



ATTACHMENT D -VENDOR/CONTRACTOR CERTIFICATION

(MUST ALSO BE COMPLETED BY ALL PROPOSED SUB-CONTRACTORS)

NAME OF VENDOR/CONTRACTOR: _____

Please answer all questions. Attach additional pages as necessary.

A. NATURE OF ENTITY

1. Indicate whether the Vendor/Contractor ("VC") is an individual or legal entity:

<input type="checkbox"/> Individual	<input type="checkbox"/> Limited Liability Company	<input type="checkbox"/> Limited partnership
<input type="checkbox"/> Business corporation	<input type="checkbox"/> Joint venture	<input type="checkbox"/> Sole proprietorship
<input type="checkbox"/> General partnership	<input type="checkbox"/> Limited partnership	<input type="checkbox"/> Other _____
2. State of incorporation or organization, if applicable: _____
3. For VCs not organized in the State of Illinois: Is the VC authorized to do business in the State of Illinois as a "foreign entity" (i.e., a non-Illinois entity)? Yes No
 If the VC is not currently authorized to do business in the State of Illinois as a foreign entity, then the VC should provide a copy of its application with the Illinois Secretary of State for such authorization with the VC's bid submission.
4. Indicate how many years the VC has been operating:

<input type="checkbox"/> 0 – 2yrs.	<input type="checkbox"/> 3 – 6 yrs.	<input type="checkbox"/> 7 – 9 yrs.	<input type="checkbox"/> 10 -15 yrs.	<input type="checkbox"/> 16 -20 yrs.	<input type="checkbox"/> 20 yrs. +
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PLEASE SELECT FROM THE LIST BELOW THE DESIGNATION THAT MOST ACCURATELY DESCRIBES THE VC:

4. Is the VC a certified Disadvantaged Business Enterprise (DBE)? Yes No
 If yes, please check the appropriate box(es) below:

Gender and Ethnicity:	<input type="checkbox"/> Woman	<input type="checkbox"/> Man
<input type="checkbox"/> Black American	<input type="checkbox"/> Hispanic American	<input type="checkbox"/> Native American
<input type="checkbox"/> Asian-Pacific American	<input type="checkbox"/> Subcontinent Asian American	<input type="checkbox"/> Non-Minority
5. Is the VC a Government Certified Veteran Owned Small Business (VOSB)? Yes No
6. Is the VC a Government Certified Service Disabled Veteran Owned Small Business (SDVOSB)? Yes No
7. Is the VC a Government Certified Minority Owned Business Enterprise (MBE)? Yes No
8. Is the VC a Government Certified Woman Owned Business Enterprise (WBE)? Yes No
9. Is the VC certified by the State of Illinois as a Business Enterprise Owned by People with Disabilities (BEPD)? Yes No
10. Is the VC certified by the State of Illinois as a Business Enterprise Program (BEP)? Yes No

B. ORGANIZATION INFORMATION

1. List below the names and business addresses of each person or entity having an ownership, partnership, joint ventureship, membership, managership, or other, similar, beneficial interest in the VC, including the percentage of ownership interest. For corporations, this response may be limited to those shareholders who own shares equal to or in excess of 7.5% of any class of the corporation's outstanding shares. If the VC is a wholly-owned subsidiary of another entity, provide ownership information of the ultimate parent entity of the VC.

<u>Name</u>	<u>Business Address</u>	<u>Ownership Interest</u>

2. List below the names and titles of all executive officers and board members of the VC, as applicable.

Name

Title

3. Indicate below which bracket most accurately reflects the VC's annual gross receipts:

less than \$500,000

\$500,000 - \$1,000,000

\$1-2million

\$2-5 million

more than \$5 million

C. LOBBYIST INFORMATION

List each and every person that is retained or anticipated to be retained by the VC with respect to or in connection with the matter to which this Certification relates (i) who for compensation or on behalf of any person other than himself, undertakes to influence any legislative or administrative action, or (ii) for whom any part of whose duty as an employee of another includes undertaking to influence any legislative or administrative action. Also indicate whether the lobbyist is currently retained or anticipated to be retained and whether fees are actual or anticipated. If there are none, write "none."

Name

Business Address

Fees

D. CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this Certification on behalf of the VC, (2) warrants that all certifications and statements contained in this Certification are true, accurate and complete as of the date furnished to the RTA, and understands that the provisions of 31 U.S.C. Section 3801 *et seq.* and other related Federal, state or local laws regarding false claims and statements may be applicable thereto.

By: _____

(Signature)

(Typed/Printed Name)

(Title)

(Date)



ATTACHMENT D - RTA CERTIFICATIONS AND ASSURANCES

A. CONFLICTS OF INTEREST

The Vendor/Contractor ("VC") certifies, to the best of its knowledge and belief, that:

1. No member of the RTA's Board of Directors, RTA Board member's spouse or an immediate family member of the RTA Board member living in the RTA Board member's residence, or RTA employee has, or will have, a direct pecuniary interest in the contract to which this Certification relates.
2. No member of the RTA's Board of Directors, RTA Board Member's spouse or an immediate family member of the RTA Board member living in the RTA Board Member's residence, or RTA employee holds more than a 7.5% ownership interest in the VC.
3. If any member of the RTA's Board of Directors, RTA Board Member's spouse or an immediate family member of the RTA Board member living in the RTA Board Member's residence, or RTA employee holds an ownership interest in VC of 7.5% or less, that ownership interest shall be disclosed in writing and attached to this Certification.
4. The VC does not have any organizational conflicts of interest that would prevent the VC from completing the contract work. An organizational conflict of interest occurs when any of the following circumstances arise:
 - a) Lack of impartiality: when the VC is unable, or potentially unable, to render impartial assistance or advice to RTA due to other activities, relationships, contracts, or other circumstances;
 - b) Impaired objectivity: when the VC's objectivity in performing the contract work is or might be otherwise be impaired due to other activities, relationships, contracts, or other circumstances; or
 - c) Unfair competitive advantage: the VC has an unfair competitive advantage.

B. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

The VC certifies, to the best of its knowledge and belief, that it and its principals, officers and directors, and any other individuals identified in SECTION B of the separate "VENDOR/CONTRACTOR CERTIFICATION":

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal, state or local department or agency.
2. Have not within a three-year period preceding the date of this Certification been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction, or convicted of or had a civil judgment against them for a violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this Certification.
4. Have not within a three-year period preceding the date below had one or more public transactions (Federal, State or local) terminated for cause or for default by VC.
5. Are in compliance with subpart C of 49 C.F.R. § 29.
6. Are not presently barred from bidding on this contract as a result of a violation of either 720 ILCS § 5/33E-3 (Bid Rigging) or 720 ILCS § 5/33E-4 (Bid Rotating). (If an exception exists as set forth in the Statute, please provide a complete written explanation and supporting documents.)

The VC acknowledges that, pursuant to 720 ILCS § 5/33E-11, making any false statement material to Section B(6) of this Certification constitutes a Class 3 felony under the laws of the State of Illinois. If the VC is unable to certify to the truth of the statements in this Certification, the VC shall attach an explanation to this Certification. **The VC further agrees and warrants that VC will not enter into any third-party contract or subcontract for work on the project to which this Certification relates unless and until such subcontractor provides a written certification to VC in the form set forth herein, and also agrees to require such certification in all sub-contracts.**

C. CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The VC understands and agrees that:

1. The certifications, disclosures, and acknowledgments contained in this Certification will become part of the contract between the VC and the RTA and are material inducements to the RTA's execution of such contract. The VC understands that it must comply with all statutes, ordinances, and regulations on which this Certification is based.
2. If the RTA determines that any information provided in this Certification is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void at the sole discretion of the RTA, and the RTA may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the VC's participation in the matter to which the Certification relates and/or declining to allow the VC to participate in other transactions with the RTA.
3. Some or all of the information provided on this Certification and any attachments to this Certification may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this Certification, the VC waives and releases any possible rights or claims which it may have against the RTA in connection with the public release of information contained in this Certification and also authorizes the RTA to verify the accuracy of any information submitted in this Certification and authorizes the RTA to conduct appropriate background checks regarding the VC.
4. The information provided in Sections A, B and C of this Certification and on the separate "VENDOR/CONTRACTOR CERTIFICATION" must be kept current while the contract related to the Certifications are in effect. In the event of any changes to information provided in Sections A, B and C of this Certification, or on the separate "VENDOR/CONTRACTOR CERTIFICATION", the VC must promptly supplement the appropriate Certification by disclosing the additional information in writing. Further, in the event of any changes in the officers, directors, or principals of the VC while the contract related to this Certification or the separate "VENDOR/CONTRACTOR CERTIFICATION" is in effect, the VC must promptly supplement the appropriate Certification by disclosing the additional information in writing.

D. CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this Certification on behalf of the VC, (2) warrants that all certifications and statements contained in this Certification are true, accurate and complete as of the date furnished to the RTA, and understands that the provisions of 31 U.S.C. Section 3801 *et seq.* and other related Federal, state or local laws regarding false claims and statements may be applicable thereto.

By: _____
(Signature) (Typed/Printed Name)

(Title) (Date)