



Ho Chunk Nation

Request for Proposal Investment Advisory Consultant

For the
Ho Chunk Nation
RFP Number: 2022SFS15

This Request for Sealed Proposal (RFP) is for the purpose of contracting with a qualified firm to provide the Ho-Chunk Nation with Investment Advisory Services outlined within this document. All requirements are as per specifications enclosed herein.

Proposal Due Date: September 21, 2022 by 2:00pm (CST)

General Requirement: This is a Request for Sealed Proposal (see attached). Proposal will be opened and evaluated in private and proposal information will be kept confidential until an award is made. **One (1) original and Three (3) copies of the complete proposal are to be submitted. Pricing is to be submitted in a separate envelope marked "PRICING".**

Proposal of:

Company Name: _____

Address: _____

Contact Person: _____

Telephone: _____

Facsimile/Email: _____

Schedule of Events

Release of RFP on Website	Sept 2, 2022 by 4:00pm (CST)
Deadline for Questions by e-mail via addendum	Sept 14, 2022 by 4:00pm (CST)
Internet Posting of Answers to written questions	Sept 16, 2022 by 4:00pm (CST)
Proposals Due Date	Sept. 21, 2022 at 2:00pm (CST)
Notification to Vendors for Proposal Presentation	Sept. 18, 2022 by 4:00pm (CST)
Proposal Interviews (Virtual)	October 6, 2022 Time TBD (CST)
Vendors notified of Selection	October 12, 2022 by 4:00pm (CST)

Proposers should consult the website: <https://ho-chunknation.com/procurement-opportunities/> daily for RFP Addendum, clarifications, schedule changes or other important information.

Proposals shall be submitted to:

**Steve Sallaway
Ho-Chunk Nation
Department of Treasury
Procurement Division
PO Box 640
W9814 Airport Rd. Black
River Falls, WI. 54615**

Ho-Chunk Nation
Proposal Letter

We propose to furnish and deliver any and all of the deliverables and services named in the attached Request for Proposal (RFP)

It is understood and agreed that this proposal constitutes an offer, which when accepted in writing by the Ho-Chunk Nation is subject to the terms and conditions of such acceptance and will constitute a valid and binding contract between the undersigned and the Ho-Chunk Nation.

It is understood and agreed that we have read the Ho-Chunk Nation's specifications shown or referenced in the RFP and that this proposal is made in accordance with the provisions of such specifications. By our written signature on this proposal, we guarantee and certify that all items included in this proposal meet or exceed any and all such specifications.

We verify that all information contained in this proposal is truthful to the best of our knowledge and belief. We further certify that we are duly authorized to submit this proposal on behalf of the firm and that the firm is ready, willing and able to perform if awarded the contract.

The laws of the Ho-Chunk Nation will govern any agreement relating to the provision of goods and services contemplated by this RFP. In addition, the service provider under such an agreement will comply with all applicable laws, regulations, and policies of the Nation.

We hereby propose to furnish the goods or services specified in the Request for Proposal. We agree that our proposal will remain firm for a period of up to 120 days in order to allow the Ho-Chunk Nation adequate time to evaluate the qualifications submitted.

MANDATORY PAGE 1 of 3
PROPOSAL SIGNATURE AND CERTIFICATION
(Proposal Letter must be signed and returned with proposal)

I/We certify that this proposal is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting a proposal for the same materials, supplies, equipment, or services and is in all respects fair and without collusion or fraud. I/We understand collusive proposing is a violation of State and Federal law. No officer, employee or agent of the Ho-Chunk Nation or any other proposer is interested in said proposal and that the undersigned executed this Proposer's Certification with full knowledge and understating of the matters therein contained and was duly authorized to do so. I/We agree to propose by all conditions of the proposal and certify that I/We are authorized to sign this proposal for the proposer.

**State of Incorporation _____

(Individual – Partnership – Company – Corporation)

(Business Address)

(City, State, and Zip Code)

(By Printed Name and Signature) (Title)

(Witness Signature) (Title)

(Telephone No) (Fax No)

(Date)

MANDATORY PAGE 2 of 3
REFERENCES

Please list three (3) references that you have done similar work, service or supplied similar products to within the last twelve (12) months.

Entity: _____

Address: _____

Contact Name: _____

Telephone Number: _____

Email: _____

Entity: _____

Address: _____

Contact Name: _____

Telephone Number: _____

Email: _____

Entity: _____

Address: _____

Contact Name: _____

Telephone Number: _____

Email: _____

MANDATORY PAGE 3 of 3

ACKNOWLEDGEMENT OF ADDENDUMS: (Signature & Date Required)

Addendum 1: _____

Addendum 2: _____

Addendum 3: _____

EXCEPTIONS TO THE PROPOSAL:

List any exceptions to the Proposal Specifications

1.0 BACKGROUND INFORMATION

1.1 General

The Ho-Chunk Nation (Nation) is a sovereign government dedicated to improving the lives of its constituents. In 1963, the Wisconsin Winnebago Nation was recognized as a federal tribe pursuant to the Indian Reorganization Act of 1934. On November 1, 1994, the Wisconsin Winnebago Nation officially changed its name to the Ho-Chunk Nation when the Secretary of the Interior formally recognized its new constitution. The Nation's main office is located in Black River Falls, Wisconsin. In addition to its government operations, the Nation currently operates six (6) gaming facilities, three (3) hotels, a resort, a convention center, five (5) convenience stores, a gift shop and a number of other ancillary businesses.

1.2 Gaming Facilities

HO-CHUNK GAMING – WISCONSIN DELLS CASINO, BINGO, and HOTEL & CONVENTION CENTER: Ho-Chunk Gaming – Wisconsin Dells Casino in Baraboo, WI was the first of the Ho-Chunk Nation's Class III Casinos and was established in October 1993. Ho-Chunk Gaming – Wisconsin Dells Casino offers more than 997 slot machines and 18 tables. Ho-Chunk Gaming – Wisconsin Dells Bingo was one of the first gaming enterprises for the Nation, which began in 1983 and is currently operating as a 248-seat hall. Ho-Chunk Gaming – Wisconsin Dells Hotel has 302 rooms and suites and operates more than 152,172 square feet of convention space. In June 2008, a new swimming pool opened for patrons to use. Patrons of the hotel also have access to the House of Wellness, which provides a small business room, fitness center, and basketball court.

HO-CHUNK GAMING – NEKOOSA CASINO: Ho-Chunk Gaming – Nekoosa Casino in Nekoosa, WI opened in late 1993 and offers more than 407 slots and currently, no tables. Ho-Chunk Gaming – Nekoosa Casino offers Black Jack, Poker and Roulette

HO-CHUNK GAMING – BLACK RIVER FALLS CASINO, BINGO & HOTEL: Ho-Chunk Gaming – Black River Falls Casino in Black River Falls, WI opened June of 1996 and was modified in February 1999 to add 200 more slot machines and 12 tables. It is currently operating with 664 slot machines and 4 tables. It offers Black Jack. Ho-Chunk Gaming – Black River Falls Bingo, previously known as the Sands Bingo, also began operations in 1983 and is currently operating a 462-seat facility. Ho-Chunk Gaming – Black River Falls Hotel has 123 rooms, a swimming pool, and meeting rooms are available.

HO-CHUNK GAMING – TOMAH CASINO: Ho-Chunk Gaming – Tomah Casino in Tomah, WI was opened in July 2004 with 100 slot machines. Ho-Chunk Gaming - Tomah Casino is an ancillary site with remote management and is currently operating with 98 slot machines.

HO-CHUNK GAMING – WITTENBERG CASINO: Ho-Chunk Gaming – Wittenberg Casino in Wittenberg, WI was opened in November 2008 and is currently operating with 685 slot machines.

HO-CHUNK GAMING – MADISON: Ho-Chunk Gaming - Madison in Madison, WI was built in 1995, but did not begin operations until 1999 and currently has 1,365 Class II Slot Machines and a varied food venue. The facility was renovated in September 2006, and began full operations as a Class II Gaming Hall in December 2006.

1.3 Non - Gaming Facilities

CONVENIENCE STORES (C-Stores)

All of the convenience stores offer three (3) levels of unleaded gasoline and as of July 2008 offer diesel fuel. In addition to fuel and cigarette/tobacco products, the stores offer the standard c-store products with varying levels of other general, novelty, and gift items. The stores locations on trust land provide a tax advantage in cigarette sales as well as an advantage in fuel pricing.

Whitetail Crossing – Baraboo

Whitetail Crossing – Black River Falls

Whitetail Crossing – Nekoosa

Whitetail Crossing – Tomah

Whitetail Crossing – Wittenberg

Blue Wing Enterprises LLC

Ho-Chunk Lynwood Properties Sports and Expo

Ho-Chunk Transportation Authority

1.4 Health Care Facilities

The Ho-Chunk Nation Department of Health operates two accredited clinics: Ho-Chunk Health Care Center in Black River Falls, WI and the House of Wellness Clinic in Baraboo, WI. Each clinic provides medical, dental, optical, pharmacy and podiatry services to tribal members and Ho-Chunk Nation employees and families.

1.5 Governmental Branches

The Ho-Chunk Nation consists of the four (4) branches of government. These branches consist of Executive Branch, Legislative Branch, and Judicial Branch, and General Council.

The Executive Branch is made up of 12 Executive Departments that assist tribal members, employees and general public on services and information regarding the Tribe.

- Department of Administration
- Department of Business
- Department of Education
- Department of Health
- Department of Heritage Preservation
- Department of Housing
- Department of Justice
- Department of Labor
- Department of Natural Resources

- Department of Personnel
- Department of Social Services
- Department of Treasury

1.6 Ancillary Business

- Ho-Chunk Housing & Community Development
- First Nations Financial

2.0 STATEMENT OF WORK

The purpose and objective of this Request for Proposal (RFP) is to obtain competitive proposal packages from responsible, qualified proposers to serve as an independent consultant and advisor to the Ho-Chunk Nation (HCN) Legislature. The role will serve as an advisor to the Legislature to assist the Nation in meeting its investment goals and objectives.

The Ho-Chunk Nation intends to retain a qualified and committed professional firm or individual(s) experienced in Professional Investment Consulting Services. The Ho-Chunk Nation intends to integrate feedback from planning sessions, surveys and input.

3.0 SCOPE OF WORK

3.1 INTRODUCTION

The Ho-Chunk Nation is soliciting proposals to secure an Independent Investment Advisory Consultant. The primary focus of this RFP is to identify an Investment Advisor to work with the Legislature to complete the proposed Objectives in a timely fashion, utilizing a combination of structure and pricing that meets the Nation's financial goals.

The Ho-Chunk Nation intends to establish an agreement for the services of an independent financial advisor to serve as a consultant and advisor. The role of the independent investment advisor includes the following:

The Investment Advisory Consultant shall furnish to the HCN Legislature the following described objectives:

1. Evaluate the current portfolio structure and provide recommendations for optimal structure;
2. Assess roles and responsibilities of the Trust & Investment Committee, the various fund and investment managers, the Trustee, Custodian, Record-keeper, the Legislature and staff where applicable;
3. Offer guidance on the purpose, merit, roles and responsibilities of the Investment Officer job description;
4. Review existing Investment Policy Statements and make recommendations for improvement;

5. Analyze fee structure and present results;
6. Compare the portfolio's performance to the comparison universe;
7. Propose solutions to streamline the decision-making and recommendation to fund or invest process;
8. Recommend changes where needed to achieve the objectives established in the Investment policy;
9. Assist the Legislature with the enhancement of the bylaws;
10. Prepare options to consider with clearly defined strategic pathways;

3.2 Additional Items Required

1. Historic background of your firm.
2. Please describe your firm's investment advisory philosophy.
3. Location of the office from which the Ho-Chunk Nation's support is to be performed.
4. Key personnel - please include resumes and roles related to the financing.
5. Examples of independent investment advisory consultant work performed.
6. Client references, preferably three (3) tribal client references.
7. Provide all information in regards to current clientele and general services rendered.
8. Provide all information on any lawsuits, arbitration, mediation or judgments in regards to your organization; specifically provide all of the aforementioned information concerning any Indian tribe or tribal organization.
9. Brief description of proven track record relevant to the purpose of this RFP.
10. Description of experience with other Native American Tribes.
11. Knowledge and experience with Federal policies, regulations, and laws applicable to Native American Tribes.
12. Summary of philanthropic efforts specific to tribal communities.
13. Describe in detail your firm's fee schedule for various financial advisory services and costs.
14. Provide your firm's billing policy for all advisory services.

3.3 Information to be provided in the Proposal

The offeror's proposal shall address each of the items included in the statement of needs and the additional items listed below. The offeror's proposal shall include an agreement pursuant to which it will perform the services set forth herein

3.4 PROJECT SCHEDULE

All proposals must contain a timeline for the completion of the financing plan. It is recommended that the timeline be based on a weekly schedule with no specific dates (e.g. week one, week two) commencing upon contract approval. Any meetings with the HCN should also be reflected in the timeline. Meetings will be scheduled at a minimum of one (1) time per month or more if needed with the HCN Legislature for status updates on the progress of the design and

feedback by the team for process clarification. Although we anticipate at a minimum, a three-month timeframe, at the discretion of the Nation we are willing to consider a longer timeline. Your proposal should include your timeline for completing the activities listed in the Scope of Work.

4.0 TERMS AND CONDITIONS

4.1 Receipt and Handling

At time of receipt at the Ho-Chunk Nation's Procurement Division, all proposals will be stamped showing date and time of delivery. Late proposals or proposals received after the specified time and date will not be considered and will be rejected and returned to the vendor at vendor's expense, unopened.

Proposals must be submitted with One (1) Original and 3 copies.

SEALED PROPOSAL ENVELOPES ARE TO BE CLEARLY MARKED WITH THE PROPOSAL TITLE, PROPOSAL NUMBER, TIME AND DATE OF OPENING. Any proposals received after the due date and time (late proposals) will not be considered and will be returned unopened to the Proposer.

4.2 Evaluation of Proposal

The proposals submitted by proposers shall be evaluated solely in accordance with the criteria set forth in the RFP. Proposals shall be opened in private by the Evaluation Committee to avoid disclosure of contents to competing proposers

4.3 Proposal Guarantee

This proposal shall be firm for at least 120 days after the latest time specified for submission of proposals and thereafter unless written notice is received from the Proposer.

4.4 Substitutions

NO substitutions, additions, or cancellations are permitted unless all such requests are submitted in writing and approved by the Ho-Chunk Nation. Requests for substitutions will be reviewed by the Ho-Chunk Nation and approval may be given by the Ho-Chunk Nation at its sole discretion.

4.5 Discussion of Proposal

The Evaluation Committee may conduct discussions with any proposer who submits an acceptable or potentially acceptable proposal. Proposers shall be accorded fair and equal treatment with respect to any opportunity for discussion and revision of proposals. During the course of such discussions, the Evaluation Committee shall not disclose any information derived from one proposal to any other proposer.

4.6 Negotiations

The Ho-Chunk Nation reserves the right to negotiate specifications, terms, and conditions, which may be necessary or appropriate to the accomplishment of the purpose of this RFP. The Nation

may require the RFP and the proposer's proposal be incorporated in full or in part as Contract Documents. This implies that this RFP and all responses, supplemental information, and other submissions provided by the proposer during discussions or negotiations may be held by the Ho-Chunk Nation as contractually binding on the successful Proposer.

4.7 Notice of Unacceptable Proposals

When the Evaluation Committee determines a proposer's proposal to be unacceptable, such proposer shall not be afforded an additional opportunity to supplement its proposal.

4.8 Reserved Rights

The Ho-Chunk Nation reserves the right at any time and for any reason to cancel this Request for Proposal, to reject any or all proposals, or contract as the best interests of the Nation requirements. The Nation reserves the right to waive any immaterial defect in any proposal. **Unless otherwise specified by the proposer, the Nation has no less than on hundred and twenty (120) days to accept.** The Nation may seek clarification from a proposer at any time and failure to respond promptly is cause for rejection. The Nation may require submission of best and final offers.

4.9 Incurred Cost

The cost for developing the proposal is the sole responsibility of the proposer. Ho-Chunk Nation will not provide reimbursement for such costs.

4.10 Award

Award shall be made by the Ho-Chunk Nation to the most responsive and responsible proposer whose proposal is determined to be the most advantageous to the Nation, taking into consideration price and the evaluation criteria set forth herein below.

4.11 Criteria for Selection

The following criteria and point system shall be used by the evaluation team to determine the firm or individual(s) most qualified and best suited to perform the work.

1. Qualification and Experience (50 points)

Proposer's capability in all respects to perform fully the contract requirements. This includes the proposer's experience in providing requested services. Minimum qualifications include:

- a. The firm shall be independent of the Nation
- b. The firm shall be, where applicable, licensed to practice in Wisconsin and be in good standing.
- c. The firm shall have the experience necessary to provide the requested services.

2. Approach and Timing (20 points)

This refers to the suitability of the specific approach and the timing of the engagement, which are described in the Specifications section below.

3. References (10 points) The proposer shall describe its prior experience in the requested services including the names, addresses, telephone numbers and contact person of at least

3 prior organizations. Please note any clients that are tribal governments, enterprises, or corporations.

4. Cost (10 points)

This refers to the proposed price for the services listed in the RFP.

5. Compliance with RFP (10 points)

This refers to the adherence to all conditions and requirements of the RFP.

Total 100 points

4.12 This section was intentionally left blank.

4.13 Purchase Extension

This contract shall be offered for purchases to be made by other tribal and governmental units as authorized by the Government Joint Purchasing Act. All purchases and payments made under this authority shall be made directly by the governmental unit to the Proposer. The Ho-Chunk Nation shall not be responsible in any way for such purchase orders or payments. All terms and conditions of this contract shall apply to all orders placed by another governmental unit.

In addition, this contract may be offered to other divisions/departments of the Ho-Chunk Nation. All terms and conditions for the Ho-Chunk Nation will apply to all orders placed by other divisions/departments within the Ho-Chunk Nation.

4.14 Force Majeure Clause

All parties shall not be liable under the provisions of the contract for damages on account of strikes, lockouts, accidents, fires, inclement weather, delays of common carriers, acts of God, detrimental government actions, state of way, or any other causes beyond the control of the parties.

4.15 Taxes

The Ho-Chunk Nation is exempt from paying Wisconsin Use Tax, Wisconsin Retailers Occupation Tax, and Federal Excise Tax. (#39-1140880)

4.16 Payments

The Proposer shall furnish the Nation with an itemized invoice including all detailed support of any reimbursable expenses incurred.

4.17 Proposer Responsibilities

The selected Proposer will be required to assume responsibility for all services offered in this proposal. The Nation will consider the selected Proposer to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract.

Any contract resulting from the RFP may not be assigned, in whole or in part without written consent of the Nation. If the Proposer attempts to make such an assignment without the written consent of the Nation, the Proposer shall nevertheless remain legally responsible for all obligations under the Contract.

4.18 Interpretation or Correction of Request for Proposals

Proposers shall promptly notify the Procurement Agent of any ambiguity, inconsistency, or error, which they may discover upon examination of the Request for Proposals.

Interpretations, corrections, and changes to the Request for Proposals will be made by addendum. Interpretations, corrections, or changes made in any other manner will not be binding.

4.19 Compliance with Laws

The proposer hereto covenants and agrees to comply with all applicable federal, state, tribal, and local laws, codes, ordinances, rules and regulations. Failure to comply with the terms of this provision shall constitute a breach of contract and permit the Ho-Chunk Nation to terminate this (Request for Sealed Proposal/Proposal) in accordance with the termination provisions stated herein.

4.20 Recourse for Unsatisfactory Materials

Payment shall be contingent upon the Ho-Chunk Nation inspection or satisfaction with completed work. Any defective work or materials, non-conformance to specifications, damaged materials, or unsatisfactory installation shall be corrected to the Ho-Chunk Nation's satisfaction by the successful proposer at no additional charge.

4.21 Termination

Failure to comply with the terms and conditions as herein stated shall be cause for cancellation of the contract. The Ho-Chunk Nation will give written notice of unsatisfactory performance and the Proposer will be allowed fourteen (14) days to take corrective action and accomplish satisfactory control. If at the end of the fourteen days, the Ho-Chunk Nation deems the Proposer's performance still unsatisfactory, the contract shall be canceled. The exercise of its right of cancellations shall not limit the Ho-Chunk Nation's right to seek any other remedies allowed by law.

The successful proposer will agree that the resulting contract is made subject to available budgetary appropriations and shall not create any obligation on behalf of the Nation in excess of such appropriations. In the event that no funds or insufficient funds are appropriated and budgeted, this Contract shall terminate without penalty or expense to the Nation fourteen (14) days after written notification of termination from the Nation.

4.22 Rejection of Proposal, Waiver or Irregularities

Ho-Chunk Nation reserves the right to reject any or all proposals, to waive irregularities, and to accept that proposal which is considered to be in the best interest of the Nation. Any such decision shall be considered final.

4.23 Milestones

Milestones if outlined, will be considered in making the award and the proposers shall state, in the spaces provided expected milestones. Failure to meet said milestones without prior consent of the Procurement Manager will be considered breach of faith.

4.24 Workmanship

Items shall be manufactured according to the highest traditions of the industry and shall meet all commercial standards of quality. The Nation shall be the sole judge of acceptable products. Unacceptable products will be rejected and suitable price adjustments made.

4.25 Insurance

General The successful proposer shall maintain for the duration of the contract and any extensions thereof, at proposer's expense, insurance that includes "Occurrence" basis wording and is issued by a company or companies qualified to do business in the State of Wisconsin that are acceptable to the Nation, which generally requires that the company(ies) be assigned a Best's Rating of A or higher with a Best's financial size category of Class XIV or higher, in the following types and amounts:

- a) Commercial General Liability in a broad form, to include, but not limited to, coverage for the following where exposure exists: Bodily Injury and Property Damage, Premises/Operations, Independent Proposers, Products/Completed Operations, Personal Injury and Contractual Liability; limits of liability not less than:
 - a. \$1,000,000 per occurrence and \$2,000,000 in aggregate;
- b) Business Auto Liability to include, but not be limited to, coverage for the following where exposure exists: Owned Vehicles, Hired and Non-Owned Vehicles and Employee Non-Ownership; limits of liability not less than:
 - a. \$1,000,000 per occurrence combined single limit for: Bodily Injury Liability and Property Damage Liability;
- c) Workers' Compensation Insurance to cover all employees and meet statutory limits in compliance with applicable state and federal laws. The coverage must also include Employer's Liability with minimum limits of \$100,000 for each incident.
- d) Professional Liability Insurance with \$1,000,000 per occurrence and \$1,000,000 in aggregate.

4.26 Evidence of Insurance

The successful proposer agrees that with respect to the above-required insurance that:

- (a) The Ho-Chunk Nation shall be provided with Certificates of Insurance evidencing the above required insurance, prior to commencement of the contract and thereafter with certificates evidencing renewals or replacements of said policies of insurance at least fifteen (15) days prior to the expiration or cancellation of any such policies;
- (b) The contractual liability arising out of the contract shall be acknowledged on the Certificate of Insurance by the insurance company;
- (c) The Ho-Chunk Nation shall be provided with thirty (30) days prior notice, in writing, of Notice of Cancellation or material change and said notification requirement shall be stated on the Certificate of Insurance;
- (d) Subcontractors, if any, comply with the same insurance requirements. In addition to being named as an additional insured on the Certificate of Insurance, each liability policy shall contain an endorsement naming the Ho-Chunk Nation as and additional insured. A Copy of the endorsement shall be provided to Ho-Chunk Nation along with the Certificate of Insurance; and

(e) have Ho-Chunk Nation named as an additional insured and the address for certificate holder must read exactly as:

Ho-Chunk Nation, a sovereign nation

W9814 Airport Road

Black River Falls, WI 54615

(f) Insurance Notices and Certificates of Insurance shall be provided to:

Ho-Chunk Nation Treasury, Procurement Department

W9814 Airport Road

Black River Falls, WI 54615

The Nation shall be provided with Certificates of Insurance evidencing the above required insurance prior to the commencement of this Agreement and thereafter with the certificated evidencing renewals or changes to said policies of insurance at least fifteen (15) days prior to the expiration or cancellation of any such policies.

The Nation shall be named as additional insured on all liability policies, and the parties acknowledge that any insurance maintained by the Nation shall apply in excess of, and not contribute to, insurance provided by successful proposer.

The contractual liability arising out of the Agreement shall be acknowledged on the Certificate of Insurance by the insurance company. The Nation shall be provided with thirty (30) days prior notice, in writing, of Notice of Cancellation or material change, and said notification requirements shall be stated on the Certificate of Insurance.

Acceptance or approval of insurance shall in no way modify or change the indemnity or hold harmless clauses in this agreement, which shall continue in full force and effect.

4.27 Indemnification

The Proposer shall indemnify and hold the Nation harmless from any claims, actions, and liabilities arising from any breach of the contract, or otherwise arising in connection with the Proposer's performance of the contract, unless and if only caused by the wrongful act or gross negligence of an employee or other agent of the Nation. If any employee of the Proposer is sued based on any cause of action; the Nation shall have the right to defend such actions on behalf of it. Proposer agrees to defend itself and fully cooperate with the defense of the Nation. Proposer shall pay for the cost of Nation defending a lawsuit as well as any liability incurred by the Nation's pursuant to this section. In addition, the Proposer agrees to indemnify, save harmless and defend the Ho-Chunk Nation, their agents, servants, and employees, and each of them against and hold them harmless from any and all lawsuits, claims, demands, liabilities, losses, and expenses, including court costs and attorney's fees, for or on account of any injury to any person, any death at any time resulting from such injury, or any damage to property, which may arise or which may be alleged to have arisen out of or in connection with the work covered by this contract. The foregoing indemnity shall apply except if such injury, death or damage is caused directly by the willful and wanton conduct of the Ho-Chunk Nation, their agents, servants, or employees or any other person indemnified hereunder.

4.28 Choice of Law and Venue

The Proposer agrees that this proposal has been executed and delivered on sovereign Ho-Chunk Nation lands and that their relationship and any and all disputes, controversies or claims arising under this proposal or any resulting contract shall be governed by the laws of the Ho-Chunk Nation, without regard to conflicts of laws principles. The Proposer further agrees that the exclusive venue for all such disputes shall be the Ho-Chunk Nation Tribal Court, Black River Falls, Wisconsin, and the Proposer hereby consent to the personal jurisdiction thereof.

4.29 Relationship of Parties

The parties to any agreement agree that the successful Proposer is an independent business/person or corporation and that the relationship created by any agreement is that of an Independent Contractor. No agent, employee or servant of the Proposer shall be deemed to be an employee, agent, or servant of the Nation. The Proposer is not authorized to bind the Nation to any agreement or act on the behalf of the Nation in anyway; other than perform the scope of services or supply of goods and shall not represent to any person or otherwise purport to be so authorized.

4.30 No Employment Rights or Benefits

The Proposer is not an employee of the Ho-Chunk Nation and is not entitled to the benefits provided by the Ho-Chunk Nation to its employees, including, but not limited to commendation, insurance, unemployment insurance, group insurance and pension plan. No right, preference or interest conferred upon employees of the Nation by the Employment Relations Act of the Nation, or any source, whatsoever, shall apply to the Proposer. The Proposer shall not be entitled to any such right, preference, or interest and shall have no right to utilize any grievance procedure or any other procedural right provided thereby. The Proposer shall be entitled to only such rights, preferences, or interests as may be specifically conferred in this Agreement or by the laws of the Ho-Chunk Nation which are generally applicable to independent service contractors with the Nation.

4.31 Proposer Tax and Recordkeeping Responsibilities

Both the Ho-Chunk Nation and the Proposer will recognize and agree that the Proposer is and shall be treated as an Independent Contractor for all purposes under the laws of the Ho-Chunk Nation and any and all other applicable tax laws.

4.32 Compliance with Drug Policy

Proposer shall abide by the Nation's Drug and Controlled Substance Policies and Procedures and agrees to submit to testing pursuant to the Drug Policies and Procedures. The contract shall immediately terminate upon positive test result of the Proposer for a drug or controlled substance in accordance with the Drug Policies and Procedures. No Proposer shall be eligible to enter into a contract with the Nation during any period where Proposer is ineligible by the Nation in accordance with Drug Policies and Procedures.

4.33 Vendor Licensing

If the successful Proposer is subject to comply with the Nation vendor licensing requirements and fails to fulfill such requirements, the contract will be voidable by the Nation.

4.34 Non-Waiver of Sovereign Immunity

Nothing contained in contract or any amendments hereinafter shall in any manner be construed or deemed to be a waiver of the sovereign immunity of the Nation, except that the Nation agrees it shall make the payment for goods and services provided under contract in accordance with its terms upon satisfactory performances by the Proposer of its obligations hereunder. This limited waiver pertains to payment of goods and services delivered in strict accordance with the contract and to no other claim or cause of action whatsoever, whether or not arising under or in any way connected with the contract. This limited waiver is personal to the successful Proposer and is non-assignable. Commencement of any action by the Nation against the successful Proposer shall not constitute consent to any countersuit by the successful Proposer exceeding the scope of this limited waiver. Nothing in this section shall give the successful Proposer recourse to collect any assets held in trust for individual members of the Nation, including assets credited to the trust accounts for minors or legally incompetent persons. Proposer will agree that if they receive a judgment against the Nation for goods or services rendered, they will not be able to collect from the above indicated assets.

4.35 Non-Disclosure

The Proposer within the scope of work may receive confidential information, either in written form or by observation and agrees that any such information or access shall be kept confidential and shall not disclose or reveal it to any person other than to its representatives who are involved in the project. Proposers and their representatives agree to maintain confidential information as confidential and not to disclose or reveal it to any other person not association with the project.

4.36 Successors and Assignments

The benefits and obligations of the contract shall transfer and be binding upon the parties and their respective successors and permitted assigns, provided that neither party may assign or transfer their interest in the contract without prior written approval of the other party, which shall not be reasonably withheld.

4.37 Mandatory Pages

All mandatory pages must be included and must be signed by a person authorized to legally bind the company. ***FAILURE TO INCLUDE THE MANDATORY PAGES WILL RESULT IN THE REJECTION OF YOUR SUBMISSION.***

4.38 Fair Employment Practices

All proposals shall be subject to the provisions of Ho-Chunk Nation Statutes relating to prohibition of discrimination in employment. This provision shall be applicable and incorporated as part of any contract or bid award.

4.39 Anti-Kickback Clause

The Contractor hereby agrees to adhere to the mandate dictated by the Copeland “Anti-Kickback” Act which provides that each Contractor or sub grantee shall be prohibited from inducing, by any mean, any person employed in the completion of work, to give up any part of the compensation to which he is otherwise entitled.

4.40 Civil Rights Compliance

The Proposer agrees to abide by the requirements or the following as applicable: Title VI and Title VII of the Civil Rights Act of 1964, as amended by the Equal Opportunity Act of 1972, Federal Executive Order 11246, the Federal Rehabilitation Act of 1973, as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Act of 1975, and Proposer agrees to abide by the requirements of the Americans with Disabilities Act of 1990. Proposer agrees not to discriminate in its employment practices, and will render services under the contract and any contract without regard to race, color, religion, sex, national origin, veteran status, political affiliation, or disabilities. Any act of discrimination committed by the Proposer, or failure to comply with these statutory obligations when applicable shall be grounds for termination of the contract.

4.41 Debarment and Suspension

The Ho-Chunk Nation reserves the right to cancel this contract with any federally or tribal debarred proposer or a proposer that is presently identified on the list of parties excluded from federal and tribal procurement and non-procurement contracts. The Ho-Chunk Nation also maintains its own debarment and suspension list, and reserves the right to cancel this contract with any proposer on the Nation's own debarment lists.

4.42 Security

The proposer represents and warrants to the Ho-Chunk Nation that neither it nor any of its principles, shareholders, members, partners, or affiliates, as applicable, is a person or an entity named as a Specially Designated National and Blocked Person (as defined in Federal Presidential Executive Order 13224 and that is not acting, directly or indirectly, for or on behalf of a Specially Designated National and Blocked Person. The proposer further represents and warrants to the Ho-Chunk Nation that the proposer and its principles, shareholders, members, partners, or affiliates, as applicable, are not directly or indirectly, engaged in, and are not facilitating, the transactions contemplated by this Agreement on behalf of any person or entity named as Specially Designated National and Blocked Person. The proposer hereby agrees to defend, indemnify, and hold harmless the Ho-Chunk Nation from and against any and all claims, damages, losses, risks, liabilities, and expenses arising from or related to any breach of the foregoing representation.

4.43 RFP Addendums

Ho-Chunk Nation reserves the right to addend or amend the RFP prior to the date of proposal submission. Addenda will be posted to the Internet at <https://ho-chunknation.com/procurement-opportunities/>

4.44 Proposal Withdrawal

Prior to the proposal due date, a submitted proposal may be withdrawn by the proposer by submitting a written request to the email address named herein. A person authorized to sign for the proposer must sign all such requests.

4.45 Contract

Ho-Chunk Nation reserves the right to add provisions to the contract to be consistent with the successful proposer's offer and to negotiate with the successful proposer other additions to, deletions from, and/or changes in the language in the audit contract. Provided, however, that no such addition, deletion or change in the audit contract language would, in the sole discretion of Ho-Chunk Nation and its legal counsel, affect the evaluation criteria set forth herein, or give the successful proposer a competitive advantage. Any contract with the Ho-Chunk Nation will provide for Ho-Chunk Nation governing law and jurisdiction. This contract will not waive the sovereign immunity of the Ho-Chunk Nation, and will require compliance with all Ho-Chunk Nation laws, ordinances, regulations and procedures. Prior to award, the winning proposer may be required to enter into discussions with Ho-Chunk Nation to resolve any differences before an award is made. These discussions are to be finalized and all exceptions resolved within one (1) week of notification. If not, this could lead to rejection of the proposer's proposal and to discussions being initiated with the subsequent highest scoring proposer.

4.46 Default

In case of failure to provide services in accordance with the terms and conditions, Ho-Chunk Nation, after due oral or written notice, may procure the services from other sources and hold the proposer responsible for any resulting additional cost. This remedy shall be in addition to any other remedies that Ho-Chunk Nation may have.

4. 47 Restrictions on Communications with Staff

From the issue date of this RFP until an proposer is selected and the selection is announced, proposers are not allowed to communicate for any reason with any Ho-Chunk Nation staff or officials except through email at steve.sallaway2@ho-chunk.com named wherein or as provided by existing work agreement(s). For violation of this provision, Ho-Chunk Nation shall reserve the right to reject the proposal of the offending proposer. All questions concerning this RFP must be submitted by e-mail to the steve.sallaway2@ho-chunk.com and shall reference the numbered item for which the question is asked.

4.48 Conflict of Interest

If an proposer has any existing client relationship that involves the Ho-Chunk Nation that would prevent either from being objective, the proposer must disclose such relationship. The proposer will disclose any professional or personal financial interest which could be a possible conflict of interest in representing the Nation. The proposer shall further disclose any arrangements to derive additional compensation from various investment products, including financial contracts.

4.49 Ethics in Public Contracts

By submitting their proposals, all proposers certify that their proposals are made without collusion or fraud and that they have not offered or received any inducements from any other proposer or sub proposer in connection with their proposals, and that they have not offered or provided any Ho-Chunk Nation employee or elected official having official responsibility for this procurement transaction any payment, loan, subscription, advance, deposit of money, services or anything of more than nominal value.

4.50 Confidentiality Requirements and Public Information Disclosure

The staff members that are assigned by the successful proposer to this project may be required to sign a non-disclosure statement.

4.51 RFP Cancellations

Ho-Chunk Nation may cancel the RFP or reject proposals at any time prior to an award, and is not required to furnish a statement of the reason why a particular proposal was not deemed to have the best value to the Ho-Chunk Nation. The Ho-Chunk Nation shall not be liable for any loss incurred by the proposers throughout this process.

4.52 Contract Documents

Sample contract documents are provided as an attachment to this solicitation. These documents will be provided to the successful Proposer upon award. Any unauthorized alteration of these documents will automatically void the contract. No agreement or understanding to modify the contract shall be binding upon the Nation unless in writing and approved by the Nation.

5.0 DESCRIPTION OF REQUIREMENTS

5.1 Terminology

Ho-Chunk Nation has established certain requirements with respect to proposals to be submitted by proposers. Whenever the terms “shall”, “must”, “will” or “is required” are used in the RFP, the specification being referred to is a mandatory requirement for this RFP. Failure to meet any mandatory requirement will cause rejection of proposer’s proposal.

Whenever the terms “can”, “may” or “should” are used in the RFP, the specification being referred to is a desirable, thus failure to provide any items so termed will not be cause for rejection but will probably cause a reduction in the score awarded.

5.2 Items to be Provided in Proposal

The proposer’s proposal shall address each of the items included in the scope of work and the additional items listed below. The proposer’s proposal shall include an agreement pursuant to which it will perform the services set forth herein.

5.3 Organization

The proposer must describe its organization, history, size and structure. Below is a list of categories that must be addressed within your RFP response.

- a) The proposer shall provide its legal name, official address, and the primary RFP contact’s name, phone number, email address and fax number.
- b) The proposer must provide a brief history of its firm to include size and location.
- c) The proposer shall describe its firm’s ownership structure.
- d) The proposer must describe any significant developments affecting their firm in the last five years, such as changes in ownership, restructuring, personnel changes,

reorganization, or philosophy. Please note any planned or anticipated changes in the ownership or management of your firm during the next two years.

- e) The proposer shall identify their insurance coverage (error and omissions, workers' compensation, etc.)
- f) Over the past five years, has your organization or any of its affiliates or parent, or any office or principal been involved in any business litigation or other legal proceedings?
- g) Describe in detail any potential conflict of interest your firm, affiliates or parent may have in management of this account and your method of dealing with conflicts of interest.

5.4 Proposer Experience

The proposer shall describe its prior experience in the requested services including the names, addresses, contact person and telephone numbers of at least 3 prior organizations in which requested services were required.

5.5 Staff Qualifications

The proposer shall describe the qualifications of staff to be assigned to this project. This section must include the following:

- a) Names, titles and biographies of key personnel who would be directly responsible for performing the services. Include education and experience.
- b) Identify expected level of staffing and supervision.
- c) Detail their roles and the scope of their involvement for this assignment.

5.6 Performance

The proposal shall set forth a work plan including an explanation of the methodology to be followed. The proposer will be required to provide the following information on their approach:

- a) Proposed segmentation of the engagement.
- b) Level of staff and number of hours to be assigned to each proposed segment of the engagement.
- c) Identify your approach (for example, analytical procedures, methodology for documenting, electronic processing used in your firm's process).
- d) Expected completion dates for this project.
- e) Expected level of staff assistance to the proposer's firm.
- f) Types of reports to be issued.
- g) Information that is expected to be provided by the plan to the proposer.
- h) Workspace requirements of the proposer.

5.7 Fee Structure

Pricing shall be submitted in a separate sealed envelope and marked “Pricing”. Price offered shall be firm for at least 120 days after the latest time specified for submission of proposals and thereafter until written notice is received from proposer.

The proposer shall propose a detailed total price for the services rendered. The pricing documents shall include the following:

- a) Clearly indicate how the price was determined.
- b) Estimated number of hours by staff level, including hourly rates and total cost by staff level.
- c) Any out of pocket expenses should be included. Include a not to exceed estimate of travel and other associated reimbursements.
- d) Please describe any discounts if given.
- e) Describe any additional costs that would be added to the pricing, if applicable.

5.8 Directions for Submission

Qualified individuals or firms are to submit **One (1) original and Three (3) copies** of the completed proposal and supported documentation, along with **pricing proposal in a separate envelope marked “cost”** to:

Steve Sallaway
Procurement Agent
Ho-Chunk Nation Department of Treasury
Procurement Division
P.O. Box 640
W9814 Airport Road
Black River Falls, WI 54615

All data and documentation submitted as part of this RFP shall become the property of the Ho-Chunk Nation, Wisconsin.

All proposals must be received by **September 21, 2022 by 2:00 p.m. (CST)**. Absolutely no proposal will be accepted after the time specified. Late proposals shall be rejected and returned unopened to the sender. The Ho-Chunk Nation does not prescribe the method by which proposals are to be submitted; therefore, it cannot be held responsible for any delay, regardless of reason, in the submission of proposals.

PROPOSAL ENVELOPES ARE TO BE CLEARLY MARKED WITH THE RFP TITLE, TIME & DATE OF OPENING.

5.9 Submittal

Submit one (1) proposal; multiple proposals from a single vendor will not be accepted. Proposer is to submit One (1) original and Three (3) copies of the proposal to the Ho-Chunk Nation.

Electronic Submissions will not be accepted.

5.10 Pricing

Pricing shall be submitted in a separate sealed envelope and marked “Pricing”. Price offered shall be firm for at least 120 days after the latest time specified for submission of proposals and thereafter until written notice is received from proposer.

5.11 Mandatory Pages

All Mandatory Pages contained within this package must be included and the Mandatory Proposal Letter must be signed by a person authorized to legally bind the company.

FAILURE TO INCLUDE THE SIGNED PROPOSAL LETTER AND MANDATORY PAGES WILL RESULT IN THE REJECTION OF YOUR RESPONSE.

END OF DOCUMENT

ATTACHMENTS

Revised 9-26-2018

HO-CHUNK NATION GENERAL TERMS AND CONDITIONS

Independent Contractor (IRSW-9)

This Agreement is entered into by and between the HO-CHUNK NATION, a federally recognized Indian Tribe located at W9814 A Irpon Road, P.O. Box 667, Block River Falls, Wisconsin 54611, acting by and through its **Ho-Chunk Dept** (hereinafter "Nation"), and **Your name goes here** (hereinafter "Service Provider"), collectively as the Parties.

[Your odds: go > here](#)

In consideration of the mutual promises herein and for other good and lawful considerations, the parties have agreed as follows:

1.) **IRSW-9: C. AAO/OR IURC/IA-IE ITEMS.** The Nation hereby covenants with the Service Provider to perform the project, and/or deliver purchased item(s) described on the attached documentation hereto incorporated herein. The documentation may take the form of a Statement of Work created by the Nation, or a bid or RF- or an invoice from Service Provider describing the quantity, description of goods to be provided.

2.) **SF-KVICF PROV UHR OTHERS.** The Service Provider shall:

- Perform and carry out the project in a good and workmanlike manner, in accordance with the best of Service Provider's abilities;
- Keep accurate records of the project to carry it out in an appropriate and prudent manner, and maintain records with the Nation; and
- Conduct the project and perform services in a professional manner and in accordance with the duties of the Nation's Representative, identified on the attached documentation; and
- Order purchase item(s) in accordance with the specifications and directions of the Nation's Representative; and
- The Service Provider warrants that it is not an employee of the Nation, and will not be an employee of the Nation during the term of this Agreement; and
- Represent and warrant that it is not an employee of the Nation, and will not be an employee of the Nation during the term of this Agreement; and
- The Service Provider shall be liable for any and all damages, including reasonable attorneys' fees, incurred by the Nation as a result of the Service Provider's negligence, willful or wanton misconduct, or breach of contract.

3.) **ASSIGNMENT.** The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation.

4.) **ASSIGNMENT.** This Agreement shall be done, performed, and completed by the Service Provider in lieu of any other agreement, and shall be the entire agreement between the Nation and the Service Provider. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation.

5.) **INDEPENDENT CONTRACTOR.** The Service Provider shall be an independent contractor, and shall not be an employee of the Nation. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation.

6.) **EMPLOYMENT.** The Service Provider shall not be an employee of the Ho-Chunk Nation and shall not be entitled to the benefits provided by the Ho-Chunk Nation. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation.

7.) **SERVICE PROVIDER (TAX AND RETIREMENT).** The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation.

8.) **INDEMNIFICATION.** The Service Provider shall indemnify and hold the Nation harmless from any and all claims, damages, and liabilities, including reasonable attorneys' fees, incurred by the Nation as a result of the Service Provider's negligence, willful or wanton misconduct, or breach of contract. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation. The Service Provider shall be responsible for performance of the project and/or delivery of the purchased item(s) on the terms and conditions set forth in the attached documentation.

9) COM-PLIANCE WITH OHUCJ LICY Service Providers shall be bound by the Nation's Drug and Controlled Substance Policies and Procedures; and agrees to submit to testing pursuant to the Drug Policies and Procedures. This Agreement shall immediately terminate upon possession of a drug or controlled substance in accordance with the Drug Policies and Procedures. No Service Provider shall be eligible to enter into a Service Agreement with the Nation during any period where Service Provider is ineligible to be employed by the Nation in accordance with the Drug Policies and Procedures.

10) VENDOR COMPLIANCE. If a Service Provider is subject to comply with Nation Vendor Policies and Procedures and must fulfill such requirements, the Agreement is voidable by the Nation.

11) CHOICE OF LAW. This Agreement shall be construed under the laws of the Nation. The undersigned a Tribal Court of the Ho-Chunk Nation in (United States, Wisconsin shall be the exclusive jurisdiction over any claim or controversy arising hereunder. The undersigned hereby consents to the subject matter and personal jurisdiction of said Court of the Ho-Chunk Nation in any dispute arising pursuant to this Agreement and any and all subsequent additions, amendments, addenda or any other amendment to this Agreement, without regard to conflict of laws.

12) NON WAIVER OF SOVEREIGN IMMUNITY. Nothing contained in this Agreement or any amendments hereafter shall in any manner be construed or deemed to be a waiver of the sovereign immunity of the Nation, except that the Nation shall not be liable for the negligent or willful acts of its employees or agents acting in the course of their duties. This limited waiver pertains to personal liability for services and products provided to the Nation by the Service Provider. This limited waiver shall not extend to any claims for damages, including but not limited to, reasonable attorneys' fees, costs of litigation, and other expenses incurred by the Nation in connection with this Agreement. This limited waiver is personal to the Service Provider and is not assignable. Commencement of an action by the Nation against the Service Provider shall not constitute an admission of liability by the Service Provider. Nothing in this section shall be construed to limit the Nation's right to collect any assets held in trust for the benefit of the Nation, including assets of the Service Provider or the trust accounts for minors or legally incompetent persons. Service Provider agrees to allow the Nation to access and review all financial records of the Service Provider for the purpose of auditing and verifying the accuracy of the Nation's records.

13) NON-DISCLOSURE. Service Provider, its employees, agents, and subcontractors shall not disclose to any third party, in any manner, any confidential or proprietary information of the Nation, including but not limited to, trade secrets, inventions, processes, methods, designs, software, and other confidential information, without the prior written consent of the Nation. This obligation shall survive the termination or expiration of this Agreement.

14) ASSIGNMENT. The Nation shall have the right to inspect and audit the books and records of the Service Provider at any time and from time to time to verify the accuracy of the Nation's records. The Service Provider shall provide access to such records and information to the Nation upon request.

15) SUCCESSORS AND ASSIGNEES. This Agreement shall bind the Service Provider and its successors, heirs, assigns, and legal representatives, whether or not named herein, and shall bind the Nation and its successors, heirs, assigns, and legal representatives, whether or not named herein.

16) FORCE MAJEURE. This Agreement shall not be subject to termination or suspension due to force majeure, including but not limited to, acts of God, war, terrorism, or other events beyond the control of the parties.

15) TIME IS OF ESSENCE. All times stated in this Agreement or in all related document(s) are of the essence in this Agreement.

17) ENTIRE AGREEMENT. This Agreement shall constitute the entire agreement between the Nation and the Service Provider, and shall supersede all other agreements, understandings, and negotiations between the parties, whether written or oral.

18) WARRANTY OF TITLE. The Nation warrants that it has the full right, title, and interest in and to the subject matter of this Agreement, and that it has the authority to execute and deliver this Agreement on behalf of the Nation.

19) ASSIGNMENT. This Agreement shall be binding upon the Service Provider and its assigns, and shall be binding upon the Nation and its assigns. The Service Provider shall not assign, transfer, or otherwise dispose of its obligations under this Agreement without the prior written consent of the Nation. The Nation shall not be bound by any assignment or transfer of the Service Provider's obligations under this Agreement without the prior written consent of the Nation.

20) ORIGINAL AND COPIES. This Agreement shall be binding upon the Service Provider and the Nation, and shall be binding upon the Service Provider and the Nation in the event of a dispute over the interpretation or enforcement of this Agreement.

11) ATTENTION.

IN WITNESS WHEREOF, the Parties execute this Agreement at Ho-Chunk Nation Executive Building in Jackson County, Wisconsin.

HO-CHUNK NATION, SER VICE PROVIDER.
By: _____ By: _____
President / Vice President ASIANOW
))))))

Request for Taxpayer Identification Number (W-9) and Certification

Name- (as shown on your income tax return):	
Business name/disregarded entity name, if different from above:	
Check appropriate box for federal tax classification: Individual/sole proprietor <input type="radio"/> Corporation <input type="radio"/> Partnership <input type="radio"/> Limited liability company <input type="radio"/>	
Taxpayer Identification Number (TIN): Enter your TIN in the appropriate box. The TIN provided must match the owner's on the (Name*) (to avoid backup withholding). For individuals, this is your social security number (SSN). For other entities, it is your employer identification number (EIN).	Social Security Number: Employer Identification Number:
Certification: Under penalties of perjury, I certify that: 1. The TIN 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 and dividends, or (c) the most recently filed tax return on which I am subject to backup withholding, and 3. I am a U.S. citizen or other U.S. person (defined below), and ■ The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.	
<i>Canadian Instructions.</i> 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 a U.S. interest dividend on your tax return.	
Further, I affirm that I/we are NOT an employee(s) of the contractor based on the following facts:	
1. We offer similar services to other clients besides the Contractor Nation by means of public advertisement. 2. We currently have other partnerships besides the Contractor Nation for whom we perform similar services. 3. We have a workplace, not provided by the Contractor Nation, and incur business expenses in the operation thereof. ■ We employ other people in providing services to the Contractor Nation and file employee tax returns using the Employer Identification Number provided above. 5. No one in the Contractor Nation has a formal supervisor or is authorized to subject me/us to directives, discipline or other forms of control suitable for employees. 6. We bill the Contractor Nation for services based on my/our own records of time and/or we receive compensation according to a payment schedule set forth in advance as part of the contract with the Contractor Nation. 7. We utilize my/our own equipment in providing services to the Contractor Nation.	
Signature:	Print Name:
	Date:

END OF ATTACHMENTS