



FORM C

CERTIFICATION

Respondent: _____

Name of Firm (if not Respondent): _____

Role of Firm on Respondent Team: _____

Respondent Financially Responsible Party Other: _____

Attach additional sheets for each response as appropriate.

1. Identify and explain any significant anticipated federal or state legal issues relating to the Firm that must be resolved to deliver and sustain the Innovation Campus proposed by the Respondent.

None Information Attached

2. Provide a list and a brief description (including the matter name, contract value, amount at issue and, if an affiliate, the full legal name of the affiliate and its relationship to the Firm, as the case may be) of all instances during the last five years (measured from the date of issuance of this RFP) in which the Firm or an affiliate was (i) determined, pursuant to a determination in a court of law, arbitration proceeding or other dispute resolution proceeding, to be liable for a material breach of contract, or (ii) terminated for cause under a contract.

None Information Attached

3. Provide a list and a brief description (including the project name, contract value, amount at issue, resolution and, if an affiliate, the full legal name of the affiliate and its relationship to the Firm, as the case may be) of each arbitration, litigation, dispute review board and other formal dispute resolution proceeding involving a disputed amount in excess of \$1,000,000 occurring during the last five years (measured from the date of issuance of this RFP). Include items that were subject to arbitration, litigation, dispute review board or other formal dispute resolution proceedings, even if settled without completion of the proceeding.

None Information Attached

4. Has the firm or any affiliate, or any current officer, director or employee of either the firm or any affiliate, been indicted or convicted of bid or other contract-related crimes (i.e., fraud, bribery, collusion, conspiracy, antitrust, etc.) (measured from the date of issuance of this RFP)?

Yes No

If yes, additional information must be attached.

5. Has the firm or any affiliate, or any current officer, director or employee of either the firm or any affiliate, been indicted or convicted of felony or serious misdemeanor within the past ten years?

Yes No

If yes, additional information must be attached.

6. Has the firm or any affiliate ever sought protection under any provision of any state insolvency laws or the United States bankruptcy code (or international equivalent of such insolvency laws) within the past ten years (measured from the date of issuance of this RFP)?

Yes No

If yes, additional information must be attached.

7. Has the firm or any affiliate ever been disqualified, removed, debarred or suspended from performing work for the federal government, any state or local government, or any foreign governmental entity within the past ten years (measured from the date of issuance of this RFP)?

Yes No

If yes, additional information must be attached.

8. Has the firm or any affiliate ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or other material misrepresentation to a public entity within the past ten years (measured from the date of issuance of this RFP)?

Yes No

If yes, as to each such inquiry, please state in an attachment the name of the public agency, the date of the inquiry, the grounds on which the public agency based the inquiry, and the result of the inquiry.

9. Has any construction project performed or managed by the Firm or, to the knowledge of the undersigned, has any affiliate involved incurred repeated or multiple failures to comply with safety rules, regulations, or requirements within the past ten years (measured from the date of issuance of this RFP)?

Yes No

If yes, please identify the team members and the projects, provide an explanation of the circumstances, and provide owner contact information (including telephone numbers and e-mail addresses) in an attachment.

10. Has the firm or any affiliate been found, adjudicated or determined by any federal or state court or agency (including, but not limited to, the Equal Employment Opportunity Commission, the Office of Federal Contract Compliance Programs, and any applicable Rhode Island governmental agency) to have violated any laws or Executive Orders relating to employment discrimination or affirmative action within the past ten years (measured from the date of issuance of this RFP), including but not limited to Title VII of the Civil Rights Act of 1964, as amended (42 U.S.C. Sections 2000 *et seq.*); the Equal Pay Act (29 U.S.C. Section 206(d)); and any applicable or similar Rhode Island law?

Yes No

If yes, additional information must be attached.

11. Has the firm or any affiliate been found, adjudicated, or determined by any state court, state administrative agency, a federal court or federal agency, to have violated or failed to comply with any law or regulation of the United States or any state within the past ten years (measured from the date of issuance of this RFP) governing prevailing wages (including but not limited to payment for health and welfare, pension, vacation, travel time, subsistence, apprenticeship or other training, or other fringe benefits) or overtime compensation?

Yes No

If yes, additional information must be attached.

Respondent is requested to please initial in front of items #12-#16 to indicate acceptance:

____ 12. The Firm will immediately disclose, in writing, to the EOC any potential conflict of interest which may occur during the term of any contract entered into pursuant to this competitive selection process.

____ 13. The Firm understands that falsification of any information in connection with the RFP response, or failure to notify the EOC of any material changes in any disclosures or certifications provided for herein or otherwise in connection with the RFP response, may be grounds for suspension, debarment, and/or prosecution for fraud or other legal actions.

____ 14. The Firm has not paid and will not pay any bonus, commission, fee, gratuity, or other remuneration to any employee or official of the Rhode Island Commerce Corporation or the State of Rhode Island or any subdivision of the State of Rhode Island, any member of the Selection Committee or other governmental authority for the purpose of obtaining an award pursuant to this solicitation. The Firm further certifies that no bonus, commission, fee, gratuity, or other remuneration has been or will be received from any third party or paid to any third-party contingent on award pursuant to this solicitation.

____ 15. The Firm: (i) is not identified on the General Treasurer's list created pursuant to R.I. Gen. Laws § 37-2.5-3 as a person or entity engaging in investment activities in Iran described in § 37-2.5-2(b); and (ii) is not engaging in any such investment activities in Iran.

____ 16. The Firm will comply with all of the laws that are incorporated into and/or applicable to any contract with the Rhode Island Commerce Corporation.