

REQUEST FOR PROPOSALS

FOR

INVESTMENT COMPLIANCE SOFTWARE SYSTEM AND SERVICES

FOR

THE

Retirement Systems of Alabama

RFP 020 17000000099

Issue Date: June 8, 2017

RESPONSES TO QUESTIONS FROM POTENTIAL PROPOSERS

Note: Some questions have been altered from their original form as necessary to protect the anonymity of all Potential Proposers and/or to provide context.

Question 1: Can companies from Outside USA can apply for this?

Answer: Yes

Question 2: Whether we need to come over there for meetings?

Answer: Yes

Question 3: Can tasks be performed (related to RFP) outside USA? (like, from India or Canada)

Answer: Yes

Question 4: Can we submit the proposals via email?

.Answer: Per the RFP, the response may not be electronically submitted but instead must be submitted in hard copy format.

Question 5: Is there a preferred format to respond in – Excel/Word document?

Answer: Per the RFP, the response may not be electronically submitted but instead must be submitted in hard copy format.

Question 6: How many RSA employees need to be monitored?

Answer: Approximately 75 employees

Question 7: How many Compliance Officers will be monitoring employees?

Answer: There will be a Compliance Officer and a Deputy Compliance Officer

Question 8: Is there a need to segregate employee data within the application between the three RSA groups to prevent a Compliance Officer of one group from seeing another's employee level data?

Answer: No, there is one compliance plan which governs all three entities and all applicable employees and the Compliance Officer and the Deputy Compliance Officer oversee this one compliance plan.

Question 9: Is there an HR system where employee information and organization structure is housed?

Answer: Yes

Question 10: Is there a need to screen/monitor for insider trading?

Answer: Yes

Question 11: Is there a need to preclear/monitor for political donation activity?

Answer: No