



**13. Within the past (5) five years, has the vendor, any individuals serving in a managerial or consulting capacity, principle owners, officers, major stockholders (10% of voting shares for publicly traded companies, 25% or more for all other companies), affiliate<sup>1</sup>, or any person involved in the bidding or contracting process:**

- a) been suspended, disbarred, or terminated by a local, state, or federal authority in connection with a contract or contracting process?  Yes  No
- b) been disqualified for cause as a bidder?  Yes  No
- c) entered into a voluntary exclusion agreement from bidding/contracting?  Yes  No
- d) had a bid rejected on a NYS contract for non-compliance with the MacBride Fair Employment Principles or failure to meet statutory Affirmative action or M/WBE requirements?  Yes  No
- e) had status as a W/MBE Enterprise denied, de-certified, revoked, or forfeited?  Yes  No
- f) been subject to administrative or civil action seeking restitution in in connection with any local, state, or federal government contract?  Yes  No
- g) been denied an award of local, state, or federal government contract or had a contract suspended or terminated for non-responsibility?  Yes  No
- h) been indicted, convicted, or received a judgment against them for any business related local, state, or federal crime including liens, fines, penalties, or injunctions?  Yes  No
- i) been issued a citation, notice, violation order, or are pending an administrative hearing or determination for violations of any local, state, or federal laws, rules, or regulations?  Yes  No

*If yes to any of the above, attach additional sheets detailing the situation and listing names, titles, organizations, and dates of service of individuals involved. Match response number to questionnaire number.*

**14. Within the past three (3) years, has the vendor had any governmental audit that revealed material weaknesses in its internal controls?**  Yes  No

*If yes, indicate finding(s). Please attach additional sheets if necessary.*

**15. Have any bankruptcy proceedings been initiated by or against the vendor or its affiliates within the past seven (7) years?**  Yes  No

**16. Is the vendor currently insolvent or have reason to believe that an involuntary bankruptcy proceeding may be brought against them?**  Yes  No

**17. Has vendor been a contractor or subcontractor on any contract with NYS in the past five (5) years?**  Yes  No

*If yes, indicate organization's name, nature of contract, and dates.*

<sup>1</sup> "Affiliate" meaning: (a) any entity in which the vendor owns more than 50% of the voting stock; (b) any individual, entity or group of principle owners or officers who own more than 50% of the voting stock of the vendor; or (c) any entity whose voting stock is more than 50% owned by the same individual, entity or group described in clause (b). In addition, if a vendor owns less than 50% of the voting stock of another entity, but directs or has the right to direct such entity's daily operations, that entity will be an "affiliate" for purpose of this questionnaire.

