

REQUEST FOR PROPOSAL
Document Management, Imaging and Workflow System

June 30, 2009

BACKGROUND

The New York Liquidation Bureau (the “Bureau”) carries out the responsibilities of the Superintendent of Insurance of the State of New York in his capacity as receiver (“Receiver”), administering the affairs of impaired or insolvent companies that are in court-ordered receivership.

The Bureau seeks the services of a software vendor to propose and implement an integrated document management, imaging and workflow system. The Bureau invites all qualified software vendors (“Proponents”) to draft and submit to the Bureau, at the Proponents’ expense, proposals (“Proposals”) in accordance with the requirements outlined in this Request for Proposal (“RFP”). The selected software vendors (“Awardee”) will be performing services solely on behalf of the Superintendent as Receiver, not in his capacity as regulator.

I. DESCRIPTION OF SERVICES

The Awardee shall provide the following services in connection with this project (“Project”) without limitation:

1. Provide a document management, imaging and workflow system that can be fully integrated with the Bureau’s current and future applications on multi-platforms.
2. Provide users with simple and easy access to electronically stored documents.
3. Streamline the processing, storage and management of documents and records.
4. Provide the capability to capture and route documents for review and approval through the workflow process.
5. Provide security features that will restrict user access and functionality within the module as designed by Bureau management.
6. Provide the capability to classify documents into multiple categories, catalogs and sub-catalogs, with quick search and archiving capability.
7. Provide a system that can be integrated to work with Windows and Web based applications, MS Windows, SharePoint, and Active Directory.
8. Provide technical and software support during and after installation of the document management, imaging and workflow system.
9. Provide training to various Bureau personnel responsible for the ongoing maintenance or support of the application and workflow processes.

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The Awardee shall also provide such other services as may be necessary to successfully complete this Project.

III. RULES AND INSTRUCTIONS

In order to facilitate a fair evaluation of all Proposals, the Bureau requires that all Proposals maintain a uniform format. Accordingly, all Proposals must strictly adhere to the requirements outlined in this RFP. The Bureau may, in its sole discretion, modify, rescind or provide an addendum to this RFP, require Proponents to revise their Proposals or supply additional information, or invite any Proponent to appear for an interview.

All compliant Proposals will be reviewed by a committee that will, under the supervision of the Bureau's Chief Compliance Officer, consider Proponents based exclusively on the Proposals submitted and any subsequent interviews with Proponents or additional information submitted by Proponents at the request of the Bureau. The Bureau, in its sole discretion, will make its selections from all compliant RFPs submitted.

Proposals must specifically supply all items of information requested in Section IV below in the exact format set forth in Section IV. Material deviations from the required format will likely result in disqualification of the Proposal. If any item in Section IV does not apply to Proponent, Proponent must specifically indicate that the item is not applicable. Proponents may not satisfy an item of requested information by submitting or referring to a brochure, promotional or descriptive literature, or any other document, unless the request expressly permits such submission or reference.

Proposals must be formatted in 12-point or larger font. Each Proponent shall submit one original and four copies of their Proposal. Each Proposal must be signed and dated by Proponent. In submitting a signed Proposal, Proponent certifies that the information in the Proposal is materially complete, truthful and accurate. Each Proponent shall be bound by the information contained in its Proposal, including fees quoted for services.

Proposals must be sent via mail, overnight courier or hand delivery to:

New York Liquidation Bureau
123 William Street
New York, New York 10038-3889
Attn: John Pearson Kelly, Esq.
Chief Compliance Officer
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Proposals may be withdrawn from consideration at any time by written submission to John Pearson Kelly, Chief Compliance Officer, at the address listed above.

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Proposals must be received no later than 5:00 p.m., EDT, on July 24, 2009, unless such deadline is extended in writing by, and at the sole discretion of, the Bureau. Late Proposals will be disqualified from consideration.

Proponents may submit written questions no later than 5:00 p.m., EDT, on July 23, 2009 via e-mail to jpkelly@nylb.org or via mail to John Pearson Kelly, Chief Compliance Officer, at the address listed above.

Proposals will be opened at a closed meeting under the supervision of the Chief Compliance Officer.

Except as provided in this RFP and as otherwise necessary for conducting business operations previously established with the Bureau, Proponents may not communicate with Bureau personnel who are involved in the review, evaluation or selection of Proponents. Proponents may not directly or through an intermediary attempt to influence the process of evaluation and selection, except through the submission of a Proposal and any subsequent interview. The Bureau will disqualify Proponents who engage in prohibited communications of a material nature, as determined by the Bureau.

IV. PROPOSAL

Proposals shall set forth the following information:

A. Name of Proponent and Contact Information.

1. State the name of Proponent.
2. State the address of Proponent's corporate headquarters and of the primary office which will be engaged in the Project ("Engagement Office").
3. State Proponent's general telephone and fax number.
4. State Proponent's tax identification number.
5. Provide a general overview and history of Proponent, including the number of years in business and total number of employees.
6. List a primary contact person for Proponent, including such person's specific contact information.
7. List an alternate contact person for Proponent, including such person's specific contact information.

B. Proponent's Expertise.

1. Describe Proponent's organizational form (*e.g.*, partnership, professional corporation, etc.). Indicate the number of people, broken out by organizational

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level, located within the Engagement Office that will execute implementation of the Project.

2. Describe Proponent's experience in providing and maintaining systems similar to the system sought by the Bureau.
3. Provide a list of the Engagement Office's current and prior government and insurance industry projects, indicating the client names, the type(s) of services performed, and the scope of each project. For each current or prior governmental client, provide the name and telephone number of a contact person.
4. Describe the composition and expertise of the team that will be responsible for implementation of the proposed services.
5. Indicate whether the Bureau will have an assigned account representative for this Project, and if so, what the specifics of that role will be.
6. Describe the key benefits of a document management, imaging and workflow system implemented by Proponent.
7. Provide a formal implementation plan including but not limited to a general list of tasks to be performed, the anticipated duration of each task and a timeline.
8. Describe the scope and conditions of the support the Bureau will receive during and after implementation of the new system.
9. Describe any testing procedures that will be performed.
10. Describe what upgrades or additions may be available during the lifetime of the proposed contract, and what additional costs may be involved.

C. Proponent History and Licensing.

1. State Proponent's number of years in business.
2. State all names used by Proponent within the past 10 years.
3. For all Proponents who have worked on one or more Bureau matters in the last 10 years, set forth a description of each such Bureau matter, including the person(s) primarily responsible for the matter, the key issues and difficulties confronted, and the resolution of the matter.
4. For every judgment entered against Proponent as a result of a claim against Proponent for negligence or other malfeasance, set forth the date, all monetary relief granted, all injunctive relief granted, and the amount of the monetary judgment that currently remains unsatisfied, if any.
5. Set forth the number of settlements within the last 10 years resulting in a payment of greater than \$10,000 in connection with any claims for negligence or other malfeasance brought against Proponent.
6. If Proponent has been convicted of any crime (felony or misdemeanor), set forth the relevant facts relating thereto.
7. If Proponent has been the subject of any investigation by any governmental authority within the last five years, provide a brief description of the circumstances of each investigation, including the name of the investigating authority, the nature

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of the investigation, the date on which the investigation was commenced, and the status or disposition of the investigation.

8. Provide a brief statement regarding all sanctions, suspensions, and disciplinary actions imposed upon Proponent by any professional or regulatory body in any state within the last 10 years.

D. Potential Conflicts of Interest.

Identify any potential conflicts of interest (in fact or appearance) with the Bureau, including but not limited to:

1. List all known employees of Proponent or any parents, subsidiaries or affiliates of Proponent who are related by blood or marriage to any Bureau employees and/or who are living in the same household as any Bureau employee.
2. List all known employees of Proponent or any parents, subsidiaries or affiliates of Proponent who were previously employed by the Bureau.
3. List all known Bureau employees previously employed by Proponent or any parents, subsidiaries or affiliates of Proponent.
4. State whether Proponent or any parents, subsidiaries or affiliates of Proponent have been involved in litigation against the Receiver, the Bureau and/or its estates within the last 10 years as a party, witness or otherwise.
5. List the names of all persons or entities, if any, asserting claims against the Bureau or its estates for whom Proponent is currently performing work.
6. Provide a brief statement regarding whether Proponent has previously provided services to the Bureau, including whether Proponent has any financial interest in any organization that has contracted to provide services to the Bureau.

E. FEES

Provide a statement of fees and expenses for the services to be provided (as described in Section II hereof), including an hourly rate, a flat fee or an alternative pricing model.

F. MISCELLANEOUS

1. Set forth facts sufficient to demonstrate that Proponent is an equal opportunity employer and complies with all relevant federal, state and municipal equal employment opportunity and non-discrimination laws, regulations and executive orders. Proponent may attach hard copies of any equal employment opportunity policy statements or other relevant official firm documents.
2. Set forth whether Proponent has any unsatisfied judgments against it or has ever been the subject of a bankruptcy or receivership action or proceeding.
3. Provide any additional pertinent information not already provided in response to the above.

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V. ADDITIONAL TERMS AND INFORMATION

The information contained herein shall be used for the sole purpose of responding to this RFP. The Bureau will not, and is not under any obligation to, pay the costs, in whole or in part, incurred during the preparation of a Proposal and during the selection process.

The Bureau, in its sole discretion, reserves the right to accept or reject any or all Proposals, to utilize any or all ideas expressed within the Proposals or to adopt any or all parts of the Proposals submitted. All Proposals shall, upon receipt by the Bureau, become the property of the Bureau.

This RFP does not commit the Bureau to select a Proponent or enter into a contract with a Proponent.