



**CITY OF CHICAGO**  
**ECONOMIC DISCLOSURE STATEMENT and AFFIDAVIT**  
**Related to Contract/Amendment/Solicitation**  
**EDS # 24752**

**SECTION I -- GENERAL INFORMATION**

A. Legal name of the Disclosing Party submitting the EDS:

Michael Baker Jr., Inc.

Enter d/b/a if applicable:

The Disclosing Party submitting this EDS is:

the Applicant

B. Business address of the Disclosing Party:

311 West Monroe Street, Suite 1350  
Chicago, IL 60606  
United States

C. Telephone:

412-269-6334

Fax:

412-375-3985

D. Name of contact person:

Ms. Terri A. Vojnovich

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains:

Task Order Design Engineering Services (Project Categories 1-7) Roadway Design, Traffic Studies and Traffic Facilities Design Services

Which City agency or department is requesting this EDS?

DEPT OF PROCUREMENT SERVICES

Specification Number

56460

Contract (PO) Number

14604

Revision Number

Release Number

User Department Project Number

## **SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS**

### **A. NATURE OF THE DISCLOSING PARTY**

1. Indicate the nature of the Disclosing Party:

Publicly registered business corporation

Is the Disclosing Party incorporated or organized in the State of Illinois?

No

State or foreign country of incorporation or organization:

Pennsylvania

Registered to do business in the State of Illinois as a foreign entity?

Yes

### **B. DISCLOSING PARTY IS A LEGAL ENTITY:**

1.a.1 Does the Disclosing Party have any directors?

Yes

1.a.3 List below the full names and titles of all executive officers and all directors, if any, of the entity. Do not include any directors who have no power to select the entity's officers.

|                          |                                             |
|--------------------------|---------------------------------------------|
| <b>Officer/Director:</b> | Mr. Bradley L. Mallory                      |
| <b>Title:</b>            | President and CEO                           |
| <b>Role:</b>             | Director                                    |
| -----                    |                                             |
| <b>Officer/Director:</b> | Mr. G. John Kurgan                          |
| <b>Title:</b>            | Chief Operating Officer                     |
| <b>Role:</b>             | Director                                    |
| -----                    |                                             |
| <b>Officer/Director:</b> | Mr. James M. Twomey                         |
| <b>Title:</b>            | Senior Vice President                       |
| <b>Role:</b>             | Officer                                     |
| -----                    |                                             |
| <b>Officer/Director:</b> | Mr. David W. Pellizzari                     |
| <b>Title:</b>            | Vice President                              |
| <b>Role:</b>             | Officer                                     |
| -----                    |                                             |
| <b>Officer/Director:</b> | Ms. Terri A. Vojnovich                      |
| <b>Title:</b>            | Assistant Corporate Secretary               |
| <b>Role:</b>             | Officer                                     |
| -----                    |                                             |
| <b>Officer/Director:</b> | Mr. Jeffrey J Campbell                      |
| <b>Title:</b>            | Senior Vice President                       |
| <b>Role:</b>             | Officer                                     |
| -----                    |                                             |
| <b>Officer/Director:</b> | Mr. H. James McKnight                       |
| <b>Title:</b>            | Corporate Secretary and Chief Legal Counsel |
| <b>Role:</b>             | Director                                    |
| -----                    |                                             |

## 2. Ownership Information

Please provide ownership information concerning each person or entity that holds, or is anticipated to hold (see next paragraph), a direct or indirect beneficial interest in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate, or other similar entity. Note: Each legal entity below may be required to submit an EDS on its own behalf.

Please disclose present owners below. Please disclose anticipated owners in an attachment submitted through the "Additional Info" tab. "Anticipated owner" means an individual or entity in existence at the time application for City action is made, which is not an applicant or owner at such time, but which the applicant expects to assume a legal status, within six months of the time the City action occurs, that would render such individual or entity an applicant or owner if they had held such legal status at the time application was made.

- Michael Baker Corporation - 100.0% - EDS 25139

#### Owner Details

| Name                      | Business Address                                              |
|---------------------------|---------------------------------------------------------------|
| Michael Baker Corporation | 100 Airside Drive<br>Moon Township, PA 15108<br>United States |

### SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in [Chapter 2-156 of the Municipal Code](#), with any City elected official in the 12 months before the date this EDS is signed?

No

### SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

1. Has the Disclosing Party retained any legal entities in connection with the Matter?

No

3. Has the Disclosing Party retained any persons in connection with the Matter?

No

## **SECTION V -- CERTIFICATIONS**

### **A. COURT-ORDERED CHILD SUPPORT COMPLIANCE**

Under [Municipal Code Section 2-92-415](#), substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage of any child support obligations by any Illinois court of competent jurisdiction?

Not applicable because no person directly or indirectly owns 10% or more of the Disclosing Party

### **B. FURTHER CERTIFICATIONS**

1. Pursuant to [Municipal Code Chapter 1-23](#), Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows:

- i. neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and
- ii. the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City.

NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

I certify the above to be true

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

I certify the above to be true

3. Neither the Disclosing Party, nor any [Contractor](#), nor any [Affiliated Entity](#) of either the Disclosing Party or any [Contractor](#) nor any [Agents](#) have, during the five years before the date this EDS is signed, or, with respect to a [Contractor](#), an [Affiliated Entity](#), or an [Affiliated Entity](#) of a [Contractor](#) during the five years before the date of such [Contractor's](#) or [Affiliated Entity's](#) contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of [Municipal Code Section 2-92-610 \(Living Wage Ordinance\)](#).

I certify the above to be true

4. Neither the Disclosing Party, [Affiliated Entity](#) or [Contractor](#), or any of their employees, officials, [agents](#) or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of

- bid-rigging in violation of [720 ILCS 5/33E-3](#);
- bid-rotating in violation of [720 ILCS 5/33E-4](#); or
- any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

I certify the above to be true

5. Neither the Disclosing Party nor any [Affiliated Entity](#) is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the [Specially Designated Nationals List](#), the [Denied Persons List](#), the [Unverified List](#), the [Entity List](#) and the [Debarred List](#).

I certify the above to be true

6. The Disclosing Party understands and shall comply with the applicable requirements of [Chapters 2-55 \(Legislative Inspector General\)](#), [Chapter 2-56 \(Inspector General\)](#) and [Chapter 2-156 \(Governmental Ethics\)](#) of the Municipal Code.

I certify the above to be true

#### C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

The Disclosing Party certifies that, as defined in [Section 2-32-455\(b\) of the Municipal Code](#), the Disclosing Party

is not a "financial institution"

#### D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in [Chapter 2-156 of the Municipal Code](#) have the same meanings when used in this Part D.

1. In accordance with [Section 2-156-110 of the Municipal Code](#): Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

No

#### E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

If the Disclosing Party cannot make this verification, the Disclosing Party must disclose all required information in the space provided below or in an attachment in the "Additional Info" tab. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

I can make the above verification

## **SECTION VI -- CERTIFICATIONS FOR FEDERALLY-FUNDED MATTERS**

Is the Matter federally funded? For the purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

No

## **SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE**

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics and Campaign Financing Ordinances, [Chapters 2-156](#) and [2-164](#) of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. A training program is available on line at [www.cityofchicago.org/city/en/depts/ethics.html](http://www.cityofchicago.org/city/en/depts/ethics.html), and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

I acknowledge and consent to the above



The Disclosing Party understands and agrees that:

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of [Chapter 1-23 of the Municipal Code](#) (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by [Chapter 1-23](#) and [Section 2-154-020 of the Municipal Code](#).

I acknowledge and consent to the above

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its [Affiliated Entities](#) delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

I certify the above to be true

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its [Affiliated Entities](#) will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal [Excluded Parties List System \("EPLS"\)](#) maintained by the U.S. General Services Administration.

I certify the above to be true

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

I certify the above to be true

## **FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS**

This question is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under [Municipal Code Section 2-154-015](#), the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all corporate officers of the Disclosing Party, if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

No

## **ADDITIONAL INFO**

Please add any additional explanatory information here. If needed you may add an attachment below.

List of vendor attachments uploaded by City staff

None.

List of attachments uploaded by vendor

None.

## **CERTIFICATION**

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable appendices, are true, accurate and complete as of the date furnished to the City. Submission of this form constitutes making the oath associated with notarization.

/s/ 09/22/2011

Ms. Terri A. Vojnovich  
Executive Administrator  
Michael Baker Jr., Inc.

This is a printed copy of the Economic Disclosure Statement, the original of which is filed electronically with the City of Chicago. Any alterations must be made electronically, alterations on this printed copy are void and of no effect.



**CITY OF CHICAGO**  
**ECONOMIC DISCLOSURE STATEMENT and AFFIDAVIT**  
**Related to Contract/Amendment/Solicitation**  
**EDS # 25139**

**SECTION I -- GENERAL INFORMATION**

A. Legal name of the Disclosing Party submitting the EDS:

Michael Baker Corporation

Enter d/b/a if applicable:

The Disclosing Party submitting this EDS is:

a legal entity holding a direct or indirect interest in the Applicant

The Disclosing Party holds an interest in

Michael Baker Jr., Inc. and EDS is 24752

B. Business address of the Disclosing Party:

100 Airside Drive  
Moon Township, PA 15108  
United States

C. Telephone:

412-269-6334

Fax:

412-375-3985

D. Name of contact person:

Terri Vojnovich

## SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

### A. NATURE OF THE DISCLOSING PARTY

#### 1. Indicate the nature of the Disclosing Party:

Publicly registered business corporation

Is the Disclosing Party incorporated or organized in the State of Illinois?

No

State or foreign country of incorporation or organization:

Pennsylvania

Registered to do business in the State of Illinois as a foreign entity?

Yes

### B. DISCLOSING PARTY IS A LEGAL ENTITY:

#### 1.a.1 Does the Disclosing Party have any directors?

Yes

1.a.3 List below the full names and titles of all executive officers and all directors, if any, of the entity. Do not include any directors who have no power to select the entity's officers.

**Officer/Director:** Mr. Richard L Shaw

**Title:** Chairman

**Role:** Director

-----  
**Officer/Director:** Mr. Robert N. Bontempo

**Title:**

**Role:** Director

-----  
**Officer/Director:** Mr. Nicholas P. Constantakis

**Title:**

**Role:** Director

-----  
**Officer/Director:** Mr. William J. Copeland

**Title:**

**Role:** Director

-----

|                          |                                                             |
|--------------------------|-------------------------------------------------------------|
| <b>Officer/Director:</b> | Mr. Robert H. Foglesong                                     |
| <b>Title:</b>            |                                                             |
| <b>Role:</b>             | Director                                                    |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Mr. Mark E. Kaplan                                          |
| <b>Title:</b>            |                                                             |
| <b>Role:</b>             | Director                                                    |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Mr. Bradley L. Mallory                                      |
| <b>Title:</b>            | President and Chief Executive Officer                       |
| <b>Role:</b>             | Both                                                        |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Mr. John E. Murray Jr                                       |
| <b>Title:</b>            |                                                             |
| <b>Role:</b>             | Director                                                    |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Ms. Pamela S. Pierce                                        |
| <b>Title:</b>            |                                                             |
| <b>Role:</b>             | Director                                                    |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Mr. David N. Wormley                                        |
| <b>Title:</b>            |                                                             |
| <b>Role:</b>             | Director                                                    |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Mr. H. James McKnight                                       |
| <b>Title:</b>            | EVP, Chief Legal Officer and Corporate Secretary            |
| <b>Role:</b>             | Officer                                                     |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Mr. Michael J. Zugay                                        |
| <b>Title:</b>            | EVP and Chief Financial Officer                             |
| <b>Role:</b>             | Officer                                                     |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Mr. G. John Kurgan                                          |
| <b>Title:</b>            | Chief Operating Officer                                     |
| <b>Role:</b>             | Officer                                                     |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Mr. Joseph R. Beck                                          |
| <b>Title:</b>            | Senior Vice President of Development                        |
| <b>Role:</b>             | Officer                                                     |
| -----                    |                                                             |
| <b>Officer/Director:</b> | Ms. Marcia S. Wolk                                          |
| <b>Title:</b>            | Sr. VP, Asst. General Counsel and Asst. Corporate Secretary |

|                          |                                                    |
|--------------------------|----------------------------------------------------|
| <b>Role:</b>             | Officer                                            |
| <b>Officer/Director:</b> | Mr. Jeremy N. Gill                                 |
| <b>Title:</b>            | Vice President and Chief Information Officer       |
| <b>Role:</b>             | Officer                                            |
| <b>Officer/Director:</b> | Mr. David G. Higie                                 |
| <b>Title:</b>            | VP Corporate Communications and Investor Relations |
| <b>Role:</b>             | Officer                                            |
| <b>Officer/Director:</b> | Mr. James M. Kempton                               |
| <b>Title:</b>            | VP, Corporate Controller and Treasurer             |
| <b>Role:</b>             | Officer                                            |
| <b>Officer/Director:</b> | Mr. Samuel C. Knoch                                |
| <b>Title:</b>            | Vice President and Chief Risk Officer              |
| <b>Role:</b>             | Officer                                            |
| <b>Officer/Director:</b> | Mr. Michael Ziemianski                             |
| <b>Title:</b>            | Vice President and Chief Resource Officer          |
| <b>Role:</b>             | Officer                                            |
| <b>Officer/Director:</b> | Ms. Silvana Travanti                               |
| <b>Title:</b>            | Assistant Corporate Secretary                      |
| <b>Role:</b>             | Officer                                            |

## 2. Ownership Information

Please confirm ownership information concerning each person or entity that having a direct or indirect beneficial interest in excess of 7.5% of the Disclosing Party (your entity). Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate, or other similar entity. Note: Each legal entity below may be required to submit an EDS on its own behalf.

As reported by the Disclosing Party, the immediate owner(s) of the Disclosing Party is/are listed below:

There are no owners with greater than 7.5 percent ownership in the Disclosing Party.

## SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in [Chapter 2-156 of the Municipal Code](#), with any City elected official in the 12 months before the date this EDS is signed?

No

## SECTION V -- CERTIFICATIONS

### A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under [Municipal Code Section 2-92-415](#), substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage of any child support obligations by any Illinois court of competent jurisdiction?

Not applicable because no person directly or indirectly owns 10% or more of the Disclosing Party

### B. FURTHER CERTIFICATIONS

1. Pursuant to [Municipal Code Chapter 1-23](#), Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows:

- i. neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and
- ii. the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City.

NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

I certify the above to be true



2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

I certify the above to be true

3. Neither the Disclosing Party, nor any [Contractor](#), nor any [Affiliated Entity](#) of either the Disclosing Party or any [Contractor](#) nor any [Agents](#) have, during the five years before the date this EDS is signed, or, with respect to a [Contractor](#), an [Affiliated Entity](#), or an [Affiliated Entity](#) of a [Contractor](#) during the five years before the date of such [Contractor's](#) or [Affiliated Entity's](#) contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of [Municipal Code Section 2-92-610 \(Living Wage Ordinance\)](#).

I certify the above to be true

4. Neither the Disclosing Party, [Affiliated Entity](#) or [Contractor](#), or any of their employees, officials, [agents](#) or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of

- bid-rigging in violation of [720 ILCS 5/33E-3](#);
- bid-rotating in violation of [720 ILCS 5/33E-4](#); or
- any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

I certify the above to be true

5. Neither the Disclosing Party nor any [Affiliated Entity](#) is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the [Specially Designated Nationals List](#), the [Denied Persons List](#), the [Unverified List](#), the [Entity List](#) and the [Debarred List](#).

I certify the above to be true

6. The Disclosing Party understands and shall comply with the applicable requirements of [Chapters 2-55 \(Legislative Inspector General\)](#), [Chapter 2-56 \(Inspector General\)](#) and [Chapter 2-156 \(Governmental Ethics\)](#) of the Municipal Code.

I certify the above to be true

## C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

The Disclosing Party certifies that, as defined in [Section 2-32-455\(b\) of the Municipal Code](#), the Disclosing Party

is not a "financial institution"

## E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

If the Disclosing Party cannot make this verification, the Disclosing Party must disclose all required information in the space provided below or in an attachment in the "Additional Info" tab. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

I can make the above verification

## **SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE**

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics and Campaign Financing Ordinances, [Chapters 2-156](#) and [2-164](#) of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. A training program is available on line at [www.cityofchicago.org/city/en/depts/ethics.html](http://www.cityofchicago.org/city/en/depts/ethics.html), and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

I acknowledge and consent to the above

The Disclosing Party understands and agrees that:

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action

on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of [Chapter 1-23 of the Municipal Code](#) (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by [Chapter 1-23](#) and [Section 2-154-020 of the Municipal Code](#).

I acknowledge and consent to the above

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its [Affiliated Entities](#) delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

I certify the above to be true

## **FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS**

This question is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under [Municipal Code Section 2-154-015](#), the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all corporate officers of the Disclosing Party, if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having

more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

No

## **ADDITIONAL INFO**

Please add any additional explanatory information here. If needed you may add an attachment below.

Attached is a letter disclosing ownership and requesting exceptions.

List of attachments uploaded by vendor

Letter requesting exceptions.

## **CERTIFICATION**

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable appendices, are true, accurate and complete as of the date furnished to the City. Submission of this form constitutes making the oath associated with notarization.

/s/ 09/22/2011

Terri Vojnovich

Executive Administrator

Michael Baker Corporation

This is a printed copy of the Economic Disclosure Statement, the original of which is filed electronically with the City of Chicago. Any alterations must be made electronically, alterations on this printed copy are void and of no effect.

The Baker logo consists of the word "Baker" in white, sans-serif font, centered within a solid blue rectangular background.

**Michael Baker Corporation**

September 22, 2011

Airside Business Park  
100 Airside Drive  
Moon Township, PA 15108  
(412) 269-6300  
(412) 375-3985 FAX

City of Chicago  
Department of Procurement Services  
121 North LaSalle Street City Hall-Room 403  
Chicago, IL 60602

RE: Task Order Design Engineering Services (Project Categories 1-7)  
Roadway Design, Traffic Studies & Traffic Facilities Design Services  
Contract No. 14604  
Requisition No.: 51804  
Specification No.: 56460

City of Chicago:

Michael Baker Corporation respectfully requests exceptions for the below listed owners with regard to ownership in Michael Baker Corporation.

The Baker 401(k) Plan currently owns approximately 10% of the Michael Baker Corporation stock. The FEIN for The Baker 401(k) Plan is 25-0927646 which is the same as Michael Baker Corporation's. We want to disclose this ownership but request exclusion for the Baker 401(k) Plan submitting an EDS.

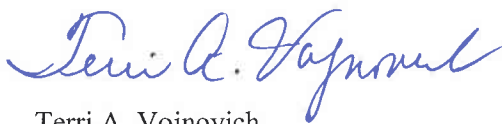
We would also like to disclose that investment management companies Corbyn Investment Management, Inc.(9.54%) and Wellington Management Co. LLP (8.12%) own in excess of 7.5% of Michael Baker Corporation stock. We request exclusion for these management companies to submit an EDS on our behalf. Form ADV for both companies is attached to this letter.

This letter is provided as an attachment to EDS 25139.

Please contact me if you have any questions or concerns regarding our exceptions requested in this letter.

Sincerely,

**MICHAEL BAKER CORPORATION**

A handwritten signature in blue ink, reading "Terri A. Vojnovich", written in a cursive style.

Terri A. Vojnovich  
Executive Administrator

:tav



BKR (NYSE Amex) Sep 22, 2011 3:42 PM ET \$18.97 ▲ 0.34 (-1.76%)

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## Ownership Profile

### Shareholder Breakdown

|             | Holders | Values (\$)    | % O/S | Shares    |
|-------------|---------|----------------|-------|-----------|
| Institution | 84      | 156,235,653.00 | 74.31 | 6,928,410 |
| Mutual Fund | 150     | 103,163,212.00 | 49.07 | 4,574,865 |

### Institutional Shareholder Rotation

|         | Holders | Values Change (\$) | % O/S | Shares Change |
|---------|---------|--------------------|-------|---------------|
| Buyers  | 43      | 20,019,532.00      | 48.59 | 887,784       |
| Sellers | 26      | -27,085,596.00     | 21.21 | -1,201,135    |
| Net     | --      | -7,066,064.00      | 27.38 | -313,351      |

### Institutional Shareholder Concentration

|              | Values (\$)    | % O/S | Shares    |
|--------------|----------------|-------|-----------|
| Top 10 Inst. | 109,898,914    | 52.27 | 4,873,566 |
| Top 20 Inst. | 137,697,676.00 | 65.49 | 6,106,327 |
| Top 50 Inst. | 154,056,350.00 | 73.27 | 6,831,767 |
| Total Inst.  | 156,235,653.00 | 74.31 | 6,928,410 |

### Institutional Shareholder Style

|            | Holders | Values (\$) | % O/S | Shares    |
|------------|---------|-------------|-------|-----------|
| GARP       | 34      | 18,149,009  | 11.62 | 804,834   |
| Value      | 33      | 81,753,586  | 52.33 | 3,625,436 |
| Deep Value | 7       | 27,768,679  | 17.77 | 1,231,427 |
| Index      | 6       | 26,787,754  | 17.15 | 1,187,927 |
| Growth     | 2       | 1,581,883   | 1.01  | 70,150    |
| Yield      | 2       | 194,742     | 0.12  | 8,636     |

### Top Holders: Institutional Investor

|                                                    | Shares Held | % O/S | Shares Change | Filing Date |
|----------------------------------------------------|-------------|-------|---------------|-------------|
| Corbyn Investment Management, Inc.                 | 886,896     | 9.54  | 459           | 06/30/2011  |
| Wellington Management Co. LLP                      | 755,424     | 8.12  | 125,500       | 06/30/2011  |
| Starboard Value LP                                 | 590,000     | 6.35  | 525,100       | 08/24/2011  |
| New Jersey Division of Investment                  | 494,000     | 5.31  | 2,000         | 06/30/2011  |
| Investment Counselors of Maryland LLC              | 481,500     | 5.18  | -13,100       | 06/30/2011  |
| BlackRock Fund Advisors                            | 472,757     | 5.08  | -7,046        | 06/30/2011  |
| The Vanguard Group, Inc.                           | 405,683     | 4.36  | 4,752         | 06/30/2011  |
| Royce & Associates LLC                             | 289,965     | 3.12  | -872,959      | 08/31/2011  |
| Schroder Investment Management North America, Inc. | 278,100     | 2.99  | 0             | 06/30/2011  |
| Dimensional Fund Advisors, Inc.                    | 219,241     | 2.36  | -7,774        | 06/30/2011  |
| Goldman Sachs Asset Management LP                  | 216,767     | 2.33  | 20            | 06/30/2011  |
| Sparta Asset Management LLC                        | 166,745     | 1.79  | 15,612        | 06/30/2011  |
| Robeco Investment Management                       | 160,690     | 1.73  | 49,015        | 06/30/2011  |
| State Street Global Advisors                       | 158,718     | 1.71  | -2,592        | 06/30/2011  |
| Perritt Capital Management, Inc.                   | 125,555     | 1.35  | 1,400         | 06/30/2011  |
| Northern Trust Investments                         | 115,500     | 1.24  | 3,152         | 06/30/2011  |
| Batterymarch Financial Management, Inc.            | 86,854      | 0.93  | -11,930       | 06/30/2011  |
| OppenheimerFunds, Inc.                             | 74,167      | 0.80  | -68,516       | 06/30/2011  |

Ownership data is provided by FactSet, a third party service, and Michael Baker Corporation does not maintain or provide information directly to this service.



## LOCATIONS

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**FORM ADV** **OMB: 3235-0049**  
**UNIFORM APPLICATION FOR INVESTMENT ADVISER  
 REGISTRATION**

**Primary Business Name:** **WELLINGTON MANAGEMENT  
 COMPANY, LLP**

**IARD/CRD Number:**  
**106595**

**Rev. 11/2010**

**WARNING:** Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 3.

**Item 1 Identifying Information**

Responses to this Item tell us who you are, where you are doing business, and how we can contact you.

- A. Your full legal name (if you are a sole proprietor, your last, first, and middle names):  
**WELLINGTON MANAGEMENT COMPANY, LLP**
- B. Name under which you primarily conduct your advisory business, if different from Item 1.A.  
**WELLINGTON MANAGEMENT COMPANY, LLP**  
*List on Section 1.B. of Schedule D any additional names under which you conduct your advisory business.*
- C. If this filing is reporting a change in your legal name (Item 1.A.) or primary business name (Item 1.B.), enter the new name and specify whether the name change is of  
☐ your legal name or ☐ your primary business name:
- D. If you are registered with the SEC as an investment adviser, your SEC file number: 801- **15908**
- E. If you have a number ("CRD Number") assigned by FINRA's CRD system or by the IARD system, your CRD number: **106595**  
*If your firm does not have a CRD number, skip this Item 1.E. Do not provide the CRD number of one of your officers, employees, or affiliates.*
- F. *Principal Office and Place of Business*
- (1) Address (do not use a P.O. Box):  
 Number and Street 1: **280 CONGRESS STREET** Number and Street 2:  
 City: **BOSTON** State: **MA** Country: **UNITED STATES** ZIP+4/Postal Code: **02210**  
 If this address is a private residence, check this box: ☐  
*List on Section 1.F. of Schedule D any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for registration, or are registered only, with the SEC, list the largest five offices in terms of numbers of employees.*
- (2) Days of week that you normally conduct business at your principal office and place of business:  
☒ Monday-Friday ☐ Other:  
 Normal business hours at this location:  
**8:30 - 5:30**
- (3) Telephone number at this location:



617-951-5000

(4) Facsimile number at this location:

617-790-7760

G. Mailing address, if different from your *principal office and place of business* address:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐H. If you are a sole proprietor, state your full residence address, if different from your *principal office and place of business* address in Item 1.F.:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

YES NO

I. Do you have World Wide Web site addresses?



*If "yes," list these addresses on Section 1.I. of Schedule D. If a web address serves as a portal through which to access other information you have published on the World Wide Web, you may list the portal without listing addresses for all of the other information. Some advisers may need to list more than one portal address. Do not provide individual electronic mail addresses in response to this Item.*

J. Contact Employee:

Name:

Title:

Telephone Number:

Facsimile Number:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

Electronic mail (e-mail) address, if contact employee has one:

*The contact employee should be an employee whom you have authorized to receive information and respond to questions about this Form ADV.*

YES NO

K. Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your *principal office and place of business*?



*If "yes," complete Section 1.K. of Schedule D.*

YES NO

L. Are you registered with a foreign financial regulatory authority?



*Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes", complete Section 1.L. of Schedule D.*

**FORM ADV**

OMB: 3235-0049

**UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION**

|                                                                   |                                   |
|-------------------------------------------------------------------|-----------------------------------|
| <b>Primary Business Name:</b> CORBYN INVESTMENT MANAGEMENT<br>INC | <b>IARD/CRD Number:</b><br>104716 |
| <b>Rev. 11/2010</b>                                               |                                   |

**WARNING:** Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 3.

**Item 1 Identifying Information**

Responses to this Item tell us who you are, where you are doing business, and how we can contact you.

- A. Your full legal name (if you are a sole proprietor, your last, first, and middle names):  
CORBYN INVESTMENT MANAGEMENT INC
- B. Name under which you primarily conduct your advisory business, if different from Item 1.A.  
CORBYN INVESTMENT MANAGEMENT INC  
*List on Section 1.B. of Schedule D any additional names under which you conduct your advisory business.*
- C. If this filing is reporting a change in your legal name (Item 1.A.) or primary business name (Item 1.B.), enter the new name and specify whether the name change is of  
☐ your legal name or ☐ your primary business name:
- D. If you are registered with the SEC as an investment adviser, your SEC file number:  
801- 9139
- E. If you have a number ("CRD Number") assigned by FINRA's CRD system or by the IARD system, your CRD number: 104716  
*If your firm does not have a CRD number, skip this Item 1.E. Do not provide the CRD number of one of your officers, employees, or affiliates.*

**F. Principal Office and Place of Business****(1) Address (do not use a P.O. Box):**

Number and Street 1:

2330 W JOPPA RD STE 108

City:

LUTHERVILLE

State:

MD

Number and Street 2:

Country:

UNITED STATES

ZIP+4/Postal Code:

21093

If this address is a private residence, check this box: ☐

*List on Section 1.F. of Schedule D any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for registration, or are registered only, with the SEC, list the largest five offices in terms of numbers of employees.*

**(2) Days of week that you normally conduct business at your principal office and place of business:**

☒ Monday-Friday ☐ Other:

Normal business hours at this location:

8:30AM - 4:30PM

(3) Telephone number at this location:  
410-832-5500

(4) Facsimile number at this location:  
410-823-0903

G. Mailing address, if different from your *principal office and place of business* address:  
Number and Street 1:                      Number and Street 2:

City:                      State:                      Country:                      ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

H. If you are a sole proprietor, state your full residence address, if different from your *principal office and place of business* address in Item 1.F.:

Number and Street 1:                      Number and Street 2:  
City:                      State:                      Country:                      ZIP+4/Postal Code:

YES NO

I. Do you have World Wide Web site addresses? ☐ ☒

*If "yes," list these addresses on Section 1.I. of Schedule D. If a web address serves as a portal through which to access other information you have published on the World Wide Web, you may list the portal without listing addresses for all of the other information. Some advisers may need to list more than one portal address. Do not provide individual electronic mail addresses in response to this Item.*

J. Contact Employee:

Name:                      Title:  
Telephone Number:                      Facsimile Number:  
Number and Street 1:                      Number and Street 2:  
City:                      State:                      Country:                      ZIP+4/Postal Code:  
Electronic mail (e-mail) address, if contact *employee* has one:  
*The contact employee should be an employee whom you have authorized to receive information and respond to questions about this Form ADV.*

YES NO

K. Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your *principal office and place of business*? ☐ ☒  
*If "yes," complete Section 1.K. of Schedule D.*

YES NO

L. Are you registered with a foreign financial regulatory authority? ☐ ☒

*Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes," complete Section 1.L. of Schedule D.*