



Michael W. Frerichs
ILLINOIS STATE TREASURER

CAPABILITIES QUESTIONNAIRE

For Minority, Woman, Veteran, and Disabled-Owned or Managed Companies Seeking to do Business with the Treasurer’s Office

PURPOSE

The Treasurer’s Office makes a concerted, proactive effort to do business with and utilize services from qualified minority, woman, veteran, and disabled-owned or managed financial companies,¹ particularly those with employees in Illinois. This includes broker/dealers, asset managers, banks, credit unions, savings and loan companies, and other financial institutions.

Our Office seeks a wide variety of financial services from these parties, including, but not limited to:

- Brokerage/Dealer Services;
- Depository Services;
- Custody and Safekeeping;
- Linked/Time Deposits;
- Investment Consulting;
- Capital Markets;
- Asset Management;
- Private Equity;
- Venture Capital; and
- Other investment services.

By filling out this Capabilities Questionnaire, you can provide the Treasurer’s staff with a basis to be proactive in identifying opportunities for business transactions or service provision.

WHERE TO SUBMIT

Send completed questionnaires to Max Dulberger at MDulberger@illinoistreasurer.gov.

PLEASE ANSWER THE FOLLOWING QUESTIONS:

Company Name _____

Address _____ City _____ State _____

of Employees in Illinois Offices: _____ # of Employees Company-wide: _____

Point of Contact Name _____ Title _____

Phone _____ Email _____

¹ The Treasurer’s Office seeks to accord preference to qualified businesses that demonstrate or attest that (1) greater than 50% of the ownership interest of the firm is held by minority, female, veteran, and/or disabled persons, OR (2) greater than 75% of the firm’s senior managers are minority, female, veteran, and/or disabled persons. Definitions of “minority,” “female,” “veteran,” and “disabled person” are located in the Business Enterprise for Minorities, Females and Persons with Disabilities Act ([30 ILCS 575](#)) and Sections 45-57 (“Veterans”) of the Illinois Procurement Code ([30 ILCS 500/45-57](#)).

What investment services/products does your company provide?

If your firm serves as an asset manager, do you offer 40 Act funds?

Yes [] No [] Unsure []

What banking services/products does your company provide?

Summarize the experience and qualifications of staff.

Is the company owned by a minority, female, veteran, and/or disabled person (greater than 50%)?

Yes [] No [] Unsure []

Please indicate the ownership status (check which applies):

- Minority-Owned []
 - African American []
 - Asian American []
 - Latino American []
 - Native American []
- Woman-Owned []
- Veteran-Owned []
- Disabled-Owned []

Are more than 75% of senior managers minority, female, veteran, and/or disabled persons?

Yes [] No [] Unsure []

Please indicate the management status (check which applies):

- Minority-Managed []
 - African American []
 - Asian American []
 - Latino American []
 - Native American []
- Woman- Managed []
- Veteran- Managed []
- Disabled- Managed []

If your firm publishes a general information pamphlet setting forth the history, organizational structure and services/products of your business, please include a copy.