

CONTRACT# \_\_\_\_\_ TITLE \_\_\_\_\_

**TOWN OF OYSTER BAY  
DISCLOSURE QUESTIONNAIRE**

All questions on this questionnaire must be answered by an officer and any stakeholders who hold a majority or greater ownership interest in the proposer. Answers must be typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO  
SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL  
MAY BE REJECTED AS NON-RESPONSIVE AND IT MAY NOT BE CONSIDERED FOR  
AWARD

**NOTE: All questions require a response, even if response is “none” or “not-applicable.” No blanks.**

**SECTION I: GENERAL INFORMATION**

1. Business name (legal name): \_\_\_\_\_
2. Federal Employer ID No. (FEIN): \_\_\_\_\_
3. d/b/a – doing business as (if applicable): \_\_\_\_\_  
County filed: \_\_\_\_\_
4. Website address (if applicable): \_\_\_\_\_
5. Business e-mail address: \_\_\_\_\_
6. Principal place of business address: \_\_\_\_\_
7. Telephone number: \_\_\_\_\_ 7. Fax number: \_\_\_\_\_
8. Does the business use, or has it used in the past five (5) years, any other business name, FEIN, or d/b/a other than what is listed in questions 1-3 above? Yes \_\_\_ No \_\_\_  
If yes, please provide details. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
9. Authorized contact:  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Telephone number: \_\_\_\_\_ Fax number: \_\_\_\_\_  
E-mail: \_\_\_\_\_

10. How many years has this entity been in business? \_\_\_\_\_
11. The proposer is a (check one):  Sole Proprietorship  Partnership  Corporation  
 Other (Describe) \_\_\_\_\_

**SECTION II: PRINCIPAL INFORMATION**

1. Principal Name \_\_\_\_\_  
 Date of birth \_\_\_\_/\_\_\_\_/\_\_\_\_ % Equity Interest in Company \_\_\_\_\_  
 Home address \_\_\_\_\_  
 City/state/zip \_\_\_\_\_  
 Telephone \_\_\_\_\_

2. Positions held in submitting business  
 \_\_\_\_\_  
 \_\_\_\_\_

3. Within the past five years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire?  
 YES \_\_\_ NO \_\_\_; If Yes, provide details. \_\_\_\_\_  
 \_\_\_\_\_

4. Has any governmental entity awarded any contracts to a business or organization listed in question 3 above in the past five (5) years while you were a principal owner or officer?  
 YES \_\_\_ NO \_\_\_; If Yes, provide details. \_\_\_\_\_  
 \_\_\_\_\_

**SECTION III: DUE DILIGENCE QUESTIONS - TO BE COMPLETED IF CONTRACT VALUE IS \$25,000.00 OR OVER IN A 12 MONTH PERIOD.**

1. Does the business possess all certifications, licenses, permits, approvals, insurance, bonds or other authorizations issued by any local, state, or federal governmental entity in connection with the proposal/project, business services, operations, business, or ability to conduct its activities? Please note this does not include construction related activities such as building permits and certificates of occupancy.  
 YES \_\_\_ NO \_\_\_ If no, please provide details \_\_\_\_\_  
 \_\_\_\_\_
2. Does this business have one or more affiliates, and/or is it a subsidiary of, or controlled by, any other business?  
 YES \_\_\_ NO \_\_\_ If Yes, provide details. \_\_\_\_\_  
 \_\_\_\_\_

3. Has the proposer ever had a bond or surety cancelled or forfeited, or a contract with any entity terminated? YES \_\_\_ NO \_\_\_ If Yes, state the name of bonding agency, (if a bond), date, amount of bond and reason for such cancellation or forfeiture; or details regarding the termination.

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4. List all contracts that business has entered into with any municipality in the past three (3) years. Please list the names, address and contact person for the contracting entities. \_\_\_\_\_

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Attach additional pages if necessary.

5. Has the proposer, during the past five (5) years, been declared bankrupt? YES \_\_\_ NO \_\_\_ If Yes, state date, court jurisdiction, amount of liabilities and amount of assets \_\_\_\_\_

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6. In the past five years, has this business and/or any of its owners and/or officers and/or any affiliated business, been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency?

YES \_\_\_ NO \_\_\_ If Yes, provide details for each such investigation. \_\_\_\_\_

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7. In the past 5 years, have any owner and/or officer of any affiliated business been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency, where such investigation was related to activities performed at, for, or on behalf of an affiliated business.

YES \_\_\_ NO \_\_\_ If Yes, provide details for each such investigation. \_\_\_\_\_

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8. In the past 5 years, has this business and/or any of its owners and/or officers and/or any affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies?

YES \_\_\_ NO \_\_\_ If Yes, provide details for each such investigation. \_\_\_\_\_

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9. In the past 5 years, has any owner and/or officer of an affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies, for matters pertaining to that individual's position at or relationship to an affiliated business.

YES \_\_\_ NO \_\_\_ If Yes, provide details for each such investigation. \_\_\_\_\_

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10. Has any current or former director, owner or officer or managerial employee of this business had, either before or during such person's employment, or since such employment( if the conduct pertained to events that allegedly occurred during the time of employment):

a) Any felony charge pending? YES \_\_\_ NO \_\_\_ If Yes, provide details for each such charge.

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b) Any misdemeanor charge pending? YES \_\_\_ NO \_\_\_ If Yes, provide details for each such charge. \_\_\_\_\_

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c) Any violations of administrative, statutory or regulatory provisions pending? YES \_\_\_ NO \_\_\_ If Yes, provide details for each such charge. \_\_\_\_\_

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d) In the past ten (10) years, you been convicted, after trial or by plea, of any felony and/or any other crime, an element of which relates to truthfulness.? YES \_\_\_ NO \_\_\_ If Yes, provide details for each such conviction.

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e) In the past ten (10) years, been convicted, after trial or by plea, of a misdemeanor? YES \_\_\_ NO \_\_\_ If Yes, provide details for each such conviction. \_\_\_\_\_

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f) In the past ten (10)years, been found in violation of any administrative, statutory, or regulatory provisions? YES \_\_\_ NO \_\_\_ If Yes, provide details for each such occurrence.

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11. In the past five (5) years, has this business or any of its owners or officers, or any other affiliated business had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES \_\_\_ NO \_\_\_; If Yes, provide details for each such instance.

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12. For the past five (5) tax years, has this business failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges? YES \_\_\_ NO \_\_\_ If Yes, provide details for each such year. \_\_\_\_\_

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**SECTION IV: CONFLICT OF INTEREST**

Please disclose any conflicts of interest as outlined below. NOTE: If no conflicts exist, please expressly state "No conflict exists."

1. Any material financial relationships that your firm or any firm employee has that may create a conflict of interest or the appearance of a conflict of interest in being awarded this contract with the Town of Oyster Bay.

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2. Any family relationship that any employee of your firm has with any public servant that may create a conflict of interest or the appearance of a conflict of interest in being awarded this contract with the Town of Oyster Bay.

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3. Any other matter that your firm believes may create a conflict of interest or the appearance of a conflict of interest in being awarded this contract with the Town of Oyster Bay.

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