State of Rhode Island and Providence Plantations

BOARD of ELECTIONS

CAMPAIGN FINANCE DIVISION 50 Branch Avenue, Providence Rhode Island 02904 RHODE ISLAND BOARD OF ELECTIONS

11 APR - 1 AM 10: 10

AFFIDAVIT OF STATE VENDOR

UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

TEL (401) 222-2345

Statement Under Oath of Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information

1. Name, address and telphone number of person making uns	amuavit
MS. Deborah t Faulkner	
Name of Person Making this Affidavit	
12 vialls drive	
Address1	
Address2	
barrington, ri 02806	
City State Zip	
401 245-1653	
Phone	
writing within the 24 month period preceding the date of notic contributed an aggregate amount of more than \$250 within a any member of the general assembly or candidate for general party, or business entity on behalf of a related party, or a relating (i.e. January 1 to June 30 or July 1 to December 31), you	act with the state agency, or with respect to the contracts that are not in fication that the contract has reached the \$5000 threshold, have you calendar year to any R.I. general officer, candidate for R.I. general office, assembly, or any R.I. political party? (includes an individual contracting ted party reporting on his/her own behalf) NOTE: If this is a semi-annual ou must report contributions made from the date of execution of the last
contract entered into during such semi-annual period to the da	ate which is 24 months prior to the first day of the same semi-annual period.

1 --- - f -- --- -- maleina this offidavit

Yes [x] No [] 3. If the answer to question 2 is "yes", provide the name of the R.I. general officer, candidate for R.I. general office, member of the general assembly or candidate for general assembly, or R.I. political party and the date and the amount of each contribution. List all contributins even if reported on a previously filed affidavit. However please indicate the previously reported contributions by the letter "PR" following the date of the contribution listed below. Relationship to Name of Contributor Amount of Name of Officer, Candidate or Political Date of Contracting Party Contribution Contribution Party 02/22/2011 4. What is the date of execution of the written contract requiring filing of this affidavit [Such contract must be filed with this affidavit] 02/22/2011 5. If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold? 6. If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the state agency involved, and the term or duration of such contract. If the term is indefinite, so state. 06/30/2011 **CONSULTANT SERVICES - HEALTH DBR Insurance Division** Contract Expire Date Goods / Services Agency 7. Is this affidavit made by you as an individual or on behalf of a business entity? Individual [] Business Entity [] 8. If on behalf of a business entity, what is the name and nature of the business entity?

Deborah Faulkner, dba Faulkner Consulting Group

<u>083708650</u>

Business Name

FEIN#

Corporation []

Partnership []

Sole Proprietorship []

Other Business Entity []

9. If "Other Business Entity" is checked above what is the nature of such business entity? Deborah Faulkner, doing business as Faulkner Consulting Group

10. Are you a	state vendor beca	ause you are the co	ntracting party	in a contract with	a state Yes [x] No	[]
11. If yes, wh	nat is the name of	the state agency to	which you are	providing goods	and/or services? DBR In	surance Division
12. If the answ	wer to question 10	0 is "no", are you a	state vendor b	ecause you are rel	ated to a contracting	Yes [] No [x]
13. If the ans	wer to question 12	2 is "yes", what is t	he nature of y	our relationship wi	th the contracting party?	
14. If you are	e a related party, p	provide the name ar	nd address of t	he contracting part	y and the state agency in	volved in such contract.
Name of C	Contracting Party		St	ate Agency		
Address1						
Address2						
City	:	State Zip				
•	~.	oarty, have you sur ons made by such re	•	•	this affidavit contain all	Yes [x] No []
		5 is "no", have you s affidavit if they h			equirements of the law are attributions?	nd Yes [x] No []
	swer to question 1 re of such relation		the names and	l addresses of relat	ed parties who might be	required to file this affidavit
Name		Addr	ess		Relations	ship
period and A contracting p this is a semi	LL state agencies party and do not his i-annual filing (i.e.) the last contract of	s? Include all contrave knowledge of a contract of the contrac	acts regarless of the information at 30 or July 1 t	of amount. If you n required by this of one of the office	are filing this affidavit as question, please so state l ou must report contribut	period between the contracting a party related to the by marking "Yes." NOTE: If ions made from the date of prior to the first day of the sam
	State Agency		Date of Contract	Amount of Contract	FEIN#	P.O. #
State of:	Total Gross A	mount:				
County of:				S	gnature of Person makin	g the Affidavit

Subscribed and sworn to or Affirmed before me, an official authorized to administer oaths in the jurisdiction where this affidavit was made, on this day of _

OFFICIAL SEAL JOANN C. MANGIONE NOTARY PUBLIC - RHODE ISLAND My Commission Expires 8-10-2013

Signature of Notary or Other Person Authorized to Administer Oaths

Printed Name of Notary or Other Person Authorized to Administer Oaths

Health Insurance Exchange Planning Project: Contract for Rhode Island Health Insurance Exchange Expertise

Contract between The Office of the Health Insurance Commissioner, "OHIC" and Faulkner Consulting Group, "FCG"

February 22, 2011

Background and Scope of Work

On March 23, 2010, President Obama signed the Patient Protection & Affordable Care Act (the ACA) into law The ACA requires states to implement a number of provisions intended to expand access to health insurance and improve the quality, comprehensiveness and affordability of coverage. Under this law, new health insurance marketplaces, called "exchanges", must be available in every state. OHIC has received a \$1 million federal planning grant to fully fund planning for an Exchange and assessing Rhode Island's options.

Under this contract, Faulkner Consulting Group, "FCG", will provide a Health Insurance Exchange expert, who will provide expertise to OHIC to draft and submit an application for Exchange establishment funding on behalf of Rhode Island The Health Insurance Exchange expert will work closely with OHIC staff to design and develop Rhode Island's application for Exchange establishment funds critical to meeting federal implementation deadlines for the ACA

Specific Services to be provided

- 1. Assist the State of Rhode Island in the successful planning, development, and submission of the federal funding application for Rhode Island's Health Insurance Exchange implementation
- 2. Provide expertise to OHIC and the Department of Human Services for the state of Rhode Island's Health Insurance Exchange planning process.
- 3. Provide other expertise and services for the Exchange planning process as identified by OHIC.

Term

This Agreement shall commence on February 28, 2011 and shall continue through June 30, 2011, unless otherwise terminated in accordance with the terms and conditions herein.

Payments

OHIC shall pay FCG for the Deliverables under this Agreement on a Time and Materials basis. The charge for this project shall be \$110 00 USD per hour Total payments for the period of this agreement shall not exceed \$20,000 FCG will provide services with the direction of the Office of the Health Insurance Commissioner.

Travel & Living Expenses

OHIC shall not be responsible for any Travel or Living Expenses incurred by FCG while performing the duties of this agreement unless otherwise agreed upon prior to incurring expenses.

Confidential Information

In the course of its work under this contract, FCG may come into contact with information in the possession of State Agencies, which they have deemed confidential and or proprietary. FCG shall not

feg contract project director v2

disclose this information to people other than state employees and authorized contractors with out the consent of the relevant state agency. All documents and information developed in the course of this work remain the property of the State of Rhode Island and shall not be disclosed to others without the consent of the relevant state agency,

Conflict of Interest

Title: President, FCG

FCG shall disclose to OHIC in writing in the event it becomes aware of any conflict of interest regarding its work under this contract.

Faulkner Consulting Group, FCG

Office of the Health Insurance
Commissioner, OHIC

By:

By:

By:

Printed Name: Deborah T. Faulkner

Printed Name: Christopher F. Koller

Title: <u>Health Insurance Commissioner</u>

Date: 2/11/11



Notice of Blanket Purchase Agreement

Page 1 of 1

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS ONE CAPITOL HILL PROVIDENCE RI 02908

DEBORAH T FAULKNER 12 VIALLS DR BARRINGTON, RI 02806

United States

CONSULTANT SERVICES - HEALTH INSURANCE EXCHANGE EXPERT - 2/28/11 -6/30/11

Award

Number 3220633

Effective Period: 28-FEB-11 - 30-JUN-11

DBR INSURANCE DIVISION 1511 PONTIAC AVENUE BLDG 69-2 CRANSTON,RI 02920 United States

25-FEB-11 Buyer: C Melillo Paid Shipping: Terms:

Vendor#

NET 30 38010

DOA CONTROLLER ONE CAPITOL HILL, 4TH FLOOR

. И О SMITH ST

PROVIDENCE,RI 02908

United States

	Department	Type of Requisition	Bid Number	Requisition Number
			N/A	
Line Item Item Description			Unit	Unit Price

		:	
1	APA-9891 2/28/11 - 6/30/11 HEALTH INSURANCE EXCHANGE EXPERT FOR OHIC PER ATTACHED AGREEMENT - NOT TO EXCEED \$20,000.00 - PAID AT \$1.00 FOR EVERY \$1.00 OF ALLOWABLE EXPENSE	Total	1

STATE PURCHASING AGENT

This Notice of Award/Purchase Order is issued in accordance with the specific requirements described herein and the State's Purchasing Regulations and General Conditions of Purchase, copies of which are available at www.purchasing.ri.gov. Delivery of goods or services as described herein shall be deemed acceptance of these requirements.

Contract Terms and Conditions

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Terms and Conditions

PURCHASE ORDER STANDARD TERMS AND CONDITIONS

TERMS AND CONDITIONS FOR THIS PURCHASE ORDER

PURCHASE AGREEMENT AWARD

THIS IS A NOTICE OF AWARD, NOT AN ORDER. Any quantity reference in the agreement or in the bid preceding it are estimates only and do not represent a commitment on the part of the state to any level of billing activity, other than for quantities or volumes specifically released during the term. No action is to be taken except as specifically authorized, as described herein under AUTHORIZATION AND RELEASE. ENTIRE AGREEMENT - This NOTICE OF AWARD, with all attachments, and any release(s) against it shall be subject to: (1) the specifications, terms and conditions set forth in the Request/Bid Number cited herein, (2) the General Terms and Conditions of Contracts for the State of Rhode Island and (3) all provisions of, and the Rules and Regulations promulgated pursuant to, Title 37, Chapter 2 of the General Laws of the State of Rhode Island. This NOTICE shall constitute the entire agreement between the State of Rhode Island and the Vendor. No assignment of rights or responsibility will be permitted except with the express written permission of the State Purchasing Agent or his designee. CANCELLATION, TERMINATION and EXTENSION - This Price Agreement shall automatically terminate as of the date(s) described under CONTRACT PERIOD unless this Price Agreement is altered by formal amendment by the State Purchasing Agent or his designee upon mutual agreement between the State and the Vendor.

AUTHORIZATION AND RELEASE

In no event shall the Vendor deliver goods or provide service until such time as a duly authorized release document is certified by the ordering Agency. A Direct Purchase Order (DPO) shall be created by the agency listing the items ordered, using the pricing and format set forth in the Master Blanket. All pricing shall be as described in the Master Blanket and is considered to be fixed and firm for the term of the Agreement, unless specifically noted to the contrary herein. All prices include prepaid freight. Freight, taxes, surcharges, or other additional charges will not be honored unless reflected in Master Blanket.

BLANKET PAYMENT

DELIVERY OF GOODS OR SERVICES AS REQUESTED BY AGENCY. PAYMENTS WILL BE AUTHORIZED UPON SUBMISSION OF PROPERLY RENDERED INVOICES NO MORE THAN MONTHLY TO THE RECEIVING AGENCY. ANY UNUSED BALANCE AT END OF BLANKET PERIOD IS AUTOMATICALLY CANCELLED.

CAMPAIGN FINANCE COMPLIANCE

EVERY PERSON OR BUSINESS ENTITY PROVIDING GOODS OR SERVICES AT A COST OF \$5000 CUMULATED VALUE IS REQUIRED TO FILE AN AFFIDAVIT REGARDING POLITICAL CAMPAIGN CONTRIBUTIONS WITH THE RI STATE BOARD OF ELECTIONS EVEN IF NO REPORTABLE CAMPAIGN CONTRIBUTIONS HAVE BEEN MADE. (RI GENERAL LAW 17-27) FORMS OBTAINED AT BOARD OF ELECTIONS, CAMPAIGN FINANCE DIVISION, 50 BRANCH AVENUE PROVIDENCE 02904 (401-222-2056).

ARRA SUPPLEMENTAL TERMS AND CONDITIONS

For contracts and sub-awards funded in whole or in part by the American Recovery and Reinvestment Act of 2009. Pub.L.No. 111-5 and any amendments thereto, such contracts and sub-awards shall be subject to the Supplemental Terms and Conditions For Contracts and Sub-awards Funded in Whole or in Part by the

American Recovery and Reinvestment Act of 2009. Pub.L.No. 111-5 and any amendments thereto located on the Division of Purchases website at www.purchasing.ri.gov."

TERMS AND CONDITIONS OF PRICING AGREEMENT

SCOPE AND LIMITATIONS - This Agreement covers requirements as described herein, ordered by State agencies during the Agreement Period. No additional or alternative requirements are covered, unless added to the Agreement by formal amendment by the State Purchasing Agent or his designee.

Under State Purchasing Law, 37-2-54, no purchase or contract shall be binding on the state or any agency thereof unless approved by the department [of administration] or made under general regulations which the chief purchasing officer may prescribe. Under State Purchasing Regulation 8.2.1.1.2, any alleged oral agreement or arrangements made by a bidder or contractor with any agency or an employee of the Office of Purchases may be disregarded and shall not be binding on the state.

PRODUCT ACCEPTANCE - All merchandise offered or otherwise provided shall be new, of prime manufacture, and of first quality unless otherwise specified by the State. The State reserves the right to reject all nonconforming goods, and to cause their return for credit or replacement, at the State's option.

- a) Failure by the state to discover latent defect(s) or concealed damage or non-conformance shall not foreclose the State's right to subsequently reject the goods in question.
- b) Formal or informal acceptance by the State of non-conforming goods shall not constitute a precedent for successive receipts or procurements.

Where the vendor fails to cure the defect promptly or replace the goods, the State reserves the right to cancel the Release, contract with a different vendor, and to invoice the original vendor for any differential in price over the original contract price.

ORDER AUTHORIZATION AND RELEASE AGAINST PRICING AGREEMENT

In no event shall the Vendor deliver goods or provide service until such time as a duly authorized release document is certified by the ordering Agency.

State Agencies shall request release as follows: All releases shall reference the Price Agreement number, the Contract Issue number, the item(s) covered, and the unit pricing in the same format as described herein.

A Department Purchase Order (DPO) listing the items ordered shall be created by the agency. The agency may mail or fax a copy of the order to the Vendor. In some cases the agency may request delivery by telephone, but must provide the Vendor with a DPO Order Number reference for billing purposes. Vendors are encouraged to require written orders to assure payments are processed accurately and promptly.

DELIVERY If this is an MPA, Vendor will obtain "ship to" information from each participating agency. This information will be contained in the DPO. APA delivery information will be contained in the Notice of Award.

PRICING - All pricing shall be as described herein, and is considered to be fixed and firm for the term of the Agreement, unless specifically noted to the contrary herein. All prices include prepaid freight. Freight, taxes, surcharges, or other additional charges will not be honored unless reflected herein.

INVOICING All invoices shall reference the DPO Order Number(s), Price Agreement number, the Contract Issue number, the item(s) covered, and the unit pricing in the same format as described herein. If this is an MPA, Vendor will obtain "bill to" information from each participating agency. This information will be contained in the DPO. APA billing information will be contained in the Notice of Award.

<u>PAYMENT</u> - Invoices for items not received, not priced according to contract or for work not yet performed will not be honored. No payment will be processed to any vendor for whom there is no IRS W-9 on file with the State Controller.

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

BOARD OF ELECTIONS

CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Provid

50 Branch Avenue, Providence, Rhode Island 02904 RHODE ISLAND
BOARD OF ELECTIONS
TEL. (401) 222-2056 [TDD: 222-2239]

EL. (401)222-2056 [TDD: 222-2239]

AFFIDAVIT OF STATE VENDOR 20

2011 JUL 29 PM 1: 19

UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

Instructions:

Every person or business entity contracting with a state agency on or after July 27, 1993 to sell goods and services (contracting party) is deemed to be a "state vendor". Also deemed to be a "state vendor" is (a) a person having a 10% or greater ownership interest in such contracting party, or (b) a person who is an executive officer of such contracting party, or (c) a person who is the spouse or minor child of the contracting party, or of a person having such 10% or greater ownership interest, or of a person who is an executive officer of such contracting party (related parties).

This affidavit must be filed with the State Board of Elections, 50 Branch Avenue, Providence, Rhode Island 02904 by every state vendor in connection with any contract with a state agency to provide goods and/or services costing \$5000 or more. If the contract is in writing, this affidavit must be filed within 60 days after the contract is executed and MUST BE ACCOMPANIED BY A COPY OF THE CONTRACT, OR A WRITTEN SUMMARY THEREOF. If the contract is not in writing, then the affidavit must be filed within 60 days from the date when the state vendor is first notified that the \$5000 threshold has been reached. However, Chapter 17-27 and the Regulations adopted thereunder, permit semi-annual filings of affidavits under certain circumstances.

Every person or business entity qualifying as a state vendor (either as the contracting party or as a related party) and providing goods and services at a cost of \$5000 or more shall be responsible for filing this affidavit. A state vendor who is a contracting party must file this affidavit when the \$5000 threshold has been reached, even if no reportable political contributions have been made either by the contracting party or a related party. A state vendor who is a related party must file this affidavit only when a reportable political contribution has been made by such related party, and then, only if such contribution has not been included in an affidavit filed by the contracting party. A reportable political contribution is defined in question #16. The affidavit, when filed, will be a public document.

The Board of Elections is empowered to impose civil penalties for violations of Chapter 17-27.

The attention of state vendors is directed to the <u>Regulations</u> adopted by the Board of Elections in connection with the preparation and filing of this affidavit which are on file at the offices of both the Board of Elections and the Secretary of State.

Statement Under Oath or Affirmation

1	The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information: Name, address and telephone number of person making this affidavit.
1.	
	Maureen E. Gurghigian, Managing Director NAME OF PERSON MAKING THIS AFFIDAVIT
	12 Breakneck Hill Road, Suite 200 - Lincoln, RI 02865
	ADDRESS
	TELEPHONE NUMBER
2.	What is the date of execution of the written contract requiring
۷.	the filing of this affidavit? [Such contract must be filed with this affidavit.] Semi-Annual Filing
	DATE
3.	If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold?
	DATE
4.	If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the stat agency involved, and the term or duration of such contract. If the term is indefinite, so state.
	en e
5.	Is this affidavit made by you as an individual or on behalf of a business entity? Individual On Behalf of Business Entity X
	If on behalf of a business entity, what is the name and nature of the business entity?
	Name of Business Entity First Southwest Company FEIN #_75-0708002
	(Check One:) Corporation X Partnership Sole Proprietorship Other Business Entity
7.	If "other business entity" is checked above, what is the nature of such business entity?
	Are you a state vendor because you are the contracting party in a contract with a state agency? YES χ NO
9.	If yes, what is the name of state agency to which you are providing goods and/or services?
	State of Rhode Island & State Agencies listed on attached schedule
10	If the answer to question 8 is "no", are you a state vendor because you are related to a contracting party? YESNO
	If answer to question 10 is "yes", what is the nature of your relationship with the contracting party?
	(a) 10% or greater ownership interest in contracting party (c) spouse or minor child of contracting party, or of 10% or greater owner, or of executive officer

AFFIDAVIT OF STATE VENDORS UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND FIRST SOUTHWEST COMPANY - SCHEDULE OF CONTRACTS - 24 MONTH PERIOD ENDING JUNE 30, 2011

State Agency	Date of Contract	Amount of Contract	Fein#
Narragansett Bay Commission**			
Financial Advisory Services	June 30, 2008	\$188,640.00 (aggregate)	06-1471715
Arbitrage Rebate Services*	December 16, 2003	\$10,520.00 (aggregate)	06-1471715
Continuing Disclosure Services**	February 6, 2006	\$2,300.00 (aggregate)	06-1471715
State of Rhode Island-	, , , , , , , , , , , , , , , , , , ,		
Financial Advisory Services	June 30, 2009	\$260,807.50 (aggregate)	05-6000522
Arbitrage Rebate Services*	June 30, 2009	\$87,220.00 (aggregate)	05-6000522
RI Clean Water Finance Agency	March 20, 2007		05-0455432
Financial Advisory Services		\$438,839.59 (aggregate)	05-0455432
Arbitrage Rebate Services*	December 1, 2006	\$56,020.00 (aggregate)	05-0455432
RI Economic Development Corp.	September 4, 2003	\$120,000.00 (aggregate)	05-0356994
RI Health & Educational Building Corp.	February 1, 2006		
Financial Advisory Services		\$343,319.94 (aggregate)	52-1300173
Continuing Disclosure Services		\$1,000.00 (aggregate)	52-1300173
RI Student Loan Authority	February 25, 2008		
Financial Advisory Services		\$78,437.50 (aggregate)	05-0395355
RI Resource Recovery Corporation			
Arbitrage Rebate Services*	April 21, 2003	\$4,000.00 (aggregate)	05-0366883
Continuing Disclosure Services**	May 15, 2003	\$3,300.00 (aggregate)	05-0366883
Rhode Island Turnpike & Bridge Authority			
Financial Advisory Services	November 20, 2009	\$98,750.00 (aggregate)	05-0304384
Tobacco Settlement Financing Corporation			
Arbitrage Rebate Services*	July 8, 2007	\$4,000.00 (aggregate)	36-4499925
Total Gross Amount:		\$1,697,154.53	

^{*} Contract with affiliate First Southwest Asset Management, Inc.
** Contract with FSC Disclosure Services, A Division of First Southwest Company

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

BOARD OF ELECTIONS

CAMPAIGN FINANCE DIVISION

RHODE ISLAND BOARD OF ELECTIONS

50 Branch Avenue, Providence, Rhode Island 02904

TEL. (401)222-2056 [TDD: 222-2239]

JAN 31 AM 9: 38 AFFIDAVIT OF STATE VERDOR UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

Instructions:

Every person or business entity contracting with a state agency on or after July 27, 1993 to sell goods and services (contracting party) is deemed to be a "state vendor". Also deemed to be a "state vendor" is (a) a person having a 10% or greater ownership interest in such contracting party, or (b) a person who is an executive officer of such contracting party, or (c) a person who is the spouse or minor child of the contracting party, or of a person having such 10% or greater ownership interest, or of a person who is an executive officer of such contracting party (related parties).

This affidavit must be filed with the State Board of Elections, 50 Branch Avenue, Providence, Rhode Island 02904 by every state vendor in connection with any contract with a state agency to provide goods and/or services costing \$5000 or more. If the contract is in writing, this affidavit must be filed within 60 days after the contract is executed and MUST BE ACCOMPANIED BY A COPY OF THE CONTRACT, OR A WRITTEN SUMMARY THEREOF. If the contract is not in writing, then the affidavit must be filed within 60 days from the date when the state vendor is first notified that the \$5000 threshold has been reached. However, Chapter 17-27 and the Regulations adopted thereunder, permit semi-annual filings of affidavits under certain circumstances.

Every person or business entity qualifying as a state vendor (either as the contracting party or as a related party) and providing goods and services at a cost of \$5000 or more shall be responsible for filing this affidavit. A state vendor who is a contracting party must file this affidavit when the \$5000 threshold has been reached, even if no reportable political contributions have been made either by the contracting party or a related party. A state vendor who is a related party must file this affidavit only when a reportable political contribution has been made by such related party, and then, only if such contribution has not been included in an affidavit filed by the contracting party. A reportable political contribution is defined in question #16. The affidavit, when filed, will be a public document.

The Board of Elections is empowered to impose civil penalties for violations of Chapter 17-27.

The attention of state vendors is directed to the Regulations adopted by the Board of Elections in connection with the preparation and filing of this affidavit which are on file at the offices of both the Board of Elections and the Secretary of State.

Statement Under Oath or Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information:

•	Name, address and telephone number of person making this affidavit.	
	Maureen E. Gurghigian, Managing Director NAME OF PERSON MAKING THIS AFFIDAVIT	
	12 Breakneck Hill Road, Suite 200 - Lincoln, RI 02865	
	ADDRESS	
	TELEPHONE NUMBER	
	What is the date of execution of the written contract requiring	Semi-Annual Filing
	the filing of this affidavit? [Such contract must be filed with this affidavit.]	DATE
	If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold?	
		DATE
•	If the contract requiring the filing of this affidavit is not in writing, describe the good agency involved, and the term or duration of such contract. If the term is indefinite	te, so state.
		•
	Is this affidavit made by you as an individual or on behalf of a business entity? In	
	If on behalf of a business entity, what is the name and nature of the business entit	y?
	If on behalf of a business entity, what is the name and nature of the business entit	y?
•	If on behalf of a business entity, what is the name and nature of the business entity Name of Business Entity First Southwest Company	FEIN #_ 75-0708002 Other Business Entity
	If on behalf of a business entity, what is the name and nature of the business entity Name of Business Entity First Southwest Company (Check One:) Corporation X Partnership Sole Proprietorship	FEIN #_ 75-0708002 Other Business Entity
	If on behalf of a business entity, what is the name and nature of the business entity Name of Business Entity First Southwest Company (Check One:) Corporation X Partnership Sole Proprietorship	Ty? FEIN #_75-0708002 Other Business Entity ntity?
	If on behalf of a business entity, what is the name and nature of the business entity Name of Business Entity First Southwest Company (Check One:) Corporation X Partnership Sole Proprietorship If "other business entity" is checked above, what is the nature of such business entity	Ty? FEIN #_75-0708002 Other Business Entity ntity? state agency? YES _X NO
•	If on behalf of a business entity, what is the name and nature of the business entity Name of Business Entity First Southwest Company (Check One:) Corporation X Partnership Sole Proprietorship If "other business entity" is checked above, what is the nature of such business entity Are you a state vendor because you are the contracting party in a contract with a suffice, what is the name of state agency to which you are providing goods and	Ty? FEIN #_75-0708002 Other Business Entity ntity? State agency? YES _X NO nd/or services? schedule
	If on behalf of a business entity, what is the name and nature of the business entity Name of Business Entity First Southwest Company (Check One:) Corporation X Partnership Sole Proprietorship If "other business entity" is checked above, what is the nature of such business entity Are you a state vendor because you are the contracting party in a contract with a such state of Rhode Island & State Agencies listed on attached	Ty? FEIN #_75-0708002 Other Business Entity ntity? State agency? YES _X NO nd/or services? schedule a contracting party? YES NO

AFFIDAVIT OF STATE VENDORS UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND FIRST SOUTHWEST COMPANY - SCHEDULE OF CONTRACTS – 24 MONTH PERIOD ENDING December 31, 2011

State Agency	Date of Contract	Amount of Contract	Fein#
Narragansett Bay Commission**			
Financial Advisory Services	June 30, 2008	\$133,640.00 (aggregate)	06-1471715
Arbitrage Rebate Services*	December 16, 2003	\$26840.00 (aggregate)	06-1471715
Continuing Disclosure Services**	February 6, 2006	\$1,100.00 (aggregate)	06-1471715
State of Rhode Island-			
Financial Advisory Services	June 30, 2009	\$344,067.50 (aggregate)	05-6000522
Arbitrage Rebate Services*	June 30, 2009	\$61,290.00 (aggregate)	05-6000522
RI Clean Water Finance Agency	March 20, 2007		05-0455432
Financial Advisory Services		\$243,656.25 (aggregate)	05-0455432
Arbitrage Rebate Services*	December 1, 2006	\$54,725.00 (aggregate)	05-0455432
RI Economic Development Corp.	September 4, 2003	\$120,000.00 (aggregate)	05-0356994
RI Health & Educational Building Corp.	February 1, 2006		
Financial Advisory Services		\$219,312.00 (aggregate)	52-1300173
Continuing Disclosure Services		\$1,000.00 (aggregate)	52-1300173
RI Student Loan Authority	February 25, 2008		
Financial Advisory Services		\$83,195.00 (aggregate)	05-0395355
RI Resource Recovery Corporation			
Arbitrage Rebate Services*	April 21, 2003	\$3,200.00 (aggregate)	05-0366883
Continuing Disclosure Services**	May 15, 2003	\$2,200.00 (aggregate)	05-0366883
Rhode Island Turnpike & Bridge Authority			
Financial Advisory Services	November 20, 2009	\$98,750.00 (aggregate)	05-0304384
Tobacco Settlement Financing Corporation			
Arbitrage Rebate Services*	July 8, 2007	\$6,915.00 (aggregate)	36-4499925
Total Gross Amount:		\$1,399,890.75	

^{*} Contract with affiliate First Southwest Asset Management, Inc.
** Contract with FSC Disclosure Services, A Division of First Southwest Company

State of Rhode Island and Providence Plantations

BOARD of ELECTIONS

CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence Rhode Island 02904 TEL (401) 222-2345

RHODE ISLAND BOARD OF ELECTIONS

AFFIDAVIT OF STATE VENDOR

2011 AUG 15 PM 12: 02

UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISL

Statement Under Oath of Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information

1. Name, address and telphone number of person making this affidavit

MR. Robert G Padula

Name of Person Making this Affidavit

16 Main Street

Address1

Address2

East Greenwich, RI 02818

City 401

State Zip 884-7800

Phone

2. Within the 24 month period preceding the date of the contract with the state agency, or with respect to the contracts that are not in writing within the 24 month period preceding the date of notification that the contract has reached the \$5000 threshold, have you contributed an aggregate amount of more than \$250 within a calendar year to any R.I. general officer, candidate for R.I. general office, any member of the general assembly or candidate for general assembly, or any R.I. political party? (includes an individual contracting party, or business entity on behalf of a related party, or a related party reporting on his/her own behalf) NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period.

Yes [x] No []

3. If the answer to question 2 is "yes", provide the name of the R.I. general officer, candidate for R.I. general office, member of the general assembly or candidate for general assembly, or R.I. political party and the date and the amount of each contribution. List all contributins even if reported on a previously filed affidavit. However please indicate the previously reported contributions by the letter "PR" following the date of the contribution listed below.

Name of Officer, Candidate or Political Party	Date of Contribution	Amount of Contribution	Name of Contributor	Relationship Contracting	•
Frank T Caprio Lincoln D Chafee Frank T Caprio	06/30/2010 04/02/2010 12/31/2009	250.00	Robert G Padula Robert G Padula Robert G Padula	CEO CEO	
4. What is the date of execution of the written contract requiring filing of this affidavit [Such contract must be filed with this affidavit]					

5. If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold?

6. If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the state agency involved, and the term or duration of such contract. If the term is indefinite, so state.

Agency

Goods / Services

Contract Expire Date

7. Is this affidavit made by	you as an individual o	or on behalf of a l	ousiness entity?	Individua	l[] Busine	ess Entity 🎉
3. If on behalf of a busines Gencorp Insurance Gro Business Name	_	me and nature of <u>05-04660</u> FEIN#		7?		
Corporation 🕅	Partnership []	Sole I	Proprietorship []	Other B	usiness Entity []	
9. If "Other Business Entit	y" is checked above w	hat is the nature	of such business er	ntity?		
10. Are you a state vendor	because you are the co	ontracting party i	n a contract with a	state Yes []	No [x]	
11. If yes, what is the nam	e of the state agency to	which you are p	providing goods an	d/or services?		
12. If the answer to question	on 10 is "no", are you a	a state vendor be	cause you are relate	ed to a contracting	Yes [x] N	o[]
13. If the answer to question Gencorp is an agent for	on 12 is "yes", what is or AGCS Marine Insur	the nature of you ance Company v	ır relationship with vith which Gencorp	the contracting pa	arty? operty poli	
14. If you are a related par AGCS Marine Insurance Name of Contracting P 260 Franklin Street Address1 Suite 700 Address2 Boston, MA 02110 City	ce Company	<u>RI I</u>	contracting party Lottery e Agency	and the state agend	cy involved in suc	h contract.
15. If you are the contract reportable political contrib			parties and does the	nis affidavit contai	n all Yes [] No	p[]
16. If the answer to questi of their oblicagation to file	on 15 is "no", have you e this affidavit if they l	notified all such have made report	h parties of the req able political contr	uirements of the la ibutions?	w and Yes [] No	o[]
17. If the answer to questi and the nature of such rela		the names and a	ddresses of related	l parties who migh	t be required to fi	le this affidavit
Name	Addr	ress		Rela	tionship	
18. What is the total gross period and ALL state ages contracting party and do this is a semi-annual filing execution of the last contracting period.	ncies? Include all contr not have knowledge of g (i.e. January 1 to June	racts regarless of the information to a 30 or July 1 to	amount. If you ar required by this qu December 31), you	e filing this affidav estion, please so st 1 must report contr	vit as a party relate tate by marking "Y ibutions made fro oths prior to the fir	ed to the Yes." NOTE: If m the date of
State Ager	acy	Date of Contract	Amount of Contract	FEIN#	P.O. #	
Total Gro	ss Amount:					

State of: RI County of: Kent	Signature of Person making the Affidavit
Subscribed and sworn to or Affirmed before me, an official autimade, on this	horized to administer oaths in the jurisdiction where this affidavit was 12
	Anne R. Ni Coll Printed Name of Notary or Other Person Authorized to Administer Oaths

BOARD OF ELECTIONS CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence, Rhode Island 02904 TEL. (401)277-2056 [TDD: 277-2239]

RHODE ISLAND BOARD OF ELECTIONS

AFFIDAVIT OF STATE VENDOR UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND AUG -9 AM 11: 15

Every person or business entity contracting with a state agency on or after July 27, 1993 to sell goods and services (contracting party) Instructions: is deemed to be a "state vendor". Also deemed to be a "state vendor" is (a) a person having a 10% or greater ownership interest in such contracting party, or (b) a person who is an executive officer of such contracting party, or (c) a person who is the spouse or minor child of the contracting party, or of a person having such 10% or greater ownership interest, or of a person who is an executive officer of such contracting party (related parties).

This affidavit must be filed with the State Board of Elections, 50 Branch Avenue, Providence, Rhode Island 02904 by every state vendor in connection with any contract with a state agency to provide goods and/or services costing \$5000 or more. If the contract is in writing, this affidavit must be filed within 60 days after the contract is executed and MUST BE ACCOMPANIED BY A COPY OF THE CONTRACT, OR A WRITTEN SUMMARY THEREOF. If the contract is not in writing, then the affidavit must be filed within 60 days from the date when the state vendor is first notified that the \$5000 threshold has been reached. However, Chapter 17-27 and the Regulations adopted thereunder,

permit semi-annual filings of affidavits under certain circumstances. Every person or business entity qualifying as a state vendor (either as the contracting party or as a related party) and providing goods and services at a cost of \$5000 or more shall be responsible for filing this affidavit. A state vendor who is a contracting party must file this affidavit when the \$5000 threshold has been reached, even if no reportable political contributions have been made either by the contracting party or a related party. A state vendor who is a related party must file this affidavit only when a reportable political contribution has been made by such related party, and then, only if such contribution has not been included in an affidavit filed by the contracting party. A reportable political contribution is defined in question #16. The affidavit, when filed, will be a public document.

The Board of Elections is empowered to impose civil penalties for violations of Chapter 17-27.

The attention of state vendors is directed to the <u>Regulations</u> adopted by the Board of Elections in connection with the preparation and filing of this affidavit which are on file at the offices of both the Board of Elections and the Secretary of State. -----

Statement Under Oath or Affirmation

on oath or affirmation, does hereby make the following statements and provide the following information:

	The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information
	Name, address and telephone number of person making this affidavit.
	Nancy Sherman for George Sherman Sand & Gravel Co., Inc. NAME OF PERSON MAKING THIS AFFIDAVIT 881 Curtis Corner Rd, Wakefield, RI 02879
	ADDRESS (401) 789-6304
	TELEPHONE NUMBER
2.	What is the date of execution of the written contract requiring the filing of this affidavit? [Such contract must be filed with this affidavit.] DATE
3.	If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold? DATE
4.	agency involved, and the term or duration of such contract. If the term is was a
	an Tarakan kanan kanan kalan dari bermanan dari permanan bermanan dari bermanan dari bermanan bermanan bermana
5. 6.	If on behalf of a business entity, what is the name and nature of the business entity?
	Name of Business Entity George Sherman Sand & Ordver Sov,
	(Check One:) Corporation X Partnership Sole Proprietorship Other Business Entity
7	the same and the second above, what is the nature of such business entity?
(Are you a state vendor because you are the contracting party in a contract with a state agency? YES X NO
	10. If the answer to question 8 is "no", are you a state vendor because you are related to a contracting party? YESNO
	(a) 10% or greater ownership interest in contracting party (c) spouse or minor child of contracting party, or of 10% or greater owner, or of executive officer

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

BOARD OF ELECTIONS CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence, Rhode Island 02904 TEL. (401)277-2056 [TDD: 277-2239]

NOTICE AND CERTIFICATION OF STATE VENDOR FOR RELIEF FROM MULTIPLE FILINGS

The undersigned certifies to the State Board of Elections under Section 17-27-3 of the General Laws of Rhode Island that it has reasonable cause to believe that for the calendar year judy, it will be required to file two or more affidavits, and that this notice and certification is being filed for the purpose of permitting the undersigned to report on a semi-annual basis to the State Board of Elections for the aforementioned calendar year.

George Sherman Sand & Gravel Co., Inc.
State Vendor

Date Managa 6-30-11

NOTE:

State vendors are permitted to file semi-annual reports with the Board of Elections if they reasonably believe that they otherwise would be required to file multiple reports within any single calendar year. In order to avail themselves of this opportunity, state vendors are required to file this Notice and Certification with the State Board of Elections for each calendar year no later than the date by which the first report to the Board of Elections for such calendar year would otherwise be due, i.e. 60 days from the date of execution of a contract with a state agency or in the case of unwritten contracts, within 60 days after the state vendor is first notified that the contract has reached the \$5000 reporting threshold.



10 Memorial Boulevard Providence, Rhode Island 02903 USA Telephone 401 392-7477 Fax 401 392-0391

denise.ogilvie@gtech.com

By Certified Mail, Return Receipt Requested

May 9, 2011

Rhode Island Board of Elections Campaign Finance Division 50 Branch Avenue Providence, Rhode Island 02904

Re: Consolidated Affidavit of State Vendors – GTECH Printing Corporation, GTECH Corporation

Dear Sir/Madam:

Attached please find a consolidated Affidavit of State Vendor, filed on behalf of both GTECH Printing Corporation and GTECH Corporation pursuant to Chapter 17-27 of the General Laws of Rhode Island.

Thank you very much.

Sincerely yours,

Denise M. Ogilvie

Assistant General Counsel

(

Denise M. Ogelrie

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS BOARD OF ELECTIONS

CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence, Rhode Island 02904

TEL. (401)222-2056 [TDD: 222-2239]

AFFIDAVIT OF STATE VENDOR UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

Instructions:

Every person or business entity contracting with a state agency on or after July 27, 1993 to sell goods and services (contracting party is deemed to be a "state vendor". Also deemed to be a "state vendor" is (a) a person having a 10% or greater ownership interest in such contracting party, or (b) a person who is an executive officer of such contracting party, or (c) a person who is the spouse or minor child of the contracting party, or of a person having such 10% or greater ownership interest, or of a person who is an executive officer of such contracting party (related parties).

This affidavit must be filed with the State Board of Elections, 50 Branch Avenue, Providence, Rhode Island 02904 by every state vendor in connection with any contract with a state agency to provide goods and/or services costing \$5000 or more. If the contract is in writing this affidavit must be filed within 60 days after the contract is executed and MUST BE ACCOMPANIED BY A COPY OF THE CONTRACT OR A WRITTEN SUMMARY THEREOF. If the contract is not in writing, then the affidavit must be filed within 60 days from the date when the state vendor is first notified that the \$5000 threshold has been reached. However, Chapter 17-27 and the Regulations adopted thereunder permit semi-annual filings of affidavits under certain circumstances.

Every person or business entity qualifying as a state vendor (either as the contracting party or as a related party) and providing good and services at a cost of \$5000 or more shall be responsible for filing this affidavit. A state vendor who is a contracting party must file this affidavit when the \$5000 threshold has been reached, even if no reportable political contributions have been made either by the contracting party or a related party. A state vendor who is a related party must file this affidavit only when a reportable political contribution has been made by such related party, and then, only if such contribution has not been included in an affidavit filed by the contracting party. A reportable political contribution is defined in question #16. The affidavit, when filed, will be a public document.

The Board of Elections is empowered to impose civil penalties for violations of Chapter 17-27.

The attention of state vendors is directed to the <u>Regulations</u> adopted by the Board of Elections in connection with the preparation and filing of this affidavit which are on file at the offices of both the Board of Elections and the Secretary of State.

Statement Under Oath or Affirmation

	The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information:
1.	Name, address and telephone number of person making this affidavit.
	Denise M. Ogilvie NAME OF PERSON MAKING THIS AFFIDAVIT C/O GTECH Corporation, 10 Memorial Blvd., Providence, RI 02903 ADDRESS 401-392-7477 TELEPHONE NUMBER
2.	What is the date of execution of the written contract requiring the filing of this affidavit? [Such contract must be filed with this affidavit.] 3/18/2011 and 4/26/2011
3.	See Attachments A and B If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold? DATE DATE
4.	If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the state agency involved, and the term or duration of such contract. If the term is indefinite, so state. N/A
5. 6.	Is this affidavit made by you as an individual or on behalf of a business entity? Individual On Behalf of Business Entity X If on behalf of a business entity, what is the name and nature of the business entity? GTECH Printing Corporation 20-5698605 Name of Business Entity Sole Proprietorship Other Business Entity (Check One:) CorporationX Partnership Sole Proprietorship Other Business Entity If "other business entity" is checked above, what is the nature of such business entity?
8. 9.	If yes, what is the name of state agency to which you are providing goods and/or services?
	State Lottery Division of Rhode Island Department of Revenue
). If the answer to question 8 is "no", are you a state vendor because you are related to a contracting party? YESNO
11	If answer to question 10 is "yes", what is the nature of your relationship with the contracting party?
	(a) 10% or greater ownership interest in contracting party (c) spouse or minor child of contracting party, or of 10% or greater owner, or of exceptive officer

u are a related party, provi	de the name and address	s of the contract	ing party and the state age	ncy involved in	such contract.
ne of Contracting Party	N/A	····			
ress					
e Agency					
u are the contracting party	, have you surveyed all YES X	related parties a	INO	iain all reportal	ole political contributions
	Except for spous "no", have you notified t	all such related j	or children parties of the requirements YES	s of the law and	of their obligation to file NO
e answer to question 14 is	s "yes", provide the nar	nes and addresse	es of related parties who m	ight be require	d to file this affidavit and
nature of such relationship ne	p. <u>Address</u>			Relationshi	p to Contracting Party
·	N/A		• •	٠, .	
•	•				
•					
regate amount of more that ty? DO NOT INCLUDI ty, or a business entity on t	n \$250 within a calendar E ANY CONTRIBUTION of a related party,	ONS MADE PL or a related part	GENERAL OTHERS, AMERICAN STOR TO OCTOBER 2, It by reporting on his/her ow	1993 (* Include n behalf.) NO nade from the c c first day of the	I, have you contributed an office, or any R.I. political an individual contracting FE: If this is a semi-annual late of execution of the lase anne semi-annual period YES X NO
	1 Authorite a count of	of the state contr	act, or written summary, t	and do not com	plete question #17]
you checked "NO" above	e, do not attach a copy t	of the state com	or Hart for good	cal office or not	itical party and the date an
he answer to question 16 in nount of each such con ntributions even if reported R ^a following the date of t	tribution. DO NOT I	MCLODE COL	er please indicate the pre	viously reporte	itical party and the date an CTOBER 2, 1993. List a d contributions by the lette em to this affidavit.]
me of General Officer, udidate for General Office, Political Party	<u>Date of</u> <u>Contribution</u>	Amount of Contribution	Name of Contributor		<u>Relationship to</u> <u>Contracting Party</u>
	See Attachment	: C		•	٠.
					•
<i>₹</i> .					
nd ALL state agencies? In ULY 27, 1993 OR THOS nis affidavit as a party relat	clude all contracts regar E WHICH HAVE REA led to the contracting pr mi-annual filing (i.c. Ja red into from the date o	CHED THE \$5 Inty and do not be numry 1 to June f execution of the	1000 THRESHOLD PRIO nave knowledge of the info 30 or July 1 to December ne last contract entered int	R TO OCTOB	petween the contracting particle of the contracting particle of the contracting particle of the contracting particle of the contraction of the con
Into Agency	Date of	Contract	Amount of Contract	<u>Fein #</u>	<u>P.O.#</u> ·
•	See Attachment	· n	•		
	See Accaciment	. Б		,	
	•	(GTECH Printing Co	rporation	- Approx. \$513,000
	TOTAL GROSS		GTECH Corporation		
	**	_	· •		
••			Honi	se M.	Ogilvie
			Signature of Pe	erson Making Il	nc Midavit
of Rhode Island		•		. hodedistas mis	ore this affidavit was made, or
Subscribed and sworn	to or affirmed before me, a	an officer authori:	zed to administer oaths in the	Municipal wild	#55678
my ol	, XXZUIL		nature of Notary or Other Po	gron Authorized	to Administer Oaths
·			DOTA FR	hiucoul	•
		Pri	nted Name of Nolary or Oth	el Leibou Viino	rized to Administer Oaths
			Experation June	-16,0013	

2027 6/0

ATTACHMENT A

AFFIDAVIT OF STATE VENDOR

GTECH PRINTING CORPORATION INSTANT TICKET AGREEMENT EXTENSION

MARCH 18, 2011

INSTANT TICKET AGREEMENT EXTENSION GTECH PRINTING CORPORATION JULY 1, 2011 - JUNE 30, 2012

WHEREAS the Rhode Island Division of Lotteries (Division) and GTECH Printing Corporation (GPC) have entered into an Agreement effective July 1, 2007; and

WHEREAS said Agreement was for an initial term of three (3) years; and

WHEREAS said Agreement may be extended annually, at the Division's discretion, for up to three (3) one (1) year terms;

WHEREAS the first one (1) year renewal option was exercised on July 1, 2010 and effective thru June 30, 2011;

NOW THEREFORE the Division hereby exercises its option under said Agreement to extend for an additional one (1) year, under the same terms and conditions as the initial years, said extension to commence July 1, 2011 and terminate June 30, 2012.

Division of Lotteries	GTECH Printing Corporation
By: Seld S. Aubin Director	Ву:
Date: 3/14/h	Date: 3/18/2011

ATTACHMENT B

AFFIDAVIT OF STATE VENDOR

GTECH CORPORATION FOURTH AMENDMENT TO MASTER CONTRACT

APRIL 26, 2011

FOURTH AMENDMENT TO MASTER CONTRACT

Agreement") is made and entered into as of the 244 day of April, 2011 (the "Amendment Effective Date") by and between the STATE LOTTERY DIVISION OF THE STATE OF RHODE ISLAND DEPARTMENT OF REVENUE, an agency of the State of Rhode Island (formerly the State Lottery Division of the State of Rhode Island Department of Administration and successor-in-interest to the Rhode Island Lottery, a Rhode Island state agency) having an address of 1425 Pontiac Avenue, Cranston, Rhode Island 02920 (the "Division"), and GTECH CORPORATION, a Delaware corporation having an address of GTECH Center, 8th Floor, 10 Memorial Boulevard, Providence, Rhode Island 02903 ("GTECH").

WITNESSETH:

WHEREAS, the Division and GTECH are parties to that certain Master Contract dated as of May 12, 2003; as modified by a letter dated November 3, 2003 from the Division to GTECH; as modified by a Waiver and Release Agreement dated as of May 5, 2005 by GTECH in favor of the Division; as amended by a First Amendment to Master Contract dated as of July 31, 2006 by and between the Division and GTECH; as modified by a letter agreement dated September 28, 2007 by GTECH and the Division; as modified by a waiver letter dated December 18, 2007 by GTECH to the Division; as amended by a Second Amendment to Master Contract dated as of July 14, 2008 (as amended by a Letter Agreement Amendment with respect to Second Amendment to Master Contract dated May 10, 2010); as modified by a letter agreement dated August 27, 2008; and as amended by a Third Amendment to Master Contract dated as of August 15, 2009 (the "Master Contract"); and

WHEREAS, the parties hereto desire to amend the Master Contract as hereinafter set forth.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto agree as follows:

- 1. <u>Release by Division Lottery Inside</u>. The Division hereby releases GTECH from its obligations under Section 8.3 of the Master Contract.
- 2. <u>Express Point Plus Terminals</u>. GTECH shall provide 150 GTECH Express Point Plus Terminals (the "<u>Express Point Plus Terminals</u>") to the Division for installation at Division retailer locations. GTECH shall also provide the necessary cabling and associated installation and maintenance services for the Express Point Plus Terminals to the Division.
- 3. <u>Internet Support</u>. For the period commencing on July 1, 2010 and ending on December 31, 2016 (the "<u>Fourth Amendment Delivery Expiration Date</u>"), GTECH shall provide the following lottery website services (the "<u>Lottery Website Services</u>") to the Division:
 - Full support and maintenance for servers and network (which may be located at a site of GTECH's third party hosting and software vendor)

- o Creation and distribution of all emails
- o Automatic updating of winning numbers
- O To the extent necessary, upgrades of all hardware, hosting and server agreements
- On-site support of website content upgrades and resolution of technical issues
- o Software support for all website software issues
- O Support of web marketing, promotions, game launches and winner awareness programs

The Division shall compensate GTECH for the Lottery Website Services set forth in the first and fourth items of the preceding list at the rate of \$2,100.00 per month.

- 4. <u>Second Chance Draw Functionality</u>. GTECH shall provide second chance draw functionality with respect to the Online System as specified by a specification document to be agreed by the Division and GTECH (the "<u>Second Chance Draw Functionality</u>"), for the period commencing on the date of acceptance of the Second Chance Draw Functionality by the Division and ending on the Fourth Amendment Delivery Expiration Date. The Second Chance Draw Functionality shall include all online lottery games and all non-licensed instant ticket lottery games and associated onsite support and maintenance.
- 5. <u>2011 ITVMs</u>. GTECH shall provide 75 used GTECH 24-bin EDSQ Instant Ticket Vending Machines (the "<u>2011 ITVMs</u>") to the Division for installation at Division retailer locations. GTECH shall also provide the necessary cabling and associated installation and maintenance services for the 2011 ITVMs to the Division for the period commencing on the Amendment Effective Date and ending on the Fourth Amendment Delivery Expiration Date.
- 6. <u>Performance of Obligations</u>. The Division hereby acknowledges and agrees that GTECH has fully performed in all material respects all of its obligations under the Master Contract, as amended by this Amendment Agreement (the "<u>Amended Master Contract</u>"), which are to be performed by GTECH as of the Amendment Effective Date.
- 7. <u>Miscellaneous</u>. Except as modified hereby, the Master Contract and all other amendments and modifications thereof shall remain in full force and effect and are hereby ratified and confirmed. This Amendment Agreement may be executed by the parties hereto in counterparts, each of which shall be deemed an original and all of which together shall constitute one and the same instrument. Capitalized terms used but not defined herein shall have the meanings give such terms in the Amended Master Contract.

IN WITNESS WHEREOF, the parties hereto have caused this Amendment Agreement to be duly executed as of the Amendment Effective Date.

GTECH CORPORATION

Date: April <u>29</u>, 2011

Print Name Alan Fland

Title SVP + COD, N. America

STATE LOTTERY DIVISION OF THE STATE OF RHODE ISLAND DEPARTMENT OF REVENUE

Date: April <u>26</u>, 2011

Gerald S. Aubin,

Director

RI Contract Amendment # 4 in USD

	GTECH Obligations removed	
1	Lottery Inside Hardware Software Training/Other Subtotal	Value 375,000 890,000 215,000 1,480,000
	Total Obligations Removed	1,480,000

	GTECH New Obligations	
1	Ticket Checker (150 Units)	Value 150,000
2	Internet Support (5yrs) Support Software Adj Subtotal	493,750 156,250 (15,000) 635,000
3	2nd Chance Drawing (5 Yrs)	228,000
4	75 Used (24 Bin EDSQs) Service for 5yrs Subtotal	300,000 337,500 637,500
	Total of New Obligations	1,650,500

1 Lottery Inside B2B Quick Pick only

Connection with 3 POS Includes Software, Hardware, Training and other

1 Ticket Checker (150 units/Entire Contract)

Retail value includes all Equipment, cables, installation, and service

2 Internet Support (5yrs)

Onsite Support Internet related software services Graphical and content support 120 Software Maint hours per year Email design and deployment

3 2nd Chance Drawing (5yrs)

2nd Chance Draw functionality for non winning tickets Includes all online and non-licensed instant games
Onsite support and maintenace

75 Used (24 Bin) ITVMS Retail value includes all Equipment, cables, installation, and 5yrs of service

ATTACHMENT C

AFFIDAVIT OF STATE VENDOR

POLITICAL CONTRIBUTIONS MADE BY EXECUTIVE OFFICERS OF GTECH PRINTING CORPORATION AND GTECH CORPORATION

Name of General Officer,	Date of Contribution	Amount of	Name of Contributor	Relationship to Contracting Party
Candidate for General Office,		Contribution		
Member of General Assembly				
or Candidate for General				
Assembly, or Political Party				77.000
William Murphy	March 2009 (PR)	\$1,000	Scott Gunn	Executive Officer
William Murphy	March 2009 (PR)	\$750	Robert Vincent	Executive Officer
William Murphy	March 2009 (PR)	\$1,000	Jaymin Patel	Executive Officer
William Murphy	March 2009 (PR)	\$1,000	Alan Eland	Executive Officer
William Murphy	March 2009 (PR)	\$500	Michael Prescott	Executive Officer
William Murphy	March 2009 (PR)	\$500	Lavaz Watson	Executive Officer
William Murphy	March 2009 (PR)	\$250	Jay Gendron	Executive Officer
Teresa Paiva Weed	April 2009 (PR)	\$250	Robert Vincent	Executive Officer
Steve M. Costantino	April 2009 (PR)	\$125	Jay Gendron	Executive Officer
James E. Doyle	June 2009 (PR)	\$100	Jay Gendron	Executive Officer
Patrick Lynch	June 2009 (PR)	\$1,000	Michael Prescott	Executive Officer
Joseph Fernandez	June 2009 (PR)	\$150	Michael Prescott	Executive Officer
Patrick Lynch	June 2009 (PR)	\$500	Scott Gunn	Executive Officer
Patrick Lynch	June 2009 (PR)	\$250	Robert Vincent	Executive Officer
Patrick Lynch	June 2009 (PR)	\$250	Alan Eland	Executive Officer
Patrick Lynch	June 2009 (PR)	\$250	Jay Gendron	Executive Officer
Patrick Lynch	June 2009	\$250	Christopher Shaban	Executive Officer
Lincoln Chafee	September 2009 (PR)	\$500	Robert Vincent	Executive Officer
Lincoln Chafee	November 2009 (PR)	\$1,000	Scott Gunn	Executive Officer
Lincoln Chafee	November 2009 (PR)	\$1,000	Mrs. Ashley Gunn	Spouse of Scott Gunn, Executive Officer

^{* &}quot;PR" refers to contributions previously disclosed in a prior Affidavit of State Vendor filed by GTECH Printing Corporation or GTECH Corporation.

Name of General Officer, Candidate for General Office,	Date of Contribution	Amount of Contribution	Name of Contributor	Relationship to Contracting Party
Member of General Assembly				
or Candidate for General				
Assembly, or Political Party	1 2000 (DD)	Ф2 <i>E</i> О	Tou Condron	Executive Officer
Patrick Lynch	November 2009 (PR)	\$350	Jay Gendron	Executive Officer
Lincoln Chafee	November 2009 (PR)	\$250	Jay Gendron	
Lincoln Chafee	November 2009 (PR)	\$250	Donald Reilly	Executive Officer
Lincoln Chafee	November 2009 (PR)	\$500	Robert Vincent	Executive Officer
Lincoln Chafee	November 2009 (PR)	\$1,000	Mrs. Grace Vincent	Spouse of Robert Vincent, Executive Officer
Lincoln Chafee	November 2009 (PR)	\$250	Cornelia Laverty O'Connor	Executive Officer
Lincoln Chafee	November 2009 (PR)	\$500	Jaymin Patel	Executive Officer
Lincoln Chafee	November 2009 (PR)	\$250	Sheri Southern	Executive Officer
Lincoln Chafee	November 2009	\$100	Christopher Shaban	Executive Officer
Patrick Lynch	November 2009	\$250	Christopher Shaban	Executive Officer
Peter Kilmartin	November 2009 (PR)	\$250	Jay Gendron	Executive Officer
Patrick Lynch	November 2009 (PR)	\$500	Scott Gunn	Executive Officer
Frank Caprio	December 2009 (PR)	\$250	Jay Gendron	Executive Officer
Frank Caprio	December 2009 (PR)	\$100	Scott Gunn	Executive Officer
Frank Caprio	December 2009 (PR)	\$250	Robert Vincent	Executive Officer
Frank Caprio	December 2009 (PR)	\$500	Alan Eland	Executive Officer
Frank Caprio	December 2009 (PR)	\$250	Cornelia Laverty O'Connor	Executive Officer
Frank Caprio	December 2009 (PR)	\$1,000	Jaymin Patel	Executive Officer
Frank Caprio	December 2009 (PR)	\$500	Michael Prescott	Executive Officer
Frank Caprio	December 2009 (PR)	\$250	Lavaz Watson	Executive Officer
Patrick Lynch	December 2009 (PR)	\$400	Jay Gendron	Executive Officer
Gina Raimondo	December 2009 (PR)	\$250	Sheri Southern	Executive Officer
Moderate Party of Rhode Island	December 2009 (PR)	\$250	Matthew Cedor	Executive Officer
Elizabeth Roberts	January 2010 (PR)	\$500	Jaymin Patel	Executive Officer
Gordon Fox	January 2010 (PR)	\$200	Jay Gendron	Executive Officer
Gordon Fox	March 2010 (PR)	\$250	Jay Gendron	Executive Officer
Gordon Fox	March 2010 (PR)	\$1,000	Jaymin Patel	Executive Officer
Gordon Fox	March 2010 (PR)	\$1,000	Scott Gunn	Executive Officer
Gordon Fox	March 2010 (PR)	\$500	Michael Prescott	Executive Officer
Gordon Fox	March 2010 (PR)	\$500	Alan Eland	Executive Officer

^{* &}quot;PR" refers to contributions previously disclosed in a prior Affidavit of State Vendor filed by GTECH Printing Corporation or GTECH Corporation.

Member of General Assembly or Political Party	Name of General Officer,	Date of Contribution	Amount of	Name of Contributor	Relationship to Contracting Party
or Candidate for General Assembly, or Political Party March 2010 (PR) \$250 Jay Gendron Executive Officer William Lynch March 2010 (PR) \$500 Jay Gendron Executive Officer Peter Kilmartin March 2010 (PR) \$250 Jay Gendron Executive Officer Patrick Lynch March 2010 (PR) \$250 Jay Gendron Executive Officer Patrick Lynch March 2010 (PR) \$1,000 Scott Gunn Executive Officer Joseph Fernandez March 2010 (PR) \$1,000 Robert Vincent Executive Officer Joseph Fernandez March 2010 (PR) \$1,000 Robert Vincent Executive Officer John F. McBurney, III April 2010 (PR) \$100 Jay Gendron Executive Officer James E. Doyle, II April 2010 (PR) \$100 Jay Gendron Executive Officer Senate Leadership Fund April 2010 (PR) \$500 Soot Gunn Executive Officer Senate Leadership Fund April 2010 (PR) \$500 Robert Vincent Executive Officer Senate Leadership Fund April 2010 (PR)	Candidate for General Office,		Contribution		
Assembly, or Political Party Steven Costantino March 2010 (PR) \$250 Jay Gendron Executive Officer	Member of General Assembly				
Sevent Costantino March 2010 (PR) \$250 Jay Gendron Executive Officer	or Candidate for General				
William Lynch	Assembly, or Political Party				
Peter Kilmartin	Steven Costantino	March 2010 (PR)			
Patrick Lynch	William Lynch	March 2010 (PR)			
Patrick Lynch	Peter Kilmartin	March 2010 (PR)		Jay Gendron	
Joseph Fernandez	Patrick Lynch	March 2010 (PR)	\$250	Jay Gendron	Executive Officer
Joseph Fernandez March 2010 (PR) \$1,000 Robert Vincent Executive Officer John F. McBurney, JII April 2010 (PR) \$100 Jay Gendron Executive Officer Senate Leadership Fund April 2010 (PR) \$250 Jay Gendron Executive Officer Senate Leadership Fund April 2010 (PR) \$500 Scott Gunn Executive Officer Senate Leadership Fund April 2010 (PR) \$500 Robert Vincent Executive Officer Senate Leadership Fund April 2010 (PR) \$500 Robert Vincent Executive Officer Senate Leadership Fund April 2010 (PR) \$550 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$550 Jay Gendron Executive Officer Senate Leadership Fund April 2010 (PR) \$550 Robert Vincent Executive Officer Executive Officer Senate Leadership Fund April 2010 (PR) \$550 Jay Gendron Executive Officer Lincoln Chafee April 2010 (PR) \$550 Jay Gendron Executive Officer Executive Officer Lincoln Chafee April 2010 (PR) \$500 Jaymin Patel Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Scott Gunn Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Mrs. Ashley Gunn Spouse of Scott Gunn, Executive Officer Lincoln Chafee April 2010 (PR) \$500 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$500 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$500 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Alan Eland Executive Officer Steven Costantino April 2010 (PR) \$250 Alan Eland Executive Officer	Patrick Lynch	March 2010 (PR)	\$1,000	Scott Gunn	Executive Officer
John F. McBurney, III April 2010 (PR) \$100 Jay Gendron Executive Officer	Joseph Fernandez	March 2010 (PR)	\$150	Michael Prescott	
James E. Doyle, II April 2010 (PR) \$100 Jay Gendron Executive Officer	Joseph Fernandez	March 2010 (PR)	\$1,000	Robert Vincent	
James E. Doyle, II April 2010 (PR) \$100 Jay Gendron Executive Officer	John F. McBurney, III	April 2010 (PR)	\$100	Jay Gendron	Executive Officer
Senate Leadership Fund April 2010 (PR) \$500 Scott Gunn Executive Officer Senate Leadership Fund April 2010 (PR) \$500 Robert Vincent Executive Officer Senate Leadership Fund April 2010 (PR) \$250 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$250 Jay Gendron Executive Officer Lincoln Chafee April 2010 (PR) \$500 Jaymin Patel Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Scott Gunn Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Mrs. Ashley Gunn Spouse of Scott Gunn, Executive Officer Lincoln Chafee April 2010 (PR) \$250 Michael Prescott Executive Officer Lincoln Chafee April 2010 (PR) \$500 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Matthew Whalen Executive Officer Lincoln Chafee April 2010 (PR) \$250 Ross Dalton Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Jay Gendron Executive Officer Lincoln Chafee April 2010 (PR) \$250 Jay Gendron Executive Officer	James E. Doyle, II	April 2010 (PR)	\$100	Jay Gendron	Executive Officer
Senate Leadership Fund April 2010 (PR) \$500 Robert Vincent Executive Officer Senate Leadership Fund April 2010 (PR) \$250 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$250 Jay Gendron Executive Officer Lincoln Chafee April 2010 (PR) \$500 Jaymin Patel Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Scott Gunn Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Mrs. Ashley Gunn Spouse of Scott Gunn, Executive Officer Lincoln Chafee April 2010 (PR) \$250 Michael Prescott Executive Officer Lincoln Chafee April 2010 (PR) \$500 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$500 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Mrs. Grace Vincent Spouse of Robert Vincent, Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Matthew Whalen Executive Officer Lincoln Chafee April 2010 (PR) \$250 Matthew Whalen Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Jay Gendron Executive Officer Steven Costantino April 2010 (PR) \$250 Jay Gendron Executive Officer	Senate Leadership Fund	April 2010 (PR)	\$250	Jay Gendron	Executive Officer
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Lincoln Chafee April 2010 (PR) \$250 Michael Prescott Executive Officer Lincoln Chafee April 2010 (PR) \$500 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Mrs. Grace Vincent Spouse of Robert Vincent, Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Matthew Whalen Executive Officer Lincoln Chafee April 2010 (PR) \$500 Ross Dalton Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 S500 Christopher Shaban Executive Officer Steven Costantino April 2010 (PR) \$250 Jay Gendron Executive Officer Gina Raimondo June 2010 \$250 Alan Eland Executive Officer	Lincoln Chafee	April 2010 (PR)	\$1,000	Scott Gunn	
Lincoln Chafee April 2010 (PR) \$500 Alan Eland Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Robert Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$1,000 Mrs. Grace Vincent Spouse of Robert Vincent, Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Matthew Whalen Executive Officer Lincoln Chafee April 2010 (PR) \$500 Ross Dalton Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Christopher Shaban Executive Officer Lincoln Chafee April 2010 \$500 Christopher Shaban Executive Officer Steven Costantino April 2010 (PR) \$250 Jay Gendron Executive Officer Gina Raimondo June 2010 \$250 Alan Eland Executive Officer	Lincoln Chafee	April 2010 (PR)	\$1,000	Mrs. Ashley Gunn	
Lincoln ChafeeApril 2010 (PR)\$500Alan ElandExecutive OfficerLincoln ChafeeApril 2010 (PR)\$1,000Robert VincentExecutive OfficerLincoln ChafeeApril 2010 (PR)\$1,000Mrs. Grace VincentSpouse of Robert Vincent, Executive OfficerLincoln ChafeeApril 2010 (PR)\$250Donald ReillyExecutive OfficerLincoln ChafeeApril 2010 (PR)\$250Matthew WhalenExecutive OfficerLincoln ChafeeApril 2010 (PR)\$500Ross DaltonExecutive OfficerLincoln ChafeeApril 2010 (PR)\$250Cornelia Laverty O'ConnorExecutive OfficerLincoln ChafeeApril 2010\$500Christopher ShabanExecutive OfficerSteven CostantinoApril 2010 (PR)\$250Jay GendronExecutive OfficerGina RaimondoJune 2010\$250Alan ElandExecutive Officer	Lincoln Chafee	April 2010 (PR)	\$250	Michael Prescott	Executive Officer
Lincoln Chafee April 2010 (PR) \$1,000 Mrs. Grace Vincent Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Matthew Whalen Executive Officer Lincoln Chafee April 2010 (PR) \$500 Ross Dalton Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 (PR) \$250 Christopher Shaban Executive Officer Steven Costantino April 2010 (PR) \$250 Jay Gendron Executive Officer Gina Raimondo June 2010 \$250 Alan Eland Executive Officer	Lincoln Chafee		\$500	Alan Eland	Executive Officer
Lincoln Chafee April 2010 (PR) \$1,000 Mrs. Grace Vincent Spouse of Robert Vincent, Executive Officer Lincoln Chafee April 2010 (PR) \$250 Donald Reilly Executive Officer Lincoln Chafee April 2010 (PR) \$250 Matthew Whalen Executive Officer Lincoln Chafee April 2010 (PR) \$500 Ross Dalton Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 \$500 Christopher Shaban Executive Officer Steven Costantino April 2010 (PR) \$250 Jay Gendron Executive Officer Gina Raimondo June 2010 \$250 Alan Eland Executive Officer	Lincoln Chafee		\$1,000	Robert Vincent	Executive Officer
Lincoln ChafeeApril 2010 (PR)\$250Donald ReillyExecutive OfficerLincoln ChafeeApril 2010 (PR)\$250Matthew WhalenExecutive OfficerLincoln ChafeeApril 2010 (PR)\$500Ross DaltonExecutive OfficerLincoln ChafeeApril 2010 (PR)\$250Cornelia Laverty O'ConnorExecutive OfficerLincoln ChafeeApril 2010\$500Christopher ShabanExecutive OfficerSteven CostantinoApril 2010 (PR)\$250Jay GendronExecutive OfficerGina RaimondoJune 2010\$250Alan ElandExecutive Officer	Lincoln Chafee		\$1,000	Mrs. Grace Vincent	
Lincoln Chafee April 2010 (PR) \$250 Matthew Whalen Executive Officer Lincoln Chafee April 2010 (PR) \$500 Ross Dalton Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 \$500 Christopher Shaban Executive Officer Steven Costantino April 2010 (PR) \$250 Jay Gendron Executive Officer Gina Raimondo June 2010 \$250 Alan Eland Executive Officer	Lincoln Chafee	April 2010 (PR)	\$250	Donald Reilly	
Lincoln Chafee April 2010 (PR) \$500 Ross Dalton Executive Officer Lincoln Chafee April 2010 (PR) \$250 Cornelia Laverty O'Connor Executive Officer Lincoln Chafee April 2010 \$500 Christopher Shaban Executive Officer Steven Costantino April 2010 (PR) \$250 Jay Gendron Executive Officer Gina Raimondo June 2010 \$250 Alan Eland Executive Officer					
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Steven Costantino April 2010 (PR) \$250 Jay Gendron Executive Officer Gina Raimondo June 2010 \$250 Alan Eland Executive Officer					
Gina Raimondo June 2010 \$250 Alan Eland Executive Officer					
One familiary					
	Peter Kilmartin	June 2010	\$250	Jay Gendron	Executive Officer

^{* &}quot;PR" refers to contributions previously disclosed in a prior Affidavit of State Vendor filed by GTECH Printing Corporation or GTECH Corporation.

Name of General Officer,	Date of Contribution	Amount of	Name of Contributor	Relationship to Contracting Party
Candidate for General Office,		Contribution		
Member of General Assembly				
or Candidate for General				
Assembly, or Political Party				
Gina Raimondo	June 2010	\$250	Robert Vincent	Executive Officer
Steven Costantino	June 2010	\$500	Robert Vincent	Executive Officer
Leo R. Blais	June 2010	\$250	Christopher Shaban	Executive Officer
Erik Wallin	June 2010	\$250	Christopher Shaban	Executive Officer
Joseph Fernandez	July 2010	\$1,000	Mrs. Robin Prescott	Spouse of Michael Prescott,
				Executive Officer
Steven Costantino	August 2010	\$500	Robert Vincent	Executive Officer
Steven Costantino	August 2010	\$250	Jay Gendron	Executive Officer
Jon Brien	August 2010	\$100	Jay Gendron	Executive Officer
Steven Costantino	August 2010	\$500	Scott Gunn	Executive Officer
Steven Costantino	August 2010	\$250	Jaymin Patel	Executive Officer
Gina Raimondo	August 2010	\$500	Jaymin Patel	Executive Officer
Catherine Taylor	September 2010	\$500	Robert Vincent	Executive Officer
Catherine Taylor	September 2010	\$500	Scott Gunn and Mrs. Ashley	Executive Officer and spouse
			Gunn	-
Maryellen Goodwin	October 2010	\$150	Jay Gendron	Executive Officer
Peter Kilmartin	October 2010	\$500	Jay Gendron	Executive Officer
Gina Raimondo	October 2010	\$150	Michael Prescott	Executive Officer
Maryellen Goodwin	October 2010	\$200	Michael Prescott	Executive Officer
Erik Wallin	October 2010	\$250	Mrs. Ashley Gunn	Spouse of Executive Officer, Scott
				Gunn
Rhode Island Republican Party	October 2010	\$1,000	Mrs. Ashley Gunn	Spouse of Executive Officer, Scott
				Gunn
Rhode Island Republican Party	October 2010	\$500	Christopher Shaban	Executive Officer
Gordon Fox	January 2011	\$250	Robert Vincent	Executive Officer
RI House Leadership PAC	March 2011	\$500	Alan Eland	Executive Officer
James E. Doyle, II	March 2011	\$100	Jay Gendron	Executive Officer
RI House Leadership PAC	March 2011	\$250	Jay Gendron	Executive Officer
RI House Leadership PAC	March 2011	\$1,000	Scott Gunn	Executive Officer
RI House Leadership PAC	March 2011	\$250	Cornelia Laverty O'Connor	Executive Officer
RI House Leadership PAC	March 2011	\$250	Victor Duarte	Executive Officer

^{* &}quot;PR" refers to contributions previously disclosed in a prior Affidavit of State Vendor filed by GTECH Printing Corporation or GTECH Corporation.

ATTACHMENT D

AFFIDAVIT OF STATE VENDOR

TOTAL GROSS AMOUNT OF CONTRACTS ENTERED INTO BY CONTRACTING PARTIES DURING PRIOR 24 MONTH PERIOD

GTECH Printing Corporation

State Agency	Date of Contract	Amount of Contract	FEIN#	<u>P.O. #</u>
Division of Lotteries	6/7/2010	Approx. \$240,000	Unknown	N/A
Division of Lotteries	3/18/2011	Approx. \$273,000	Unknown	N/A

GTECH Corporation

State Agency	Date of Contract	Amount of Contract	FEIN#	<u>P.O. #</u>
Division of Lotteries	12/8/2009	\$63,481	Unknown	N/A
Division of Lotteries	4/26/2011	\$163,800	Unknown	N/A

Total Gross Amount:

GTECH Printing Corporation – Approximately \$513,000

GTECH Corporation - \$227,281

State of Rhode Island and Providence Plantations **BOARD of ELECTIONS**

CAMPAIGN FINANCE DIVISION 50 Branch Avenue, Providence Rhode Island 02904 RHODE ISLAND BOARD OF ELECTIONS

2011 NOV 25 AM 10: 22

AFFIDAVIT OF STATE VENDOR UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

TEL (401) 222-2345

Statement Under Oath of Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information

1. Name, address and telphone number of person making this affidavit

MR. Brian LaPlante

Name of Person Making this Affidavit

11 Overlook Trail

Address1

Address2

Scituate, RI 02825

City

State Zip

401

273-0200

Phone

2. Within the 24 month period preceding the date of the contract with the state agency, or with respect to the contracts that are not in writing within the 24 month period preceding the date of notification that the contract has reached the \$5000 threshold, have you contributed an aggregate amount of more than \$250 within a calendar year to any R.I. general officer, candidate for R.I. general office, any member of the general assembly or candidate for general assembly, or any R.I. political party? (includes an individual contracting party, or business entity on behalf of a related party, or a related party reporting on his/her own behalf) NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period.

Yes [x] No []

3. If the answer to question 2 is "yes", provide the name of the R.I. general officer, candidate for R.I. general office, member of the general assembly or candidate for general assembly, or R.I. political party and the date and the amount of each contribution. List all contributins even if reported on a previously filed affidavit. However please indicate the previously reported contributions by the letter "PR" following the date of the contribution listed below.

Name of Officer, Candidate or Political Party	Date of Contribution	Amount of Contribution	Name of Contributor	Relationship to Contracting Party
Frank Caprio Frank Caprio Jared Nunes Catherine Taylor Erik Wallin Erik Wallin Frank Caprio Dawson Tucker Hodgson	05/17/2010 05/13/2010 10/06/2010 10/07/2010 06/28/2010 06/14/2010 06/08/2010 05/15/2010	750.00 500.00 100.00 250.00 550.00 200.00 1,000.00 300.00	John Pagliarini John Pagliarini	Officer Officer Officer Independ. Contractor
Frank Caprio Erik Wallin Dawson Tucker Hodgson Frank Caprio	05/13/2010 05/11/2010 02/23/2010 04/30/2010	200.00 250.00 50.00 250.00	John Pagliarini Marshall Raucci III	Independ. Contractor Employee Independ. Contractor

4. What is the date of execution of the written contract requiring filing of this affidavit [Such contract must be filed with this affidavit]

5. If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold? 01/01/2012

11/10/2011

,		,	·		4		a new idad the etc	te agency
6. If the contract requiring involved, and the term on RI Housing and Mortgas Agency	r duration of	such contrac	ct. If the term i ces- Closings	iting, describe the s indefinite, so st	e goods and/eate.	or services to b		12/31/2012 Expire Date
7. Is this affidavit made	hy you as an	individual or	r on behalf of a	a business entity?	I	ndividual []	Business En	tity[]
8. If on behalf of a busir <u>LaPlante Sowa Golds</u> Business Name	iess entity, w			of the business en 5855				
Corporation []	Partners	hin []		Proprietorship [1	Other Busines	ss Entity []	
•				•				
9. If "Other Business Er	tity" is chec	ked above wh	nat is the natur	e of such business	s entity?			
10. Are you a state vend						Yes [x] No [_	
11. If yes, what is the na	ime of the st	ate agency to	which you are	providing goods	and/or servi	ces? RI Housi	ng and Mortgage	Finance
12. If the answer to que	stion 10 is "r	no", are you a	state vendor b	ecause you are re	elated to a co	ntracting	Yes [] No []	
13. If the answer to que Provider of Legal S	stion 12 is "y services- Clo	es", what is t	the nature of ye	our relationship w	vith the contr	racting party?		
14. If you are a related p <u>LaPlante Sowa Gold</u> Name of Contracting <u>67 Cedar Street</u> Address1	<u>man</u>	e the name ar	<u>R</u> J	he contracting par Housing and Mo ate Agency	rty and the sintgage Final	tate agency inv	olved in such con	ract.
Address2 <u>Providence</u> City	<u>RI</u> State	<u>02903</u> Zip						
15. If you are the contra reportable political con	acting party, tributions ma	have you sur ade by such re	veyed all relate elated parties?	ed parties and doe	es this affida	vit contain all	Yes [x] No []	
16. If the answer to que of their oblicagation to	file this affic	lavit if they h	ave made repo	ortable political co	ontributions			
17. If the answer to que and the nature of such i	estion 16 is "; elationship.	yes", provide	the names and	l addresses of rela	ated parties v	who might be re	equired to file this	affidavit
Name	Address		Relationship					
18. What is the total gr period and ALL state a contracting party and of this is a semi-annual fi execution of the last co semi-annual period.	gencies? Inc o not have k	lude all contr nowledge of	acts regarless the informations 30 or July 1 to	of amount. If you n required by this to December 31).	are ming us question, played must reduced the date which	ease so state by	y marking "Yes." ons made from the	NOTE: If date of
State A	gency		Date of Contract	Amount of Contract	FEIN #	#	P.O. #	
Total C	Gross Amou	nt:						

State of: Rhode Island County of: Providence

Signature Person making the Affidavit

Subscribed and sworn to or Affirmed before me, an official authorized to administer oaths in the jurisdiction where this affidavit was day of November 23rd

Sandy M. Furtado
Printed Name of Notary or Other Person Authorized to Administer Oaths

State of Rhode Island and Providence Plantations

BOARD of ELECTIONS CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence Rhode Island 02904 TEL (401) 222-2345 RHODE ISLAND BOARD OF ELECTIONS

2011 APR 28 AM 9:58

AFFIDAVIT OF STATE VENDOR

UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

Statement Under Oath of Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information

1. Name, address and telphone number of person making this affidavit

MR. KENNETH F MCGUNAGLE JR.

Name of Person Making this Affidavit

2088 BROAD ST.

Address1

Address2

CRANSTON, RI 02905

941-2088

City **401**

State Zip

Phone

2. Within the 24 month period preceding the date of the contract with the state agency, or with respect to the contracts that are not in writing within the 24 month period preceding the date of notification that the contract has reached the \$5000 threshold, have you contributed an aggregate amount of more than \$250 within a calendar year to any R.I. general officer, candidate for R.I. general office, any member of the general assembly or candidate for general assembly, or any R.I. political party? (includes an individual contracting party, or business entity on behalf of a related party, or a related party reporting on his/her own behalf) NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period.

Yes [x] No []

3. If the answer to question 2 is "yes", provide the name of the R.I. general officer, candidate for R.I. general office, member of the general assembly or candidate for general assembly, or R.I. political party and the date and the amount of each contribution. List all contributins even if reported on a previously filed affidavit. However please indicate the previously reported contributions by the letter "PR" following the date of the contribution listed below.

Name of Officer, Candidate or Political Party	Date of Contribution	Amount of Contribution	Name of Contributor	Relationship to Contracting Party
MS. ELIZABETH H. ROBERTS	03/25/2009PR	300.00	MR. KENNETH F.	OWNER
	05/26/2009 PR	250.00	MR. KENNETH F.	OWNER
MS. ELIZABETH H. ROBERTS	01/03/2010 PR	450.00	MR. KENNETH F.	OWNER
MR. LINCOLN D. CHAFEE	06/30/2010	135.00	MR. KENNETH F.	OWNER
MR. LINCOLN D. CHAFEE	12/14/2010	250.00	MR. KENNETH F.	OWNER

- 4. What is the date of execution of the written contract requiring filing of this affidavit [Such contract must be filed with this affidavit]
- 5. If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold?

03/14/2011

6. If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the state agency involved, and the term or duration of such contract. If the term is indefinite, so state.

RI HOUSING AND MORTGAGE LEGAL SERVICES - INDEFINITE TERM

Agency Goods / Services

Contract Expire Date

9. If "Other Business Entity" is che 10. Are you a state vendor because 11. If yes, what is the name of the s 12. If the answer to question 10 is ' 13. If the answer to question 12 is ' 14. If you are a related party, provi Name of Contracting Party Address1 Address2	what is the name NTZ, LTD LAVership [] ecked above what e you are the contrastate agency to who, are you a start when you a start when the ride the name and the zipe.	e and nature of W 05-05625 FEIN# Sole P t is the nature of racting party in which you are p tate vendor bece anature of you address of the State	The business entity [564] Proprietorship [7] of such business entity and a contract with a providing goods are relationship with	Other ontity? a state Yes [x and/or services? Red to a contraction of the contracting of	Business Er No [] HOUSING Ye party?	G AND MORTGAC
MCGUNAGLE, REIDY & HEN Business Name Corporation [N] Partner 9. If "Other Business Entity" is che 10. Are you a state vendor because 11. If yes, what is the name of the s 12. If the answer to question 10 is ' 13. If the answer to question 12 is ' 14. If you are a related party, provice Name of Contracting Party Address1 Address2 City State 15. If you are the contracting party reportable political contributions in 16. If the answer to question 15 is of their oblicagation to file this aff 17. If the answer to question 16 is and the nature of such relationship Name 18. What is the total gross amount period and ALL state agencies? In contracting party and do not have this is a semi-annual filling (i.e. Jar execution of the last contract enter	ership [] ecked above what e you are the contr state agency to what "no", are you a sta "yes", what is the ride the name and	W 05-05625 FEIN# Sole P t is the nature of racting party in which you are petate vendor become address of the State syed all related	Proprietorship [] of such business e n a contract with a providing goods are cause you are rela or relationship with	Other ontity? a state Yes [x and/or services? Red to a contraction of the contracting of] No [] <u>I HOUSINO</u> ng Ye party?	G AND MORTGAC
9. If "Other Business Entity" is che 10. Are you a state vendor because 11. If yes, what is the name of the s 12. If the answer to question 10 is ' 13. If the answer to question 12 is ' 14. If you are a related party, provice Name of Contracting Party Address1 Address2 City State 15. If you are the contracting party reportable political contributions in 16. If the answer to question 15 is of their oblicagation to file this aff 17. If the answer to question 16 is and the nature of such relationship Name 18. What is the total gross amount period and ALL state agencies? In contracting party and do not have this is a semi-annual filing (i.e. Jar execution of the last contract enter	ecked above what e you are the contr state agency to wh "no", are you a sta "yes", what is the ride the name and	t is the nature of racting party in which you are plate vendor because nature of you address of the State	of such business en a contract with a providing goods are cause you are related at relationship with a contracting party	entity? a state Yes [x and/or services? Restricted to a contraction of the contracting part of the co] No [] <u>I HOUSINO</u> ng Ye party?	G AND MORTGAC
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11. If yes, what is the name of the s 12. If the answer to question 10 is ' 13. If the answer to question 12 is ' 14. If you are a related party, provided Name of Contracting Party Address 1 Address 2 City State 15. If you are the contracting party reportable political contributions in 16. If the answer to question 15 is of their oblicagation to file this aff 17. If the answer to question 16 is and the nature of such relationship Name 18. What is the total gross amount period and ALL state agencies? In contracting party and do not have this is a semi-annual filing (i.e. Jar execution of the last contract enter	state agency to whom the state agency to a state agency to the state agency	which you are potate vendor because nature of you address of the State	cause you are rela relationship with contracting party	nd/or services? Reted to a contraction has the contracting	I HOUSING ag Ye party?	es [] No []
12. If the answer to question 10 is ' 13. If the answer to question 12 is ' 14. If you are a related party, provide Name of Contracting Party Address 1 Address 2 City State 15. If you are the contracting party reportable political contributions in 16. If the answer to question 15 is of their oblicagation to file this aff 17. If the answer to question 16 is and the nature of such relationship Name 18. What is the total gross amount period and ALL state agencies? In contracting party and do not have this is a semi-annual filling (i.e. Jar execution of the last contract enter	"no", are you a state "yes", what is the ride the name and the ride the zip	e nature of you address of the State	cause you are related relationship with contracting party	ted to a contracting	ig Ye	es [] No []
13. If the answer to question 12 is ' 14. If you are a related party, provice Name of Contracting Party Address1 Address2 City State 15. If you are the contracting party reportable political contributions in 16. If the answer to question 15 is of their oblicagation to file this aff 17. If the answer to question 16 is and the nature of such relationship Name 18. What is the total gross amount period and ALL state agencies? In contracting party and do not have this is a semi-annual filing (i.e. Jar execution of the last contract enter	"yes", what is the ride the name and the record of the rec	address of the State	r relationship with	h the contracting	party?	
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period and ALL state agencies? In contracting party and do not have this is a semi-annual filing (i.e. Jar execution of the last contract enter	Address	s		Re	lationship	
	nclude all contract knowledge of the enuary 1 to June 30	ets regarless of e information r so or July 1 to l	amount. If you a required by this qual December 31), yo	re filing this affiduestion, please so ou must report conte which is 24 mo Yes [] No [avit as a par state by ma tributions n onths prior t	arty related to the arking "Yes." NOT! made from the date of the first day of the
State Agency	_	Date of Contract	Amount of Contract	FEIN#	P.C). #
RI HOUSING AN	(D		385,930.3			
Total Gross Amou	-		385,930.3	31		

· q ·		to co	$\Lambda = \Lambda$
State of: County of:	<u>RI</u> <u>PROVIDENCE</u>	Signature of Person making	the Affidavit
Subscribed a made, on thi		ed before me, an official authorized to administer oaths in the jurisdiction day of April day of April 264 day of April 2000	<u>/</u> 20 <u>//</u>
		Signature of Notary or Other Person Authority of Notary or Other Person Authority of RhOPE	,

BOARD of ELECTIONS

CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence Rhode Island 02904 TEL (401) 222-2345

AFFIDAVIT OF STATE VENDOR UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

Statement Under Oath of Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information

1.	Nam	e, a	add	ress	and	telp	hone	numb	er of	person	making	tnis	amdavit
	* **	~ >		~	76.65								

MR. Kevin P. Mohan

Name of Person Making this Affidavit

824-1100

2-Avery Street &5 Chestnut Street

Address1

Apt. 20B

Address2

Boston, MA 02111 02108

City

State Zip

617 Phone

2. Within the 24 month period preceding the date of the contract with the state agency, or with respect to the contracts that are not in writing within the 24 month period preceding the date of notification that the contract has reached the \$5000 threshold, have you contributed an aggregate amount of more than \$250 within a calendar year to any R.I. general officer, candidate for R.I. general office, any member of the general assembly or candidate for general assembly, or any R.I. political party? (includes an individual contracting party, or business entity on behalf of a related party, or a related party reporting on his/her own behalf) NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period.

3. If the answer to question 2 is "yes", provide the name of the R.I. general officer, candidate for R.I. general office, member of the general assembly or candidate for general assembly, or R.I. political party and the date and the amount of each contribution. List all contributins even if reported on a previously filed affidavit. However please indicate the previously reported contributions by the letter "PR" following the date of the contribution listed below.

Name of Officer, Candidate or Political Party	Date of Contribution	Amount of Contribution	Name of Contributor	Relationship to Contracting Party
Gina M. Raimondo	03/24/2010	-,	Kevin P. Mohan	Senior Advisor
Gina M. Raimondo	12/29/2009		Kevin P. Mohan	Senior Advisor

4. What is the date of execution of the written contract requiring filing of this affidavit [Such contract must be filed with this affidavit]

10/14/2011

- 5. If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold?
- 6. If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the state agency involved, and the term or duration of such contract. If the term is indefinite, so state.

Agency

Goods / Services

Contract Expire Date

7. Is this affidavit made by you as an individual or on behalf of a business entity?

Individual [X]

Business Entity []

8. If on behalf of a business entity, what is the name and nature of the business entity?

Business Name

FEIN#

Corporation []

Partnership []

Sole Proprietorship []

Other Business Entity []

9. If "Other Business Entity" is checked above what is the nature of such business entity?

10. Are you a state vendor because you are the contracting party in a contract with a state Yes [] No [x]

11. If yes, what is the name of the state agency to which you are providing goods and/or services?

12. If the answer to question 10 is "no", are you a state vendor because you are related to a contracting Yes [x] No []

13. If the answer to question 12 is "yes", what is the nature of your relationship with the contracting party? Senior Advisor

14. If you are a related party, provide the name and address of the contracting party and the state agency involved in such contract.

Summit Partners Credit Fund, L.P.

Employees' Retirement System of the State of Rhode Island State Agency

Name of Contracting Party

222 Berkeley Street

Address1 18th Floor

Address2

<u>Boston</u>

<u>MA</u> 02116

City

15. If you are the contracting party, have you surveyed all related parties and does this affidavit contain all Yes [] No [] reportable political contributions made by such related parties?

16. If the answer to question 15 is "no", have you notified all such parties of the requirements of the law and Yes [] No [] of their oblicagation to file this affidavit if they have made reportable political contributions?

17. If the answer to question 16 is "yes", provide the names and addresses of related parties who might be required to file this affidavit and the nature of such relationship.

Name

Address

Relationship

18. What is the total gross amount in dollars, of contracts entered into during the said preceding 24 month period between the contracting period and ALL state agencies? Include all contracts regarless of amount. If you are filing this affidavit as a party related to the contracting party and do not have knowledge of the information required by this question, please so state by marking "Yes." NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period. Yes [x] No []

State Agency

Date of Contract Amount of Contract

FEIN#

P.O. #

Employees' Retirement System

10/14/2011

20,000,000.00 05-6000522

Total Gross Amount:

State of:

MA County of:

Boston

20,000,000.00

Signature of Person making the Affidavit

Cevin & Mohan

Subscribed and sworn to or Affirmed before me, an official authorized to administer oaths in the jurisdiction where this affidavit was

2 8 TH

day of

0 6 7 0 8 6 1

Signature of Notary or Other Person Authorized to Administer Oaths

TER

DANBRIDGE

Printed Name of Notary or Other Person Authorized to Administer Oaths



BOARD of ELECTIONS CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence Rhode Island 02904 TEL (401) 222-2345

AFFIDAVIT OF STATE VENDOR

UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

Statement Under Oath of Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information

1. Name, address and telphone number of person making this affidavit

MR. Scott DePasquale

Name of Person Making this Affidavit

82 Cindyman Drive

Address1

Address2

East Greenwich, RI 02818

City 212

State Zip 697-0900

Phone

2. Within the 24 month period preceding the date of the contract with the state agency, or with respect to the contracts that are not in writing within the 24 month period preceding the date of notification that the contract has reached the \$5000 threshold, have you contributed an aggregate amount of more than \$250 within a calendar year to any R.I. general officer, candidate for R.I. general office, any member of the general assembly or candidate for general assembly, or any R.I. political party? (includes an individual contracting party, or business entity on behalf of a related party, or a related party reporting on his/her own behalf) NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period.

3. If the answer to question 2 is "yes", provide the name of the R.I. general officer, candidate for R.I. general office, member of the general assembly or candidate for general assembly, or R.I. political party and the date and the amount of each contribution. List all contributins even if reported on a previously filed affidavit. However please indicate the previously reported contributions by the letter "PR" following the date of the contribution listed below.

Name of Officer, Candidate or Political Date of Amount of Name of Contributor Relationship to Contracting Party Contribution Contribution Party

Gina M. Raimondo

03/21/2010

1,000.00 Scott DePasquale

Partner

4. What is the date of execution of the written contract requiring filing of this affidavit [Such contract must be filed with this affidavit]

10/21/2011

- 5. If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold?
- 6. If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the state agency involved, and the term or duration of such contract. If the term is indefinite, so state.

Agency

Goods / Services

Contract Expire Date

7. Is this affidavit made by you as an individual or on behalf of a business entity?

Individual [x]

Business Entity []

8. If on behalf of a business entity, what is the name and nature of the business entity?

Business Name

FEIN#

Corporation []

Partnership []

Sole Proprietorship []

Other Business Entity []

9. If "Other Business Entity" is checked above what is the nature of such business entity?

10. Are you a state vendor because you are the contracting party in a contract with a state Yes [] No [x]

11. If yes, what is the name of the state agency to which you are providing goods and/or services?

12. If the answer to question 10 is "no", are you a state vendor because you are related to a contracting

Yes [x] No []

13. If the answer to question 12 is "yes", what is the nature of your relationship with the contracting party? <u>Partner</u>

14. If you are a related party, provide the name and address of the contracting party and the state agency involved in such contract.

Braemar Energy Ventures III

Employees' Retirement System of the State of Rhode Island

Name of Contracting Party

State Agency

470 Atlantic Avenue Address1

Address2

02210

Boston City

State Zip

- 15. If you are the contracting party, have you surveyed all related parties and does this affidavit contain all Yes [] No [] reportable political contributions made by such related parties?
- 16. If the answer to question 15 is "no", have you notified all such parties of the requirements of the law and Yes [] No [] of their oblicagation to file this affidavit if they have made reportable political contributions?
- 17. If the answer to question 16 is "yes", provide the names and addresses of related parties who might be required to file this affidavit and the nature of such relationship.

Name

Address

Relationship

18. What is the total gross amount in dollars, of contracts entered into during the said preceding 24 month period between the contracting period and ALL state agencies? Include all contracts regarless of amount. If you are filing this affidavit as a party related to the contracting party and do not have knowledge of the information required by this question, please so state by marking "Yes." NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period. Yes [x] No []

State Agency

Date of

Amount of Contract

10,000,000.00

FEIN# P.O. #

Contract Employees' Retirement System

10/21/2011

10,000,000.00 05-6000522

Total Gross Amount:

State of: MA

County of: **Boston** Signature of Person making the Affidavit

Subscribed and sworn to or Affirmed before me, an official authorized to administer oaths in the jurisdiction where this affidavit was made, on this

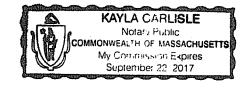
day of OCTOBER

Kayla Carlisle
Signature of Notary or Other Person Authorized to Administer Oaths

KAYLA CARLISLE

Printed Name of Notary or Other Person Authorized to Administer Oaths





GOUNSELORS AT LAW

11 DEC -7 AM 9: 44

Tracey Pecchia, Legal Assistant (401) 223-2100 x-108 tpecchia@orsonandbrusini.com

December 1, 2011

State of Rhode Island Board of Elections Campaign Finance Division 50 Branch Avenue Providence, RI 02904

Re: Aff

Affidavit of State Vendor

Dear Sir/Madam:

Enclosed herewith please find the following:

- 1. Original Affidavit of State Vendor for Theodore Orson; and
- 2. Original Affidavit of State Vendor for Stephen M. Brusini

Thank you and please do not hesitate to contact me if you have any questions or concerns regarding this matter.

Tracey Pecchia

Legal Assistant

Enclosures

BOARD of ELECTIONS CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence Rhode Island 02904

TEL (401) 222-2345

AFFIDAVIT OF STATE VENDOR

UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

Statement Under Oath of Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information

1. Name, address and telphone number of person making this affidavit

MR. Theodore Orson

Name of Person Making this Affidavit

18 Luzon Avenue

Address1

Address2

Providence, RI 02906

864-2460

City 401

State Zip

Phone

2. Within the 24 month period preceding the date of the contract with the state agency, or with respect to the contracts that are not in writing within the 24 month period preceding the date of notification that the contract has reached the \$5000 threshold, have you contributed an aggregate amount of more than \$250 within a calendar year to any R.I. general officer, candidate for R.I. general office, any member of the general assembly or candidate for general assembly, or any R.I. political party? (includes an individual contracting party, or business entity on behalf of a related party, or a related party reporting on his/her own behalf) NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period.

Yes [x] No []

3. If the answer to question 2 is "yes", provide the name of the R.I. general officer, candidate for R.I. general office, member of the general assembly or candidate for general assembly, or R.I. political party and the date and the amount of each contribution. List all contributins even if reported on a previously filed affidavit. However please indicate the previously reported contributions by the letter "PR" following the date of the contribution listed below.

Name of Officer, Candidate or Political Party	Date of Contribution	Amount of Contribution	Name of Contributor	Relationship to Contracting Party
Patrick Lynch	05/01/2010	500.00	Theodore Orson	Supporter
Frank Caprio	03/01/2009	500.00	Theodore Orson	Supporter
Elizabeth Roberts	06/01/2010	200.00	Theodore Orson	Supporter

4. What is the date of execution of the written contract requiring filing of this affidavit [Such contract must be filed with this affidavit]

5. If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold?

> All of by contract with Mr.
> State and its departments exceed
\$1000 early in the respectentations. 6. If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the state agency involved, and the term or duration of such contract. If the term is indefinite, so state.

Agency

Goods / Services

Contract Expire Date

Howen, there have been other addition contracts rute the State of Whode Island Ann its departments russ over the.

2 1								
7. Is this affidavit made b	y you as a	n individua	l or on behalf	of a business entity?	Ir	ndividual	Busines	s Entity []
8. If on behalf of a busine	ss entity,	what is the	name and nat	ure of the business er	itity?	10		
Business Name			FEI	IN#				
Corporation []	Partner	ship[]	•	Sole Proprietorship []	Other Busines	ss Entity []	
9. If "Other Business Enti	ty" is chec	ked above	what is the na	ature of such business	entity?			
						,		
10. Are you a state vendor	because	you are the	contracting p	arty in a contract with	n a state	Yes [] No [x]	
11. If yes, what is the nam	e of the st	tate agency	to which you	are providing goods	and/or servic	es?		
12. If the answer to questi	on 10 is "1	no", are you	ı a state vende	or because you are re	lated to a con	tracting	Yes [x] No	[]
13. If the answer to questi I am a shareholder an							ties. N	
14. If you are a related par Orson and Brusini Ltd. Name of Contracting P 325 Angell Street Address1		le the name	and address of	of the contracting par State of Rhode Islam State Agency	d *	As cp l 12 Addu to 144	ocemb www.la	en J. 2011, 11 change nuo Avano
Address2 <u>Providence</u> City	<u>RI</u> State	<u>02906</u> Zip	*		(Prividence	4, PI	03916 TD
15. If you are the contractive reportable political contributions	ing party, outions ma	have you su	ırveyed all re related partie	lated parties and does	this affidavi	t contain all	Yes [] No [x]
16. If the answer to question of their oblicagation to file						of the law and	Yes [x] No	[] .
17. If the answer to question and the nature of such related to the state of the such related to the such that the		es", provid	le the names a	and addresses of relat	ed parties wh	o might be red	quired to file	this affidavit
Name		Add	lress			Relationshi	ip	
Stephen M Brusini		105	Maplewood l	Drive East Greenwich	n, RI 02818		r and presider	nt of Orson
18. What is the total gross period and ALL state ager contracting party and do n this is a semi-annual filing execution of the last contractions annual period.	cies? Incl ot have kr (i.e. Janu	ude all cont nowledge of ary 1 to Jur	tracts regarles f the informat ne 30 or July 1	s of amount. If you a ion required by this o I to December 31), yo	are filing this question, pleas ou must repor	g 24 month pe affidavit as a se so state by t contribution 24 months prio	riod between party related marking "Yes is made from	the contracting to the" NOTE: If the date of
State Agend	су		Date of Contract	Amount of Contract	FEIN#	I.	P.O. #	

State Agency	Date of Contract	Amount of Contract		FEIN#	P.O. #
Rhode Island Housing	02/12/2010	. 0.	00.0	Unknown	Unknown
State of Rhode Island	07/16/2010	0.	00.0	Unknown	Unknown
Department of Health	09/13/2011	0.	00.0	Unknown	Unknown
Department of Human Services	09/13/2011	0.	00.0	Unknown	Unknown
Total Gross Amount:		. (0.00		

;	
State of: RI	and the second s
County of: <u>Providence</u>	Signature of Person making the Affidavit
Subscribed and sworn to or Affirmed before me,	an official authorized to administer oaths in the jurisdiction where this affidavit was
made, on this	lstday of December 20 11
	Jaeren Meegan
	Signature of Notary or Other Person Authorized to Administer Oaths
	Lauren M. Regan
	Printed Name of Notary or Other Person Authorized to Administer Oaths

BOARD of ELECTIONS CAMPAIGN FINANCE DIVISION

50 Branch Avenue, Providence Rhode Island 02904 TEL (401) 222-2345

AFFIDAVIT OF STATE VENDOR

UNDER CHAPTER 17-27 OF THE GENERAL LAWS OF RHODE ISLAND

Statement Under Oath of Affirmation

The undersigned, upon oath or affirmation, does hereby make the following statements and provide the following information

1. Name, address and telphone number of person making this affidavit

MR. Stephen M Brusini

Name of Person Making this Affidavit

105 Maplewood Drive

Address1

Address2

East Greenwich, RI 02818

City

State Zip

401

480-4086

Phone

2. Within the 24 month period preceding the date of the contract with the state agency, or with respect to the contracts that are not in writing within the 24 month period preceding the date of notification that the contract has reached the \$5000 threshold, have you contributed an aggregate amount of more than \$250 within a calendar year to any R.I. general officer, candidate for R.I. general office, any member of the general assembly or candidate for general assembly, or any R.I. political party? (includes an individual contracting

any member of the general assembly or candidate for general assembly, or any R.I. political party? (includes an individual contracting party, or business entity on behalf of a related party, or a related party reporting on his/her own behalf) NOTE: If this is a semi-annual filing (i.e. January 1 to June 30 or July 1 to December 31), you must report contributions made from the date of execution of the last contract entered into during such semi-annual period to the date which is 24 months prior to the first day of the same semi-annual period.

Yes [x] No []

3. If the answer to question 2 is "yes", provide the name of the R.I. general officer, candidate for R.I. general office, member of the general assembly or candidate for general assembly, or R.I. political party and the date and the amount of each contribution. List all contributins even if reported on a previously filed affidavit. However please indicate the previously reported contributions by the letter "PR" following the date of the contribution listed below.

Date of Contribution	Amount of Contribution	Name of Contributor	Relationship to Contracting Party
01/23/2011	200.00	Stephen M Brusini	Supporter
02/20/2011	500.00	Stephen M Brusini	Supporter
05/03/2011	250.00	Stephen M Brusini	Supporter
07/02/2011	250.00	Stephen M Brusini	Supporter
07/02/2011	250.00	Stephen M Brusini	Supporter
10/23/2011	250.00	Stephen M Brusini	Supporter
11/13/2011	300.00	Stephen M Brusini	Supporter
11/19/2011	250.00	Stephen M Brusini	Supporter
	Contribution 01/23/2011 02/20/2011 05/03/2011 07/02/2011 07/02/2011 10/23/2011 11/13/2011	Contribution Contribution 01/23/2011 200.00 02/20/2011 500.00 05/03/2011 250.00 07/02/2011 250.00 10/23/2011 250.00 11/13/2011 300.00	Contribution Contribution 01/23/2011 200.00 Stephen M Brusini 02/20/2011 500.00 Stephen M Brusini 05/03/2011 250.00 Stephen M Brusini 07/02/2011 250.00 Stephen M Brusini 07/02/2011 250.00 Stephen M Brusini 10/23/2011 250.00 Stephen M Brusini 11/13/2011 300.00 Stephen M Brusini

4. What is the date of execution of the written contract requiring filing of this affidavit [Such contract must be filed with this affidavit]

07/16/2010

- 5. If the contract requiring the filing of this affidavit is not in writing, when were you first notified that the contract had reached the \$5000 threshold?
- 6. If the contract requiring the filing of this affidavit is not in writing, describe the goods and/or services to be provided, the state agency involved, and the term or duration of such contract. If the term is indefinite, so state.

Agency

Goods / Services

Contract Expire Date

Ų.			•			
7. Is this affidavit made	by you as an ind	ividual or on behalf	f of a business entity?	Individ	lual Business	s Entity []
8. If on behalf of a busin	ness entity, what	is the name and nat	ure of the business en	ity?	1, (1)	
Business Name		FE	IN#			
Corporation []	Partnership []	Sole Proprietorship []	Other	Business Entity []	
9. If "Other Business Er	ntity" is checked a	bove what is the na	ature of such business	entity?		
10. Are you a state vend	lor because you a	re the contracting p	arty in a contract with	a state Yes [] No [x]	
11. If yes, what is the na	ame of the state ag	gency to which you	are providing goods a	nd/or services?		
12. If the answer to ques	stion 10 is "no", a	re you a state vende	or because you are rela	ated to a contracti	ng Yes [x] No [1
13. If the answer to quest I am a shareholder a	stion 12 is "yes", and the president	what is the nature o of Orson and Brusi	f your relationship wi	th the contracting f	party?	
14. If you are a related p Orson and Brusini Lt Name of Contracting 325 Angell Street Address1	<u>d.</u>	name and address o	of the contracting part State of Rhode Island State Agency		ency involved in such c	ontract.
Address2 <u>Providence</u> City	<u>RI</u> <u>0290</u> State Zip	<u>06</u>				
15. If you are the contracted reportable political continuity	cting party, have y ributions made by	ou surveyed all rel such related partie	lated parties and does s?	this affidavit cont	ain all Yes [] No [x	1
16. If the answer to ques of their oblicagation to f	tion 15 is "no", haile this affidavit is	ave you notified all they have made re	such parties of the receportable political cont	quirements of the ributions?	law and Yes [x] No []
17. If the answer to ques and the nature of such re	tion 16 is "yes", p lationship.	provide the names a	nd addresses of relate	d parties who mig	ht be required to file th	is affidavit
Name		Address		Rel	ationship	_
Theodore Orson		18 Luzon Avenue	Providence, RI 0290	Sha Ti	reholder and vice pres	ident of
18. What is the total grosperiod and ALL state agreentracting party and dothis is a semi-annual filing execution of the last conserminannual period.	encies? Include al not have knowled ng (i.e. January 1	l contracts regarles lge of the informati to June 30 or July 1	s of amount. If you are fon required by this que to December 31), you	id preceding 24 me filing this affidates filing this affidates for the fill of	nonth period between the vit as a party related to state by marking "Yes." ributions made from the other prior to the first date.	he contracting the NOTE: If
State Age	ncy	Date of Contract	Amount of Contract	FEIN#	P.O. #	,

Rhode Island Housing

State of Rhode Island

Department of Health

Total Gross Amount:

Department of Human Services

02/12/2010

07/16/2010

09/13/2011

09/13/2011

0.00 Unknown

0.00 Unknown

0.00 Unknown

0.00 Unknown

0.00

Unknown

Unknown

Unknown

Unknown

State of:	<u>RI</u>	
County of:	Providence	Signature of Person making the Affidavit
Subscribed a made, on thi	and sworn to or Affirmed before me, an official aus	thorized to administer oaths in the jurisdiction where this affidavit was day of
		Signature of Notary or Other Person Authorized to Administer Oaths
		Lauren M. Regan
		Printed Name of Notary or Other Person Authorized to Administer Oaths