

**GOVERNMENT OF THE DISTRICT OF COLUMBIA
OFFICE OF THE CHIEF FINANCIAL OFFICER
DETERMINATION AND FINDINGS
FOR
CONTRACTOR'S RESPONSIBILITY**

AGENCY: Office of Finance and Treasury

CONTRACT NO: CFOPD-20-C-0290

CONTRACTOR: Hilltop Securities, Inc.

CAPTION: Financial Advisory Services
SWAP Advisor

1. AUTHORIZATION:

DC Municipal Regulations Title 27 §1540.1 and 2200, PPRA §301, 302

2. MINIMUM REQUIREMENTS:

The District of Columbia Government (District), Office of Finance and Treasury (OFT), is seeking a Contractor to provide financial advisory services with respect to debt management, long-range capital planning, and debt issuance.

3. ESTIMATED REASONABLE COST:

Not to Exceed \$250,000.00

4. FACTS WHICH JUSTIFY CONTRACTOR'S RESPONSIBILITY:

The contractor has:

- (a) the financial resources adequate to perform the contract;
- (b) the ability to perform the proposed schedules, taking into consideration all existing commercial and governmental business commitments;
- (c) a satisfactory performance record, as depicted in their past performance references;
- (d) a satisfactory record of integrity and business ethics, as depicted in their past performance references;
- (e) a satisfactory record of compliance with the law, including licensing and tax laws, labor laws, civil rights laws and First Source Employment Act;

- (f) the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them;
- (g) the necessary production, construction, and technical equipment and facilities or the ability to obtain them;
- (h) not exhibited a pattern of overcharging the District;
- (i) the contractor does not have an outstanding debt with the District or Federal government in delinquent status of more than the greater of \$1,000 or 1% of the contract value, up to \$25,000; and
- (j) the contractor is otherwise qualified and is eligible to receive an award under applicable laws and rules.

5. CERTIFICATION BY THE CONTRACT SPECIALIST:

I hereby certify that the above findings are correct and complete to the best of my knowledge.

Date

Carla Roane
Contract Specialist

DETERMINATION:

Based on the above findings, it is hereby determined that the Contractor is responsible in accordance with the applicable regulations set forth above and award of the proposed contract with Hilltop Securities, Inc. is in the best interest of the Government of the District of Columbia.

Date

Anthony A. Stover
Contracting Officer