



Ethics Commission
200 N Spring Street
City Hall — 24th Floor
Los Angeles, CA 90012
(213) 978-1960
ethics.lacity.org

Form 55 Instructions

Bidders who respond to certain City contract solicitations are limited by City law in their ability to financially participate in City elections. They are prohibited from making campaign contributions to and engaging in certain fundraising activity for City candidates and officeholders. They are also required to disclose their identities and the identities of their subcontractors and principals. Form 55 must be used for that purpose, and these instructions provide information about how to complete it.

If you have questions about Form 55, please contact the Ethics Commission.

(213) 978-1960

ethics.bidder@lacity.org

Bidder Responsibilities

You are a bidder required to complete Form 55 when all of the following apply:

- ◆ You submit a **response or proposal** for an RFP (request for proposals), RFQ (request for qualifications, RFB (request for bids), or any other written or verbal request to enter into a City contract; *and*
- ◆ The contract you seek is expected to be valued at **\$100,000 or more**; *and*
- ◆ The contract must be approved by an **elected office** (City Council, Mayor, City Controller, or City Attorney).

Form 55 is used to disclose information about the following individuals and entities:

- ◆ You (the bidder);
- ◆ Your principals;
- ◆ Your subcontractors with subcontracts valued at \$100,000 or more; *and*
- ◆ The principals of those subcontractors.

The campaign finance restrictions and requirements in ***Los Angeles City Charter § 470(c)(12)*** and ***Los Angeles Municipal Code § 49.7.35*** apply to all of those individuals and entities. They are subject to the laws because of the positions they hold in relation to a City bid, not because they are disclosed on your Form 55.

You are required to do all of the following:

1. ***Submit*** your Form 55 with your bid or proposal documents to the City department awarding the contract.
2. ***Amend*** your Form 55 within 10 days if the information in the form changes after you submit it with your bid.
3. ***Notify*** your principals and subcontractors of the campaign finance restrictions and requirements that apply to them.



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Page 1: Cover Page and Bidder Information

You must complete all sections on the cover page.

A. Original or Amended Filing

Original Filing – Check this box if this is the first time you are submitting a Form 55 in connection with a City contract that you currently seek or have been awarded.

Amended Filing – Check this box if you are making changes to a Form 55 that was previously submitted in connection with the same City contract that you are seeking or have been awarded. For an amended filing, you must provide the later of:

- ◆ The date that your original Form 55 submission was signed, or
- ◆ The date that your most recent amendment was signed.

Example 1

Your law firm submitted a Form 55 last month when responding to an RFP with the City Attorney's Office for legal services. Your law firm is now responding to an RFP with the Port of Los Angeles for a different contract to provide legal services. Check the "Original Filing" box on the Form 55 submitted to the Port, because this is the first time your firm is submitting Form 55 in connection with the legal services contract with the Port.

Example 2

Your company submitted a Form 55 last week when responding to an RFP with the Department of Water and Power (DWP) for construction services. This week, your company moved its offices to a new location. Your company is required to update its contact information on the Form 55 submitted with its proposal. Check the "Amended Filing" box, because your company is submitting an updated version of the Form 55 that was submitted in connection with the same construction services contract with DWP.

B. Reference Number

If applicable, provide the bid number, contract number, RFP number, or other identifying number or code assigned to the bid or potential contract that you seek. You can usually find this number on the City solicitation package (e.g., the RFP documents). However, not all solicitations have a reference number.

If there is no reference number for the bid or contract, enter "N/A" in this box.

C. Date Bid Submitted

Enter the date that you submit your bid or response documents to the City department awarding the contract.

D. Description of Contract

Provide the following information in this section:

- ◆ Title of the RFP, RFQ, or RFB as listed on the City solicitation documents; and
- ◆ Description of the services to be provided under the contract sought.

A brief description of the contract is usually given in the RFP, RFQ, RFB, or solicitation documents. If you cannot find one, describe what will be performed under the contract.



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E. City Department Awarding the Contract

Provide the name of the City department that will be awarding the contract you seek.

F. Bidder Information

Provide all of the following information:

- ◆ Your full legal name;
- ◆ Your street address;
- ◆ Your telephone number; and
- ◆ Your email address.

The email address and telephone number provided in this section will be used to contact you if there are questions about the information provided in your Form 55. Remember to amend your Form 55 to keep this information current.

G. Schedule Summary

1. Schedule A – Bidder’s Principals

In this section, indicate whether you have principals to disclose. Check only one box in this section. A **principal** is any of the following:

- ◆ Board chair;
- ◆ President;
- ◆ Chief executive officer;
- ◆ Chief operating officer;
- ◆ An individual who serves in the functional equivalent of one of the above positions;
- ◆ An individual who holds an ownership interest of 20% or more; or
- ◆ An employee authorized to represent you before the City regarding this contract.

Check the **first box** if you are an individual and do not have other principals.

Check the **second box** if you are an entity (corporation, company, partnership, organization, etc.) *or* if you are an individual who has other principals. Attach to the cover page as many Schedule A pages as necessary to identify all of your principals.

Most bidders are entities that have principals. So most bidders must check the second box and attach Schedule A pages to the cover page.

Example 1

You are putting together a proposal for a City contract on behalf of your employer, Bidder, Inc. The proposal must include a Form 55. Because Bidder, Inc. is an entity, you must check the second box and disclose Bidder, Inc.’s principals on attached Schedule A pages.

Example 2

You are an individual submitting a proposal for a City contract and must complete a Form 55. You have two employees who are authorized to represent you before the City on this proposal. You must check the second box and disclose yourself and those employees as your principals on attached Schedule A pages.



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2. Schedule B – Subcontractors and Their Principals

In this section, indicate whether you have one or more subcontractors with subcontracts valued at \$100,000 or more on the City contract you seek. Check only one box in this section.

Check the **first box** if you do not have subcontractors with subcontracts worth \$100,000 or more.

Check the **second box** if you do have subcontractors with subcontracts worth \$100,000 or more. Attach to the cover page as many Schedule B pages as necessary to identify all of your subcontractors and their principals.

Example 1

Your construction company is submitting a response to a City RFP to provide construction services on a development project and must submit a Form 55. For the proposed project, you expect to hire ABC Company as a subcontractor that will perform \$50,000 worth of work and XYZ Corporation as another subcontractor that will perform \$200,000 worth of work. Check the second box and attach Schedule B pages to disclose XYZ Corporation and its principals.

Example 2

Your architecture firm is submitting a response to a City RFP to provide landscape design services at a new park, and a Form 55 is required. For the proposed project, you expect to hire two subcontractors: More Sunshine, Inc., which will provide consulting services worth \$30,000; and Beautiful Parks Company, which will perform \$85,000 worth of the work. Check the first box, indicating that you do not have any subcontractors with subcontracts valued at \$100,000 or more.

3. Total Number of Pages Submitted

Enter the total number of Form 55 pages that you are submitting, including the cover page and all attached Schedule A and B pages.

H. Bidder's Certification

Form 55 must be signed by an authorized representative of the bidder. By signing this section, you are certifying under penalty of perjury all of the following:

- ◆ You **understand** and **will comply** with the requirements and restrictions in Los Angeles City Charter § 470(c)(12) and Los Angeles Municipal Code § 49.7.35;
- ◆ You have **notified** your principals and subcontractors of the requirements and restrictions; and
- ◆ The information you provided in the Form 55 and all attached pages is **true and complete** to the best of your knowledge and belief.



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Page 2: Schedule A — Bidder's Principals

You must complete this section to disclose your principals. See page 3 of these instructions for a definition of "principal".

Provide the name, title, and address for each of your principals. If you need more space, mark the box indicating that you are attaching additional Schedule A pages. You may attach as many additional Schedule A pages as necessary to disclose all of your principals.

Remember to include all attached Schedule A pages in the total **page count** on your cover page.

Page 3: Schedule B — Subcontractors and Their Principals

You must complete this section to disclose your subcontractors with subcontracts worth \$100,000 or more. You must also disclose the principals of those subcontractors. "Principal" is defined the same for bidders and for subcontractors. See page 3 of these instructions for the definition.

You must submit at least one Schedule B page for each subcontractor. Provide the name and address of the subcontractor, and then mark the appropriate box to indicate whether the subcontractor has principals.

If a subcontractor has more principals than will fit on one page—or if you have multiple subcontractors to disclose—mark the box indicating that you are attaching additional Schedule B pages. You may attach as many additional Schedule B pages as necessary to disclose all of your subcontractors with subcontracts worth \$100,000 or more and all of their principals.

Remember to include all attached Schedule B pages in the total **page count** on your cover page.