

**CONSULTANT SERVICES AGREEMENT**

**BETWEEN THE**

**CITY OF SAN DIEGO**



**AND**

**KNN PUBLIC FINANCE, LLC**

**TO PROVIDE AS NEEDED MUNICIPAL ADVISORY SERVICES  
FOR THE CITY OF SAN DIEGO'S GENERAL FUND  
FINANCINGS**

## CONSULTANT SERVICES AGREEMENT

This Consultant Services Agreement (Agreement) is entered into by and between the City of San Diego, a municipal corporation (City), and KNN Public Finance, LLC (KNN) (Consultant) (collectively, the Parties).

### RECITALS

- A. City wishes to retain Consultant to provide Municipal Advisory services (Services) related to City's General Fund financings.
- B. Consultant has the expertise, experience, and personnel necessary to provide the Services.
- C. The Parties wish to enter into an agreement whereby City will retain Consultant to provide the Services.
- D. The Consultant was selected through a competitive process from the Request for Proposals (RFP) titled "City of San Diego (the "City") General Fund Financing Needs– As-Needed Municipal Advisory Services" which utilized the Municipal Advisory Services Pool established by the Request for Statement of Qualifications (RFSQ) Number 10089754-21-W-10.

NOW THEREFORE, for good and valuable consideration, the sufficiency of which is acknowledged, City and Consultant agree as follows:

### ARTICLE I CONSULTANT SERVICES

**1.1 Scope of Services.** Consultant shall provide the Services to City as described in Exhibit A, Scope of Services at the rate described in the Compensation and Fee Schedule, attached hereto as Exhibit B, in accordance with the City's General Terms and Conditions attached hereto as Exhibit C. Upon the request of City, an affiliate of Consultant, or a third party referred or otherwise introduced by Consultant may agree to additional services to be provided by such affiliate or third party, by a separate writing, including separate scope and compensation, between City and such affiliate or third party.

**1.2 Contract Administrator.** The Department of Finance (Department) is the Contract Administrator for this Agreement. Consultant shall provide the Services under the direction of a designated representative of the Department as follows:

Samantha Weisman, Financing Coordinator  
202 C Street, 7th Floor, MS 7B  
San Diego, CA 92101  
[SWeisman@sandiego.gov](mailto:SWeisman@sandiego.gov)

**1.3 Written Authorization.** City shall issue a written authorization to proceed before Consultant is authorized to perform Services.

**1.4 Duty to Inform City of Changes in Scope of Services.** Consultant shall immediately advise the City in writing of any anticipated change in the Scope of Services, Compensation and Fee Schedule, or Time Schedule, and shall obtain the City's written consent to the change prior to making any changes. In no event shall the City's consent be construed to relieve Consultant from its duty to render all Services in accordance with applicable law and industry standards.

**1.5 Competitive Bidding.** If applicable, Consultant shall ensure that any plans, specifications, studies, or reports prepared, required, or recommended under this Agreement allow for competitive bidding. Consultant shall prepare such plans, specifications, studies, or reports so that procurement of services, labor or materials are not available from only one source, and shall not prepare plans, specifications, studies, or reports around a single or specific product, piece of major equipment or machinery, a specific patented design, or a proprietary process, unless required by principles of sound engineering practice and supported by a written justification that has been approved in writing by City. Consultant shall submit this written justification to City prior to beginning work on such plans, specifications, studies, or reports. Whenever Consultant recommends a specific product or equipment for competitive procurement, such recommendation shall include at least two brand names of products that are capable of meeting the functional requirements applicable to the Services.

## **ARTICLE II DURATION OF AGREEMENT**

**2.1 Term.** This Agreement shall be for a period of five years beginning January 27, 2025, through January 27, 2030. Unless otherwise terminated, this Agreement shall be effective until completion of the Scope of Services or January 27, 2030, whichever is earliest. The term of this Agreement shall not exceed five years unless approved by the City Council by ordinance.

**2.2 Effective Date.** This Agreement shall be effective on the date it is executed by the last Party to sign the Agreement and approved by the City Attorney in accordance with San Diego Charter Section 40 (Effective Date).

## **ARTICLE III COMPENSATION**

**3.1 Amount of Compensation.** City shall pay Consultant for performance of all Services rendered in accordance with this Agreement in an amount not to exceed \$392,000 for professional services. The compensation will be based on an hourly fee for the time actually expended. Billing rates for the services provided are outlined in Exhibit B. The rates are valid through the Term or until the Scope of Services are completed unless otherwise amended and agreed upon by both parties in writing. Eligible additional fees, out-of-pocket expenses, and travel expenses under this agreement shall not exceed \$8,000. The total amount for all Services performed under this Agreement shall not exceed \$400,000.

**Bond-related work:** City anticipates three (3) bond issuances, assuming two (2) new-money bond issuances with an NTE of \$60,000 and one (1) new-money-and-refunding bond issuances with an not-to-exceed of \$70,000. In addition, each bond issuance has an NTE of \$2,000 in expenses. In summary, the bond-related work is not-to-exceed \$190,000 for professional services, and \$6,000 for expenses. The fees payable to the Consultant

related to the transaction will be paid in lump sum after each bond issuance is closed. The fees will be paid from bond proceeds which will be available at bond closing.

**Non-bond related work:** The fees associated with as-needed non-bond work, such as state and federal loans, commercial paper, and miscellaneous projects is not-to-exceed \$202,000 for professional services and \$2,000 for out-of-pocket expenses.

**3.2 Additional Services.** City may require Consultant to perform additional Services beyond those described in the Scope of Services (Additional Services). Before Consultant commences such work, the Parties must agree in writing upon a fee for the Additional Services, including reasonably related expenses, in accordance with Section 3.3.

**3.3 Manner of Payment.** City shall pay Consultant in accordance with the Compensation and Fee Schedule. Consultant is not entitled to fees, including fees for expenses, that exceed the amounts specified in the Compensation and Fee Schedule. Consultant shall submit one invoice per calendar month in a form acceptable to City in accordance with the Compensation and Fee Schedule. Consultant shall include with each invoice a description of completed Services, reasonably related expenses, if any, and all other information, including but not limited to the progress percentage of the Scope of Services and/or deliverables completed prior to the invoice date, as required by the City.

Undisputed fees payable to the Consultant related to bond transactions will be paid in lump sum from bond proceeds, which will be available after the bonds are closed.

Undisputed fees for non-bond work will be paid within thirty calendar days of receipt of a detailed invoice.

**3.4 Additional Costs.** Additional Costs are costs that can be reasonably determined to be related to Consultant's errors or omissions, and may include Consultant, City, or Subcontractor overhead, construction, materials, demolition, and related costs. Consultant shall not be paid for the Services required due to the Consultant's errors or omissions, and Consultant shall be responsible for any Additional Costs associated with such errors or omissions. These Additional Costs may be deducted from monies due, or that become due, to Consultant. Whether or not there are any monies due, or becoming due, Consultant shall reimburse City for Additional Costs due to Consultant's errors or omissions.

**3.5 Eighty Percent Notification.** Consultant shall promptly notify City in writing of any potential cost overruns. Cost overruns include but are not limited to the following: (1) where anticipated costs to be incurred in the next sixty calendar days, when added to all costs previously incurred, will exceed 80 percent of the maximum compensation for this Agreement; or (2) where the total cost for performance of the Scope of Services appears that it may be greater than the maximum compensation for this Agreement.

## **ARTICLE IV WAGE REQUIREMENTS**

**4.1 Prevailing Wages. - Reserved**

## **ARTICLE V**



## CONSULTANT'S OBLIGATIONS

**5.1 Right to Audit.** City retains the right to review and audit, and the reasonable right of access to Consultant's and any Subcontractor's premises, to review and audit Consultant's or Subcontractor's compliance with the provisions of this Agreement (City's Right). City's Right includes the right to inspect, photocopy, and retain copies of any and all books, records, documents, and any other information (Records) relating to this Agreement outside of Consultant's premises if deemed necessary by City in its sole discretion. City shall keep these Records confidential to the extent permitted by law.

**5.1.1 Audit.** City's Right includes the right to examine Records of procedures and practices that City determines are necessary to discover and verify that Consultant or Subcontractor is in compliance with all requirements under this Agreement.

**5.1.2 Cost Audit.** If there is a claim for additional compensation or for Additional Services, the City's Right includes the right to Records that the City determines are necessary to discover and verify all direct and indirect costs, of whatever nature, which are claimed to have been incurred, or anticipated to be incurred.

**5.1.3 Accounting Records.** Consultant and all subcontractors shall maintain complete and accurate Records in accordance with generally accepted accounting practices. Consultant and Subcontractors shall make available to City for review and audit all Records relating to the Services. Upon City's request, Consultant and Subcontractors shall submit exact duplicates of originals of all requested records to City.

**5.1.4 City's Right Binding on Subcontractors.** Consultant shall include City's Right as described in this Section 5.1 in any and all of their subcontracts and shall ensure that these sections are binding upon all Subcontractors.

**5.2 Subcontractors.** Consultant's hiring or retaining of any third parties (Subcontractors) to perform Services (Subcontractor Services) is subject to City's prior written approval. Consultant shall list all Subcontractors known to Consultant on the Subcontractor List at the time this Agreement is entered. Consultant shall give written notice to the City of the need at least 45 days before entering into a contract for such Subcontractor Services. Consultant's notice shall include a justification, a description of the Scope of Services, and an estimate of all costs for Subcontractor Services. Consultant may request that City reduce the 45-day notice period. City agrees to consider such requests in good faith.

**5.2.1 Subcontractor Contract.** Consultant shall require Subcontractor to obtain and maintain insurance policies as required by City for the duration of this Agreement. Consultant shall determine Subcontractor policy limits and required endorsements proportionate to the services performed by Subcontractor.

**5.2.1.1** Consultant is obligated to pay Subcontractor, for Consultant and City-approved invoice amounts, out of amounts paid by City to Consultant not later than fourteen working days from Consultant's receipt of payment from City. Nothing in this paragraph shall be construed to impair the right of Consultant and any Subcontractor to negotiate fair and reasonable pricing and payment provisions among themselves.

**5.2.1.2** If Subcontractor's performance is deficient, Consultant shall notify City in writing of any withholding of payment to Subcontractor, specifying: (a) the amount withheld; (b) the specific cause under the terms of the subcontract for withholding payment; (c) the connection between the cause for withholding payment and the amount withheld; and (d) the remedial action Subcontractor must take in order to receive the amount withheld. Once Subcontractor corrects the deficiency, Consultant shall pay Subcontractor the amount withheld within fourteen working days of the Consultant's receipt of City's next payment.

**5.2.1.3** City shall not be made a party to any judicial or administrative proceeding to resolve any dispute between Consultant and Subcontractor. Consultant agrees to defend and indemnify the City as described in the City's General Terms and Conditions, attached hereto as Exhibit D, and incorporated by reference, in any dispute between Consultant and Subcontractor should City be made a party to any judicial or administrative proceeding to resolve the dispute in violation of this position.

**5.2.1.4** Subcontractor must comply with the City's Equal Opportunity Contracting Program requirements.

**5.2.1.5** City is an intended beneficiary of any work performed by Subcontractor for purposes of establishing a duty of care between Subcontractor and City.

**5.3 Consultant Award Tracking Form.** Consultant shall submit statistical information to City as requested in City's Consultant Award Tracking Form. The statistical information shall include the amount of subcontracting provided by firms during the period covered by the Consultant Award Tracking Form. With the Contract Award Tracking Form, Consultant shall provide an invoice from each Subcontractor listed in the report. Consultant agrees to issue payment to each firm listed in the Report within fourteen working days of receiving payment from the City for Subcontractor Services.

**5.4 Consultant and Subcontractor Principals for Consultant Services.** This Agreement is for unique Services. City has retained Consultant based on Consultant's particular professional expertise as exhibited by the following members of the Consultant's organization: Melissa Shick, David Brodsky, Dan Cox, Nedko Nedev and Cameron Wong (the Project Team). Consultant may not delegate the performance of Services to other members of Consultant's organization or to Subcontractors without City's prior written consent. It is mutually agreed that the members of the Project Team are the principal persons responsible for delivery of all Services and may not be removed from the Project without the City's prior written approval. City may consider Consultant in default of this Agreement if any member of the Project Team is prevented from providing Services without City's prior written approval. Consultant must consult City as to any replacement if any member of the Project Team becomes unavailable. City may terminate this Agreement if City does not approve of a proposed replacement. Further, City reserves the right, after consultation with Consultant, to require any of Consultant's employees or agents to be removed from providing Services under this Agreement.

**5.5 Consultant Evaluation.** City will evaluate Consultant's performance using the Consultant Evaluation Form.

## **ARTICLE VI CONTRACT DOCUMENTS**

**6.1 Contract Documents.** This Agreement and its exhibits constitute the Contract Documents. The Contract Documents completely describes the Services to be provided. The exhibits are as follows:

- Exhibit A – Scope of Services
- Exhibit B – Compensation and Fee Schedule
- Exhibit C – City’s General Terms and Provisions

**6.2 Submittals Required with the Agreement.** Consultant is required to submit the following forms and information before the Agreement is executed:

- i. Contractor Standards Pledge of Compliance
- ii. Work Force Report
- iii. Insurance Certificates with all endorsements - Proof of Professional Liability Insurance (Errors and Omissions)
- iv. Consultant Award Tracking Form
- v. Contractors Certification of Pending Actions
- vi. Conflict of Interest Certification

**6.3 Counterparts.** This Agreement may be executed in counterparts, which when taken together shall constitute a single signed original as though all Parties had executed the same page.

## **ARTICLE VII REGISTERED MUNICIPAL ADVISOR; REQUIRED DISCLOSURES**

**7.1 Consultant registration.** Consultant is a registered municipal advisor with the Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB), pursuant to the Securities Exchange Act of 1934 Rule 15Ba1-2. If City has designated Consultant as its independent registered municipal advisor (IRMA) for purposes of SEC Rule 15Ba1-1(d)(3)(vi) (IRMA exemption), then services provided pursuant to such designation shall be the services described in Exhibit A hereto, subject to any agreed upon limitations. Verification of independence (as is required under the IRMA exemption) shall be the responsibility of such third party seeking to rely on such IRMA exemption. Consultant shall have the right to review and approve in advance any representation of Consultant’s role as IRMA to City.

**7.2 Consultant compliance.** The Consultant is expected to stay in compliance with any forthcoming regulatory requirements of the Securities and Exchange Commission (SEC) and Municipal Securities Rulemaking Board (MSRB) with respect to training and competence, standards of conduct, record keeping and other matters. Additionally, the Consultant will follow MSRB Rule G-42 in fulfilling its responsibilities to the City.

**7.3 Consultant required disclosures.** MSRB Rules require that municipal advisors make written disclosures to their clients of all material conflicts of interest, certain legal or disciplinary events and certain regulatory requirements. Such disclosures are provided in Consultant’s Disclosure Statement delivered to City prior to or together with this Agreement.

## **VIII. INFORMATION TO BE FURNISHED TO CONSULTANT**

**8.1 Data furnished to Consultant.** All information, data, reports, and records in the

possession of City or any third party necessary for carrying out any services to be performed under this Agreement (Data) shall be furnished to Consultant. Consultant may rely on the Data in connection with its provision of the services under this Agreement and the provider thereof shall remain solely responsible for the adequacy, accuracy, and completeness of such Data.

**IX.  
ENTIRE AGREEMENT; SEVERABILITY**

**9.1 Entire agreement.** This Agreement represents the entire agreement between City and Consultant and may not be amended or modified except in writing signed by both parties. For the sake of clarity, any separate agreement between City and an affiliate of Consultant or a third party referred or introduced by Consultant shall not in any way be deemed an amendment or modification of this Agreement. The invalidity in whole or in part of any provision of this Agreement shall not void or affect the validity of any other provision.

IN WITNESS WHEREOF, this Agreement is executed by City and Consultant acting by and through their authorized officers.

KNN PUBLIC FINANCE, LLC.

BY: Melissa Shick  
Melissa Shick (Mar 10, 2025 10:32 PDT)

Print Name:

Melissa Shick

Title: Managing Director

Mar 10, 2025

DATE SIGNED

CITY OF SAN DIEGO  
A Municipal Corporation

BY: C. Abarca

Print Name: Claudia Abarca

Director

Purchasing & Contracting Department

Mar 11, 2025

DATE SIGNED

Approved as to form this 12 day of  
March, 2025.

HEATHER FERBERT, City Attorney

BY: David Powell  
David Powell (Mar 12, 2025 12:22 PDT)

Deputy City Attorney

## **EXHIBIT A SCOPE OF WORK**

### **A. OVERVIEW**

#### **GENERAL SERVICES**

The Consultant shall perform all the duties and services specifically set forth herein and shall provide such other services as the City deems necessary or advisable or are reasonable and necessary to accomplish the intent of this agreement in the manner consistent with the standards and practices of professional financial advisors. The Consultant will serve as an independent registered municipal advisor in a fiduciary capacity within the meaning of Section 15Ba1-1(d)(3)(vi) of the Securities Exchange Act of 1934.

### **B. REQUIREMENTS AND TASKS**

#### **SPECIFIC SERVICES – MUNICIPAL ADVISORY SERVICES ON AN AS NEEDED BASIS FOR THE CITY OF SAN DIEGO REGARDING THE PLANNING, IMPLEMENTATION AND EXECUTION OF BONDS, COMMERCIAL PAPER NOTES AND LOANS INCLUDING NEW ISSUANCES AND REFUNDINGS AND PROVIDE ONGOING AS-NEEDED SERVICES FOR DEBT RELATED MATTERS IMPACTING THE CITY’S GENERAL FUND.**

The Consultant will assist the City with the scope of services to be provided on an as needed basis and may include the following:

For Bonds (including lease revenue bonds, bond anticipation notes, and any other similar issuance), Services include but are not necessarily limited to the following:

- Assist with financial and credit considerations in development of the financing plan including identifying any refunding opportunities, the legal documents, ratings presentations, and the disclosure documents;
- Assist the City as needed and participate in the selection of the underwriting team (if negotiated), including reviewing proposals and advising the City on the selection;
- Actively participate in the pricing process by:
  - Advising the City on forming a syndicate policy;
  - Delivering ongoing market assessments;
  - Providing substantial pricing analysis and support, and aggressively advocating on behalf of the City for the best price for the bonds;
  - Assisting the City with procuring a competitive bid platform, outreach to potential investors to increase participation in bidding, and assisting with other competitive pricing needs, if a competitive sale; and
- Any other municipal advisory services deemed necessary and appropriate, and assistance with close and post-sale analysis as needed.

For Commercial Paper, MA services include but are not necessarily limited to the following:

- Assist the City as needed and participate in the selection of LOC providers and dealers, including reviewing proposals and advising the City on the selection;
- Advise the City on logistics of replacing or extending letters of credit and any other technical matters;



- Participate in conference calls and/or meetings with City officials and staff, financing team participants, and others as needed, providing “value added” advice and input on subjects discussed;
- Provide analysis evaluating the costs and benefits of a Commercial Paper program in the current interest rate environment over a long-term issuance;
- Participate in public meetings with the Budget and Efficiency Committee and City Council to support City staff with Commercial Paper expertise;
- Review and comment on legal documents and disclosure documents in connection with the financing;
- Deliver ongoing market assessments;
- Assist with closing of any LOC replacements or extensions;
- Provide any post-issuance services; and
- Any other municipal advisory services deemed necessary and appropriate.

For state and federal loans, Services may include the following, although the City does not typically engage a Consultant for these services for every loan unless needed:

- Assist with financial and credit considerations in development of the financing plan, the legal documents, ratings presentations (if required), and the disclosure documents;
- Advise the City on transaction structure, sizing, terms, and conditions, and other technical matters;
- Participate in public meetings with the Budget and Efficiency Committee and City Council to support City staff with loan expertise;
- Review and comment on legal documents and disclosure documents in connection with the financing;
- Assist with closing and executing the loans in a timely manner and provide any post issuance services; and
- All other as-needed Municipal Advisory services not tied to transactional based work that bring value to the City.

As-Needed Services may include but are not limited to the following:

Serve as the City’s independent registered municipal advisor and provide the City with yearly updates for the independent registered municipal advisor exemption letter provided on the City’s website.

- Advise the City, as needed, on project analysis such as:
  - New project structuring and sizing analyses;
  - New credit (including enterprise credits) feasibility analysis;
  - Providing indicative interest rates (i.e. Municipal Market Data scale) and market assessments;
  - Developing and recommending strategies for credit analyses;
  - Evaluating trends of the local economy and the General Fund financial data, and assist with long term strategic financial planning; and
  - Staff consultations on new financing mechanisms;
- Assist the City with developing financing plans that have a debt component;
- Analyze major revenues sources for planning and debt projection purposes;
- Review and provide input on investment of bond funds and assist with procurement of requisite services such as guaranteed investment contract providers;

- Provide review and advise, per the City's request, regarding financial products or financing options for the General Fund presented to the City by Underwriters and other third parties; and
- Any other municipal advisory services requested by the City.

### **C. ROLES AND RESPONSIBILITIES**

#### **Consultant's General Roles and Responsibilities**

With respect to all services provided to the Department, Consultant will fulfill the following operational roles and responsibilities:

The Consultant will also serve the City as a Municipal Advisor. The Municipal Advisor is subject to a fiduciary duty to the City. Fiduciary duty is generally understood to encompass a duty of loyalty and a duty of care to the public agency. The Consultant is also required to disclose conflicts of interest that might impair its ability to fulfill its duty of loyalty and not to undertake engagements if it cannot manage those conflicts. The Consultant shall notify the City when conflicts arise.

The Consultant is expected to stay in compliance with any forthcoming regulatory requirements of the Securities and Exchange Commission (SEC) and Municipal Securities Rulemaking Board (MSRB) with respect to training and competence, standards of conduct, record keeping and other matters. Additionally, the Consultant will follow MSRB Rule G-42 in fulfilling its responsibilities to the City.

## **EXHIBIT B COMPENSATION AND FEE SCHEDULE**

A. STATEMENTS OF PROGRESS

The Consultant shall submit detailed Statements of Progress for services performed for the City on a monthly basis. All statements should include the names, titles, and rates of pay for the personnel who have performed services on behalf of the City, date of services, the hours worked, and details of reasonable and necessary out-of-pocket expenses.

B. COMPENSATION

The consultant was identified through an RFP selection process. The cost of the above referenced municipal advisory services will not exceed \$392,000 for professional services and up to \$8,000 for eligible out-of-pocket expenses, as described below. The total cost for services shall not exceed \$400,000. For planning purposes, each fiscal year will have the following annual estimate; Year 1 - \$97,000; Year 2 - \$35,000; Year 3 - \$116,000; Year 4 - \$37,000; and Year 5 - \$115,000 (these are estimates and will be established on an annual basis). For any as-needed services estimated to take longer than 10 hours to complete, a cap (Cap) shall be negotiated for and in advance of work being performed. If while providing such services the consultant expects that total fees will exceed the Cap, the consultant shall immediately notify the City's Department of Finance and provide the reason(s) therefor. Any upward adjustment of the Cap shall be made only if deemed reasonable by the City's Department of Finance and based on the scope of the project. Billing rates for the services provided are outlined below.

The following rates are valid throughout the five-year contract period unless otherwise amended and agreed to by both parties in writing.

<u>Title</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
Managing Director	\$375	\$386	\$398	\$410	\$422
Director	\$355	\$366	\$377	\$388	\$400
Vice President	\$330	\$340	\$350	\$361	\$371
Assistant Vice President	\$315	\$324	\$334	\$344	\$355
Analyst	\$295	\$304	\$313	\$322	\$332

C. EXPENSES

1. As specified in Section B above, the Consultant shall be paid, contingent on the payment of fees, their reasonable and necessary out-of-pocket expenses. Additional fees and out-of-pocket expenses under this Agreement shall not exceed \$8,000.
2. The Consultant shall provide documentation for all reasonable and necessary expenses, including any receipts for all items.
3. In no event the Consultant shall be billing the City for the ethics online training if required by the Ethics Commission.
4. In no event shall the total amount of reimbursement to Consultant for expenses exceed the amounts in Section C, number 1 above.



5. Discuss with the City Project Manager for preapproval of any travel.
6. The Consultant will be reimbursed for preapproved travel expenses up to the amount specified in Section C, number 1 above but will not be reimbursed for billing rates during the travel period.
7. The Consultant will not be reimbursed for any expenses pertaining to reviewing and/or executing this Agreement, nor any related activities such as the filing of SEI forms (if required), etc.

D. PRINCIPAL

It is mutually agreed that Melissa Shick, for the Consultant, will serve as project manager responsible for the delivery of the described services, and will be assisted by David Brodsky, as necessary with minimal duplication in services provided. While it is understood that portions of the described services may be delegated to other members of the team, the City reserves the right to request removal of any of the Consultant's employee(s) or their agent(s) at the sole discretion of the City. The Consultant will not use more than one staff member for the same specific service, including meetings or conference calls, without the City's approval. The Consultant may use the minimum number of staff for this engagement consistent with good professional practices and avoid duplication of work after consulting with and obtaining approval by the City.

E. MISCELLANEOUS

1. It has been determined that, based on the scope of services and the roles of various members of the Consultant set forth in this agreement, the project leader does not meet the definition of "Consultant" as stated in the Regulations of the Fair Political Practices Commission, Title 2, Division 6 of the California Code of Regulations (Chapter 7, Article 1, Section 18701). Accordingly, the project leader is not required to file Form 700 (Assuming Office Statement) in connection with this agreement.
2. Most municipal advisory services from the Consultant can be provided to the City orally or through email. The City will consult with the Consultant if any formal communications, memos, or reports are to be drafted.







# DCA approved Agreement\_KNN\_10089754-21-W-10

Final Audit Report

2025-03-10

Created:	2025-03-10
By:	Lisa Hoffmann (lhoffmann@sandiego.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAQPmMEoBmsUrm1WakGJKmq6Kg6tuHtFTN

## "DCA approved Agreement\_KNN\_10089754-21-W-10" History

-  Document created by Lisa Hoffmann (lhoffmann@sandiego.gov)  
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-  Document emailed to mshick@knninc.com for signature  
2025-03-10 - 4:46:46 PM GMT
-  Email viewed by mshick@knninc.com  
2025-03-10 - 4:49:20 PM GMT- IP address: 12.75.249.192
-  Signer mshick@knninc.com entered name at signing as Melissa Shick  
2025-03-10 - 5:32:43 PM GMT- IP address: 96.86.174.49
-  Document e-signed by Melissa Shick (mshick@knninc.com)  
Signature Date: 2025-03-10 - 5:32:45 PM GMT - Time Source: server- IP address: 96.86.174.49
-  Agreement completed.  
2025-03-10 - 5:32:45 PM GMT










# RFSQ 10089754-21-W\_Municipal Advisor\_Vendor signed

Final Audit Report

2025-03-12

Created:	2025-03-11
By:	Lisa Hoffmann (lhoffmann@sandiego.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAc-EgCoN43XcSeaxd1YpjXNQWQPhvymDI

## "RFSQ 10089754-21-W\_Municipal Advisor\_Vendor signed" History

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-  Document e-signed by Claudia Abarca (CAbarca@sandiego.gov)  
Signature Date: 2025-03-11 - 4:45:28 PM GMT - Time Source: server- IP address: 156.29.5.177
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-  Signer dpowell@sandiego.gov entered name at signing as David Powell  
2025-03-12 - 7:22:48 PM GMT- IP address: 68.107.29.40
-  Document e-signed by David Powell (dpowell@sandiego.gov)  
Signature Date: 2025-03-12 - 7:22:50 PM GMT - Time Source: server- IP address: 68.107.29.40
-  Agreement completed.  
2025-03-12 - 7:22:50 PM GMT

**City of San Diego**  
**CONTRACTOR STANDARDS**  
**Pledge of Compliance**

The City of San Diego has adopted a Contractor Standards Ordinance (CSO) codified in section 22.3004 of the San Diego Municipal Code (SDMC). The City of San Diego uses the criteria set forth in the CSO to determine whether a contractor (bidder or proposer) has the capacity to fully perform the contract requirements and the business integrity to justify the award of public funds. This completed Pledge of Compliance signed under penalty of perjury must be submitted with each bid and proposal. If an informal solicitation process is used, the bidder must submit this completed Pledge of Compliance to the City prior to execution of the contract. All responses must be typewritten or printed in ink. If an explanation is requested or additional space is required, Contractors must provide responses on Attachment A to the Pledge of Compliance and sign each page. Failure to submit a signed and completed Pledge of Compliance may render a bid or proposal non-responsive. In the case of an informal solicitation or cooperative procurement, the contract will not be awarded unless a signed and completed Pledge of Compliance is submitted. A submitted Pledge of Compliance is a public record and information contained within will be available for public review except to the extent that such information is exempt from disclosure pursuant to applicable law.

By signing and submitting this form, the contractor is certifying, to the best of their knowledge, that the contractor and any of its Principals have not within a five (5) year period – preceding this offer, been convicted of or had a civil judgement rendered against them for commission of a fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or local) contract or subcontract.

“Principal” means an officer, director, owner, partner or a person having primary management or supervisory responsibilities within the firm. The Contractor shall provide immediate written notice to the Procurement Contracting Officer handling the solicitation, at any time prior to award should they learn that this Representations and Certifications was inaccurate or incomplete.

**This form contains 10 pages, additional information may be submitted as part of *Attachment A*.**

**A. BID/PROPOSAL/SOLICITATION TITLE:**

RFP for the City of San Diego General Fund Financing Needs-As Needed Municipal Advisory Services  
RFP No. 10089754-21-W-10

**B. BIDDER/PROPOSER INFORMATION:**

KNN Public Finance, LLC

Legal Name	DBA
2054 University Avenue, Suite 300	Berkeley CA 94704
Street Address	City State Zip
Melissa Shick, Managing Director	(510) 208-8226 N/A
Contact Person, Title	Phone Fax

Provide the name, identity, and precise nature of the interest\* of all persons who are directly or indirectly involved\*\* in this proposed transaction (SDMC § 21.0103). Use additional pages if necessary.

\* The precise nature of the interest includes:

- the percentage ownership interest in a party to the transaction,
- the percentage ownership interest in any firm, corporation, or partnership that will receive funds from the transaction,
- the value of any financial interest in the transaction,
- any contingent interest in the transaction and the value of such interest should the contingency be satisfied, and
- any philanthropic, scientific, artistic, or property interest in the transaction.

\*\* Directly or indirectly involved means pursuing the transaction by:

- communicating or negotiating with City officers or employees,
- submitting or preparing applications, bids, proposals or other documents for purposes of contracting with the City, or
- directing or supervising the actions of persons engaged in the above activity.

Melissa Shick	Managing Director
Name Oakland, CA	Title/Position
City and State of Residence 5% ownership of KNN Public Finance, LLC	Employer (if different than Bidder/Proposer)
Interest in the transaction	

David Brodsky	Managing Director
Name Oakland, CA	Title/Position
City and State of Residence 20% ownership of KNN Public Finance, LLC	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Dan Cox	Director
Name Dublin, CA	Title/Position
City and State of Residence partnership	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Nedko Nedev	Vice President
Name Concord, CA	Title/Position
City and State of Residence partnership	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

Name	Title/Position
City and State of Residence	Employer (if different than Bidder/Proposer)
Interest in the transaction	

**C. OWNERSHIP AND NAME CHANGES:**

1. In the past five ten (5) years, has your firm changed its name?

☐ Yes ☒ No

If **Yes**, use Attachment A to list all prior legal and DBA names, addresses, and dates each firm name was used. Explain the specific reasons for each name change.

2. Is your firm a non-profit?

☐ Yes ☒ No

If **Yes**, attach proof of status to this submission.

3. In the past five (5) years, has a firm owner, partner, or officer operated a similar business?

☐ Yes ☒ No

If **Yes**, use Attachment A to list names and addresses of all businesses and the person who operated the business. Include information about a similar business only if an owner, partner, or officer of your firm holds or has held a similar position in another firm.

**D. BUSINESS ORGANIZATION/STRUCTURE:**

Indicate the organizational structure of your firm. Fill in only one section on this page. Use Attachment A if more space is required.

☐ **Corporation** Date incorporated: \_\_\_\_\_ State of incorporation: \_\_\_\_\_

List corporation's current officers: President: \_\_\_\_\_  
 Vice Pres: \_\_\_\_\_  
 Secretary: \_\_\_\_\_  
 Treasurer: \_\_\_\_\_

Type of corporation: C ☐ Subchapter S ☐

Is the corporation authorized to do business in California: ☐ Yes ☐ No

If **Yes**, after what date: \_\_\_\_\_

Is your firm a publicly traded corporation? ☐ Yes ☐ No

If **Yes**, how and where is the stock traded? \_\_\_\_\_

If **Yes**, list the name, title and address of those who own ten percent (10 %) or more of the corporation's stocks:

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Do the President, Vice President, Secretary and/or Treasurer of your corporation have a third party interest or other financial interests in a business/enterprise that performs similar work, services or provides similar goods? ☐ Yes ☐ No

If **Yes**, please use Attachment A to disclose.

Please list the following:	Authorized	Issued	Outstanding
a. Number of voting shares:	_____	_____	_____
b. Number of nonvoting shares:	_____	_____	_____
c. Number of shareholders:			_____
d. Value per share of common stock:		Par	\$ _____
		Book	\$ _____
		Market	\$ _____

**Limited Liability Company** Date formed: 2/9/2016 State of formation: California

List the name, title and address of members who own ten percent (10%) or more of the company:

David Leifer, Senior Managing Director, 2054 University Avenue, Suite 300, Berkeley, CA 94704

David Brodsky, Managing Director, 2054 University Avenue, Suite 300, Berkeley, CA 94704

Joanna Bowes, Managing Director, 2054 University Avenue, Suite 300, Berkeley, CA 94704

Mark Young, Managing Director, 2054 University Avenue, Suite 300, Berkeley, CA 94704

Blake Boehm, Managing Director, 2054 University Avenue, Suite 300, Berkeley, CA 94704

☐ **Partnership** Date formed: \_\_\_\_\_ State of formation: \_\_\_\_\_

List names of all firm partners:

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☐ **Sole Proprietorship** Date started: \_\_\_\_\_

List all firms you have been an owner, partner or officer with during the past five (5) years. Do not include ownership of stock in a publicly traded company:

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☐ **Joint Venture** Date formed: \_\_\_\_\_

List each firm in the joint venture and its percentage of ownership:

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**Note:** To be responsive, each member of a Joint Venture or Partnership must complete a separate *Contractor Standards form*.

**E. FINANCIAL RESOURCES AND RESPONSIBILITY:**

1. Is your firm preparing to be sold, in the process of being sold, or in negotiations to be sold?

☐ **Yes** ☒ **No**

If **Yes**, use Attachment A to explain the circumstances, including the buyer's name and principal contact information.

2. In the past five (5) years, has your firm been denied bonding?

☐ **Yes** ☒ **No**

If **Yes**, use Attachment A to explain specific circumstances; include bonding company name.

3. In the past five (5) years, has a bonding company made any payments to satisfy claims made against a bond issued on your firm's behalf or a firm where you were the principal?

☐ **Yes** ☒ **No**

If **Yes**, use Attachment A to explain specific circumstances.

4. In the past five (5) years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

☐ **Yes** ☒ **No**

If **Yes**, use Attachment A to explain specific circumstances.

5. Within the last five years, has your firm filed a voluntary petition in bankruptcy, been adjudicated bankrupt, or made a general assignment for the benefit of creditors?

☐ **Yes** ☒ **No**

If **Yes**, use Attachment A to explain specific circumstances.

6. Are there any claims, liens or judgements that are outstanding against your firm?

☐ **Yes** ☒ **No**

If **Yes**, please use Attachment A to provide detailed information on the action.

7. Please provide the name of your principal financial institution for financial reference. By submitting a response to this Solicitation Contractor authorizes a release of credit information for verification of financial responsibility.

Name of Bank: ZB, N.A. dba California Bank & Trust

Point of Contact: Todd Baker

Address: 1255 Treat Blvd., Suite 140, Walnut Creek, CA 94597

Phone Number: (925) 287-2100

8. By submitting a response to a City solicitation, Contractor certifies that he or she has sufficient operating capital and/or financial reserves to properly fund the requirements identified in the solicitation. At City's request, Contractor will promptly provide to City



a copy of Contractor's most recent balance sheet and/or other necessary financial statements to substantiate financial ability to perform.

9. In order to do business in the City of San Diego, a current Business Tax Certificate is required. Business Tax Certificates are issued by the City Treasurer's Office. If you do not have one at the time of submission, one must be obtained prior to award.

Business Tax Certificate No.: 2016007592 Year Issued: 2016

#### F. PERFORMANCE HISTORY:

1. In the past five (5) years, has your firm been found civilly liable, either in a court of law or pursuant to the terms of a settlement agreement, for defaulting or breaching a contract with a government agency?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances.

2. In the past five (5) years, has a public entity terminated your firm's contract for cause prior to contract completion?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances and provide principal contact information.

3. In the past five (5) years, has your firm entered into any settlement agreement for any lawsuit that alleged contract default, breach of contract, or fraud with or against a public entity?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances.

4. Is your firm currently involved in any lawsuit with a government agency in which it is alleged that your firm has defaulted on a contract, breached a contract, or committed fraud?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances.

5. In the past five (5) years, has your firm, or any firm with which any of your firm's owners, partners, or officers is or was associated, been debarred, disqualified, removed, or otherwise prevented from bidding on or completing any government or public agency contract for any reason?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances.

6. In the past five (5) years, has your firm received a notice to cure or a notice of default on a contract with any public agency?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances and how the matter resolved.

7. Performance References:

Please provide a minimum of three (3) references familiar with work performed by your firm which was of a similar size and nature to the subject solicitation within the last five (5) years.

Please note that any references required as part of your bid/proposal submittal are in addition to those references required as part of this form.

Company Name: City of Los Angeles

Contact Name and Phone Number: Ha To, (213) 473-7529

Contact Email: Ha.To@lacity.org

Address: 200 N. Main Street, Room 1500, City Hall East, Los Angeles, CA 90012

Contract Date: 2011 to present (general MA contract)

Contract Amount: \_\_\_\_\_

Requirements of Contract: General municipal advisor

Company Name: City of Santa Clara

Contact Name and Phone Number: Jensen Barna, (408) 615-2346

Contact Email: jbarna@santaclaraca.gov

Address: 1500 Warburton Avenue, Santa Clara, CA 95050

Contract Date: 2007 to present

Contract Amount: \_\_\_\_\_

Requirements of Contract: General municipal advisor

Company Name: Bay Area Water Supply & Conservation Agency (BAWSCA)

Contact Name and Phone Number: Nicole Sandkulla, (650) 349-3000

Contact Email: nsandkulla@bawasca.org

Address: 155 Bovet Road, Suite 650, San Mateo, CA 94402

Contract Date: 2016 to present

Contract Amount: \_\_\_\_\_

Requirements of Contract: General municipal advisor

#### **G. COMPLIANCE:**

1. In the past five (5) years, has your firm or any firm owner, partner, officer, executive, or manager been criminally penalized or found civilly liable, either in a court of law or pursuant to the terms of a settlement agreement, for violating any federal, state, or local law in performance of a contract, including but not limited to, laws regarding health and safety, labor and employment, permitting, and licensing laws?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances surrounding each instance. Include the name of the entity involved, the specific infraction(s) or violation(s), dates of instances, and outcome with current status.

2. In the past five (5) years, has your firm been determined to be non-responsible by a public entity?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances of each instance. Include the name of the entity involved, the specific infraction, dates, and outcome.

#### H. BUSINESS INTEGRITY:

1. In the past five (5) years, has your firm been convicted of or found liable in a civil suit for making a false claim or material misrepresentation to a private or public entity?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances of each instance. Include the entity involved, specific violation(s), dates, outcome and current status.

2. In the past five (5) years, has your firm or any of its executives, management personnel, or owners been convicted of a crime, including misdemeanors, or been found liable in a civil suit involving the bidding, awarding, or performance of a government contract?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances of each instance; include the entity involved, specific infraction(s), dates, outcome and current status.

3. In the past five (5) years, has your firm or any of its executives, management personnel, or owners been convicted of a federal, state, or local crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☒ No

If **Yes**, use Attachment A to explain specific circumstances of each instance; include the entity involved, specific infraction(s), dates, outcome and current status.

4. Do any of the Principals of your firm have relatives that are either currently employed by the City or were employed by the City in the past five (5) years?

☐ Yes ☒ No

If **Yes**, please disclose the names of those relatives in Attachment A.

#### I. BUSINESS REPRESENTATION:

1. Are you a local business with a physical address within the County of San Diego?

☐ Yes ☒ No

2. Are you a certified Small and Local Business Enterprise certified by the City of San Diego?

☐ Yes ☒ No

Certification # \_\_\_\_\_

3. Are you certified as any of the following:

- a. Disabled Veteran Business Enterprise Certification # \_\_\_\_\_
- b. Woman or Minority Owned Business Enterprise Certification # \_\_\_\_\_
- c. Disadvantaged Business Enterprise Certification # \_\_\_\_\_

#### J. WAGE COMPLIANCE:

In the past five (5) years, has your firm been required to pay back wages or penalties for failure to comply with the federal, state or local **prevailing, minimum, or living wage laws**? ☐ Yes ☒ No If **Yes**, use Attachment A to explain the specific circumstances of each instance. Include the entity involved, the specific infraction(s), dates, outcome, and current status.

By signing this Pledge of Compliance, your firm is certifying to the City that you will comply with the requirements of the Equal Pay Ordinance set forth in SDMC sections 22.4801 through 22.4809.

## K. STATEMENT OF SUBCONTRACTORS & SUPPLIERS:

Please provide the names and information for all subcontractors and suppliers used in the performance of the proposed contract, and what portion of work will be assigned to each subcontractor. Subcontractors may not be substituted without the written consent of the City. Use Attachment A if additional pages are necessary. If no subcontractors or suppliers will be used, please write "Not Applicable."

Company Name: Not Applicable

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Contractor License No.: \_\_\_\_\_ DIR Registration No.: \_\_\_\_\_

Sub-Contract Dollar Amount: \$\_\_\_\_\_ (per year) \$\_\_\_\_\_ (total contract term)

Scope of work subcontractor will perform: \_\_\_\_\_

Identify whether company is a subcontractor or supplier: \_\_\_\_\_

Certification type (check all that apply): ☐DBE ☐DVBE ☐ELBE ☐MBE ☐SLBE ☐WBE ☐Not Certified

Contractor must provide valid proof of certification with the response to the bid or proposal to receive participation credit.

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Contractor License No.: \_\_\_\_\_ DIR Registration No.: \_\_\_\_\_

Sub-Contract Dollar Amount: \$\_\_\_\_\_ (per year) \$\_\_\_\_\_ (total contract term)

Scope of work subcontractor will perform: \_\_\_\_\_

Identify whether company is a subcontractor or supplier: \_\_\_\_\_

Certification type (check all that apply): ☐DBE ☐DVBE ☐ELBE ☐MBE ☐SLBE ☐WBE ☐Not Certified

Contractor must provide valid proof of certification with the response to the bid or proposal to receive participation credit.

## L. STATEMENT OF AVAILABLE EQUIPMENT:

A full inventoried list of all necessary equipment to complete the work specified may be a requirement of the bid/proposal submission.

By signing and submitting this form, the Contractor certifies that all required equipment included in this bid or proposal will be made available one week (7 days) before work shall commence. In instances where the required equipment is not owned by the Contractor, Contractor shall explain how the equipment will be made available before the commencement of work. The City of San

Diego reserves the right to reject any response, in its opinion, if the Contractor has not demonstrated he or she will be properly equipped to perform the work in an efficient, effective matter for the duration of the contract period.

**M. TYPE OF SUBMISSION:** This document is submitted as:

- ☐ Initial submission of *Contractor Standards Pledge of Compliance*
- ☐ Initial submission of *Contractor Standards Pledge of Compliance* as part of a Cooperative agreement
- ☐ Initial submission of *Contractor Standards Pledge of Compliance* as part of a Sole Source agreement
- ☒ Update of prior *Contractor Standards Pledge of Compliance* dated 6/26/2024.

**Complete all questions and sign below.**

Under penalty of perjury under the laws of the State of California, I certify that I have read and understand the questions contained in this Pledge of Compliance, that I am responsible for completeness and accuracy of the responses contained herein, and that all information provided is true, full and complete to the best of my knowledge and belief. I agree to provide written notice to the Purchasing Agent within five (5) business days if, at any time, I learn that any portion of this Pledge of Compliance is inaccurate. Failure to timely provide the Purchasing Agent with written notice is grounds for Contract termination.

I, on behalf of the firm, further certify that I and my firm will comply with the following provisions of SDMC section 22.3004:

- (a) I and my firm will comply with all applicable local, State and Federal laws, including health and safety, labor and employment, and licensing laws that affect the employees, worksite or performance of the contract.
- (b) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of receiving notice that a government agency has begun an investigation of me or my firm that may result in a finding that I or my firm is or was not in compliance with laws stated in paragraph (a).
- (c) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of a finding by a government agency or court of competent jurisdiction of a violation by the Contractor of laws stated in paragraph (a).
- (d) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of becoming aware of an investigation or finding by a government agency or court of competent jurisdiction of a violation by a subcontractor of laws stated in paragraph (a).
- (e) I and my firm will cooperate fully with the City during any investigation and to respond to a request for information within ten (10) working days.

**Failure to sign and submit this form with the bid/proposal shall make the bid/proposal non-responsive. In the case of an informal solicitation, the contract will not be awarded unless a signed and completed *Pledge of Compliance* is submitted.**

Melissa Shick, Managing Director		12/12/2024
Name and Title	Signature	Date

**City of San Diego**  
**CONTRACTOR STANDARDS**  
**Attachment "A"**

Provide additional information in space below. Use additional Attachment "A" pages as needed. Each page must be signed.  
Print in ink or type responses and indicate question being answered.

I have read the matters and statements made in this Contractor Standards Pledge of Compliance and attachments thereto and I know the same to be true of my own knowledge, except as to those matters stated upon information or belief and as to such matters, I believe the same to be true. I certify under penalty of perjury that the foregoing is true and correct.

Melissa Shick, Managing Director

Print Name, Title



Signature

12/12/2024

Date

**EQUAL OPPORTUNITY CONTRACTING (EOC)**  
1200 Third Avenue, Suite 200 • San Diego, CA 92101  
Phone: (619) 236-6000 • Fax: (619) 236-5904

**BB. WORK FORCE REPORT**

The objective of the *Equal Employment Opportunity Outreach Program*, San Diego Municipal Code Sections 22.3501 through 22.3517, is to ensure that contractors doing business with the City, or receiving funds from the City, do not engage in unlawful discriminatory employment practices prohibited by State and Federal law. Such employment practices include, but are not limited to unlawful discrimination in the following: employment, promotion or upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rate of pay or other forms of compensation, and selection for training, including apprenticeship. Contractors are required to provide a completed *Work Force Report (WFR)*.

**NO OTHER FORMS WILL BE ACCEPTED  
CONTRACTOR IDENTIFICATION**

Type of Contractor: ☐ Construction ☐ Vendor/Supplier ☐ Financial Institution ☐ Lessee/Lessor  
☒ Consultant ☐ Grant Recipient ☐ Insurance Company ☐ Other

Name of Company: KNN Public Finance, LLC

ADA/DBA: \_\_\_\_\_

Address (Corporate Headquarters, where applicable): 2054 University Avenue, Suite 300

City: Berkeley County: Alameda State: CA Zip: 94704

Telephone Number: (510) 839-8200 Fax Number: n/a

Name of Company CEO: David Leifer

Address(es), phone and fax number(s) of company facilities located in San Diego County (if different from above):

Address: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_ Email: \_\_\_\_\_

Type of Business: Municipal Advisory Type of License: \_\_\_\_\_

The Company has appointed: David Brodsly

As its Equal Employment Opportunity Officer (EEOO). The EEOO has been given authority to establish, disseminate and enforce equal employment and affirmative action policies of this company. The EEOO may be contacted at:

Address: 2054 University Avenue, Suite 300, Berkeley, CA 94704

Telephone Number: (510) 208-8205 Fax Number: n/a Email: dbrodsly@knninc.com

- ☐ One San Diego County (or Most Local County) Work Force - Mandatory  
☐ Branch Work Force \*  
☐ Managing Office Work Force

*Check the box above that applies to this WFR.*

*\*Submit a separate Work Force Report for all participating branches. Combine WFRs if more than one branch per county.*

I, the undersigned representative of KNN Public Finance, LLC

(Firm Name)

Alameda, California hereby certify that information provided

(County)

(State)

herein is true and correct. This document was executed on this 12 day of December, 2024



(Authorized Signature)

Melissa Shick

(Print Authorized Signature Name)



**WORK FORCE REPORT – Page 2**NAME OF FIRM: KNN Public Finance, LLCDATE: 12/12/2024OFFICE(S) or BRANCH(ES): BerkeleyCOUNTY: Alameda

INSTRUCTIONS: For each occupational category, indicate number of males and females in every ethnic group. Total columns in row provided. Sum of all totals should be equal to your total work force. Include all those employed by your company on either a full or part-time basis. The following groups are to be included in ethnic categories listed in columns below:

- |                                      |   |
|--------------------------------------|---|
| (1) Black or African-American        | (5) Native Hawaiian or Pacific Islander                 |
| (2) Hispanic or Latino               | (6) White   |
| (3) Asian                            | (7) Other race/ethnicity; not falling into other groups |
| (4) American Indian or Alaska Native |   |

Definitions of the race and ethnicity categories can be found on Page 4

ADMINISTRATION OCCUPATIONAL CATEGORY	(1) Black or African American		(2) Hispanic or Latino		(3) Asian		(4) American Indian/ Nat. Alaskan		(5) Pacific Islander		(6) White		(7) Other Race/ Ethnicity	
	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)
Management & Financial					1						4	2		
Professional		1			2						3	2		
A&E, Science, Computer														
Technical														
Sales														
Administrative Support		1			1							1		
Services														
Crafts														
Operative Workers														
Transportation														
Laborers*														

\*Construction laborers and other field employees are not to be included on this page

Totals Each Column	2			4						7	5			
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**Grand Total All Employees**

**18**

Indicate by Gender and Ethnicity the Number of Above Employees Who Are Disabled:

Disabled														
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Non-Profit Organizations Only:

Board of Directors														
Volunteers														
Artists														

Meli

**WORK FORCE REPORT – Page 3**NAME OF FIRM: KNN Public Finance, LLCDATE: 12/12/24

OFFICE(S) or BRANCH(ES): \_\_\_\_\_

COUNTY: \_\_\_\_\_

INSTRUCTIONS: For each occupational category, indicate number of males and females in every ethnic group. Total columns in row provided. Sum of all totals should be equal to your total work force. Include all those employed by your company on either a full or part-time basis. The following groups are to be included in ethnic categories listed in columns below:

- |                                      |   |
|--------------------------------------|---|
| (1) Black or African-American        | (5) Native Hawaiian or Pacific Islander                 |
| (2) Hispanic or Latino               | (6) White   |
| (3) Asian                            | (7) Other race/ethnicity; not falling into other groups |
| (4) American Indian or Alaska Native |   |

Definitions of the race and ethnicity categories can be found on Page 4

TRADE OCCUPATIONAL CATEGORY	(1) Black or African American		(2) Hispanic or Latino		(3) Asian		(4) American Indian/ Nat. Alaskan		(5) Pacific Islander		(6) White		(7) Other Race/ Ethnicity	
	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)	(M)	(F)
Brick, Block or Stone Masons														
Carpenters														
Carpet, Floor & Tile Installers Finishers														
Cement Masons, Concrete Finishers														
Construction Laborers														
Drywall Installers, Ceiling Tile Inst														
Electricians														
Elevator Installers														
First-Line Supervisors/Managers														
Glaziers														
Helpers; Construction Trade														
Millwrights														
Misc. Const. Equipment Operators														
Painters, Const. & Maintenance														
Pipelayers, Plumbers, Pipe & Steam Fitters														
Plasterers & Stucco Masons														
Roofers														
Security Guards & Surveillance Officers														
Sheet Metal Workers														
Structural Metal Fabricators & Fitters														
Welding, Soldering & Brazing Workers														
Workers, Extractive Crafts, Miners														

Totals Each Column														
--------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--

<b>Grand Total All Employees</b>	
----------------------------------	--

Indicate By Gender and Ethnicity the Number of Above Employees Who Are Disabled:

Disabled														
----------	--	--	--	--	--	--	--	--	--	--	--	--	--	--