



SERVICE PROVIDER PRE-QUALIFICATION ON-BOARDING QUESTIONNAIRE [Drayage and Trucking Services]

PART I: BACKGROUND INFORMATION

Firm Name: _____ Check One: Corporation
 (as it appears on any license) Partnership

Sole Prop.

Contact Person: _____

Position: _____

Street Address: _____

City/State/Zip: _____

Phone: _____ Fax: _____

Email: _____ Website: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company _____

Description of Primary Business or Service(s) Performed:

Contractor's License and/or Registration Number(s)

State _____

Local _____

DOT _____

SCAC Code: _____

Company Financial Information:

Estimated Annual Sales for Current Year: \$ _____ Year _____

Annual Sales for Last Year: \$ _____ Year _____

Dun & Bradstreet credit rating: _____ Year _____

Years in business _____

Number of employees _____

Has company done business under any other name in past five years? YES: NO:

If yes, please provide company name(s).

List major customers besides UPDS or UPRR

| <u>Customer</u> | <u>Contact Name</u> | <u>Phone Number</u> |
|-----------------|---------------------|---------------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

PART II: ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINAL LAWS

A. Current Organization and Structure of the Business

For Firms That Are Corporations:

- 1a. Date incorporated : _____
- 1b. Under the laws of what state: _____
- 1c. Employer Identification Number _____ - _____

For Firms That Are Partnerships:

- 1a. Date of formation: _____
- 1b. Under the laws of what state: _____
- 1c. Provide all the following information for each partner who owns 10 per cent or more of the firm.

| Name | Position | Years with Co. | % Ownership | Social Security # |
|------|----------|----------------|-------------|-------------------|
| | | | | |
| | | | | |
| | | | | |

- 1d. Identify every relevant or similar firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

| Person's Name | Firm Name/Description | Dates of Person's Participation with Company |
|---------------|-----------------------|--|
| | | |
| | | |
| | | |

- 1e. Employer Identification Number _____ - _____

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
- 1b. Social security number of company owner: _____
- 1c. Identify every relevant or similar firm that the proprietor has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

| Person's Name | Firm Name/Description | Dates of Person's Participation with Company |
|---------------|-----------------------|--|
| | | |
| | | |
| | | |

For Firms That Intend to Make a Bid as Part of a Joint Venture:

- 1a. Date of commencement of joint venture. _____
- 1b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

| Name of Firm | % Ownership of Joint Venture |
|--------------|------------------------------|
| | |
| | |
| | |
| | |

B. History of the Business and Organizational Performance

- 1. Has there been any change in ownership of the firm at any time during the last three years?
 Yes No
 If "yes," explain on a separate signed page.
- 2. Is the firm a subsidiary, parent, holding company or affiliate of another firm?
 Yes No
 If "yes," explain on a separate signed page.
- 3. Are any corporate officers, partners or owners connected to any other firms.
 Yes No
 If "yes," explain on a separate signed page.
- 4. Was your firm in bankruptcy at any time during the last five years?
 Yes No
 If "yes," please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued.

C. Licenses

- 5. Has your firm changed names or license number in the past five years?
 Yes No
 If "yes," explain on a separate signed page, including the reason for the change.
- 6. Has any owner, partner or (for corporations:) officer of your firm operated a firm under any other name in the last five years?
 Yes No
 If "yes," explain on a separate signed page, including the reason for the change.

D. Criminal Matters and Related Civil Suits

7. Has your firm or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any entity?
 Yes No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

8. Has your firm or any of its owners, officers or partners ever been convicted of a Federal or state crime involving related to your primary business?
 Yes No

If "yes," explain on a separate signed page, including identifying who was involved, the date of the conviction and the grounds for the conviction.

PART III: VENDOR STATEMENT OF BUSINESS AND LEGAL RELATIONSHIPS

Company Ownership Ethnicity / Certification (identify all that apply.)

- Not a Minority
- Woman Owned Business Enterprise (WBE)
- Minority Owned Business Enterprise (MBE)
- Black American Hispanic American Native American Asian American
- Asian Indian American Asian Pacific American

Certification Agency _____ Certification Number _____
Expiration Date _____

Business and Legal Relationships

1. Is the vendor or are any employees of the vendor currently employed by UPDS or the Railroad? (if yes, identify, including position title)
NO: YES:

2. To the best of your knowledge are any employees members of the Board of Directors of UPDS or the Railroad? (if yes, identify, including position title, date left employment of UPDS or the Railroad)
NO: YES:

3. To the best of your knowledge have any of the vendor's management, supervisors, principals, employees or subcontractors that will be used on the services rendered to UPDS been an employee of UPDS or UPRR in the last To five years? ? (if yes, identify, including position title and date left employment at UPDS or UPRR)

NO: YES:

4. Are any of the vendor's management, supervisors, or principals related to current or former UPDS or Railroad employee(s)? (if yes, please identify the UPDS or Railroad employee as well as the vendor's employee and the relationship)

NO: YES:

5. Are any of the vendor's management, supervisors, or principals involved in any way in litigation with UPDS, UPRR or Union Pacific Corporation (UPC)? Is the vendor currently representing anyone involved in litigation with UPDS, the Railroad or UPC? (if yes, please identify)

NO: YES:

6. Does the vendor have any business activities or relationships (other than described above) that might conflict with the interest of UPDS or the Railroad? (if yes, please identify)

NO: YES:

Definitions

Minority Business Enterprise, Women's Business Enterprise, and relatives:

UPDS and the Railroad are committed to utilizing and developing women and minority-controlled firms which can provide us with many of our requirements in advertising, banking, legal, construction and repair work, equipment, arts, transportation, services, materials, repairs and any other areas that may be applicable to the operation of our business. For purpose of this policy:

- (1) "Minority Business Enterprise" means a large or small business that is at least 51% owned and controlled by minority group members or, in the case of a publicly owned business, at least 51% of the stock is owned by minority group members. Further, the management and daily business operations are controlled by one or more such individuals.

"Minority Group Members" are US. citizens and include the following: Black Americans, Hispanic Americans, Native Americans, Asian Pacific Americans and Asian Indian Americans. Native includes American Indians, American Eskimos, American Aleuts, and Native Hawaiians. Asian-Pacific Americans include United States citizens whose origins are from Japan, China, The Philippines, Vietnam, Korea, Samoa, Guam, the US. Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, and Taiwan. The term "Asian Indian Americans" includes United States citizens whose origins are from India, Pakistan, and Bangladesh.

- (2) "Women's Business Enterprise" means a business which is 51% owned, controlled and operated by a woman or women.
- (3) "Relative" means parents, spouses, sons, daughters, stepsons, stepdaughters, brothers, sisters, aunts, uncles, nephews, nieces, first cousins, grandchildren, grandparents, fathers-in-law, mothers-in-law, daughters-in-law, sons-in-law, brothers-in-law, and sisters-in-law.