.Bec@collierclerk.com

Responses to requests will be furnished to all potential proposers through posting to the Clerk's Official Website, www.CollierClerk.com. Cutoff date to receive requests in writing will be Wednesday, June 4, 2014. **Requests received after this date will not be answered.**

II. Account Structure

The Collier County Board of County Commissioners (BOCC), Clerk of the Circuit Court (COCC) and Supervisor of Elections (SOE) currently maintain numerous accounts for daily operations. These accounts are classified as either primary or non-primary accounts. Alternatives to this account structure may be proposed, but must be accompanied by an explanation of the benefits of such a change.

A. Primary Accounts

The Clerk desires to maximize its cash availability through the use of concentration and zero balance accounts (ZBA). The primary account relationship will be comprised of three separate concentration accounts, (BOCC, COCC and SOE) each with separate ZBA accounts for accounts payable, payroll and self-insurance payments, as applicable. The zero balance accounts will be reimbursed by the concentration account on a daily basis and will always have a zero ledger balance at the end of the day. All transfers to the ZBA accounts must take place automatically, without initiation by the Clerk. The Clerk desires to operate the primary account structure on a controlled disbursement basis for cash management purposes. The Clerk needs to know the amount of checks that will clear its ZBA accounts by 1:30 P.M. on a same day basis.

The Clerk reserves the right to open additional zero balance accounts during the contract period at the price contained within the proposal, provided the awarded bank is furnished notification of at least thirty calendar days.

Board of County Commissioners

BOCC Concentration Account – This is the primary depository account for all Board funds. Activities in this account include inbound wire transfers, automated clearing house credits, utility lockbox transactions, utility preauthorized debits (drafts) and numerous daily deposits from County Departments such as Growth Management, Public Utilities, Finance and Accounting and Parks and Recreation, including over the counter and web based credit card payments. All outbound wire transfers clear directly against this account, including vendor payments, payroll direct deposit and debt service payments. Incoming and outgoing wire transfers will also be made from this account for investment purchases, interest postings, sales, calls and maturities.

The following zero balance accounts (ZBA) are utilized to clear check transactions against the BOCC concentration account as follows:

BOCC Accounts Payable (ZBA) – All BOCC accounts payable checks clear against this account.

BOCC Payroll (ZBA) - All BOCC payroll checks clear against this account.

BOCC Group Benefits (ZBA) – All health self-insurance payments clear against this account. The Group Benefits account is administered to by a third party administrator (TPA).

BOCC Property and Casualty (ZBA) – All property and casualty self-insurance payments clear against this account. The Property and Casualty account is administered to by a TPA.

BOCC Workers' Compensation (ZBA) – All workers' compensation self-insurance payments clear against this account. The Workers' Compensation account is administered to by a TPA.

On a daily basis, see Section III.C “Electronic Cash Management”, balances available for investment in the BOCC concentration account will be made available electronically.

Clerk of the Circuit Court

COCC Concentration Account – This is the primary depository account for all Clerk funds. Activities in this account include inbound wire transfers and daily deposits court related collections. All outbound wire transfers clear directly against this account, including vendor payments, payroll direct deposit and remittances to other governments. Substantially all of the Clerk's payroll transactions are paid by direct deposit.

The following zero balance accounts (ZBA) are utilized to clear check transactions against the COCC concentration account as follows:

COCC Accounts Payable (ZBA) - All COCC accounts payable checks clear against this account.

COCC Payroll (ZBA) - All COCC payroll checks clear against this account. This account is used on a limited basis as substantially all payroll transactions utilize direct deposit.

COCC Child Support (ZBA) – Clears child support payments for checks written by the Clerk.

The following accounts are utilized to clear specific transactions as indicated in their description:

COCC State Disbursement Unit – This account receives and disburses wire transfers with the State of Florida for the State’s Child Support State Disbursement Unit.

COCC Eminent Domain Account – This account receives and disburses via intrabank transfers with the COCC concentration account.

On a daily basis, see Section III.C “Electronic Cash Management”, balances available for investment in the COCC concentration account will be made available electronically.

Supervisor of Elections

SOE Concentration Account - This is the primary depository account for all Supervisor funds. Activities in this account include inbound wire transfers and daily deposits court related collections. All outbound wire transfers clear directly against this account, including vendor payments and payroll direct deposits. Incoming and outgoing wire transfers will also be made from this account for State Board of Administration purchases and sales.

The following zero balance accounts (ZBA) are utilized to clear check transactions against the SOE concentration account as follows:

SOE Accounts Payable (ZBA) - All SOE accounts payable checks clear against this account.

SOE Payroll (ZBA) - All SOE payroll checks clear against this account.

On a daily basis, see Section III.C “Electronic Cash Management”, balances available for investment in the SOE concentration account will be made available electronically.

B. Non-Primary Accounts

Board of County Commissioners

The BOCC also maintains the following accounts for purposes of segregation and convenience as described below:

BOCC Flexible Benefits – Employee payroll deductions are deposited to this account and payments for reimbursement of related medical and day care services are made out of the account. The Flexible Benefits account is administered to by a TPA.

BOCC Health Reimbursement Account (ZBA) – This account handles employer deposits made on behalf of qualified employees for health care reimbursement under the BOCC’s Health Reimbursement Plan. The Health Reimbursement Account is administered to by a TPA.

BOCC Domestic Animal Services (DAS) - This account handles DAS related customer receipts, including credit card payments. This account is swept into the concentration account on a daily basis.

BOCC Emergency Medical Services (EMS) - This account handles EMS related receipts, including credit card payments and lockbox transactions. This account is swept into the concentration account on a daily basis.

BOCC Landfill - This account handles landfill related customer receipts, including credit card payments. This account is swept into the concentration account on a daily basis.

BOCC Developmental Services Web - This account handles Collier County Growth Management related customer receipts, including credit card payments. This account is swept into the concentration account on a daily basis.

BOCC Utility Billing Water and Sewer - This account handles Collier County Water and Sewer District related customer receipts, including credit card payments. This account is swept into the concentration account on a daily basis.

III. Scope of Banking Services

A. Availability of Funds

The BOCC, COCC and SOE will make deposits at various branch locations throughout the day. The Clerk of Courts requires all deposits received by the financial institution by 4:00 P.M. EST, at the earliest, be credited as same day transactions to the respective account ledgers. The Clerk’s Office also requires the financial institution adhere to the following:

1. Ensure same day availability of funds for cash deposits, incoming wire transfers and ACH transactions, as well as checks drawn on the financial institution.
2. Provide a copy of the financial institution’s current availability schedule for checks deposited and its methodology for computing deposit float.

B. Overnight Investment of Available Funds

Concentration account balances for the respective agencies covered by this RFP for the dates indicated:

Month End	BOCC Concentration	COCC Concentration	SOE Concentration	Total
Apr-13	\$38,916,137	\$39,076,570	\$232,334	\$78,225,041
May-13	19,110,953	42,316,422	280,888	61,708,263
Jun-13	30,829,572	42,597,947	304,546	73,732,065
Jul-13	45,017,195	40,929,384	265,856	86,212,435
Aug-13	44,617,496	43,572,822	291,890	88,482,208
Sep-13	56,227,459	39,118,633	321,005	95,667,097
Oct-13	32,236,359	30,471,747	660,401	63,368,507
Nov-13	76,253,754	33,003,126	700,566	109,957,446
Dec-13	48,184,730	33,516,224	673,026	82,373,980
Jan-14	74,329,761	35,817,611	707,332	110,854,704
Feb-14	73,837,381	35,917,168	716,616	110,471,165
Mar-14	96,515,171	32,012,398	674,327	129,201,896
Avg. Balance	\$53,006,331	\$37,362,504	\$485,732	\$90,854,567

Although these balances are based upon actual historical data, the Clerk's Office cannot guarantee such levels will be maintained.

The awarded bank agrees to automatically invest the respective available balances in the BOCC, COCC and SOE concentration accounts, and non-primary accounts, on the bank's books at 5:00 P.M. EST, in accounts within the bank. Please explain the method used to calculate the invested balance, the interest rate to be applied, compounding period and the frequency of interest credits. The rate, or index, specified for the account must be available on a daily basis for independent assessment by the Clerk's Office. Please provide a schedule showing the proposed interest rate for the period April 2013 to March 2014.

In the event that any concentration account should have a negative balance there will not be any interest or penalty assessed. **The Clerk will not accept any exceptions to this specification.**

Alternative Overnight Investment

Alternative overnight investments may be proposed but only as an optional proposal. Please provide the services specified above in your proposal, with an attachment describing the alternative proposal. Alternative proposals may be accepted if they are considered "deposits" and are thus covered by Florida Statutes, Chapter 280, and they provide the same level of and security and service outlined above. **The Clerk is interested in maximizing investment return without increased risk or loss of flexibility.**

C. Electronic Cash Management

The bank will provide electronic cash management services capable of providing at least the following on all BOCC, COCC and SOE accounts:

1. Previous day detail reporting by 8:00 A.M. EST.
2. Current day balance and detail reporting by 8:00 A.M. EST, and intra-day ACH and controlled disbursement reporting by 1:30 P.M. EST.
3. Stop payment inquiry capability for accounts payable and payroll checks.
4. Initiate repetitive and non-repetitive wires via the internet.
5. Positive pay service for checks and ACH transactions, with the ability to send multiple daily files, as well as offer the capability to remove a check or ACH from a file and receive electronic notification of exception items.

In addition, provide information on the bank's electronic cash management services, and whether or not the above criteria can be met. Please include all related hardware and software requirements.

D. Wire Transfer Services

The Clerk will require dual release for all outgoing wire transfers. At no time will the Clerk permit or assign the authority for any one individual employee the capability of executing outgoing funds transfers independently.

1. Describe in detail your financial institution's security procedures for electronic fund transfers (EFT).
2. What is the latest time an outgoing EFT can be released?

E. ACH Payables and Payroll Direct Deposit

The awarded bank shall have the ability to provide ACH services for the direct deposit of payroll and payables. The bank shall be capable of receiving this data via direct transmission in standard NACHA format, with credit entries directed to the employee's or vendor's account at any participating financial institution. Responses to the following must be included in each proposal:

1. Provide required file format and ACH agreement.
2. Instructions for the origination of ACH entries.
3. Describe the security procedures, including file encryption.
4. Instructions for error resolutions in file transmission.
5. Number of days the file must be received prior to the effective pay date.

6. Indicate when the off-setting debit will post to the respective accounts (BOCC, COCC and SOE).
7. Do you provide ACH return notification, and if so, how is the electronic information transmitted?
8. Provide a 12 – month calendar of banking holidays, with assurance that holidays will not affect direct deposit transmission dates. The Clerk’s holiday schedule for calendar year 2014 is available at www.CollierClerk.com.
9. Make provisions for electronic acknowledgment of each file transmission that is sent, identifying the total dollar amount of the file and the number of transaction(s).

F. Positive Pay Services

The financial institution shall be capable of providing positive pay services for all checks and ACH transactions. Each proposal must include a response to the following:

1. Provide the required file format.
2. Include the bank’s positive pay agreement.
3. The financial institution must be able to receive a direct data file transmission.
4. What is the maximum frequency with which these transmissions can occur?
5. Exception items must be presented to the Clerk’s Office electronically. Please provide the time that they will be available. No item shall be cleared without approval of the Clerk’s office.
6. Provide the latest time the bank will accept a positive pay file transmission for current day activity.

G. Account Reconciliation and Statements

The bank will provide monthly bank statements and online reconciliation services for the accounts specified and for those established during the term of this contract. The following are minimum requirements for these services:

1. Provide cleared check information electronically, on a daily basis and per cleared item.
2. Provide the BOCC, COCC and SOE account reconciliation data online, aggregated by bank account.
3. Provide monthly statements within ten business days after the end of the calendar month.
4. The bank will provide all debit and credit memorandums with each monthly statement.

5. All cancelled check and deposit images will be available online to the Clerk's Office within 10 days after the end of the calendar month.
6. Provide details of your imaging service including system features and hardware requirements.

H. Account Analysis Statements

1. The bank agrees to provide separate monthly analysis statements for each of the BOCC, COCC and SOE accounts.
2. Monthly summary analysis will be provided showing the combined activity for all BOCC, COCC and SOE accounts.
3. The analysis statements will, at a minimum, itemize the services provided, volume processed, unit charges and extended totals.
4. Monthly analysis statements will be made available online.

I. Daylight Overdraft

Occasionally, the BOCC concentration account sends out a large outgoing wire transfer which necessitates the funds to cover these transactions be wired from an outside investment source (i.e., custodial account). Generally, the outgoing wire is ready for processing prior to the receipt of the funds necessary to cover this transaction, thereby creating a daylight overdraft. The successful proposer will demonstrate the ability to cover these overdrafts without assessing penalties or interest.

J. Foreign Items

Please describe the process required by your financial institution for depositing foreign checks.

K. Payment for Banking Services

Please discuss the methods of fee payment available to the County. If an earnings credit methodology is proposed please provide the details for its calculation and the calculation of the earnings credit rate (ECR). In addition, please provide a minimum ECR rate. Direct invoice payment terms shall be net 45 days from date of receipt. At no time shall the bank automatically debit any account for service charges or fees.

Complete the applicable unit price for services along with the monthly totals for each line item in Exhibit A. In addition, at the bottom of Exhibit A, **include any fees your institution will assess that may not appear in this exhibit or that are related to expanded services.**

L. Retail Lockbox Services

The BOCC currently utilizes a lockbox for the collection and processing of utility payments. A response to the following must be included in each proposal:

1. Provide the bank's retail lockbox agreement.

2. Please indicate the proposed location of the lockbox site, including address. Also, provide an alternate lockbox processing location in the event the primary location is unable to process payments.
3. Is the retail lockbox processing being performed by the bank, or by a third party? If by third party, please identify and provide appropriate background information for evaluation.
4. The bank must accept a CSV file from the BOCC's Utility Billing and Customer Service Department (UBCS) containing all customer numbers. This file will be sent weekly to the bank and this file will be used to verify that the account numbers, and format, match before the payment file is sent to UBCS.
5. What is the processor's average error rate per 1,000 items processed?
6. Explain the process that will be used to process payments representing multiple accounts.
7. The bank must provide online access to payment detail on a same day basis. Such data would include all checks, stub images, customer account number, check number and dollar amount, and be available no later than 2:00 P.M. The bank must also provide internet access to accounts sufficient to allow the viewing of returned checks.
8. All information related to payments that do not have either a payment stub enclosed or an account number shown on the check will be sent via overnight mail to UBCS. All correspondence received by the lockbox will also be sent via overnight mail to UBCS.
9. How frequently is the mail picked up at the lockbox? In addition, what is the last mail pickup time that will be included in that days' deposit.
10. Provide the operating hours of the processor's lockbox department and provide a contact person for the UBCS lockbox account.
11. A fax or e-mail must be provided to the BOCC's Utility Billing Department by 2:00 P.M. EST, each day identifying the total deposit amount and number of transactions.
12. Please define the testing and implementation time required to "go live" after the award of contract, including as detailed a schedule as possible.
13. Upon bank selection, lockbox testing must be successfully completed in a timely manner.
14. Please provide protocols for the resolution of errors related to file transmission.

Additional technical specifications and requirements for Retail Lockbox Services are available upon request.

M. Wholesale Lockbox Services

The BOCC currently utilizes a lockbox for the collection and processing of Emergency Medical Services (EMS) payments. A response to the following must be included in each proposal:

1. Provide the bank's wholesale lockbox agreement.
2. Please indicate the proposed location of the lockbox site, including address. Also, provide an alternate lockbox processing location in the event the primary location is unable to process payments.
3. Is the wholesale lockbox processing being performed by the bank, or by a third party? If by third party, please identify and provide appropriate background information for evaluation.
4. What is the processor's average error rate per 1,000 items processed?
5. Explain the process that will be used to process payments representing multiple accounts.
6. The bank must provide online access to payment detail on a same day basis. Such data would include all checks, stub images, customer account number, check number and dollar amount, and be available no later than 2:00 P.M. The bank must also provide internet access to accounts sufficient to allow the viewing of returned checks.
7. All information related to payments that do not have either a payment stub enclosed or an account number shown on the check will be communicated to EMS not later than the next day. All correspondence received by the lockbox will be scanned and made available on the bank's website the following day.
8. How frequently is the mail picked up at the lockbox? In addition, what is the last mail pickup time that will be included in that days' deposit.
9. Provide the operating hours of the processor's lockbox department and provide a contact person for the EMS lockbox account.
10. A fax or e-mail must be provided to EMS personnel by 3:00 P.M. each day identifying the total deposit amount and number of transactions.
11. Please define the testing and implementation time required to "go live" after the award of contract.
12. Upon bank selection, lockbox testing must be completed in a timely manner.

Additional technical specifications and requirements for wholesale lockbox services are available upon request.

N. Pre-Authorized Debits (Drafts)

Pre-authorized debits are used in conjunction with the Board's Utility Billing Department operation; as a result the following criteria exist:

1. The bank must be capable of receiving and processing encrypted pre- authorized debit files received from UBCS.
2. The bank must provide the required file format.
3. Provide the maximum number of files that can be transmitted to the bank each day.
4. What is the latest time a transmission will be accepted?
5. The bank must provide a daily e-mail for each file transmitted confirming the following:
 - Numbers of records received and returned ACH items
 - Total dollar amount of the batch received
 - Date payments will be applied to the BOCC's account
 - Any errors that have occurred
6. Provide instructions for error resolution in file transmission.

O. Designated Account Executive and References

The Clerk requests that the proposing banks provide the names of a designated account executive, as well as an alternate. The designated account executives must be local and have the authority to make timely decisions in the normal course of business.

The bank should provide at least three (3) governmental clients as references. Please provide names, titles, addresses and telephone numbers.

P. Custodial Arrangements

The Clerk desires to place all of its custodial services with the bank that serves as the depository bank for the County. The custodial services requested will be for various securities that are purchased from other dealers and banks. These securities will be purchased and then transferred to the depository bank to be placed in a custodial account within the bank's trust department. The trust department will act as the Clerk's agent for all custodial transactions. These securities will be held until they are called, sold or mature. The following amounts reflect the Clerk's estimate of the number of securities and par values that will be placed within the custodial account on an annual basis:

- Estimated number of annual transactions (sales, calls, purchases, maturities and coupon maturities): Approximately 80
- Number of securities held as of March 31, 2014: 21
- Fair value of securities held as of March 31, 2014: \$609 Million

Monthly reports describing all activities within the custodial account will be provided electronically. As part of its response each bank will provide their general custodial services agreement for review.

The Clerk requires that all investment transactions clear through the respective concentration accounts. This should be construed to mean purchases, calls, maturities, sales and income postings. **This transaction activity shall not be netted in any circumstance.**

Q. Merchant Services

The Clerk requires merchant services processing for the BOCC and COCC agencies and requests that all proposers submit their merchant services processing format and processes for evaluation. A proposing bank shall provide merchant services to various departments throughout the BOCC and COCC at one discount rate. The bank shall submit individual merchant services invoices to the Clerk’s Office monthly for all merchant charges, as well as provide daily and monthly settlement statements separate from its invoices for merchant charges. Settlement statements, merchant chargebacks and merchant charges shall be available online. The proposal must be inclusive of all rates and charges associated with merchant services. Payment Card Industry (PCI) compliance must be maintained by the successful bidder as a part of the merchant services processing requirement. The BOCC and COCC agencies do not desire to hold or handle cardholder information. The proposing financial institution understands that there are existing merchant services processors providing certain services to the BOCC and COCC agencies that must be integrated as a result of being selected. At the time of renewal of these individual arrangements consideration will be given to consolidating these services.

The following is a table outlining all merchant services activities for the period April 1, 2013 to March 31, 2014:

<u>Site</u>	<u>Transactions</u>	<u>Amount</u>
BCC – Utilities Online	112,327	\$12,089,595.44
BCC – Utilities OTC/Telephone	13,501	2,362,062.20
BCC – Utilities North Naples	585	86,677.97
BCC – Utilities IVR	51,412	5,446,107.50
BCC – Landfill	8,643	1,080,119.85
BCC – Naples Recycling Center	499	17,623.45
BCC – Marco Recycling Center	188	6,952.30
BCC – Immokalee Recycling Center	559	46,803.02
BCC – North Collier Recycling Center	74	2,336.90
BCC – Growth Management Online	6,371	1,697,162.00
BCC – Parks and Rec. Parking/Beaches	40,672	334,726.35
BCC – Domestic Animal Services	2,188	108,918.53
COCC – Traffic	13,762	2,749,131.98
Total	250,781	\$25,992,217.49

R. Miscellaneous Banking Requirements

All proposals must acknowledge if the financial institution can comply with each of the following requirements:

1. The Clerk's Office requires maximum anti-fraud protection on all BOCC, COCC and SOE accounts. Please indicate account protections and enhancements available to complement positive pay in ensuring that fraud does not impact the Clerk's bank accounts. Any related pricing should be included on Exhibit A.
2. All checks deposited to a BOCC, COCC or SOE account that are returned due to insufficient, unavailable or uncollected funds shall be re-deposited a second time as a standard procedure, without charge.
3. The Clerk can establish additional accounts at any time utilizing the same fee structure as agreed upon during the contract period.
4. All banking supplies will be provided free of charge i.e. deposit tickets, deposit stamps and deposit bags. All banking supplies shall be provided prior to contract commencement.
5. All debit and credit memorandums used to adjust deposit errors on any BOCC, COCC or SOE account will be available online daily, with suitable backup, to the Clerk's Finance and Accounting Department. No debit and credit memoranda required to adjust errors caused by the bank will be charged to the Clerk.
6. The bank must honor all over the counter checks drawn on any BOCC, COCC or SOE as they are presented. Prior to refusing payment on any BOCC, COCC or SOE account the financial institution agrees to contact the Clerk's Finance and Accounting Department.
7. The bank will treat all BOCC, COCC or SOE checks that are four months or older (from date of issuance) as stale dated and deem them non-negotiable.
8. The bank will provide Magnetic Ink Character Recognition (MICR) check specifications to the check printer.
9. The bank will annually provide the Clerk's Office a list of all accounts at the bank using the BOCC, COCC and SOE's respective Federal Identification Numbers as part of the Qualified Public Depositor Report filing process.
10. Please provide the bank's automated teller machine agreement, including relevant specifications and requirements, if any, for review.
11. Please include separate pricing for armored courier service to be provided through the bank so that it can be compared to the Clerk's current arrangement for courier services.

S. Disaster Recovery Plan

In the event of a disaster the availability of information reporting, wire transfers, ACH and payroll services are critical for the emergency operations of the BOCC, COCC and SOE. Please describe your institution's disaster recovery plan and how that plan relates to the continuing operation of the BOCC, COCC and the SOE in a disaster situation. Some specifics follow:

1. What is your process of client notification when a disaster situation arises?
2. How quickly does the bank expect to resume normal operations following a disaster?
3. In the event of an impending emergency the BOCC, COCC and SOE may need to withdraw certain amounts of cash from their respective accounts. Describe the procedures required for the bank to accommodate transactions of this type. In addition, the Clerk's Office will require that the bank have available cash amounts of \$1,000,000, \$100,000 and \$25,000, respectively, for the agencies.
4. Your financial institution must accept emergency pay files at times outside the normal bi-weekly schedule.

T. Available Technologies

The Clerk desires to leverage technology in order to provide safe and effective banking services for public dollars. The Clerk is interested in the proposer's solutions regarding technological advances including, but not limited to:

1. Point of service transaction processing
2. Payroll cards
3. Smart Safe technology, or equivalent electronic deposit management
4. Interactive Voice Response technology, or equivalent
5. Image Replacement Documents
6. Security enhancements

Please include all related pricing on Exhibit A "Pricing Proposal Form". If technologies are not currently available provide estimated availability schedule.

IV. Pricing Proposal Form

Use of the "Pricing Proposal Form", Exhibit A, or a copy thereof is required of all proposers. No proposal will be considered without amounts being placed on this form. If the bank is unable to meet or exceed the requirements specified, the phrase "No Proposal" should be entered for that particular item. The Clerk reserves the right to eliminate any individual service contained in the bid, if based on analysis the fees for providing the service are excessive, or if the service proposed can be performed in an alternative manner. Each bank should review the proposal form and price each service specified. Per item charges should be extended to the "Monthly Charges" column. The total of this column will be entered on the line "Total Proposed".

As previously discussed, it is the desire of the Clerk to utilize electronic banking for the majority of services. If there is an additional charge for this or any other service please outline that charge in the appropriate place on the form.

V. Summary

Banks intending to submit a proposal should complete Exhibit E, "Letter of Intent" and return it to the Clerk as soon as possible following the receipt of the RFP, in order that any changes and clarifications made subsequent to distribution may be communicated to the contact person indicated on said form.

All banks are requested to complete the requested forms, reports and Exhibits and return the package to the Clerk in accordance with the instructions in Section I.B.3 "Written Responses (Technical and Pricing)". The Clerk of the Circuit Court intends to enter into a formal Banking Services Contract with the awarded bank, which will incorporate all provisions of the Request for Proposal. Additional terms and conditions will not be included in the Contract unless mutually agreed to by both parties.

Due care and diligence has been exercised in the preparation of this Request for Proposal, and all information contained herein is believed to be substantially correct. However, the responsibility for determining the full extent of the banking services required and the administrative responsibilities involved rest solely with those making proposals. Neither the Office of the Clerk of the Circuit Court nor its representatives shall be responsible for any error or omission in this request, nor for the failure on the part of the proposer to determine the full extent of the exposure.

**RFP 2014-001 Banking Services
PROPOSAL CHECKLIST**

The undersigned, as proposer, hereby declares that he has examined the Specifications and informed himself fully in regard to all conditions. The proposer further declares that the only persons, company or parties interested in this proposal or the contract to be entered into as principals are named herein. That this proposal is made without connection with any other person, company or companies submitting a bid or proposal and it is in all respects fair and in good faith, without collusion or fraud.

The proposer proposes and agrees, if this proposal is accepted, to contract with the Clerk of the Circuit Court and furnish in complete accordance with the attached specifications, according to the following unit prices included in herein response to RFP 2014-001 Banking Services.

Proposal Submitted By: _____

Address: _____

Telephone: _____

This proposal contains all the information requested in the Request for Proposal, including the following Exhibits and information:

- _____ **Exhibit A – Pricing Proposal Form**
- _____ **Exhibit B – Proposal Exception Form**
- _____ **Exhibit C – General Information**
- _____ **Exhibit D – Sworn Statement on Public Entity Crimes**
- _____ **Exhibit E – Letter of Intent**
- _____ **Exhibit F – BAI Critical Quality Indicator**
- _____ **Bank's Audited Statements for the previous two years**
- _____ **Bank's Availability Schedule**
- _____ **Map of Bank's main office and branch offices in Collier County**
- _____ **Statement of QPD and Collateral Verification**

Signature of Authorized Individual

Typed Name

Title

Date

EXHIBIT A
RFP 2014-001 Banking Services
PRICING PROPOSAL FORM

General Services	AFP Code		Sample Monthly Transaction Volume	Per Item Charge	Monthly Charge
DISB CCA CHECKS PAID	15	0100	4,000		
CHK DEPOSIT ITEMS REJECTED	10	0230	500		
CHK DEPOSIT ADJUSTMENT	10	0500	10		
CHK EXCESSIVE DEPOSIT REJECTS	10	0230	35		
COMPOSITE GROUP	01	9999	3		
CHK RETURNED ITEM OR CHARGEBACK	10	0400	60		
DISB CHECK PAID MICR REJECT & RE	15	0300	15		
DISB CHECK PAID MICR REJECT & RE	15	0300	10		
CHK UNENCODED ITEMS DEPOSITED	10	022Z	20,000		
CHK ENCODED ITEMS DEPOSITED	10	021Z	24,000		
MONTHLY MAINTENANCE	01	0000	20		
CHK PAPER CHECK ADMIN FEE	10	1030	40,000		
WIRE INCOMING STRUCTURED	35	0300	40		
ACH CREDIT RECEIVED	25	0201	1,000		
ACH DEBIT RECEIVED	25	0200	100		
ACH ADDENDA RECEIVED	25	0202	1,000		
DEPOSIT ADMINISTRATION FEE	00	0230	100,000		
CCA OTHER DEBITS	15	0100	200		
COMMERCIAL DEPOSITS	01	0101	2,000		
ZBA PARENT ACCOUNT	01	0020	3		
ZBA SUB-ACCOUNT	01	0221	20		
ACH DELETION	25	0640	10		
ACH RETURNED TRANSACTION	25	0302	35		
ACH NOTIFICATION OF CHANGE	25	0302	10		
ACH DIRECT SEND MONTHLY MAINT	25	0000	6		
ACH DIRECT SEND ORIGINATED CR	25	0101	4,000		
ACH DIRECT SEND ORIGINATED DR	25	0101	11,000		
ACH DIRECT SEND ORIG ADDENDA	25	0102	300		

General Services	AFP Code		Sample Monthly Transaction Volume	Per Item Charge	Monthly Charge
ACH DIRECT SEND FILE PROCESS	25	0501	50		
ACH CREDIT ORIGINATED	25	0101	950		
ACH FILE PROCESSED	25	0105	23		
ACH RETURN/NOC RPT VIA WEB	25	0400	6		
BILLER DIRECT PREM RECEIVABLE TR	25	9999	9,000		
BILLER DIRECT PREM MONTHLY MAINT	25	1000	1		
BKG CNTR DEPOSITED CASH	10	0015	900,000		
BKG CNTR ORDER	10	0040	15		
BKG CNTR ORDER COIN ROLL	10	0044	60		
BKG CNTR ORDER NOTES STRAP	10	004A	10		
BKG CNTR ORDER NOTES LOOSE	10	0048	500		
BKG CNTR DEPOSIT NOTES STRAP	10	0016	200		
BKG CNTR DEPOSIT NOTES LOOSE	10	0015	15,000		
CASH VLT NTWK MONTHLY BASE CHARG	10	0153	1		
PAPER REPRESENTMENT	10	0402	30		
RETURNED ITEM SPECIAL INSTRUCTIO	10	0401	8		
RETURNED ITEMS DATA CAPTURE	10	0430	500		
RETURNED ITEMS DATA CAPTURE	10	0430	200		
RETURNS MGMT MODULE	10	0416	1		
RETURNS MGMT MODULE	10	0416	7		
RETURNED ITEMS PER IMAGE	10	0415	100		
RETURNED ITEMS PER IMAGE	10	0415	30		
RETURNED ITEMS PER IMAGE	10	0415	5		
ECL: IMAGE CASH LETTER FILES	10	9999	12		
ECL: IQA VERIFICATION	99	9999	7		
ECL: ECL ITEM CLEAR - ONUS	10	9999	35		
ECL: EXCESSIVE IQA IMAGE REJEC	10	0201	5		
ECL: IMAGE TIER 1	99	9999	400		
ECL: IMAGE TIER 2	10	0201	100		
ECL: IMAGE TIER 3	10	0201	5		
ARP MONTHLY BASE CHARGE	20	0110	12		

General Services	AFP Code		Sample Monthly Transaction Volume	Per Item Charge	Monthly Charge
ARP CHECKS PAID	20	0100	3,000		
ARP CHECKS ISSUED	20	0110	3,000		
ARP DEPOSIT RECONCILIATION PER I	10	0610	2,000		
ARP PAID ITEM TRANSMISSION	20	0301	2,500		
ARP PAID NO ISSUE	15	0310	200		
ARP DATA ENTRY	20	0120	100		
POSITIVE PAY MONTHLY BASE CHARGE	15	0030	10		
BANK MAINTAIN POS PAY EXCPTN	15	0724	100		
EDM MONTHLY SERVICE FEE	99	9999	10		
EDM DEPOSIT	99	9999	20		
EDM DEPOSIT	99	9999	25		
EDM BEFORE 4:00 PM EST	99	9999	25		
EDM BEFORE 4:00 PM EST	99	9999	50		
EDM AFTER 4:00 PM EST	99	9999	1,200		
EDM ON-US CLEARING	99	9999	150		
EDM SUBSTITUTE CHECK CLEARING	99	9999	5		
EDM IMAGE EXCHANGE CLEARING	99	9999	1,000		
DEPOSIT IMAGING PER ACCOUNT	15	1353	25		
DEPOSIT IMAGING PER ITEM	15	1353	100,000		
CHECK IMAGING PER ACCOUNT	15	1353	25		
CHECK IMAGING PER ITEM	15	1351	4,000		
ONLINE IMAGE RETRIEVAL BASE	15	1355	5		
ONLINE AMP PRIOR DAY BASE	40	0052	1		
ONLINE AMP PRIOR DAY ACCOUNT	40	0272	25		
ONLINE AMP PRIOR DAY DETAIL	40	0272	9,500		
ONLINE AMP STOP PAYMENT	15	0420	50		
ONLINE AMP INTRADAY BASE	40	0055	1		
ONLINE AMP INTRADAY ACCOUNT	40	0055	25		
ONLINE AMP INTRADAY DETAIL	40	0274	800		
BILLER DIRECT PREMIUM MINIMUM	99	9999	450		
ARP ISSUES REJECTED	20	0211	20		

General Services	AFP Code		Sample Monthly Transaction Volume	Per Item Charge	Monthly Charge
MULTI SIGNER BASE CHARGE	15	0210	2		
PAPER DEPOSIT STATEMENT	01	0310	25		
BKG CNTR NIGHT DROP USAGE	10	0052	300		
EDI PASS THROUGH	99	9999	10		
RLBXCOURIERCHARGES	05	0413	1		
ONLINE REPORTS MODULE	40	9999	1		
ONLINE AMP ACH BASE	25	1100	1		
ONLINE AMP WIRE TRANSFER BASE	35	0610	3		
RLBX ITEMS PROCESSED	05	0200	26,000		
RLBX EXCEPTION ITEM	05	0202	100		
RLBX MONTHLY MAINTENANCE	05	0010	1		
RLBX TRANSMISSION	05	0401	20		
RLBX SPECIAL PAYMENTS	05	0303	5		
RLBX DAILY CD ROM	05	0405	20		
RLBX PER IMAGE	05	021Q	50,000		
WLBX DOCUMENT SCANNED	05	011R	5,000		
WLBX CD ROM IMAGING	05	0405	1		
WLBX MAINTENANCE	05	0000	3		
WLBX ITEM W/ COPY	05	0100	35		
WLBX ITEM W/O COPY	05	0101	2,500		
WLBX CASH PAYMENT	05	013B	1		
ONLINE AMP WIRE OUTBOUND DOMESTI	35	0202	60		
ONLINE AMP WIRE OUTBOUND USD INT	35	0212	5		
ADMIN WIRE OUTBOUND NREP	35	0202	1		
Total					

General Services	Per Item Charge	Monthly Charge
Monthly Basic Account Fee - Custodial Account		
Depository Eligible (DTC, FBE) - Custodial Account		
Principal & Interest Paydowns - Custodial Account		
Depository Eligible - Custodial Account		
Bank Internet Securities WorkStation - Custodial Account		
First 4 licenses (per month) - Custodial Account		
Each 5 additional licenses (per Month) - Custodial Account		
Voluntary Corporate Actions - Custodial Account		
Wire Transfers (In/Out) - Custodial Account		
Check Requests - Custodial Account		
Special Services - per hour fee - Custodial Account		
Total		

EXHIBIT C
RFP 2014-001 Banking Services

GENERAL INFORMATION

Qualifications and Experience

- 1. Name of Institution:

- 2. Physical address of office proposing to serve the County:

- 3. Date institution was chartered:

- 4. Attach a summary showing the institution's organization and principal staff members who will be involved in providing services to Collier County.

- 5. Indicate or attached a description of your bank's customer service organizational structure.

- 6. Describe the responsibilities of customer service personnel, including the chain of command for problem resolution.

- 7. Describe the local customer service support available.

- 8. Who will be the primary contact assigned to our account? From which area of the organization, and from which branch will they be assigned?

- 9. List names, titles, phone numbers and e-mail addresses, and provide a brief biography of each of the bank contact personnel.

- 10. Is your institution a State of Florida "Qualified Public Depository" pursuant to Chapter 280, Florida Statutes?

Funds Availability

11. Please describe your controlled disbursement process?

12. What options for notification and funding exist in the event of a second presentment?

13. How many times have you missed notification deadlines and by how much in a recent ninety day period?

14. By what methods can you notify your customer of the amount of checks to be charged to their account?

15. Does notification of daily clearings (or funding requirements) include both check and ACH debits?

16. At what time do you normally notify customers of their daily clearings? What is the earliest you are able to make daily notifications? What is your latest deadline?

17. Do you have an established maximum dollar value limit that may not be exceeded by an individual check? Do you have any restrictions regarding individual check amounts?

18. What procedure will be used to resolve overdrafts caused by funding failures as result of improper funding from the County? As a result of the bank's error or delay in notification?

Wire Transfer Services

19. What are the security features in your bank's PC wire system?

20. Does your institution have on-line Federal Reserve wire capabilities?

Account Reconciliation

21. Explain your institution's capabilities and experience in providing online account reconciliation information.

Conversion

22. Describe a conversion plan to transfer assets of the County to your financial institution.

23. What lead time do you expect will be necessary before the conversion begins?

24. Indicate your plans for educating and training the Clerk employees in the use of your system.

Should you need additional room for descriptions, please feel free to continue on a separate piece of paper, clearly identifying the question number and "Exhibit C"

EXHIBIT D

**SWORN STATEMENT UNDER SECTION 287.133
(3)(a), FLORIDA STATUTES, ON PUBLIC ENTITY
CRIMES**

THIS FORM MUST BE SIGNED IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER OFFICER
AUTHORIZED TO ADMINISTER OATHS.

1. This sworn statement is submitted with Bid, Proposal or Contract No. _____ For _____

2. This sworn statement is submitted by _____
(Name of entity submitting sworn statement)
whose business address is: _____

(if applicable) its Federal Employer Identification Number (FEIN) is _____

(If the entity has no FEIN, include the Social Security Number of the individual signing this
sworn statement: _____.)
3. My name is _____ and my relationship to the entity named
(please print name of individual signing)
above is _____.
4. I understand that a “public entity crime” as defined in Paragraph 287.133(1)(g), **Florida Statutes**, means a violation of any state or federal law by a person with respect to and directly related to the transaction of business with any public entity or with an agency or political subdivision of any other state or of the United States, including, but not limited to, any bid or contract for goods or services to be provided to any public entity or an agency or political subdivision or any other state or of the United States and involving antitrust, fraud, theft, bribery, collusion, racketeering, conspiracy, or material misrepresentation.
5. I understand that “convicted” or “conviction” as defined in Paragraph 287.133(1)(b), **Florida Statutes**, means a finding of guilt or a conviction of a public entity crime, with or without an adjudication of guilt, in any federal or state trial court of record relating to charges brought by indictment or information after July 1, 1989, as a result of jury verdict, non-jury trial, or entry of a plea of guilty or nolo contendere.
6. I understand that an “affiliate” as defined in Paragraph 287.133(1)(a), **Florida Statutes**, means:
 - a. A predecessor or successor of a person convicted of a public entity crime;
or
 - b. An entity under the control any natural person who is active in the management of the entity and who has been convicted of a public entity crime. The term “affiliated” includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in the management of an affiliate. The ownership by one person of shares constituting a controlling interest in another person or a pooling of equipment or income among persons when not for fair market value under an arm’s length agreement, shall be a prima facie case that one person controls another person. A person who knowingly enters into a joint venture with a person who has been convicted of a public entity crime in Florida during the preceding 36 months shall be considered an affiliate.

c. I understand that a "person" as defined in Paragraph 287.133(1)(e), **Florida Statutes**, means any natural person or entity organized under the laws of any state or of the United States with the legal power to enter into binding contract and which bids or applies to bid on contracts for the provision of goods or services let by a public entity, or which otherwise transacts or applies to transact business with a public entity. The term "person" includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in management of an entity.

d. Based on information and belief the statement that I have marked below is true in relation to the entity submitting this sworn statement. **(Indicate which statement applies.)**

_____ Neither the entity submitting this sworn statement, nor any officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, nor any affiliate of the entity have been charged with and convicted of a public entity crime subsequent to July 1, 1989.

_____ The entity submitting this sworn statement, or one of the officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, or an affiliate of the entity has been charged with and convicted of a public entity crime subsequent to July 1, 1989.

_____ The entity submitting this sworn statement, or one or more of its officers, directors, executives, partners, shareholders, employees, members, or agents who are active in the management of the entity, or an affiliate of the entity has been charged with and convicted of a public entity crime subsequent to July 1, 1989. However, there has been a subsequent proceeding before a Hearing Officer of the State of Florida, Division of Administrative Hearings and the Final Order entered by the Hearing Officer determined that it was not in the public interest to place the entity submitting the sworn statement on the convicted vendor list. **(Attach a copy of the final order)**

I UNDERSTAND THAT THE SUBMISSION OF THIS FORM TO THE CONTRACTING OFFICER FOR THE PUBLIC ENTITY IDENTIFIED IN PARAGRAPHS 1-3 (ONE THRU THREE) ABOVE IS FOR THAT PUBLIC ENTITY ONLY AND, THAT HIS FORM IS VALID THROUGH DECEMBER 31 OF THE CALENDAR YEAR IN WHICH IT IS FILED. I ALSO UNDERSTAND THAT I AM REQUIRED TO INFORM THE PUBLIC ENTITY PRIOR TO ENTERING INTO A CONTRACT IN EXCESS OF THE THRESHOLD AMOUNT PROVIDED IN SECTION 287.017, FLORIDA STATUTES FOR CATEGORY TWO OF ANY CHANGE IN THE INFORMATION CONTAINED IN THIS FORM.

(Signature)

(Date)

STATE OF _____
COUNTY OF _____

PERSONALLY APPEARED BEFORE ME, the undersigned authority, _____ who, after first being sworn by me, affixed his/her signature in the space provided on this _____ day of _____, 2014.

NOTARY PUBLIC
Commission number: _____
Commission expires: _____

Exhibit E
RFP 2014-001 Banking Services
Letter of Intent

The _____ intends to respond to the Request for Proposal for Banking Services by the Collier County Clerk of the Circuit Court. We understand that any changes, clarifications and addenda to the Request for Proposal will be promptly communicated to the individual authorized below to receive this information.

Name

Financial Institution

Address

Telephone Number

FAX Number

E-mail Address

Please fax this form "Attention: Alina Bec" at 239/252-8838.

**EXHIBIT F
BAI CRITICAL QUALITY INDICATOR**

Critical Quality Indicator	Indicator Reported for the Last BAI Survey	Tracking Frequency	Period Covered	Last Two Measurements
File Processing Error Rate # of Files Processed Incorrectly <div style="text-align: right;">_____ x 1,000</div> Total # of Files Processed				
Item Processing Error Rate # of Items Processed Incorrectly Incorrectly <div style="text-align: right;">_____ x 10,000</div> Total # of Items Processed				
Failed/Late Processing Error Rate # of Files Not Processed or Processed Late <div style="text-align: right;">_____ x 1,000</div> Total # of Files Processed				
Failed/Late Item Processing Error Rate # of Items Not Processed or Processed Late <div style="text-align: right;">_____ x 10,000</div> Total # of Items Processed				
Check Encoding Error Rate # of (Bank Encoded) Items with Encoding Errors <div style="text-align: right;">_____ x 100,000</div> Total # of Items Encoded by Bank				
Check Reject Rate # of Rejects <div style="text-align: right;">_____ x 1,000</div> Total # of Items Processed				

Coin & Currency Provided Error Rate # of Coin and Currency Order Errors _____ x 1,000 Total # of Coin and Currency Orders Filled				
Commercial Deposit Error Rate # of Commercial Deposit Processing Errors _____ x 1,000 Total # of Commercial Deposits Processed				
Reporting Error Rate # of Clearing Total Errors Reported _____ x 100 # of Clearing Totals Reported				
Reporting Delay/Failure Rate # of Total Presentment Files Sent After Deadline _____ x 100 # of Total Presentment Files				
Reconciliation Error Rate # of Reconciliations with Errors by Account _____ x 100 Total # of Reconciliations by Account				
Reconciliation Statement Delay/ Failure Rate # of Reconciliation Statements Not Released after Goal _____ x 100 Total # of Reconciliation Statements Released				
ACH Origination File Error Rate Origination Files Processed with Errors _____ x 1,000 Total # of Origination Files Processed				
ACH Failed/Late File Delivery Rate # of ACH Origination Files Not Processed or Processed Late _____ x 1,000 Total # of Origination Files Processed				

ACH Failed /Late File Receipt Date # of ACH Receipt Files Not Posted on Time _____ x 1,000 Total # of ACH Files Processed				
Payment Error Rate Wire Transfers Processed with Errors _____ x 1,000 Total # of Wire Transfers Processed				
Failed/Late Execution Rate # of Failed/Late Wire Transfer Payments _____ x 1,000 Total # of Wire Transfers Processed				