



**REQUEST FOR PROPOSAL ("RFP")-EXHIBIT T
SINGLE LEVEL FLEET REPLACEMENT PROGRAM
NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)
1 Massachusetts Ave NW, Washington DC 20001**

EXHIBIT T

AMTRAK SUPPLIER RESPONSIBILITY QUESTIONNAIRE

RESPONSES TO THE QUESTIONS CONTAINED IN THIS QUESTIONNAIRE MUST BE SUBMITTED ON THIS FORM.

The signatory of this Questionnaire guarantees the truth and accuracy of all statements and answers to the questions herein.

Failure to complete and return this questionnaire, the provision of any false statements, or the failure to answer (a) question(s) when required, may render the bid/proposal non-responsive.

Where an explanation is required or needed, please provide the explanation on the form directly or by adding additional pages, as necessary. Submit the completed form and explanations to the contracting official. The contracting official may request additional information based on your responses.

Contractors must submit updated information to the awarding authority if changes have occurred that would render any of the responses inaccurate in any way.

Updates must be submitted to the awarding authority within 30 days of the change(s).

The responses in this Questionnaire will not be made available to the public for review.



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BIDDER/CONTRACTOR INFORMATION

Business Name:
DUNS Number:
Address:
Phone Number
Point of Contact Person:

TYPE OF SUBMISSION:

The Questionnaire being submitted is:

- ☐ An initial submission of a completed Questionnaire.
- ☐ An update of a prior Questionnaire dated ____/____/____.

A. BUSINESS ORGANIZATION/STRUCTURE

Indicate the organizational structure of the company. “Company” includes a sole proprietorship, corporation, joint venture, consortium, association, or any combination thereof.

- ☐ **Corporation:** Date incorporated: ____/____/____ State of incorporation: _____

List the corporation’s current officers.

President:

Vice President:

Secretary:

Treasurer:

- ☐ Check the box only if the company is a publicly traded corporation.

List those who own 5% or more of the corporation’s stocks. Use Attachment A if more space is needed.

Publicly traded corporations need not list the owners of 5% or more of the corporation’s stocks.

- ☐ **Limited Liability Company:** Date of formation: ____/____/____ State of formation: _____

List members who own 5% or more of the company.

- ☐ **Partnership:** Date formed: ____/____/____ State of formation: _____

List all partners in the company.

- ☐ **Sole Proprietorship:** Date started: ____/____/____

List any company(s) that you have been associated with as an owner, partner, or officer for the last five years. Do not include ownership of stock in a publicly traded company in your response to this question.

- ☐ **Joint Venture:** Date formed: ____/____/____

List: (1) each company that is a member of the joint venture and (2) the percentage of ownership the company will have in the joint venture. **Each member of the Joint Venture must complete a separate Questionnaire for the Joint Venture’s submission to be considered as responsive.**



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B. OWNERSHIP AND NAME CHANGES

Is the company a subsidiary, parent, holding company, or affiliate of another company? ☐ **Yes** ☐ **No**

If **Yes**, explain the relationship between the company and the associated companies. Include information about an affiliated company only if one company owns 50% or more of another company, or if an owner, partner or officer of the company holds a similar position in another company.

Have any of the company's owners, partners, or officers operated a similar business in the past five years?
☐ **Yes** ☐ **No**

If **Yes**, list the names and addresses of all such businesses, and the person who operated the business. Include information about a similar business only if an owner, partner or officer of the company holds a similar position in another company.

Has the company changed names in the past five years? ☐ **Yes** ☐ **No**

If **Yes**, list all prior names, addresses, and the dates they were used. Explain the reason for each name change in the last five years.

Are any of the company's licenses held in the name of a corporation or partnership? ☐ **Yes** ☐ **No**

If **Yes**, the name of the corporation or partnership that actually holds the license.



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C. FINANCIAL RESOURCES AND RESPONSIBILITY

Is the company now, or has it ever been at any time in the last five years, the debtor in a bankruptcy case?

☐ **Yes** ☐ **No**

Is your company in the process of, or in negotiations toward, being sold? ☐ **Yes** ☐ **No**



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D. PERFORMANCE HISTORY

How many years has the company been in business? _____ Years.

Has the company ever held any contracts with Amtrak? ☐ **Yes** ☐ **No**

If, **Yes**, list all contracts the company has had with Amtrak for the last 10 years. For each contract listed in response to this question, include: (a) contract number; (b) total contract value; (c) starting date; and (d) ending date.

In the past five years, has a governmental or private entity or individual terminated the company's contract prior to completion of the contract? **Yes** ☐ **No**

In the past five years, has the company used any subcontractor to perform work on a government contract when you knew that the subcontractor had been debarred by a governmental entity?
☐ **Yes** ☐ **No**

In the past five years, has the company been debarred or determined to be a non-responsible bidder or contractor? ☐ **Yes** ☐ **No**



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E. DISPUTES

In the past five years, has the company been the defendant in court on a matter related to any of the following issues?

(a) Payment to subcontractors? ☐ **Yes** ☐ **No**

(b) Work performance on a contract? ☐ **Yes** ☐ **No**

(c) Employment-related litigation brought by an employee? ☐ **Yes** ☐ **No**

Does the company have any outstanding judgements pending against it? ☐ **Yes** ☐ **No**

In the past five years, has the company been assessed liquidated damages on a contract?
☐ **Yes** ☐ **No**



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F. COMPLIANCE

In the past five years, has the company or any of its owners, partners or officers, ever been investigated, cited, assessed any penalties, or been found to have violated any laws, rules, or regulations enforced or administered, by any federal or state governmental entities? ☐ **Yes** ☐ **No**

If a license is required to perform any services provided by the company, in the past five years, has the company, or any person employed by the company, been investigated, cited, assessed any penalties, subject to any disciplinary action by a licensing agency, or found to have violated any licensing laws? ☐ **Yes** ☐ **No**



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G. BUSINESS INTEGRITY

For questions (a), (b), and (c) below, check **Yes** if the situation applies to the company. For these questions, the term “company” includes any owners, partners, or officers in the company. The term “owner” does not include owners of stock in the company if the company is a publicly traded corporation.

(a) Is a governmental entity or public utility currently investigating the company for making (a) false claim(s) or material misrepresentation(s)? ☐ **Yes** ☐ **No**

(b) In the past five years, has a governmental entity or public utility alleged or determined that the company made (a) false claim(s) or material misrepresentation(s)? ☐ **Yes** ☐ **No**

(c) In the past five years, has the company been convicted or found liable in a civil suit for, making false claim(s) or material misrepresentation(s) to any governmental entity or public utility?
☐ **Yes** ☐ **No**

In the past five years, has the company or any of its owners or officers been convicted of a crime involving the of a government contract, the awarding of a government contract, the performance of a government contract, or the crime of fraud, theft, embezzlement, perjury, bribery? For this question, the term “owner” does not include those who own stock in a publicly traded corporation. ☐ **Yes** ☐ **No**



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CERTIFICATION UNDER PENALTY OF PERJURY

I certify that I have read and understand the questions contained in this questionnaire and the responses contained on all Attachments. I further certify that I have provided full and complete answers to each question, and that all information provided in response to this Questionnaire is true and accurate to the best of my knowledge and belief.

Name:

Position:

Date:

Signature: