## Appendix B - Company Profile

| Section # | Required Information | Bidder Response |
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| **Company Profile** | | |
| (a) | Company or Proposer name and home office address | |
| (b) | Taxpayer ID # | |
| (c) | CT license # | |
| (d) | D-U-N-S ® # | |
| (e) | Name, telephone number and email address of contact person | |
| (f) | Year the company was established and number of years in business | |
| (g) | Number of years the bidder has been providing services similar to those being solicited | |
| (h) | Total # of company's physical locations | |
| (i) | Total # of employees | |
| (j) | Size of client portfolio (# of clients and total revenue) | |
| (k) | Number and nature of legal actions currently in litigation against the proposer | |
| (l) | Location of the office that will be primarily serving the University | |
| (m) | Are you a State of Connecticut DAS certified set-aside business enterprise? If so, please choose the appropriate category: | Small Business Enterprise: _____<br>Black (BL): _____<br>Hispanic (HI): _____<br>Iberian Peninsula: _____<br>Asian: _____<br>American Indian: _____<br>Disabled Person: _____<br>Woman: _____<br>Woman Black: _____<br>Woman Hispanic: _____<br>Woman Iberian Peninsula: _____<br>Woman Asian: _____<br>Woman Am. Indian: _____<br>Woman Disabled: _____<br>Disabled Black: _____<br>Disabled Hispanic: _____<br>Disabled Iberian Pen.: _____<br>Disabled Asian: _____<br>Disabled Am. Indian: _____ |
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| (n) | Indicate all other names by which this organization has been known **and** the length of time known by each name: | |
| (o) | Which of the following best describes your business structure: | Corporation: _____<br>Partnership: _____<br>Sole Proprietorship: _____<br>Joint Venture: _____<br>LLC: _____<br>Non-Profit: _____ |
| (p) | List all supervisory personnel, such as Principals and Supervisors who will be directly involved with the contract. Indicate the number of **years of experience and number of years which they have been in a Supervisory capacity**: | |

Name: _____ Years/Supervisor: _____ Tel: _____

Name: _____ Years/Supervisor: _____ Tel: _____

Name: _____ Years/Supervisor: _____ Tel: _____

Name: _____ Years/Supervisor: _____ Tel: _____

Name: _____ Years/Supervisor: _____ Tel: _____

Name: _____ Years/Supervisor: _____ Tel: _____

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| (q) | Has your organization ever failed to complete a contract, or has any officer or partner of your organization ever been an officer or partner of another organization that failed to complete a contract? | **YES** or **NO** |
| (q)(1) | If yes, indicate the circumstances leading to the project failure and the name of the company which provided the bonding for the failed contract(s) (ATTACH ADDITIONAL SHEETS IF NECESSARY): | |
| | | |
| (r) | List all legal or administrative proceedings currently pending or concluded adversely within the last five (5) years which relate to procurement or performance of any public or private service/maintenance contracts. | 1. Attached _____<br>OR<br>2. Not Applicable _____ |

**Has your firm or any part of your firm, any owner, or partial owner of your firm, or any person in any way associated with or employed by your firm ever:**

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| 16 | Had a conviction or entry of a plea of guilty or nolo contendere for commission of a criminal offense as an incident to obtaining or attempting to obtain a public or private contract or subcontract or in the performance of such contract or subcontract? (Connecticut General Statute 31-57c) |

**YES/NO**

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| 17 | Had a conviction or entry of a plea of guilty or nolo contendere under state or federal law for embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or any other offense indicating a lack of business integrity or business honesty which affects responsibility as a contractor? (Connecticut General Statute31-57c) |

**YES/NO**

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| 18 | Had a conviction or entry of a plea of guilty or nolo contendere under state or federal antitrust, collusion or conspiracy statutes arising out of the submission of bids or proposals? (Connecticut General Statute31-57c) |

**YES/NO**

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| 19 | Been cited for noncompliance with contract provisions on a public project, of a character regarded by the awarding authority to be of such gravity as to indicate a lack of responsibility to perform as a state contractor, including deliberate failure, without good cause, to perform in accordance with specifications or time limits provided in a contract? |

**YES/NO**

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| 20 | On a public project or contract, been cited for any other cause the awarding authority determined to be so serious or compelling as to affect responsibility as a state contractor, including disqualification by another governmental entity, having caused financial loss to the state or having caused a serious delay or inability of state officials to carry out their duties on a past contract or contracts? |

**YES/NO**

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| 21 | On a public project or contract, been cited for any other cause the awarding authority determined to be so serious or compelling as to affect responsibility as a state contractor, including disqualification by another governmental entity, having caused financial loss to the state or having caused a serious delay or inability of state officials to carry out their duties on a past contract or contracts? |

**YES/NO**

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| 22 | On a separate sheet of paper, identify all litigation or arbitration proceedings including out of court settlements initiated by or against you within the past five (5) years including all pending cases. List the name of the project, the project location and the court or arbitration number and location. Briefly describe, use a separate sheet if necessary, the circumstances and disposition of each case. Specifically identify and provide details of each instance of claims or legal proceedings by or against a public or private Owner. Please note that generalized responses such as “litigation arising in the ordinary course of doing business” are not acceptable. |

**SEPARATE SHEET ATTACHED/NOT APPLICABLE**

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| 23 | On a separate sheet of paper, identify any OSHA citations within the past five (5) years under present business name or any past business name. Have you been cited for three or more willful or serious violations of OSHA, or of any standard, order or regulations promulgated pursuant to such Act which violations were cited in accordance with the provisions of any State Occupational Safety and Health Act or the Occupational Safety and Health Act of 1970 and which were not abated within the time fixed by the citation; and which citation has not been set aside following appeal to the appropriate agency or court having jurisdiction? Additionally list any criminal convictions related to the injury or death of any employee. (Connecticut General Statute 31-57b) |

**SEPARATE SHEET ATTACHED/NOT APPLICABLE**

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| 24 | Have you appeared on any list published by the Connecticut State Labor Department of persons or firms that have been found by the National Labor Relations Board and by a final decision rendered by a Federal Court to have been in violation of the National Labor Relations Act, 29 USC 151 et. seq. or to have been found in contempt of court by a final decision of a Federal Court for failure to correct a violation of the National Labor Relations Act on three or more occasions involving different violations? (Connecticut General Statute 31-57a) |
| | **YES/NO**<br>***If the answer to the preceding question is "yes" state the date of publication of such list by the Connecticut State Labor Department.*** |
| 25 | On a separate sheet of paper, identify any instances within the previous five years in which you or any entity in which you have an interest, has appeared on a list published by the State of Connecticut Labor Department of persons or firms who the Labor Department has found you to have disregarded or violated your obligations to employees under Connecticut General Statutes 31-57f and/or subcontractors on public works projects under Connecticut General Statutes 31-53 and 31-76c (i.e. payment of prevailing wages and overtime payments) or in which you have been barred from Federal government contracts in accordance with the provisions of the Davis Beacon Act, 40 U.S. C. 276a-2. Describe in detail the circumstances of each violation, including but not limited to, the date and nature of the violation, the project on which the violation occurred, the source, if known, of any complaint giving rise to any Department of Labor investigation, the results of any such investigation, the penalty imposed or other action taken by the Department of Labor, any remedial action which was taken and any other resolution of any such complaint or violation. (Connecticut General Statute 31-53a) |

**SEPARATE SHEET ATTACHED/NOT APPLICABLE**

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| 26 | On a separate sheet of paper, identify any instances in which any complaint has been made to, or any investigation or inquiry has been conducted by, the State of Connecticut Department of Labor regarding any alleged non-compliance by your or by any subcontractors on your previous projects, of any provision of Part III of Chapter 557 (Connecticut General Statutes Sections 31-52 through 31-57e, prevailing wage and other requirements) and Chapter 558 (Connecticut General Statutes Sections 31-58 through 31-761, minimum wage, overtime and other requirements) during the five calendar years immediately preceding this Proposal. Describe in detail the circumstances of each violation, including but not limited to, the date and nature of the violation, the project on which the violation occurred, the source, if known, of any complaint giving rise to any Department of Labor investigation, the results of any such investigation, the penalty imposed or other action taken by the Department of Labor, any remedial action which was taken and any other resolution of any such complain or violation. |
| | **SEPARATE SHEET ATTACHED/NOT APPLICABLE**<br><br>***If in the event that there were such instances as described in your responses, you are further required to provide with your Proposal a written statement of the policy and procedures you would implement on this project in an effort to insure that you and your subcontractors would remain in compliance with the statutory requirements for wage rates and payment of wages as noted above.*** |
| 27 | State whether you have ever been cited or penalized by any government agency for failure to comply with any affirmative action, non-discrimination, or other human rights requirements applicable to any work performed by you. If so, provide the date(s), details, disposition and docket number(s) for each such instance. |
| | **SEPARATE SHEET ATTACHED/NOT APPLICABLE** |
| 28 | On a separate sheet of paper, identify any criminal charges, indictments or civil enforcement actions currently pending against you or your principals involving any of the offenses or violations referred to above? If so identify the offense(s), court docket number and status of proceeding(s). |
| | **SEPARATE SHEET ATTACHED/NOT APPLICABLE** |