

**BACKGROUND QUESTIONNAIRE**

***Please answer the following questions by placing an “X” in the appropriate box.***

This Questionnaire must be completed and properly executed by an individual or business entity submitting a bid/proposal/statement of qualifications to the Connecticut Resources Recovery Authority (such individual or business entity hereinafter referred to as the “Contractor”).

|  | Yes | No |
| --- | --- | --- |
| 1. Has the Contractor or any of the following ever been the subject of a **criminal** investigation?1. A principal of the Contractor;
2. An owner of the Contractor;
3. An officer of the Contractor;
4. A partner in the Contractor;
5. A director of the Contractor; or
6. A stockholder of the Contractor holding 50% or more of the stock of the Contractor.

If you answered “Yes” to Question 1, proceed to Question 1A and, on a separate sheet of paper, state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; and the identity of the person or entity involved.If you answered “No” to Question 1, proceed to Question 2. | **[ ]**  | **[ ]**  |
| 1A. Has any indictment arisen out of any such investigation?If you answered “Yes” to Question 1A, proceed to Question 1B and, on a separate sheet of paper, state the following: the name of the person or entity indicted; and the status of any such indictment.If you answered “No” to Question 1A, proceed to Question 2. | **[ ]**  | **[ ]**  |
| 1B. Has any conviction arisen out of any such indictment?If you answered “Yes” to Question 1B, proceed to Question 2 and, on a separate sheet of paper, state the following: the name of the person or entity convicted, the sentence imposed and whether or not an appeal of the conviction is pending.If you answered “No” to Question 1B, proceed to Question 2. | **[ ]**  | **[ ]**  |

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| 2. Has the Contractor or any of the following ever been the subject of a **civil** investigation[[1]](#footnote-1)?1. A principal of the Contractor;
2. An owner of the Contractor;
3. An officer of the Contractor;
4. A partner in the Contractor;
5. A director of the Contractor; or
6. A stockholder of the Contractor holding 50% or more of the stock of the Contractor.

If you answered “Yes” to Question 2, proceed to Question 3 and, on a separate sheet of paper, state the following: the court or other forum in which the investigation took or is taking place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; the identity of the person or entity involved; the status of the investigation; and the outcome of the investigation.If you answered “No” to Question 2, proceed to Question 3. | **[ ]**  | **[ ]**  |
| 3. Has any entity (e.g., corporation, partnership, etc.) in which any of the following has an ownership interest of 50% or more in such entity ever been the subject of a **criminal** investigation?1. A principal of the Contractor;
2. An owner of the Contractor;
3. An officer of the Contractor;
4. A partner in the Contractor;
5. A director of the Contractor; or
6. A stockholder of the Contractor.

If you answered “Yes” to Question 3, proceed to Question 3A and, on a separate sheet of paper, state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; and the identity of the person or entity involved.If you answered “No” to Question 3, proceed to Question 4. | **[ ]**  | **[ ]**  |
| 3A. Has any indictment arisen out of any such investigation?If you answered “Yes” to Question 3A, proceed to Question 3B and, on a separate sheet of paper, state the following: the name of the person or entity indicted; and the status of any such indictment.If you answered “No” to question 3A, proceed to Question 4. | **[ ]**  | **[ ]**  |
| 3B. Has any conviction arisen out of any such indictment?If you answered “Yes” to Question 3B, proceed to Question 4 and, on a separate sheet of paper, state the following: the name of the person or entity convicted, the sentence imposed and whether or not an appeal of the conviction is pending.If you answered “No” to Question 3B, proceed to Question 4. | **[ ]**  | **[ ]**  |
| 4. Has any entity (e.g., corporation, partnership, etc.) in which any of the following has an ownership interest of 50% or more in such entity ever been the subject of a **civil** investigation1?1. A principal of the Contractor;
2. An owner of the Contractor;
3. An officer of the Contractor;
4. A partner in the Contractor;
5. A director of the Contractor; or
6. A stockholder of the Contractor.

If you answered “Yes” to Question 4, proceed to Question 5 and, on a separate sheet of paper state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; the identity of the person or entity involved; the status of the investigation; and the outcome of the investigation..If you answered “No” to question 4, proceed to Question 5. | **[ ]**  | **[ ]**  |
| 5. Has the Contractor or any of the following ever been debarred from bidding on, or otherwise applying for, any contract with the State of Connecticut or any other governmental authority?1. A principal of the Contractor;
2. An owner of the Contractor;
3. An officer of the Contractor;
4. A partner in the Contractor;
5. A director of the Contractor; or
6. A stockholder of the Contractor holding 50% or more of the stock of the Contractor.

If you answered “Yes” to Question 5, proceed to the Certification on the following page and, on a separate sheet of paper please explain.If you answered “No” to question 5, proceed to the Certification on the following page. | **[ ]**  | **[ ]**  |

**CERTIFICATION**

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| --- | --- |
| Signature: |  |
| Name (print/type): |  |
| Title: |  |
| State Of: |  |
| County Of: |  |

|  |  |
| --- | --- |
|  | , being fully sworn, deposes and says that  |
| he/she is the |  | (Title) of |
|  | (Firm Name), |
| the Contractor herein, that he/she has provided answers to the foregoing questions on the Contractor’s background, and, under the penalty of perjury, certifies that each and every answer is true. |

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| Sworn to before me this |  | day of |  | 20 |  |

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Notary Public/Commissioner of the Superior Court

1. The phrase “civil investigation” means an investigation undertaken by a governmental entity (e.g., federal, state or municipal) that has investigative and enforcement authority (e.g., the Office of the Connecticut Attorney General, the Connecticut Ethics Commission, the Connecticut Elections Enforcement Commission, the federal Securities and Exchange Commission). [↑](#footnote-ref-1)