PART IA

Technical Proposal

To: STATE OF NEVADA
Office of Administration
Purchasing Division

Part IA – Technical Proposal	
RFP Title:	Unclaimed Property Auditing Services
RFP:	3527
Vendor Name:	Treasury Services Group, LLC
Address:	215 S. George St York, PA 17401
Proposal Opening Date:	March 27, 2018
Proposal Opening Time:	2:00 PM

215 S. George St. • York, PA 17401 • Tel: 402.682.7260 • Fax: 402.939.0200
www.treasuryservicesgroup.com

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Section III

VENDOR INFORMATION SHEET FOR RFP 3527

V1	Company Name	Treasury Services Group, LLC

V2	Street Address	215 S. George Street

V3	City, State, ZIP	York, PA 17401

V4	Telephone Number		
	Area Code: 402	Number: 682-7260	Extension:

V5	Facsimile Number		
	Area Code: 402	Number: 939-0200	Extension:

V6	Toll Free Number		
	Area Code:	Number:	Extension:

V7	***Contact Person for Questions / Contract Negotiations, including address if different than above***
	Name: Shane Osborn
	Title: CEO
	Address: 215 S. George St. York, PA 17041
	Email Address: sosborn@treasuryservicesgroup.com

V8	Telephone Number for Contact Person		
	Area Code: 402	Number: 682-7260	Extension: 700

V9	Facsimile Number for Contact Person		
	Area Code: 402	Number: 939-0200	Extension:

V10	***Name of Individual Authorized to Bind the Organization***	
	Name: Shane Osborn	Title: CEO

V11	**Signature** ***(Individual must be legally authorized to bind the vendor per NRS 333.337)***	
	Signature:	Date: 3-17-18

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Section IV

State Documents

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ATTACHMENT A – CONFIDENTIALITY AND CERTIFICATION OF INDEMNIFICATION

Submitted proposals, which are marked "confidential" in their entirety, or those in which a significant portion of the submitted proposal is marked "confidential" **shall not** be accepted by the State of Nevada. Pursuant to NRS 333.333, only specific parts of the proposal may be labeled a "trade secret" as defined in NRS 600A.030(5). All proposals are confidential until the contract is awarded; at which time, both successful and unsuccessful vendors' technical and cost proposals become public information.

In accordance with the submittal instructions of this RFP, vendors are requested to submit confidential information in separate files marked "**Part IB Confidential Technical**" and "**Part III Confidential Financial**".

The State shall not be responsible for any information contained within the proposal. If vendors do not comply with the labeling and packing requirements, proposals shall be released as submitted. In the event a governing board acts as the final authority, there may be public discussion regarding the submitted proposals that shall be in an open meeting format, the proposals shall remain confidential.

By signing below, I understand it is my responsibility as the vendor to act in protection of the labeled information and agree to defend and indemnify the State of Nevada for honoring such designation. I duly realize failure to so act shall constitute a complete waiver and all submitted information shall become public information; additionally, failure to label any information that is released by the State shall constitute a complete waiver of any and all claims for damages caused by the release of the information.

This proposal contains Confidential Information, Trade Secrets and/or Proprietary information.

Please initial the appropriate response in the boxes below and provide the justification for confidential status.

Part IB – Confidential Technical Information			
YES		NO	X - SO
Justification for Confidential Status			
N/A			

Part III – Confidential Financial Information			
YES	X - SO	NO	
Justification for Confidential Status			
NRS 333.020 -- Confidential business information relating to the amount of income, profits, losses or expenditures			

Treasury Services Group, LLC

Company Name

Signature

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Shane Osborn/CEO

Print Name

3/17/18

Date

ATTACHMENT B – VENDOR CERTIFICATIONS

Vendor agrees and shall comply with the following:

(1) Any and all prices that may be charged under the terms of the contract do not and shall not violate any existing federal, State or municipal laws or regulations concerning discrimination and/or price fixing. The vendor agrees to indemnify, exonerate and hold the State harmless from liability for any such violation now and throughout the term of the contract.

(2) All proposed capabilities can be demonstrated by the vendor.

(3) The price(s) and amount of this proposal have been arrived at independently and without consultation, communication, agreement or disclosure with or to any other contractor, vendor or potential vendor.

(4) All proposal terms, including prices, shall remain in effect for a minimum of 180 days after the proposal due date. In the case of the awarded vendor, all proposal terms, including prices, shall remain in effect throughout the contract negotiation process.

(5) No attempt has been made at any time to induce any firm or person to refrain from proposing or to submit a proposal higher than this proposal, or to submit any intentionally high or noncompetitive proposal. All proposals shall be made in good faith and without collusion.

(6) All conditions and provisions of this RFP are deemed to be accepted by the vendor and incorporated by reference in the proposal, except such conditions and provisions that the vendor expressly excludes in the proposal. Any exclusion shall be in writing and included in the proposal at the time of submission.

(7) Each vendor shall disclose any existing or potential conflict of interest relative to the performance of the contractual services resulting from this RFP. Any such relationship that might be perceived or represented as a conflict shall be disclosed. By submitting a proposal in response to this RFP, vendors affirm that they have not given, nor intend to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant or any employee or representative of same, in connection with this procurement. Any attempt to intentionally or unintentionally conceal or obfuscate a conflict of interest shall automatically result in the disqualification of a vendor's proposal. An award shall not be made where a conflict of interest exists. The State shall determine whether a conflict of interest exists and whether it may reflect negatively on the State's selection of a vendor. The State reserves the right to disqualify any vendor on the grounds of actual or apparent conflict of interest.

(8) All employees assigned to the project are authorized to work in this country.

(9) The company has a written equal opportunity policy that does not discriminate in employment practices with regard to race, color, national origin, physical condition, creed, religion, age, sex, marital status, sexual orientation, developmental disability or handicap.

(10) The company has a written policy regarding compliance for maintaining a drug-free workplace.

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(11) Vendor understands and acknowledges that the representations within their proposal are material and important and shall be relied on by the State in evaluation of the proposal. Any vendor misrepresentations shall be treated as fraudulent concealment from the State of the true facts relating to the proposal.

(12) Vendor shall certify that any and all subcontractors comply with Sections 7, 8, 9, and 10, above.

(13) The proposal shall be signed by the individual(s) legally authorized to bind the vendor per NRS 333.337.

Treasury Services Group, LLC

Vendor Company Name

Vendor Signature

Shane Osborn/CEO

Print Name

3/17/18

Date

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050303

BARBARA K. CEGAVSKE
Secretary of State
202 North Carson Street
Carson City, Nevada 89701-4201
(775) 684-5708
Website: www.nvsos.gov

Application for Registration of Foreign Limited-Liability Company

(PURSUANT TO NRS 86.544)

USE BLACK INK ONLY - DO NOT HIGHLIGHT

ABOVE SPACE IS FOR OFFICE USE ONLY

1. Name of Foreign Limited-Liability Company:	Treasury Services Group, LLC Check box if a Series Limited-Liability Company ☒
2. Name Being Registered with Nevada: (see instructions)	The name under which this foreign limited-liability company proposes to register and transact business in Nevada is: Treasury Services Group, LLC
3. Entity Domicile: (date and state or country of formation)	Date Formed: 2/2/11 State or Country where Authorized: Delaware ☒ This entity is in good standing in the jurisdiction of its incorporation/creation.
4. Registered Agent for Service of Process: (check only one box)	☒ Commercial Registered Agent: InCorp Services, Inc. (Name) ☐ Noncommercial Registered Agent (name and address below) OR ☐ Office or Position with Entity (name and address below) Name of Noncommercial Registered Agent OR Name of Title of Office or Other Position with Entity 3773 Howard Hughes Parkway, Suite 500S (Street Address) Las Vegas (City) Nevada (State) 89169 (Zip Code) Mailing Address (if different from street address) City Nevada Zip Code In the event the above-designated Agent for Service of Process resigns and is not replaced or the agent's authority has been revoked or the agent cannot be found or served with exercise of reasonable diligence, then the Secretary of State is hereby appointed as the Agent for Service of Process.
5. Records Office: (see instructions)	215 S. George St. (Street Address) York (City) PA (State) 17401 (Zip Code)
6. Street Address of Principal Office: (or office required to be maintained in the domicile state by the laws of that state)	215 S. George St. (Street Address) York (City) PA (State) 17401 (Zip Code)
7. Name and Address of each Manager or Member: (attach additional page if more than 1)	Name 215 S. George St. (Street Address) York (City) PA (State) 17401 (Zip Code)
8. Name and Signature of Manager or Member:	I declare, to the best of my knowledge under penalty of perjury, that the information contained herein is correct and acknowledge that pursuant to NRS 239.330, it is a category C felony to knowingly offer any false or forged instrument for filing in the Office of the Secretary of State. Shane Osborn (Name) X (Authorized Signature)
9. Certificate of Acceptance of Appointment of Registered Agent:	I hereby accept appointment as Registered Agent for the above named Entity. *If the registered agent is unable to sign the Application for Registration, submit a separate signed Registered Agent Acceptance form.* X See attached letter Authorized Signature of Registered Agent or On Behalf of Registered Agent Entity Date

This form must be accompanied by appropriate fees.

Nevada Secretary of State NRS 86.544 FLLC
Articles Revised: 9-26-17

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180304

BARBARA K. CEGAVSKE
Secretary of State
202 North Carson Street
Carson City, Nevada 89701-4201
(775) 684-5708
Website: www.nvsos.gov

Registered Agent Acceptance

(PURSUANT TO NRS 77.310)

This form may be submitted by: a Commercial Registered Agent, Noncommercial Registered Agent or Represented Entity. For more information please visit http://www.nvsos.gov/index.aspx?page=141

USE BLACK INK ONLY - DO NOT HIGHLIGHT

ABOVE SPACE IS FOR OFFICE USE ONLY

Certificate of Acceptance of Appointment by Registered Agent

In the matter of Treasury Services Group, LLC

Name of Represented Business Entity

I, InCorp Services, Inc. am a:

Name of Appointed Registered Agent *OR* Represented Entity Serving as Own Agent*

(complete only one)

a) X commercial registered agent listed with the Nevada Secretary of State,

b) noncommercial registered agent with the following address for service of process:

Street Address City Nevada Zip Code

Mailing Address (if different from street address) City Nevada Zip Code

c) represented entity accepting own service of process at the following address:

Title of Office or Position of Person in Represented Entity

Street Address City Nevada Zip Code

Mailing Address (if different from street address) City Nevada Zip Code

and hereby state that on 03/14/2018 (Date) I accepted the appointment as registered agent for the above named business entity.

X Olivia Gonzales on behalf of InCorp Services, Inc. 03/14/2018

Authorized Signature of R.A. or On Behalf of R.A. Company Date

*If changing Registered Agent when reinstating, officer's signature required.

X

Signature of Officer Date

Nevada Secretary of State Form RA Acceptance
Revised 1-5-15

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Section V

Scope of Work

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2. Scope of Work

2.1 Qualifications

2.1.1 Vendor must possess knowledge and agree to comply with Nevada's unclaimed property law, NRS 120A, NAC 120A, and all federal legislation and court rulings regarding the Uniform Unclaimed Property Act of 1995 (***See Attachment H)***.

Treasury Services Group, LLC is a Limited Liability Company formed on February 28, 2011 under the laws of the State of Delaware. The company exists solely to complete unclaimed property auditing and related services on behalf of government entities. TSG was formed for the sole purpose of contracting with the Departments of State and other jurisdictional governments that monitor and administer compliance with the Unclaimed Property Laws of their jurisdiction.

We have been operational for seven years as TSG and have 14 years of unclaimed property auditing experience through our wholly-owned subsidiary, Abandoned Property Experts, LLC. TSG is currently under contract to provide both general ledger and securities accounts auditing services for 39 states. TSG has completed more than 30 audits per year on average that resulted in the distribution of over $45,000,000 to our client states. In response to our recent contracting with several additional states, TSG increased its auditing and support staff to better provide personalized and timely assistance to client states and representatives.

TSG affirms that it will meet all the responsibilities set forth in this RFP to include, but not limited to; locating, examining, processing, collecting, and delivering unclaimed property from holders that are holding unclaimed property subject to report and delivery under State Law. TSG agrees to all the terms and conditions provided in this RFP.

TSG attests that it will conform to all laws and procedures of the State of Nevada and its unclaimed property laws; NRS 120A and NAC 120A. TSG is familiar with the State's UP processes and all federal legislation and rulings regarding the Uniform Unclaimed Property Act of 1995 – Attachment H, GAAP, GAAS, and AICPA standards. We possess the ability to establish effective methodology to perform a thorough review. We look forward to the opportunity to work with The Treasury's administrators, employees, members of other state governmental agencies, and their holders.

TSG has a team of experts devoted to helping State governments ensure equitable compliance. TSG is dedicated to thorough, accurate, and complete identification of unclaimed property held by the Holder. TSG achieves success through a cooperative and professional approach to performing audits with as little intrusion as possible for the Holder.

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TSG employs an experienced team of 8 full-time employees who will be dedicated to carry out the requirements of a potential contract with the State of Nevada at all times. TSG's 4 full-time auditors operate under the firm's proprietary Audit Manual through ethical and professional standards. This extensive document guides each step of the unclaimed property examination. Our team has thorough knowledge of the State's regulations and ordinances governing unclaimed property laws, Supreme Court rulings referring to the identification of unclaimed property, the Generally Accepted Accounting Principles, the Generally Accepted Auditing Standards, and AICPA standards.

TSG maintains high ethical standards of all auditors and staff. TSG's staff affirms that it will adhere to appropriate rules of conduct while delivering professional services; all of our auditing procedures will comply with auditing standards in conjunction with the identification, collection, and delivery of unclaimed property under Nevada Revised Statutes and Nevada Administrative Codes.

2.1.2 Vendor must possess previous experience providing unclaimed property auditing services for similar agencies. Provide documentation outlining previous experience, including at a minimum, the number of years providing these or similar services, average number of engagements per year and general qualifications of staff and supervisors performing audit functions.

TSG averages 50 engagements at any given time and each auditor averages approximately 12. TSG is dedicated to thorough, accurate, and complete identification of unclaimed property held by the Holder.

<u>Shane Osborn-CEO</u>
Eleven years of experience in unclaimed property audits
Manages collection, transfers, and processes of unclaimed property audits

As CEO of TSG, Shane brings his proven leadership capabilities and deep understanding of State government operations to provide management and strategic direction. He managed TSG's success in supervising over 50 audits to multi-states, at any given time. He is a major contributor for unclaimed property distribution of over $45,000,000 last year, which include exams of large corporations. Shane ensures that TSG experts will complete thorough and accurate audits in regard to identifying, examining, collecting, transferring, and the reporting of unclaimed property to the State.

Prior to TSG, Shane served as Nebraska State Treasurer from 2007 - 2011, where he led national efforts in government transparency. His determination to streamline operations and implement modern technologies throughout State government, including Nebraska's unclaimed property program, led to him reducing his budget 12% during his 4-year term. Shane served as President of the National Association of Unclaimed Property Administrators

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during his term and served on the National Association of State Treasurer's Executive Council.

<u>Alex Kauffman-President</u>
Eleven years of experience in unclaimed property audits
Supervises examination, collection, transfers, and processes of unclaimed property audits

Alex supervises the examination, collection, transfers, and processes of unclaimed property audits. As President of TSG, he coordinates multi-state audits of regional and national holders to enforce unclaimed property compliance. He has been an integral contributor to the acquisition of 39 state unclaimed property auditing contracts. He has personally conducted and supervised the day-to-day staff employees' conduct of hundreds of unclaimed property audits of holders in every industry including several of the largest corporations in the nation. He will be responsible for these same duties under the Nevada contract with the Treasurer's Office. His work has resulted in the identification of more than $331,000,000 worth of unreported unclaimed property for client States in the last three years. Alex guarantees that TSG personnel are dedicated to helping the State of Nevada ensure equitable compliance.

As the former Deputy Treasurer and Unclaimed Property Administrator for Nebraska from 2007-2011, he drafted and shepherded UP legislation into enactment, and managed the State's unclaimed property holder compliance program. He has spoken frequently at local and national unclaimed property seminars and forums.

<u>Avalina Buikema-Audit Manager</u>
Fourteen years of experience in auditing
Identifies and examines unclaimed property

Our audit manager, with over 13 years of experience, is an integral contributor to the identification and delivery of unclaimed property owed to our client States. She manages experienced auditors to identify under-reporting and non-reporting holders and has tremendous experience in the interpretation of State statutes. The expertise of this employee has allowed her to successfully complete and manage hundreds of audits in all industries including large corporations, identifying tens of millions of dollars for client States. Her supervisory experience, excellent accounting, and written communication skills allow her the opportunity to excel, and she will provide the same superior auditing service to the State of Nevada.

Prior to TSG, she was a state contractor for Abandoned Property Experts for 5 years. She audited businesses in various states for proper reporting of unclaimed property. Her level of experience is invaluable to TSG.

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<u>Diana Pugh-Senior Auditor</u>
Fourteen years of experience in auditing
Identifies and examines unclaimed property

As senior auditor, Diana supervises junior staff to develop preliminary findings during audits. She excels at researching State laws and develops correspondence with holders and States on legal and regulatory matters during her audits. Diana presents; audit findings, statutory remediation, and due diligence requirements, from large corporations for our client States. She coordinates with the data team to create NAUPA files and audits closing documents.

<u>Alexander Curcio-Senior Auditor</u>
Eighteen years of experience in auditing
Identifies and examines unclaimed property

Alexander provides an unsurmountable amount of experience to the audit team in successfully identifying and examining unclaimed property from non-reporting and under-reporting holders. He has extensive knowledge in regulatory reporting and has performed numerous compliance audits involving various types of State laws. He is also proficient in the GAAP, GAAS, and AICPA standards, especially in regard to the State.

His experience includes auditing complex company corporate histories to include; the evaluation of intricate financial records to uncover potentially unreported abandoned property, research, examine & document company unclaimed property reporting history, manage and complete field audit examinations of selected companies for clients, verify that audited companies comply with client's laws & regulations, and create audit reports detailing findings for clients. Alexander is clearly an asset to the TSG audit team and will be successful at meeting all the requirements set forth in this RFP.

<u>Mary Celentani-Client State Relationship Manager</u>
Seventeen years of experience in monitoring contract status
Reports authorized audits and proposals of unclaimed property

Mary has extensive experience as a successful client state relationship manager. Her detail-oriented work ethic and professional communication skills ensure the appropriate monitoring of contract statuses. She is fully capable of responding to contract-related inquiries by client States. She will ensure that the State Treasurer's Office is well informed through electronic updates of all authorized agents, new audit proposals, and monthly WIP reporting updates.

Mary was the Unclaimed Property Administrator for the State of Wisconsin for 13 years. During that time, she implemented many program improvements, including paperless, online claim processing and payments, which increased paid claim distributions from $2 million in 1999 to over $37 million in 2012. She also greatly increased unclaimed property holder

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compliance by making presentations and reporting brochures to the Wisconsin State Bar Association, Wisconsin Society of CPAs, Title Insurance Association, Safe Deposit Association, and numerous other business professional groups.

<u>Marlene Ward-Operations Manager</u>
Ten years of experience in management
Manages effectiveness of support services to deliver optimal service to clients

Marlene manages effectiveness of support services to deliver optimal service to clients
As TSG's Operations Manager, Marlene coordinates the highest level of efficiency within our organization. She utilizes the resources necessary to deliver ingenious service that exceeds the expectations and needs of our client States. Her 10 years of management experience allows her the opportunity to ensure organizational effectiveness by providing leadership for the team's structure.

Marlene possesses outstanding management and communication skills that allows TSG to maintain long-term operational excellence. Her proficient competence in communication allows her to coordinate with lead staff on audit closings, preparation of report filings, receipts, payments, and conveyance of packages to client States. Marlene's commitment to perform with high professional and ethical standards is an asset to the team.

<u>Rick Gonzales-Data Manager</u>
Ten years of experience in data processing, data analysis, and data integrity
Collects, transfers, and processes unclaimed property

Rick has widespread knowledge of computer programming and networking. He is an accomplished IT professional and is an essential contributor in the processing of all accumulated data records of holders provided by the audit team. Rick implements the redesign of packages submitted to client states during the completion of an audit and is responsible for the final NAUPA report generation as well as client invoicing. Rick and his team have created a complex storage operation to acquire large quantities of data from various databases that improved the efficiency of these procedures for our reports to the States, as evidenced most recently during the audit of Apple, Inc.

His experience in report management provides TSG with significant proficiency in data mining and record collecting/sorting. He has been tremendously successful at processing abandoned property records from large corporations, due to our client States and filed millions of dollars of unreported claims.

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Client State List

AR	07/01/13-06/30/19	Josh Wood PO Box 251920, Little Rock 72225	**501-371-2129**
AL	01/01/13-12/31/18	Ralph Ainsworth PO Box 302510 Montgomery 36130	**334-242-7500**
AZ	06/15/14-06/28/19	Joshua Joyce 1600 W Monroe Phoenix 85007	**602-604-7800**
CA	10/30/16-10/14/18	Ricky Miranda State Controller's Office UP Audits	**916-322-1476**
CO	10/24/12-08/31/20	Patty White 1580 Logan St, Suite 500 Denver 80203	**303-866-2441**
FL	05/20/13-05/20/19	Barry Williams PO Box 6350 Tallahassee 32314	**850-413-5522**
IA	11/05/12-10/30/19	Kathryn Fehring 321 E 12th St 1st Floor Des Moines 50319	**515-281-5368**
ID	09/01/12-09/01/18	Audra Fink PO Box 83720 Boise 83720	**208-332-2942**
IN	03/26/15-04/14/19	Wiliam Fulton PO Box 2504 Greenwood 46142	**317-232-6576**
KS	08/27/17-07/31/19	Kathy Priest 900 SW Jackson St Topeka KS 66612	**785-296-3125**
KY	07/01/12-06/30/19	Mark Pfeiffer 1050 US Hwy 127 S Suite 100 Frankfort 40601	**502-564-4722**
LA	02/01/14-01/31/19	Kathleen Lobell 445 N Blvd 7th Floor Baton Rouge 70802	**225-219-9400**
MA	06/03/13-12/31/19	Judith Franchi One Ashburton Place 12th Floor Boston 02108	**401-222-2397**
MD	12/01/06-11/30/19	Enoch Devors 301 W Preston St Rm 310 Baltimore 21201	**410-260-7533**
ME	09/01/15-07/31/18	Terry Hayes 111 Sewell St Augusta 04333	**207-624-7477**
MI	11/17/10-09/30/22	Gonzalo Llano PO Box 30756 Lansing 48909	**517-373-3200**
MN	07/01/13-06/30/18	Scott Halvorson 85 7th Place East St Paul 55101	**651-556-3000**
MO	11/01/08-12/14/18	Scott Harper PO Box 1272 Jefferson City 65102	**573-751-8533**
MT	04/01/16-03/31/19	Brett Boutin 125 North Roberts Helena, MT 59620	**406-444-7210**
ND	12/18/12-01/01/19	Kelly Schmidt 600 E Blvd Dept 120 Bismarck 58505	**701-328-2643**
NE	07/20/12-10/12/19	Meaghan Aguirre 809 P St Lincoln 68509	**402-471-1089**
NH	09/03/14-06/30/19	William Dwyer 25 Capitol St Rm 121 Concord 03301	**603-271-2621**
NM	01/09/15-01/08/19	Tim Eichenberg 2055 S Pacheco St Santa Fe 87505	**505-955-1120**
OH	12/18/12- 06/30/19	James Dowley 77 S High St 20th Floor Columbus 43266	**614-466-2160**
OR	09/19/06-12/31/19	Patrick Tate 775 Summer St NE Suite 100 Salem 97301	**503-373-1903**
PA	12/31/13-12/30/18	Barbara Benkovic 101 N Independence Mall E Philadelphia 19106	**412-880-4027**
PR	08/01/17-08/01/18	10 Paseo Covadonga San Juan 00901	**787-622-0123**
SC	07/01/16-06/31/21	Matt Davis Wade Hampton Office Bldg Columbia 29201	**803-734-2645**
SD	07/01/12-06/30/19	Lee DeJabet 500 E Capitol Ave Pierre 57501	**605-773-3378**
TN	09/01/15-09/14/20	Dawn Rochelle 502 Deaderick St Nashville 37243	**615-253-8770**
TX	08/30/13-08/31/18	Alex Gonzalez 111 E 17th St Austin 78774	**512-463-4269**
UT	06/01/16-05/31/21	David Damschen PO Box 141061 Salt Lake City	**801-538-1042**
VA	02/01/17-01/31/18	Harold Moore PO Box 1879 Richmond 23218	**804-225-2152**
VT	01/01/16-12/31/18	Albert LaPerle 109 State Street, 4th Floor Montpelier 05609	**802-828-2301**

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WA	07/01/13-06/30/19	James McIntire PO Box 40200 Olympia 98504	**202-622-2000**
WI	07/01/12-06/30/18	Wendy Miller PO Box 8949 Madison 53708	**608-267-2208**
WV	09/05/17-10/05/18	Alexandria Ford 322 70th Street SE Charleston 25304	**304-558-6000**
WY	06/15/13-06/30/17	Nancy Russel 2515 Warren Ave Suite 502 Cheyenne 82002	**307-777-7408**

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2.2 Scope of Work

2.2.1. Identification and Collection of Unclaimed Property

TSG is dedicated to thorough, accurate, and complete identification of unclaimed property held by the Holder. TSG achieves success through a cooperative and professional approach to performing audits with as little intrusion as possible for the Holder. TSG has been providing unclaimed property audit, collection, and delivery services for over 14 years and is considered a leader in the industry. We have the technical expertise, capability, procedures, and staff to audit the records of a holder or its agents in order to properly identify and determine the amount of unreported unclaimed property liability and to verify the accuracy and completeness of those records. TSG is proud of its reputation and we continually enhance our audit methodology to provide the most efficient and accurate reporting of unclaimed property due to our client States.

We conduct statistical analyses to determine compliance with the State's unclaimed property laws. Criteria considered include; incorporation date, number of employees, annual revenues, stock activity, reporting history, and recent acquisitions, etc. If TSG believes an entity to be noncompliant with unclaimed property laws, it will propose an audit to the client State for authorization to initiate an audit on behalf of the State Treasurer which will incorporate the procedures outlined in the RFP 2.2.1.3. TSG will not commence holder audits on behalf of the State of Nevada until after the engagement letter has been accepted and signed by the Nevada Unclaimed Property Division.

TSG conducts audits on a broad range of industry types, from banks to insurance companies to local manufacturers to Fortune 100 companies. We do, however, have a particular expertise in auditing technology and internet-based businesses. Our staff is highly knowledgeable and experienced in working with these types of companies, and we have completed audits of some of the largest, most complex companies in this industry, evidenced most recently with the audit of Apple, Inc. TSG utilizes a wide pool of internal expertise to focus on audit targets typically overlooked by other firms.

TSG audit staff often receives requests from individual "lead" States to conduct reviews of entities the States believe are non-compliant. TSG researches and prepares holder profiles to assess overall compliance nationwide. TSG then submits proposals to all contracted States to join the audits and provides contact information and sample authorization letters for those States to execute and forward to the identified audit candidate. TSG understands and respects the State's right to participate in or restrict its participation in an audit of suggested Holders.

Our audit staff initiates an opening conference with the Holder to submit authorizations and records requests. TSG begins working with the Holder to plan the audit, schedule field work, specify the records required, and establish specific deadlines for each step of the audit.

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Progress of an examination can vary depending on the cooperation of the entity, the complexity of the entity, and whether their accounting is centralized or decentralized. Here is a typical sequence of events for the initiation, planning, conduct and completion of an examination.

Audit work then commences under the audit plan below in accordance with state laws and any applicable judicial rulings. TSG asserts that it will adhere to the examination requirements set forth in this RFP.

Day 1.....TSG receives initial Letter of Authorization from Lead State
Week 1 .....TSG performs research, creates Holder Profile (contact information, size and nature of entity, industry, locations), and distributes profile to client states.
Week 2 .....TSG contacts entity, exchanges contact info, and sends Pre-Audit Questionnaire
Week 4 .....TSG reviews response to Questionnaire, assembles and sends Records Request
Week 5 .....TSG contacts entity to discuss records request availability of records, time required to assemble requested records and schedule a follow-up contact.
Week 7.....TSG contacts entity to agree on time required to assemble requested records and schedules entrance conference and initial fieldwork.
Week 15 .....Entrance conference and initial fieldwork
Week 16 .....Continued fieldwork
Week 17.....Continued fieldwork and Exit conference at which TSG presents preliminary audit findings (Holder is provided with copies of TSG working papers that document findings of items that represent potentially unclaimed property). TSG responds to Holder's questions and concerns, provides instructions for addressing preliminary findings, discusses proper form for Due Diligence notices, and agrees to timeframe for Holder's research and responses.
Week 26 .....TSG contacts Holder to confirm cooperation and progress on research, address any questions, field any concerns or confusion, and offer any assistance that would help Holder continue to make progress.
Week 35 .....TSG contacts Holder to schedule return visit to review results of research and Due Diligence.
Week 40.....TSG returns to Holder's location, reviews documentation of research and Due Diligence, presents audit findings, informs Holder of right to appeal, and agrees with Holder on timeframe to remit reportable property.
Week 44 .....Holder remits property to TSG in respect to State requirements. TSG reconciles remittance with audit findings.
Week 46 .....TSG processes each state's data into NAUPA format, assembles remittance packages with NAUPA Report, property, supplemental reports (if any), and invoices.

In the course of our examinations, TSG requests and reviews all appropriate available records that provide accounting information that may represent unclaimed property in the books and

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records of the holder for the relevant audit period. For any years in the relevant audit period, if there are appropriate accounts for which actual records are not available, TSG applies properly designed extrapolation techniques to represent amounts presumed abandoned for portions of the audit period for which the Holder cannot provide actual records, only with the State's approval.

We seek to avoid estimates to the greatest extent possible given available records. In our experience, our audit approach leads to excellent relations with the Holder as a result of understandable, supportable audit findings about which all parties can agree. The progression of an examination conducted by TSG can vary greatly depending on the cooperation of the Holder and the complexity of the entity and its accounting.

2.3 Enforcement Efforts

2.3.1 If a holder fails or refuses to report and deliver unclaimed property, the Vendor shall advise the Nevada Unclaimed Property Division, in writing, of the holder's failure or refusal within 30 days of the date the Vendor requested the reporting and delivery of property. Written notice is to be delivered via email to**.**

TSG will advise the Nevada Unclaimed Property Program within 30 days of our request for report and remittance if a holder refuses or fails to report and remit property identified as a result of an audit we are conducting on behalf of Nevada State Treasurer.

2.4 Joint Efforts with Participating States

2.4.1 The State acknowledges that the Vendor may perform the services required under this contract concurrently with its performance of similar services for other states having similar requirements in connection with their respective unclaimed property laws.

TSG dedicates its entire staff to multi-state unclaimed property audits. TSG staff works collaboratively to complete audit projects. TSG generally performs approximately 40-50 multi-state audits at any given time for multiple states. However, all TSG executive, auditing, administrative, and legal counsel members are available for support to all auditors at any time.

One size doesn't fit all, and no state should be faced with a "take it or leave it" approach to multi-state audits. TSG creates customized audit packages for each client, and tailors its services to the wishes of each state, regardless of its size.

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2.5 Conflicts of Interest

2.5.1 The Unclaimed Property Agent shall maintain independence in mental attitude in accordance with AICPA Professional Standards AU Section 220. The Vendor(s) should not only be independent in fact but should avoid situations that may lead others to doubt their independence.

TSG asserts that there is no existing nor potential conflict of interest relative to the performance of the contractual services resulting from this RFP, neither perceived nor actual. TSG is not and has not engaged in activities that would be considered a conflict of interest regarding the proposed service and will not enter into any agreement that would constitute a conflict.

TSG maintains high ethical standards of all auditors and staff. TSG's staff affirms that it will adhere to appropriate rules of conduct while delivering professional services; all of our auditing procedures will comply with auditing standards in conjunction with the identification, collection, and delivery of unclaimed property

2.6 Work in Progress Report

2.6.1 The Vendor shall provide the Unclaimed Property Division a monthly Work in Progress report that describes the status, including percentage of completion for each Federal Employer Identification Number, of all audits in process. The report will include the audit identification for each audit presented on the report. Reports are to be delivered via email to UPAudit@nevadatreasurer.gov. (Provide sample Work in Progress reports).

TSG provides monthly Work in Progress Reports to all our client states. TSG will provide the State with a Work in Progress Report by the beginning of each month to the designated email address. This report will identify all information required in this RFP on the status of all audits in process. These reports may be customized based on the State of Nevada Unclaimed Property Division's preferences. Please see attached Exhibit A – Section VIII Other Informational Material for samples of general WIP and state-specific WIP reports.

2.7 Acknowledgements

TSG acknowledges that the Nevada Unclaimed Property Program has the final and sole authority to decide who, if anyone, will represent the Program in the unlikely event that more than one vendor or another state wants to identify and collect unclaimed property from the same holder. TSG further acknowledges that the Nevada Unclaimed Property Program may approve or disapprove authorization without offering justification and may suspend or terminate any examination on behalf of Nevada without offering justification.

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2.8 Holder Due Diligence & Subsequent Reporting

TSG discusses and answers any questions regarding the proper form for due diligence notice. TSG will advise each Holder of the provisions of NRS 120A for notifying owners regarding their property, e.g. the requirement to perform due diligence at least 60, but no more than 120 days prior to reporting. Once the due diligence notice has been sent, TSG allows approximately 60 days for owners to respond before finalizing the audit findings. TSG will provide a copy of the Holder Due Diligence letters to the State.

TSG will advise holders of their responsibility to pay claims to owners until the final report is agreed upon and property is remitted. In the course of any audits we conduct on behalf of Nevada State Treasurer Office, TSG will require all holders to provide an affidavit stating they have complied with the due diligence requirements.

At the conclusion of our initial fieldwork., TSG informs the holder's personnel of the due diligence requirement and the proper procedures to meet those requirements as a part of our conference with the holder's personnel. We will certify the holder's compliance with NRS 120A.560(5) and all State requirements.

TSG reviews the results of the holder's due diligence during the second phase of fieldwork and incorporates those results into our working papers as part of our reconciliation to arrive at the final audit findings. TSG will advise the Holder of its continuing obligation to report property to the State, and the State will be notified if due diligence has not been carried out by the Holder. These procedures will be documented in writing in our Audit Report to the State.

TSG auditor's routine practice is to provide the Holder with the State Unclaimed Property Reporting Handbook link for the client state and informs the Holder to use the state's format provided. Please refer to <u>Table of Contents</u> Section VIII – Other Informational Material Exhibit B - Sample Due Diligence Reports: Nevada Due Diligence Sample Letter and one that is utilized for another client state.

2.9 Unclaimed Property Report

TSG prepares the reports of the property to be forwarded to the client states. The electronic remit reports of holder, property and owner data that TSG creates for each of our client states adhere to their required dormant, whether NAUPA with all the codes common to most states or incorporating codes unique to certain states. We have created and submitted files by FTP, magnetic tape, diskette, or CD according to each state's requirements, including hard copy and additional forms or certifications when specified by the State. These files are fixed-width ASCII format files as defined by the NAUPA standard.

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The information we provide in each file, if available from the records of the holder, includes at least:

(a) Holder FEIN
(b) Holder report year, report type, report number, report format
(c) Holder SIC code, State of Incorporation, Date of Incorporation
(d) Holder name, address and contact info
(e) Property sequence number
(f) Owner type, name, address, and tax identification number
(g) Property type, amount, last activity date, deduction type and amount, check number
(h) Class of security, issue name, CUSIP number, number of shares, security value, interest/dividends due
(i) Additional owner information or unique identifier used by the holder
(j) Totals of: number of records, number of properties, cash, shares
(k) Report creator, creator contact info and software version used to produce the report

TSG understand that the Nevada Unclaimed Property Division will provide reporting instructions and specifications needed for automated reporting.

Upon finalization of the audit findings, the data associated with said findings is securely transmitted from our audit department to our data department. For audit and accountability, the data department first makes a duplicate of the data which is then archived in a separate discrete encrypted repository. Then we utilize a combination of off-the-shelf software as well as a proprietary suite of tools, modules, and applications exclusive to TSG. Then we can begin processing the data.

First, we parse and extract the underlying data present in the source files. The data is decompiled into its constituent components. Then we can go about scrubbing and cleansing the data. This process involves standardizing the formatting and delimitation of the data in a fashion consistent with the NAUPA II specification. The data is then rectified and any potential data integrity issues and/or data gaps that have been revealed through our previous steps are corrected. Once any potential issues raised have been addressed, the data values are translated from their native source to the one required to compile our final NAUPA II file. Then we can validate and reconcile the successful load of the data as well as any other specialized cleanup which may be required. We can then define the mappings of our data to the NAUPA II specification.

Once we have developed a preliminary conversion, we compile a preliminary NAUPA report. The preliminary report is then analyzed and tested for integrity and consistency. If our analysis and testing return no exceptions and pass all integral and consistency verifications, then our preliminary NAUPA report can become, simply, our NAUPA report, which is almost ready for submission.

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Depending on the client-state receiving the NAUPA report, they may or may not require the report be encrypted. For client-states which do not accept encrypted NAUPA files, our report is ready for submission. For client-states which do require encrypted NAUPA files, our last step is encryption. NAUPA files are encrypted utilizing the encryptions technique described by RSA (itself utilized by the RSA algorithm) which a key encapsulation mechanism known as a "digital envelope".

TSG has demonstrated that we are technically capable of analyzing abandoned property data and delivering NAUPA standard format files and the related property to our client states. Our data manager is highly experienced in processing reports and can gather and analyze any data set according to the requirements of the proposed contract. TSG will provide the same services for the Nevada State Treasurer and will perform all the duties outlined in this RFP.

2.10-2.11 Custody & Delivery of Unclaimed Property

Under a contract as contemplated by this proposal, TSG will take responsibility for receiving property from the Holder. TSG has identified First National Bank of Omaha (FNBO) as our custodian for unclaimed property recovered as a result of our examinations. Any cash property recovered as a result of our examinations on behalf of the Nevada State Treasurer will be deposited in a separate custodial account with FNBO until delivery to the State. Nevada State Treasurer will have all rights of a third-party beneficiary as outlined in the RFP Section 2.10.2.2. In no circumstance does TSG, nor our custodian; pledge, assign, or encumber property without prior authority from the Unclaimed Property Division, nor shall we take any ownership interest in any property of our client states.

TSG reviews the results of the Holder's due diligence during the second phase of fieldwork and incorporates those results into our working papers as part of our reconciliation to arrive at the final audit findings. These procedures will be documented in writing in our Audit Report to the State.

In the exit conference, TSG informs the Holder of the deadline for remittance (usually 30 days). Upon receipt of the property from the Holder, TSG delivers the property to the State as soon as reconciliation and data processing can be completed, but in any case, no later than 30 days after the receipt of the property. TSG will instruct the Holder to deliver the property according to the requirements of the State. TSG has designated FNBO as our custodian for both cash and securities. FNBO can transfer securities via book-entry.

It is our policy to forward funds within 30 days of receipt from the Holder to the State, or its designee by overnight express mail, freight prepaid. In fact, in every case since our firm's inception, we have successfully forwarded funds within 14 days of receipt.

TSG usually reconciles all property identified as a result of our audit with the audit findings within two weeks of receiving the property. Under our existing contracts cash property

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recovered as a result of our audits is transferred to the State in the manner dictated by the State. As indicated in this RFP, TSG will instruct holders of securities related property reportable to the State to register the securities in the name of Nevada Unclaimed Property and remit the property electronically to the designated custodial securities account held by the Administrator, unless instructed otherwise.

All information regarding the transfer of securities, including original dates, will be retained and will become part of all reports relating to the securities. Securities that cannot be transferred will be delivered to Nevada Unclaimed Property in the nominee or original owner's name. Securities that are not required to be certificated shall be transferred electronically from the Holder to the State identified custodian.

It is our policy to always deliver property to our client states separately for each Holder. At the time the property is delivered, we will include the Unclaimed Property Report and confirmation of any security transfers.

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Section VI

Company Background
&
References

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3. COMPANY BACKGROUND AND REFERENCES

3.1 VENDOR INFORMATION

3.1.1 Vendors shall provide a company profile in the table format below.

Question	Response
Company name:	Treasury Services Group, LLC
Ownership (sole proprietor, partnership, etc.):	Limited Liability Company
State of incorporation:	Delaware
Date of incorporation:	February 28, 2011
# of years in business:	7
List of top officers:	Shane Osborn, CEO Alex Kauffman, President
Location of company headquarters, to include City and State:	215 S. George Street York, PA 17401
Location(s) of the office that shall provide the services described in this RFP:	215 S. George Street York, PA 17401
Number of employees locally with the expertise to support the requirements identified in this RFP:	None – Auditors are willing to travel to fulfill RFP requirements when necessary
Number of employees nationally with the expertise to support the requirements in this RFP:	8
Location(s) from which employees shall be assigned for this project:	215 S. George Street York, PA 17401

3.1.2 A Nevada-based business may apply for a five percent (5%) preference on its proposal. This preference may apply if a business has its principal place of business within Nevada. This preference cannot be combined with any other preference, granted for the award of a contract using federal funds, or granted for the award of a contract procured on a multi-state basis. To claim this preference a business must submit a letter with its proposal showing that it qualifies for the preference.

TSG's principle place of business is in Pennsylvania and is not seeking preference on this proposal.

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3.1.3 **Please be advised**, pursuant to NRS 80.010, a corporation organized pursuant to the laws of another state shall register with the State of Nevada, Secretary of State's Office as a foreign corporation before a contract can be executed between the State of Nevada and the awarded vendor, unless specifically exempted by NRS 80.015.

3.1.4 The selected vendor, prior to doing business in the State of Nevada, shall be appropriately licensed by the State of Nevada, Secretary of State's Office pursuant to NRS76. Information regarding the Nevada Business License can be located at http://nvsos.gov.

TSG is in the process of requesting a license to conduct business as a Foreign Limited Liability Company in the State of Nevada. Please refer to Table of Contents Section IV – State Documents. TSG will supply the State with the Nevada Business License Number upon award of contract.

Question	Response
Nevada Business License Number:	***Will provide upon contract award***
Legal Entity Name:	***Treasury Services Group, LLC***

Is "Legal Entity Name" the same name as vendor is doing business as?

Yes	**X**	No	

3.1.5 Has the vendor ever been engaged under contract by any State of Nevada agency?

Yes		No	**X**

3.1.6 Are you now or have you been within the last two (2) years an employee of the State of Nevada, or any of its agencies, departments, or divisions?

Yes		No	**X**

If you employ (a) any person who is a current employee of an agency of the State of Nevada, or (b) any person who has been an employee of an agency of the State of Nevada within the past two (2) years, and if such person shall be performing or producing the services which you shall be contracted to provide under this contract, you shall disclose the identity of each such person in your response to this RFP, and specify the services that each person shall be expected to perform.

Not Applicable

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3.1.7 Disclosure of any significant prior or ongoing contract failures, contract breaches, civil or criminal litigation in which the vendor has been alleged to be liable or held liable in a matter involving a contract with the State of Nevada or any other governmental entity. Any pending claim or litigation occurring within the past six (6) years which may adversely affect the vendor's ability to perform or fulfill its obligations if a contract is awarded as a result of this RFP shall also be disclosed.

Does any of the above apply to your company?

Yes		No	**X**

3.1.8 Vendors shall review and provide if awarded a contract the insurance requirements as specified in ***Attachment D, Insurance Schedule for RFP 3527.***

TSG has reviewed the Insurance Schedule for RFP 3527 provided in Attachment D. Please refer to <u>Table of Contents</u> Section VIII - Other Informational Material Exhibit C – Nevada Insurance Certificate

3.1.9-3.1.10 Company background/history and why vendor is qualified to provide the services described in this RFP. Limit response to no more than five (5) pages.

Treasury Services Group, LLC is a Limited Liability Company formed on February 28, 2011 under the laws of the State of Delaware. The company exists solely to complete unclaimed property auditing and related services on behalf of government entities. TSG was formed for the exclusive purpose of contracting with the Departments of State and other jurisdictional governments that monitor and administer compliance with the Unclaimed Property Laws of their jurisdiction.

TSG is the only Service Disabled Veteran Owned Small Business in the industry and is comprised of a team of experts dedicated to helping States and governments ensure equitable compliance.

TSG offers a team of highly experienced auditors, a unique perspective, and a proprietary statistical analysis to provide superior auditing service to its customers. We offer a customized package of services designed to fit the needs of each state, and we audit with a high degree of sophistication.

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TSG provides a full suite of accounting and auditing services, including a specialization in unclaimed property services for States and governments. With its primary focus on holder compliance, TSG works on behalf of States to efficiently and effectively:

- ***Review public records and apply statistical analysis to identify potential non-reporters and under-reporters***
- ***Establish audit parameters and procedures***
- ***Notify Holders of the review and work with personnel to gather information***
- ***Conduct on-site/off-site reviews of Holder records***
- ***Oversee direct Holder-to-State transfers of reportable funds***

We have been operational for over seven years as TSG and have 14 years of unclaimed property auditing experience through our wholly-owned subsidiary, Abandoned Property Experts, LLC. TSG is currently under contract to provide both general ledger and securities accounts auditing services for 39 states. In the past three years, TSG has completed more than 120 audits that resulted in the distribution of over $331,000,000 to our client states. In response to our recent contracting with several additional states, TSG increased its auditing and support staff to better provide personalized and timely assistance to client states and representatives.

TSG offers a substantial amount of expertise and experience to our State clients and a complete infrastructure necessary to complete successful nationwide UP audits. Our team of experts and support personnel bring decades of experience over a broad range of financial and legal services. TSG's strategic relationships with government and industry experts provide an unmatched depth of knowledge.

TSG has:

- ***A management staff with at least ten years of unclaimed property management and auditing services. We have extensive experience necessary to fulfill the responsibilities set forth in this RFP to include, but not limited to; the identification, processing, collection, and delivery of unclaimed property from non-reporting or under-reporting holders.***
- ***Senior management possesses a wide range of professional skills and management experience to fulfill all requirements of this contract and the ability to review records of holders and their agents relating to unclaimed property, and we instruct them to relinquish property owed to the State under the statutes.***
- ***Former State Treasury employees. TSG management developed extensive experience with the holder reporting process and helped establish the current NAUPA reporting software. Our staff has a successful record of accomplishment in preparing reports for remittance to the States.***
- ***All necessary equipment to complete the requirements of this contract. TSG maintains the encrypted computer systems, FTP service, and recordkeeping facilities needed to complete any unclaimed property audit.***

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- ***A team of auditors capable of performing on-site and remote audits as assigned. Staff is cross-trained to provide redundancies in case of emergencies, and at least two auditors are involved in each audit, so that one employee is always available to respond to questions or problems. The audit team, led by Avalina Buikema, has over thirty years of experience in auditing, so we possess the experience and accounting skills to review holder records for all types of property.***

TSG offers a team of highly experienced auditors, a unique perspective, and a proprietary statistical analysis to provide superior auditing services to its customers. We offer a customized package of services designed to fit the needs of each State, and we audit with an unprecedented sophistication.

TSG conducts audits on a broad range of industry types; from banks, to insurance companies, to local manufacturers, to Fortune 100 and 500 companies. We do, however, have a particular expertise in auditing technology and internet-based businesses. Our staff is highly knowledgeable and experienced in working with these types of companies, and we have completed audits of some of the largest, most complex companies in this industry.

We have the technical expertise, capability, procedures, and staff to audit the records of a holder or its agents in order to properly identify and determine the amount of unreported unclaimed property liability and to verify the accuracy and completeness of those records. TSG is proud of its reputation and we continually enhance our audit methodology to provide the most efficient and accurate reporting of unclaimed property due to our client States.

TSG has extensive background working with a variety of state government offices, i.e., treasury departments, commerce departments, and revenue departments. TSG has experienced staff auditors, support services, and managers to ensure thorough and successful audits are performed on behalf of our client states. TSG has experience in identifying, collecting, and delivering unclaimed property to the Sate as set forth in the RFP.

In the past seven years, TSG has identified unclaimed property from non-reporting or under-reporting holders, reviewed enormous quantities of data from large corporations, and filed millions of dollars of unreported claims to its client states from a variety of business sources; including financial institutions, internet-based businesses, hospitals, entertainment industries, etc.

TSG has numerous years of experience in the unclaimed property field conducting an abundant number of single-state and multi-state audits of large, medium, and small companies in all industries including, but not limited to: manufacturing, retailing, financial services (banks, credit unions, insurance companies, transfer agents, fiduciaries), health care, transportation, state and municipal agencies, publishing, and utilities to the determine the extent of their compliance with the Unclaimed Property Laws of our client states.

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TSG has a team of experts devoted to helping state governments ensure equitable compliance. TSG is dedicated to thorough, accurate, and complete identification of unclaimed property held by the Holder. TSG achieves success through a cooperative and professional approach to performing audits with as little intrusion as possible for the Holder.

TSG has successfully completed audits in almost all industries in every field, including:

Retail	***Health Care***
P&C Insurance	***Life Insurance***
Industrial	***Technology***
Oil & Gas	***Financial Institutions***
Automotive	***Rebate Processing***
Mail-order and Infomercial	***Payment/Pre-paid card issuers***

TSG utilizes a unique procedure for assisting states with compliance programs. We offer a free, no-obligation statistical review of your state's reporting history to identify under-reporting and non-reporting holders. We then provide a comprehensive audit proposal and work with your administration to develop a strategic approach. This is the most equitable approach to establishing a compliance program; only non-compliant holders are affected.

During its routine auditing, TSG staff frequently analyzes databases of more than 100 million data fields. We use Excel, Access, and custom-built SQL databases to manage and analyze limitless numbers of records. We have successfully downloaded and analyzed complete registers of customer policies of major life insurance companies, banks, and retail corporations.

TSG understands and will comply with the requirements outlined in this RFP. TSG is committed to distributing to the State, all types of unclaimed funds from persons, firms, and entities who are holding unclaimed property which are subject to report and delivery under Nevada State Codes and pertinent U.S. Supreme Court and States Supreme Court rulings.

TSG personnel have significant unclaimed property auditing experience, and decades of background in financial analysis. As former Unclaimed Property Administrators, CEO Shane Osborn, and President Alex Kauffman directly supervised a large audit program and conducted numerous on-site examinations as well as a VDA program, holder education/outreach effort, and NAUPA reporting coordination.

Shane Osborn and Alex Kauffman are both former State Treasury employees who administered state unclaimed property programs for the State of Nebraska. Both are members of the National Association of Unclaimed Property Administrators (NAUPA) and have personal knowledge of the challenges state programs encounter in interpreting, seeking compliance, and enforcing unclaimed property laws both in-state and with foreign holders operating within the state boundaries. These two TSG senior-level staff members are assigned

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to each engagement. Our staff has a successful track record of preparing reports for remittance to the States.

TSG employs two executive managers, one audit manager, four auditors, an operations manager, a data/report team coordinator, and two State-relations staff, all of whom will work to identify and recommend industries and specific entities that are not compliant with the unclaimed property laws, perform audits in a professional and timely manner, and keep client states updated of activities and audit statuses.

TSG endorses and promotes strong professional relationships with State Treasury Departments and encourages communication and cooperation to enhance the efficiency of administering unclaimed property laws of their jurisdictions.

We employ several strategies to encourage cooperation and a swift process is to:

- ***Be honest and straightforward about the audit's focus, scope, and intentions***
- ***Encourage holder participation in field work and the review of data.***
- ***Request records and establish a timeline well in advance.***
- ***Identify disputable issues and property types well in advance.***
- ***Relay the fact that states are more willing to consider waiving penalties and interest for cooperative holders.***

We believe that it's very important to conduct audits quickly and efficiently. We know very well the frustration of audits that drag on for several years, and we are dedicated to clearly establishing the scope and framework for audits, making fieldwork as brief as possible, and wrapping up audits in a timely manner. TSG is proud of the fact that we have no unclaimed property audits commenced more than three years ago for our client states that have not been finalized.

Our Corporate Philosophy:

TSG is the only existing Service Disabled Veteran Owned Small Business (SDVOSB) unclaimed property auditing firm, and has a distinct approach that differentiates it from the rest of the industry:

1. ***<u>Respect.</u>***
   Holders are constituents and should be treated with respect. While we take compliance seriously, TSG takes a politically sensitive approach to holder relations.
2. ***<u>Customized Solution.</u>***
   One size doesn't fit all, and no state should be faced with a "take it or leave it" approach to multi-state audits. TSG creates customized audit packages for each customer, and tailors its services to the wishes of each state, regardless of its size.

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3. ***<u>Comprehensive.</u>***
Founded and led by a former State Treasurer and a former UP Administrator, TSG understands that States need assistance with their ongoing compliance efforts. Unlike its competitors, TSG doesn't solely audit major national holders. TSG can also provide a complete audit program focusing on in-state and regional holders. Cost efficiency allows for reviews of holders typically deemed too small.

TSG is dedicated to thorough, accurate, and complete identification of unclaimed property held by the Holder. TSG achieves success through a cooperative and professional approach to performing audits. We look forward to providing these same services to the Nevada Unclaimed Property Division.

3.1.10 Provide a brief description of the length of time vendor has been providing services described in this RFP to the public and/or private sector.

3.1.11 Financial information and documentation to be included in accordance with ***Section 8.5, Part III – Confidential Financial Information***.

3.1.11.1	Dun and Bradstreet Number	***078441258***
3.1.11.2	Federal Tax Identification Number	***45-4972602***

3.1.11.3 The last two (2) years of audited financial statements.

Financial Statements provided in Part III per RFP 3527, please see PART III – Confidential Financial Information of NevadaEPro submission. Audited financials will be commissioned upon contract award.

3.2 SUBCONTRACTOR INFORMATION

Subcontractors are defined as a third party, not directly employed by the contractor, who shall provide services identified in this RFP. This does not include third parties who provide support or incidental services to the contractor.

3.2.1 Does this proposal include the use of subcontractors?

Yes		No	**X**

TSG does not currently subcontract nor do we anticipate utilizing subcontractors during the term of this contract. TSG has not used subcontractors in connection with any client state contract in the past, nor does it anticipate the need to hire subcontracts to fulfill the requirements of a potential contract with the State of Nevada.

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3.3 BUSINESS REFERENCES

Reference #:	1		
Company Name:	South Dakota State Treasurer's Office		
X	***VENDOR***		***SUBCONTRACTOR***
Project Name:	UP Auditing		
Primary Contact Information			
Name:		Rich Sattgast	
Street Address:		500 E. Capitol Ave	
City, State, Zip		Pierre, SD 57501	
Phone, including area code:		605-773-3378	
Email address:		treasurer@state.sd.us	
Reference #:	2		
Company Name:	Nebraska State Treasurer's Office		
X	***VENDOR***		***SUBCONTRACTOR***
Project Name:	UP auditing		
Primary Contact Information			
Name:		Meaghan Aguirre	
Street Address:		809 P St	
City, State, Zip		Lincoln, NE 68508	
Phone, including area code:		402-471-1089	
Email address:		Meaghan.aguirre@nebraska.gov	
Reference #:	3		
Company Name:	Arkansas State Treasurer's Office		
X	***VENDOR***		***SUBCONTRACTOR***
Project Name:	UP Auditing		
Primary Contact Information			
Name:		Josh Wood	
Street Address:		PO Box 251920	
City, State, Zip		Little Rock, AR 72225	
Phone, including area code:		501-371-2103	
Email address:		Josh.wood@auditor.ar.gov	

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Reference #:	4		
Company Name:	Texas State Treasurer's Office		
X	***VENDOR***		***SUBCONTRACTOR***
Project Name:	UP auditing		
Primary Contact Information			
Name:		Matthew Angus	
Street Address:		111 East 17th Street	
City, State, Zip		Austin, TX 78701	
Phone, including area code:		512-463-5225	
Email address:		Matthew.Angus@cpa.texas.gov	

References have received Attachment E, Reference Questionnaire and responses have been forwarded directly to the designated contact per RFP 3527.

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Section VII

Proposed Staff Resumes

PROPOSED STAFF RESUME FOR RFP 3527

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***Treasury Services Group, LLC***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Shane Osborn***	**Key Personnel: (Yes/No)**	***Yes***
Individual's Title	***CEO***		
# of Years in Classification:	***11***	**# of Years with Firm:**	***7***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

- **Founder and majority owner of the only Service Disabled Veteran Owned Small Business in the Unclaimed Property Industry**
- **Responsible for the success of acquiring 39 unclaimed property contracts awarded by state governments**
- **Work has resulted in the identification of more than $331,000,000 worth of unreported unclaimed property for client States in the past 3 years.**
- **Member of NAUPA**

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the contract/project and details of contract/project.

Nebraska State Treasurer 2007-2011
SilverStone Group, Managing Director 2005-2012

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

Insert here the requested educational information.

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

- **National Association of Unclaimed Property Administrators-President (2009), Vice President (2008)**
- **Nebraska Soldiers Foundation, Founder and Chairman**
- **Navy SEAL Family Foundation, Board Member**

REFERENCES

A minimum of three (3) references are required, including name, title, organization, phone number, fax number and email address.

Will be provided upon specific request

PROPOSED STAFF RESUME FOR RFP 3527

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***Treasury Services Group, LLC***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Alex Kauffman***	**Key Personnel: (Yes/No)**	***Yes***
Individual's Title	***President***		
# of Years in Classification:	***11***	**# of Years with Firm:**	***7***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

- **Coordinate multi-state audits of regional and national holders to enforce unclaimed property compliance**
- **Integral contributor to the acquisition of 39 state unclaimed property auditing contracts**
- **Personally supervises the day-to-day staff conduct of hundreds of unclaimed property audits of holders in every industry, including several of the largest corporations in the nation**
- **Work has resulted in the identification of more than $331,000,000 worth of unreported unclaimed property for client states in the past 3 years**
- **Work with States to identify unclaimed property holders**
- **Work with holders to file future reporting to meet Unclaimed Property Laws**
- **Report all unclaimed property using NAUPA format files**

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the contract/project and details of contract/project.

Nebraska State Treasurer – Deputy Treasurer 2007-2010

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

Cedarville University, Bachelor of Arts

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

- **Senate Republican Conference, Communications Manager**
- **Office of U.S. Senator Rick Santorum, Staff Assistant**
- **The Leadership Institute, Field Coordinator**

REFERENCES

A minimum of three (3) references are required, including name, title, organization, phone number, fax number and email address.

Will be provided upon specific request

PROPOSED STAFF RESUME FOR RFP 3527

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***Treasury Services Group, LLC***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Avalina Buikema***	**Key Personnel: (Yes/No)**	***Yes***
Individual's Title	***Audit Manager***		
# of Years in Classification:	***18***	**# of Years with Firm:**	***10***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

- **Manage experienced auditors to identify under-reporting and non-reporting holders**
- **Experience in the interpretation of State statutes**
- **Examine bank statements, escrow/trust accounts, and general ledger accounts to identify unreported property**
- **Interpret various state statutes and report findings to State Unclaimed Property Departments**
- **Proficient in all areas of Microsoft Office and various accounting software**
- **Experience in oral presentations, interpretation of statutes and ability to work with all levels of management**
- **Supervisory experience, excellent accounting, and written communication skills**

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the contract/project and details of contract/project.

Abandoned Property Experts, Senior Auditor
State of Nevada DOT Auditor 2004-2007
Skagen Designs Senior Accountant 2003

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

B. S. in Business Administration, Major Accounting University of Nevada, Reno

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

REFERENCES

A minimum of three (3) references are required, including name, title, organization, phone number, fax number and email address.

Will be provided upon specific request

PROPOSED STAFF RESUME FOR RFP 3527

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***Treasury Services Group, LLC***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Diana Pugh***	**Key Personnel: (Yes/No)**	***Yes***
Individual's Title	***Senior Auditor***		
# of Years in Classification:	***24***	**# of Years with Firm:**	***5***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

- **Completes research of audit targets through corporate annual reports for unclaimed property**
- **Conducts opening conference calls with holders**
- **Receives and analyzes large quantities of financial data including bank statements, internal reports, journal entries, and general ledger details**
- **Develops records requests**
- **Supervises junior staff to develop preliminary findings**
- **Researches State Laws and develops correspondence with holders and States on legal and regulator matters**
- **Presents audit findings and statutory remediation and due diligence requirements**
- **Works with the data team to create NAUPA files and audits closing documents**

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the contract/project and details of contract/project.

State of Nevada Auditor 1994-2013

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

Morrison College - B.A. Accounting and Business Administration

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

REFERENCES

A minimum of three (3) references are required, including name, title, organization, phone number, fax number and email address.

Will be provided upon specific request

PROPOSED STAFF RESUME FOR RFP 3527

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***Treasury Services Group, LLC***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Alexander Curcio***	**Key Personnel: (Yes/No)**	***Yes***
Individual's Title	***Senior Auditor***		
# of Years in Classification:	***15***	**# of Years with Firm:**	***1***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

- **Completes research of audit targets through corporate annual reports for unclaimed property**
- **Conducts opening conference calls with holders**
- **Receives and analyzes large quantities of financial data including bank statements, internal reports, journal entries, and general ledger details**
- **Develops records requests**
- **Supervises junior staff to develop preliminary findings**
- **Researches State Laws and develops correspondence with holders and States on legal and regulator matters**
- **Presents audit findings and statutory remediation and due diligence requirements**
- **Works with the data team to create NAUPA files and audits closing documents**

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the contract/project and details of contract/project.

Conduent Audit Manager 2003-2017

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

BS in Business Administration/Accounting - Merrimack College

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

Client/Server Development Certificate Program - Boston University
Computer Career Programs - Boston University

REFERENCES

A minimum of three (3) references are required, including name, title, organization, phone number, fax number and email address.

Will be provided upon specific request

PROPOSED STAFF RESUME FOR RFP 3527

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***Treasury Services Group, LLC***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Marlene Ward***	**Key Personnel: (Yes/No)**	***Yes***
Individual's Title	***Operations Manager***		
# of Years in Classification:	***10***	**# of Years with Firm:**	***4***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

- **Corporate Executive responsible for the vision and leadership to ensure organizational effectiveness, implementation of strategic plans, policies, and practices**
- **Utilizes necessary resources to deliver optimal service to client states**
- **Maintains state contracts and arranges for renewal executions**
- **Prepares and sends all RFPs**
- **Maintains and promotes the consulting service and manages processes related to tax, insurance policies, business structure, and growth**
- **Researches prime audit targets and prepares holder profiles for client state participation**
- **Consults with Senior Audit Manager on the progress of on-going audits, potential conflicts, and state contracts**
- **Coordinates with lead staff on audit closings, preparation of report filings, receipts, payments, and delivery of packages to client states**
- **Represents the company at meetings and pre-bid conferences**

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the contract/project and details of contract/project.

USDA Office Manager and Rural Housing Officer
SMSD – School District Assistant Administrator and Teacher 2009-2014
Beneficial Mortgage Corp Branch Manager 1991-1999

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

BS - Old Dominion University, Norfolk, VA 1991

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

Selected to represent PA State at the York Housing Summit
Selected to serve on annual State Meeting Planning Committee
Selected to serve on National Office's TNT Housing Training Committee
Appointed district representative for Manager Advisory Committee

REFERENCES

A minimum of three (3) references are required, including name, title, organization, phone number, fax number and email address.

Will be provided upon specific request

PROPOSED STAFF RESUME FOR RFP 3527

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***Treasury Services Group, LLC***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Mary Celentani***	**Key Personnel: (Yes/No)**	***Yes***
Individual's Title	***Client State Relationship Manager***		
# of Years in Classification:	***19***	**# of Years with Firm:**	***4***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

- **Serves as client relationship manager, ensuring clients receive new audit proposals, and monthly, electronic updates of all authorized audits, and new audit proposals**
- **Monitors contract status and respond to contract-related inquiries by client states**
- **Researches statutory unclaimed property issues as requested by auditing staff and corporate principals**

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the contract/project and details of contract/project.

Office of Wisconsin Treasury, administrator 199-2013

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

Bryant & Stratton Business College, Business Management

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

Supplemental employment-related coursework: Lakeland College; Madison College
Federal Bureau of Investigation; Wisconsin Department of Criminal Investigation

REFERENCES

A minimum of three (3) references are required, including name, title, organization, phone number, fax number and email address.

Will be provided upon specific request

PROPOSED STAFF RESUME FOR RFP 3527

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***Treasury Services Group, LLC***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Rick Gonzales***	**Key Personnel: (Yes/No)**	***Yes***
Individual's Title	***Report Manager***		
# of Years in Classification:	***5***	**# of Years with Firm:**	***5***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

- **Implements redesign of the package submitted to client States at the end of audit**
- **Develops and implements internal data control, persistence, and retention strategy**
- **Assists in training new auditors with required technology**
- **Participates in on-call hardware/software support**
- **Handles all data processing for auditors**
- **Responsible for final NAUPA report generations as well as client invoicing**

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the contract/project and details of contract/project.

Technology Engineer, Production 2008-2013

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

REFERENCES

A minimum of three (3) references are required, including name, title, organization, phone number, fax number and email address.

Will be provided upon specific request

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Section VIII

Other Informational Material – Sample Reports

Exhibit A – Customized WIP Report

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JANUARY 2018 WORK IN PROGRESS REPORT

A=Active H=On Hold	Holder	Audit ID	State of Inc	FEIN	Transfer Agent	Address	Contact Person	Audit Type	Audit Period	Voluntary Involuntary	SCO Notified	SCO Approval Date	Start Date	Advocate	Opening Conference Date	Last Contact Date	Status	Records Pending from Holder	Fieldwork Completion Date	Final Findings Submitted to Holder	Percentage Completed	Estimated Completion
A	XXX	10915	DE	XXX	private	XXX	Sherice Bench, 7211 Circle S Rd, Austin TX 78745 ph 512.444.0571	G/L	01/01/04-12/31/16	Involuntary	08/16/17	08/23/17	08/01/17	RSM		01/17/18	Received contact from the holder's advocate. Sent initial Record Request.	Trial balances, chart of account, narrative responses			10%	unknown
H	XXX	10561	DE	XXX	Computershare Trust	XXX	Brian Olsavsky, 410 Perry Avenue North Seattle, WA 98109 ph 888-280-4331	Full Scope	2007-20016	Involuntary	11/7/2016	12/28/2016	08/01/16	Bailey Cavalieri		03/09/17	Audit initiated. Holder is in dispute with States on right to use third-party auditors.				0%	unknown
A	XXX	10917	DE	XXX	Citibank Shareholder Services	XXX	John Brett, 1 S Dearborn St, 19th FL, Chicago IL 60603 ph 312.899.3985	Full Scope	01/01/04-12/31/16	Involuntary	8/16/2017	8/23/2017	08/01/17	Crowe Howrath LLP	12/22/17	01/18/18	Opening conference call revealed there are two separately authorized audits notices at the same time with duplicate states. Must be sorted out prior to provision of data. Preliminary data was due 11/27/17.	Finalizing the NDA. 4 of the 6 states have been resolved and will be included in the TSG audit. Waiting for Scoping documents and narrative responses.			10%	unknown
A	XXX	10710	DE	XXX	unknown	XXX	Thomas Bessant, 690 E Lamar Blvd, #400, Arlington, TX 76011 ph 817.335.1100	G/L	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17	Crowe Howarth LLP	02/23/17	01/11/18	Conference call on 1/11/18. Records to be provided by 2/1/18.	Trial balance, chart of accounts, procedures, reporting history			10%	early 2018
A	XXX	10711	DE	XXX	American Stock Transfer Trust	XXX	Eric Dey, 5445 Triangle Parkway, Suite 400, Norcross, GA 30092 ph 770.449.0479	Full Scope	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17		03/28/17	1.4.18	Holder has Record Request with revised due date 2/28/18. Holder continues to provide remediation docs.	Waiting for void check report, bank recons and outstanding check lists. Remediation for preliminary schedules.			30%	early 2018
A	XXX	10712	DE	XXX	American Stock Transfer Trust	XXX	Raymond Winborne, 14455 N Hayden Rd, Scottsdale AZ 85260 ph 480.505.8800	Full Scope	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17		03/14/17	01/22/18	Records Request III was sent to holder on 11/15/17; due 12/15/17. On 12/1/17 holder informed that there may be a delay because of the amount of information requested. Followed up with holder on 1/22/18, holder to provide documentation week of 1/29/18	Outstanding Check Listings for all Operational Disbursement Accounts			30%	early 2018
A	XXX	10713	DE	XXX	private	XXX	Jeff Maddox, 1300 Gezon Parkway SW, Wyoming, MI 49509 ph 616.530.7000	G/L	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17		02/13/17	12/22/17	Completed review of information received. Currently drafting follow up questions.				20%	early 2018
A	XXX	10565	DE	XXX	unknown	XXX	Darcy Mott, 15 W Scenic Pointe Dr., Suite 100, Draper, UT 84020 ph 801.72.1000	G/L	2007-20016	Involuntary	11/7/2016	12/28/2016	08/01/16	Marketsphere	09/15/16	01/22/18	Received information requested. Audit to review.				20%	unknown
A	XXX	10714	MD	XXX	Computershare Trust	XXX	Louis Bowers, 200 Randolph Dr. Chicago, IL 60601 ph 312.782.7288	Full Scope	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17		03/14/17	12/13/17	Audit currently reviewing documentation.	Trial balance, UCP Reports			30%	early 2018
A	XXX	10715	FO	XXX	N/A	XXX	Arthur Lindhlum, 620 Rue Cathcart #900 Montreal, QC H3B IMI, Canada	G/L	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/20/16		04/16/16	09/28/17	Holder claims that they are a Canadian company not subject to State UP laws.				0%	unknown
A	XXX	10716	DE	XXX	unknown	XXX	Douglas Jeffries, 60 E Rio Salado Parkway, # 400, Tempe, AZ 85281 ph 480.682.5100	Full Scope	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17	Ernest & Young	02/28/17	1.9.18	Change of primary contact. Holder has engaged Advocate, Ernst & Young. Holder has provided significant records. In the review process.	Supporting documentation for Preliminary Findings, G/L details for selected accounts, voided check report, UCP database, and banking documents . Developing the Record Request and revised preliminary schedules.			40%	unknown
A	XXX	8430	NC	XXX	American Stock Transfer Trust	XXX	James Nickolas CFO, One International Pl, 100 Oliver St #1800, Boston, MA 02110 ph 919.781.4550	Full Scope	7/1.02--6/30/12	Involuntary	Jun-17	7/1/2017					No response from holder yet				0%	
A	XXX	10571	UT	XXX	unknown	XXX	Bernard Birkett, 1600 W Merit Pkwy, South Jordan, UT 84095 ph 801.253.1600	G/L	7/1/05--6/30/15	Involuntary	Jun-17	7/1/2017		Bailey Cavalieri		01/17/18	Holder's advocate says that they are awaiting the States' responses to their letter				10%	unknown
A	XXX	10717	DE	XXX	unknown	XXX	Robert Thomson, 1211 Ave of the Americas, New York, NY 10036 ph 212.416.3400	G/L	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17		02/24/17	12/04/17	Agreed to extend Record Request deadline to 1/31/18.	Trial balances, procedures, reporting history			10%	early 2018
A	XXX	10717	DE	XXX	Computershare Trust	XXX	Alain Genouw, 400 Renaissance Center, Detroit, MI 48265 ph 313-667-6846	Full Scope	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17		05/09/17	01/17/18	Sent second series of records request to holder, due in February.	Account detail and bank statements			30%	early 2018
A	XXX	9616	DE	XXX	Computershare Trust	XXX	Robert Hughes, 799 W Collseum Way, Midvale, UT 84121 ph 801.947.3100	Full Scope	1/1/04-12/31/16	Involuntary	Jun-17	7/1/2017	02/01/17		05/23/17	01/22/18	Records provided by Holder and in review process. Preparing initial document request and preliminary schedule.	Remediation documents. Information about voided checks, misc income accounts, banking docs, payroll, escheat database, and GL details.			40%	unknown
A	XXX	10720	MO	XXX	private	XXX	Brent Stottlemyre, One Premier Drive, Fenton, MO 63026 ph 636.305.5000	G/L	1/1/04-12/31/16	Involuntary	1/26/2017	1/26/2017	01/30/17		09/22/17	01/18/18	Completed review of information received. Sent follow up questions to holder				20%	unknown
A	XXX	10924	FL	XXX		XXX	Ira Birns, 9800 NW 41st St, Miami, FL 33178 ph 305.428.8000	Full Scope	01/01/04-12/31/16	Involuntary	8/16/2017	08/21/17	08/01/17	Reed Smith		01/17/18	Signed NDA. Opening conference to be scheduled soon. Holder says they will be transmitting initial records soon.	Scoping documents and narrative responses.			10%	unknown
	Closed Audits																					
						85 Broad St,																

Exhibit A - Non-Customized Sample WIP Report

TSG TREASURY SERVICES GROUP

JANUARY 2018 WORK IN PROGRESS REPORT

A=Active H=On Hold	Holder	State of Inc	FEIN	Holder Address	Audit Type	Voluntary Involuntary	Start Date	Advocate	Opening Conference Date	Last Contact Date	Status	Records Pending from Holder	Final Findings Submitted to Holder	Percentage Completed	Estimated Completion
A	XXX	DE		XXX	G/L	Involuntary	08/01/17	RSM		01/17/18	Received contact from the holder's advocate. Sent initial Record Request.	Trial balances, chart of account, narrative responses.		10%	unknown
H	XXX	DE		XXX	G/L	Involuntary	08/01/16	Bailey Cavalieri		03/09/17	Audit initiated. Holder is in dispute with States on right to use third-party software.			0%	unknown
A	XXX	DE		XXX	G/L	Involuntary	08/01/17	Crowe Horwath, LLP	12/22/17	01/18/18	Opening conference call revealed there are two separately authorized audits notices at the same time with duplicate states. Must be sorted out prior to provision of data. Preliminary data was due 11/27/17.	Finalizing the NDA. 4 of the 6 states have been resolved and will be included in the TSG audit. Waiting for Scoping documents and narrative responses.		10%	unknown
A	XXX	CA		XXX	G/L	Involuntary	08/01/17			01/11/18	Holder has made contact. Requested time to retain advocate before opening conference call.			0%	unknown
A	XXX	NY		XXX	G/L	Involuntary	01/30/17		04/10/17	01/12/18	Received initial records and developing detailed Record Request.			20%	mid 2018
A	XXX	NV		XXX	G/L	Involuntary	08/18/16		10/05/16	01/22/18	Holder has two subsidiaries. Remediation documents pending on Memo Financial. Reviewing records on Unidos/Tempo.	Remediation documents.		60%	early 2018
A	XXX	OR		XXX	G/L	Involuntary	08/01/17	Ryan	10/24/17	01/17/18	Addressing sample results with holder.	Sample documentation		50%	unknown
A	XXX	DE		XXX	G/L	Involuntary	01/30/17	Ernst & Young	05/17/17	12/06/17	Records provided by Holder and in review process. Preparing Record Request and preliminary schedule.	Requesting GL details, banking docs, Net credit balances, UCP database, explanations about company activities in order to determine inclusion or exclusion in audit.		10%	unknown
A	XXX	DE		XXX	G/L	Involuntary	01/30/17	Crowe Howarth	02/23/17	01/11/18	Conference call on 1/11/18. Records to be provided by 2/1/18.	Trial balance, chart of accounts, procedures, reporting history.		10%	mid 2018
A	XXX	DE		XXX	G/L	Involuntary	01/30/17		03/28/17	1.4.18	Holder has Record Request with revised due date 2/28/18. Holder continues to provide remediation docs.	Waiting for void check report, bank recons and outstanding check lists. Remediation for preliminary schedules.		30%	early 2018
A	XXX	DE		XXX	G/L	Involuntary	08/01/16	Alston and Bird	06/01/16	01/17/18	Sent settlement agreement to States, awaiting signatures from about half of States.		09/17/17	90%	early 2018
A	XXX	DE		XXX	G/L	Involuntary	01/30/17		03/14/17	01/22/18	Records Request III was sent to holder on 11/15/17; due 12/15/17. On 12/1/17 holder informed that there may be a delay because of the amount of information requested. Followed up with holder on 1/22/18, holder to provide documentation week of 1/29/18.	Outstanding Check Listings for all Operational Disbursement Accounts		30%	early 2018
A	XXX	DE		XXX	G/L	Involuntary	01/30/17		02/13/17	12/22/17	Completed review of information received. Currently drafting follow up questions.			20%	mid 2018
A	XXX	DE		XXX	G/L	Involuntary	08/01/16	Marketsphere	09/15/16	01/22/18	Received information requested. Audit in review.			20%	unknown
A	XXX	MD		XXX	G/L	Involuntary	01/30/17		03/14/17	12/13/17	Audit currently reviewing documentation.	Trial balance, UCP Reports		30%	mid 2018
A	XXX	FO		XXX	G/L	Involuntary	01/20/16		04/16/16	09/28/17	Holder claims that they are a Canadian company not subject to State UP laws.			0%	unknown
A	XXX	DE		XXX	G/L	Involuntary	01/30/17	Ernest & Young	02/28/17	1.9.18	Change of primary contact. Holder has engaged Advocate, Ernst & Young. Holder has provided significant records. In the review process.	Supporting documentation for Preliminary Findings, G/L details for selected accounts, voided check report, UCP database, and banking documents . Developing the Record Request and revised preliminary schedules.		40%	unknown
A	XXX	DE		XXX	G/L	Involuntary	07/30/14	Mike Rato	09/24/14	10/10/17	Trial scheduled for late 2018			90%	unknown
A	XXX	DE		XXX	G/L	Involuntary	08/01/17	Ryan	12/06/17	01/22/18	Some records received.	Bank records and liability accounts.		10%	unknown
A	XXX	DE		XXX	G/L	Involuntary	01/30/17		02/24/17	12/04/17	Agreed to extend Record Request deadline to 1/31/18.	Trial balances, procedures, reporting history		10%	mid 2018
A	XXX	DE		XXX	G/L	Involuntary	01/30/17		05/09/17	01/17/18	Sent second series of records request to holder, due in February.	Account detail and bank statements		30%	unknown
A	XXX	DE		XXX	G/L	Involuntary	02/01/17		05/23/17	01/22/18	Records provided by Holder and in review process. Preparing initial document request and preliminary schedule.	Remediation documents. Information about voided checks, misc income accounts, banking docs, payroll, escheat database, and GL details.		40%	unknown
A	XXX	AZ		XXX	G/L	Involuntary	08/01/17		10/10/17	01/24/18	Sent introductory email. Change of auditor. Finalizing review of initial records and preparing the Record Request.			20%	unknown
A	XXX	DE		XXX	G/L	Involuntary	08/01/16	UPCR	09/16/16	01/22/18	Conference call with holder and advocate on 1/22/18. Holder has preliminary findings for subsidiary Harry Fox Agency. Pending additional records for other subsidiaires.	Pending records for SESAC, Rumblefish, CCLI subsidiaries.		60%	mid 2018
A	XXX			XXX	G/L	Involuntary	08/01/17		10/06/17	01/08/18	Received initial records and developing detailed Record Request.			10%	unknown
A	XXX	DE		XXX	G/L	Involuntary	08/01/16		09/16/16	01/24/18	Holder has Record Request for Sterling and Zale audits. Due date was 11/10/17. They have indicated they are too busy for the audit. Have indicated maybe March 2018. Auditor asked for partial data to be provide by end of January 2018	Information about subsidiares, credit card and gift card reports and terms and conditions, escheat database, bank docs, AR reports and AP reports. Misc income account details.		10%	mid 2018
A	XXX			XXX	G/L	Involuntary	08/01/17	UPCR	10/03/17	01/22/18	Records past due.	Trial balance, organizational chart		10%	unknown

A	XXX	MO	XXX	XXX	G/L	Involuntary	01/30/17		09/22/17	01/18/18	Completed review of information received. Sent follow up questions to holder			20%	unknown														
A	XXX	FL	XXX	XXX	G/L	Involuntary	08/01/17	Reed Smith		01/17/18	Signed NDA. Holder says they will be transmitting initial records soon.	Scoping documents and narrative responses.		10%	unknown														
A	XXX	CA	XXX	XXX	G/L	Involuntary	08/01/16	Keane Groun	10/06/16	12/14/17	Due diligence being performed with due date 1/29/18.	Copies of Due Diligence letters.		90%	early 2010														

Exhibit B
Sample Due Diligence Letter
By Holder For
State of Nevada

Date

Owner Name
Owner Address

RE: Account:
Balance $
Property Type

Dear Owner

We are holding unclaimed property with a value of at least $50 for the person listed above. The owner may claim this property by contacting us at the address or phone number listed below.
Holder Information: Company Name
Address
Phone #

Failure to respond by (insert the last day property will be available for refund), will result in property being remitted to Nevada Unclaimed Property by October 31st (April 30th for all insurance entities). After that date, the owner may contact the state where the property will be held in perpetuity and can be rightfully claimed.

Sincerely,

Company's Contact Person's Name

Exhibit B

Holder Due Diligence
Sample Letter

UNDER TEXAS STATE LAW, WE MAY BE REQUIRED TO DELIVER THIS PROPERTY TO THE TEXAS COMPTROLLER OF PUBLIC ACCOUNTS, ON OR BEFORE JULY 1 IF THE PROPERTY IS NOT CLAIMED

May 8, 20XX **Certified Mail ID#: 7012 3460 0000 6616 9874**

Owner # XXX
Address

RE: Unclaimed Property

Dear Interest Owner:

XXX is holding oil and/or gas income for the above-referenced owner in suspense. The funds may be held in. suspense for various reasons: bad address, death of intended recipient (in which case Encana would need estate/transfer information), lack of Social Security/Tax Identification number, un-cashed checks, etc.

Please be advised that we are obligated to submit unclaimed revenue to the appropriate state after a specified period of time (according to the regulations of each state) under the Uniform Disposition of Unclaimed Property Act. TO AVOID THESE FUNDS BEING REMITTED TO THE STATE, upon receipt of this letter, please contact us in writing at XXX before XXX to resolve this matter. Please return this letter with the following information as requested:

Should we need to reach you by telephone, please provide the following number(s) where you wish to be contacted:

Home Phone: Work Phone: Cell Phone:

Upon receipt of your letter, we will attempt to resolve this issue within 90 days. Please sign and date your response below. Your assistance is greatly appreciated. Please feel free to contact our Owner Relations Hotline at 866-xxx-xxxx should you have further questions.

Sincerely,

Exhibit C - Insurance Certificate

TREASER-01 52 MARK

ACORD

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY) 03/16/2018

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER
Wirtz Insurance Agency, Inc.
680 N Lake Shore Drive
Suite 1900
Chicago, IL 60611

CONTACT NAME:
PHONE (A/C, No, Ext): (312) 943-7000 FAX (A/C, No): (312) 337-7045
E-MAIL ADDRESS: info@wirtzinsurance.com

INSURER(S) AFFORDING COVERAGE	NAIC #
INSURER A : Sentinel Ins Company Ltd	11000
INSURER B : Hiscox Insurance Company	
INSURER C : United States Liability Insurance Company	
INSURER D :	
INSURER E :	
INSURER F :	

INSURED
Treasury Services Group, LLC
215 S. George Street
York, PA 17401

COVERAGES **CERTIFICATE NUMBER:** **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	X COMMERCIAL GENERAL LIABILITY						EACH OCCURRENCE	$ 2,000,000
	CLAIMS-MADE / X OCCUR			83SBAIM1223	07/11/2017	07/11/2018	DAMAGE TO RENTED PREMISES (Ea occurrence)	$ 1,000,000
							MED EXP (Any one person)	$ 10,000
							PERSONAL & ADV INJURY	$ 2,000,000
	GEN'L AGGREGATE LIMIT APPLIES PER:						GENERAL AGGREGATE	$ 4,000,000
	POLICY / PRO-JECT / LOC						PRODUCTS - COMP/OP AGG	$ 4,000,000
	OTHER:							$
A	AUTOMOBILE LIABILITY						COMBINED SINGLE LIMIT (Ea accident)	$ 2,000,000
	ANY AUTO			83SBAIM1223	07/11/2017	07/11/2018	BODILY INJURY (Per person)	$
	OWNED AUTOS ONLY / SCHEDULED AUTOS						BODILY INJURY (Per accident)	$
	X HIRED AUTOS ONLY / X NON-OWNED AUTOS ONLY						PROPERTY DAMAGE (Per accident)	$
								$
A	X UMBRELLA LIAB / X OCCUR						EACH OCCURRENCE	$ 1,000,000
	EXCESS LIAB / CLAIMS-MADE			83SBAIM1223	07/11/2017	07/11/2018	AGGREGATE	$ 1,000,000
	DED / X RETENTION $ 10,000							$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY						PER STATUTE / OTH-ER	
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? Y / N (Mandatory in NH)	N / A					E.L. EACH ACCIDENT	$
	If yes, describe under DESCRIPTION OF OPERATIONS below						E.L. DISEASE - EA EMPLOYEE	$
							E.L. DISEASE - POLICY LIMIT	$
B	Crime			UC22054081.17	09/13/2017	07/11/2018		5,000,000
C	Professional Liab.			SP 1560315A	07/16/2017	07/11/2018		3,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)
The State of Nevada shall be named as an additional insured with respect to liability arising out of the activities performed by, or on behalf of the Contractor

CERTIFICATE HOLDER

State of Nevada
515 E Musser St
Suite 300
Carson City, NV 89701

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE
Mark Rogina

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