

LOS ANGELES FIRE AND POLICE PENSIONS

Contractor Disclosure Form

Pursuant to the LAFPP Contractor Disclosure Policy, the following information is required from Contractors that seek or are hired to provide goods and/or services to LAFPP. The Policy can be found at [LAFPP.lacity.gov](https://lafpp.lacity.gov)

Contractor Name	<input type="text"/>	Contract No.	<input type="text"/>
		For Private Equity/Credit or Real Estate, list the name of the fund and the fund number.	
Reporting Period	<input type="text"/>	to	<input type="text"/>
Contact Name	<input type="text"/>	Email	<input type="text"/>
Address	<input type="text"/>		Phone <input type="text"/>

Reporting Type (Please see reverse for detailed instructions)

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(1) INITIAL Disclosure Filing

New funds and contracts require disclosure period of past 24 months

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(2) PERIODIC Disclosure Filing

Certification (Section 1.18.H.1)

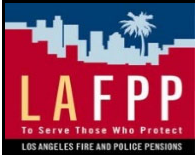
The undersigned represents and warrants that the information submitted in this filing and related attachments is true and correct. The undersigned must be the Contractor's Chief Executive Officer or head of the business unit that provides, or will be providing the goods or services to LAFPP.

Signature

Printed Name

Date

Title



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Reference

[LAFPP Operating Policies and Procedures Section 1.18](#) (Contractor Disclosure Policy)

Application (See Appendix A of the Policy for Definitions)

Except as otherwise provided, this policy applies to Contractors and its Officers, marketing representatives, relationship representatives, portfolio managers, members of the investment committee, and Intermediaries, involved in the product or service provided or sought to be provided to LAFPP. This policy also applies to Family Members (spouse or domestic partners) of the individuals referenced above.

Reporting Type (Section 1.18.B.3)

(1) Initial Disclosures - For new contracts/investments, Contractors are required to complete a Contractor Disclosure Form and disclose reportable items (as defined by this Policy) that occurred during the twenty-four (24) month period prior to Board approval of a new contract. For private equity partnerships, including general partners, disclosure information for the prior twenty-four month period shall be provided at the time the Board considers a new or additional investment in a private equity fund.

Example: Company A is interviewing for an LAFPP contract in January 2021. As a result, Company A must file an Initial Disclosure Filing with LAFPP for a two-year "lookback" reporting period of 1/1/2019 to 1/1/2021.

(2) Periodic Disclosures - For existing contracts, most Contractors are required to complete a Contractor Disclosure form quarterly (except for Private Equity Partnerships and certain non-investment and non-legal Contractors). *Quarterly disclosures are due 21 business days after the end of the quarter.*

Example: Company A is selected by the Board as a Contractor in July 2021, but the contract is not finalized until August 2021 (Q3). Starting with Q3, Company A must now submit a quarterly Periodic Disclosure Filing. Their first Periodic Disclosure Filing will cover Q3 and be due by 11/1/2021.

Gift Reporting Threshold (Section 1.18.E)

Gifts must be reported in the period where the total value of gifts made/received to a single recipient/source in a calendar year is \$50 or more. A flowchart outlining your potential reporting obligations is provided at LAFPP.com

Please e-mail or mail the completed form to:

audit@lafpp.com

Department of Fire and Police Pensions

Internal Audit Section

701 E. 3rd Street, Suite 200

Los Angeles, CA 90013

p: 213-279-3175

Policy Section 1.18.C

Campaign Contributions

Are there any campaign contributions to disclose pursuant to Sections 1.18.B.4 and 1.18.C of the Policy? If yes, please fill out the schedule below.

*Please refer to list of elected officials, candidates, appointed officials, and applicable city employee at the end of this form. **Exemption:** Monetary contributions and/or financial benefits given by any person to an Elected Official or Candidate for whom such person was entitled to vote at the time of the contributions AND which in the aggregate do not exceed \$100 to any one Elected Official or Candidate per election are not required to be reported pursuant to this Section 1.18C. See definition of "Elected Official" or "Candidate" in Appendix A of the Contractor Disclosure Policy.*

	Yes
	No

Date of Contribution	Amount of Contribution	Name of Contributor	Address of Contributor	Contributor's Connection to the Contractor	Name and Title of Contribution Recipient	Elected Official, Candidate, Appointed Official, or Person for Whose Benefit the Contribution was Made

Policy Section 1.18.D

Other Contributions/Payments

Are there any other contributions/payments to disclose pursuant to Sections 1.18.B.4 and 1.18.D of the Policy? Disclosure shall include, but is not limited to, contributions, payments, or financial benefits which were solicited directly or indirectly by any Elected Official, Candidate, Appointed Official, or Applicable City Employee. If yes, please fill out the schedule below. *Please refer to list of elected officials, candidates, appointed officials, and applicable city employees at the end of this form.*

	Yes
	No

Date of Contribution	Amount of Contribution	Name of Contributor	Address of Contributor	Contributor's Connection to the Contractor	Name, Title, and Organization of Contribution Recipient	Elected Official, Candidate, Appointed Official, or Person for Whose Benefit the Contribution was Made

Policy Section 1.18.E.1

Gifts Made by Contractors

Are there gifts to disclose pursuant to Section 1.18.E.1 of the Policy? If yes, please fill out the schedule below. *Please refer to list of elected officials, candidates, appointed officials, and applicable city employees at the end of this form.* **Reporting Threshold:** *Gifts are only required to be reported if, for the calendar year, the total value of Gifts made to a single recipient is \$50 or more (See Gifts Flowchart on LAFPP.lacity.gov).*

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

Date Gift Provided	Name of Gift Provider	Address of Gift Provider	Gift Provider's Connection to the Contractor	Name and Title of Gift Recipient	Value of Gift	Description of Gift

Policy Section 1.18.E.2

Gifts Received by Consultants

(1) Are you a Private Equity/Private Credit Consultant, General Investment Consultant, or Real Estate Consultant? If no, please proceed to the next schedule. If yes, proceed to Question 2.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

(2) Are there gifts to disclose pursuant to Section 1.18.E.2 of the Policy? If yes, please fill out the schedule below. *Reporting Threshold: Gifts are only required to be reported if, for the calendar year, the total value of Gifts received from a single source is \$50 or more (See Gifts Flowchart on [LAFPP.lacity.gov](https://lafpp.lacity.gov)).*

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

Date Gift Provided	Name of Gift Provider	Address of Gift Provider	Gift Provider's Connection to the Contractor	Name and Title of Gift Recipient	Value of Gift	Description of Gift

Policy Section 1.18.F
List of Contacts

Are there any contacts by the Contractor with Appointed or Elected Officials to disclose pursuant to Sections 1.18.F of the policy? If yes, please fill out the schedule below. *Please refer to list of elected officials and appointed officials at the end of this form.*

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

- (1) For **New Disclosure Filings** , Contractors shall disclose any contacts within either: 1) the three month period prior to the interview regarding a new agreement or investment; or 2) the search period; whichever is longer.
- (2) For **Periodic Disclosure Filings** , Contractors shall disclose any contacts during the reporting period.

Date of the Contact	Name and Title of Person who made the Contact	Person's Connection to the Contractor	Appointed or Elected Official Contacted	Nature of Contact

Policy Section 1.18.G

Intermediary Disclosures

(1) Pursuant to *Section 1.18.G.1* of the Policy, is any person working on behalf of the Contractor, or assigned on behalf of the Contractor to an LAFPP contract, a current or former LAFPP Board member, employee, consultant or a Family Member of any such person? If yes, list the names of the individual and their relationship to LAFPP below.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

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(2) Has an Intermediary (placement agent, finder, lobbyist, solicitor, marketer, consultant, broker or other type of agent to raise money or investments) been retained to procure funds from an investors? If yes, please fill out the intermediary's name and date retained and briefly describe the compensation provided or agreed to be provided in the next section.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

Additional Intermediary Disclosures

Intermediary Name

Date Retained

(a) Describe all compensation provided or agreed to be provided to the Intermediary. For example, 1% fee based on aggregate capital commitments.

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(3) Pursuant to *Section 1.18.G.2*, is the intermediary compensated or will be compensated in connection with any investment or procurement by LAFPP? If yes, complete the remaining questions on pages 9 and 10.

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

Additional Intermediary Disclosures

(a) Describe the services to be performed by the Intermediary and a statement as to whether the Intermediary is utilized by the Contractor with all prospective clients or a subset (if a subset, describe the subset). A resume for the Intermediaries shall also be provided. See Section 1.18.G.4.(i) of the Policy for specific disclosure information.

(b) Attach a copy of all written agreements between the Contractor and the Intermediary and a description of any agreement that is not in writing. Section 1.18.G.4.(ii)

(c) List all contacts made by the Intermediary for the 24-month period prior to Board approval of a new agreement or investment. This list shall include the date and names of the contact(s) and intermediary. Section 1.18.G.4.(iii)

(d) List the names of all persons who suggested retention of the Intermediary and a description of how the Intermediary was selected. Section 1.18.G.4.(iv)

Additional Intermediary Disclosures

(e) For the Intermediary and/or any of its affiliates, list the registration with SEC/FINRA/or any similar regulatory agency or self-regulatory organization outside of the US, and either details of such registration or an explanation of why registration is not required. Section 1.18.G.4.(v)

(f) For the Intermediary and/or any of its affiliates, list registration as a lobbyist with any local, state or national government and the details of such registration. Section 1.18.G.4.(vi)

Please see our website (<https://lafpp.lacity.gov>) for our most up to date List of Elected and Appointed Officials, Candidates, and Applicable City Employees.