Printed By: Stephanie Gaffney
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Vendor Responsibility For-Profit v2 Form

Status: Certified
Note: The content of any attached documents will not print with this page. To view or print an attached document, you must open it separately by clicking the corresponding hyperlink in the 'Uploaded Files' section of a question.

Basic Vendor Data

Entity Information

Legal Business Entity Name:	OPTUMRX INC
TIN (EIN or SSN):	330441200
Vendor ID:	1100032793
Principal Place of Business:	2300 MAIN ST Irvine, CA 92614 United States
Telephone:	(949)442-8000
Fax:	(888)905-9490
Website:	www.optum.com
Email:	PBMSales@optum.com

Business Entity Information

Business Type:	For-Profit
Business Activity:	Non-Construction

Additional Business Entity Identities

Type:	Former Name	**Explanation:**	Changed name - Same EIN
Name:	RXSolutions, Inc		
Vendor ID:			
Status:	Inactive		

Authorized Contacts

Name:	David Hassoun	**Address:**	13 Cornell Road Second Floor Latham, NY 12110 United States
Title:	Strategic Service Manager		
Telephone:	(518)313-4796		
Email:	david_j_hassoun@uhc.com		

I. Legal Business Entity Information

1.0 Legal Business Entity type - Check appropriate box and provide additional information:

- (●) Corporation (including PC)
- ( ) Limited Liability Company (LLC or PLLC)
- ( ) Limited Liability Partnership
- ( ) Limited Partnership
- ( ) General Partnership
- ( ) Sole Proprietor
- ( ) Other

Date of Incorporation

08/10/1990

1.1 Was the Legal Business Entity formed or incorporated in New York State?

- ( ) Yes
- (●) No

Indicate jurisdiction where the Legal Business Entity was formed or incorporated:

- (●) USA
- ( ) Other

State

CALIFORNIA

Attach a Certificate of Good Standing from the applicable jurisdiction or provide an explanation if a Certificate of Good Standing is not available:

Select method for providing this information:

- ( ) Enter Below
- (●) Attach Document(s)
- ( ) Attach Document(s) with Explanation

Uploaded Files

OptumRx Inc -CA-Certificate of Status - Domest.pdf 27K

1.2 Is the Legal Business Entity publicly traded?

- ( ) Yes
- (●) No

1.3 Does the Legal Business Entity have a DUNS Number?

- (●) Yes
- ( ) No

Enter DUNS number

868667106

1.4 If the Legal Business Entity's Principal Place of Business is *not* in New York State, does the Legal Business Entity maintain an office in New York State?

Note: Select "N/A" if Principal Place of Business is in New York State.

- (●) Yes
- ( ) No
- ( ) N/A

Provide the address and telephone number for one office loacted in New York State:

Address Line

13 Cornell Road, Second Floor

City

Latham

State

New York

Zip Code

12110

Telephone

518-313-4796

1.5 Is the Legal Business Entity a New York State certified Minority-Owned Business Enterprise (MBE), Women-Owned Business Enterprise (WBE), New York State Small Business (SB), or federally certified Disadvantaged Business Enterprise (DBE)?

- ( ) Yes
- (●) No

1.6 Identify Officials and Principal Owners, if applicable.

Note: If more than four (4) Officials or Principal Owners need to be listed, select "Attach Document" as the response.

If applicable, reference to relevant SEC filing(s) containing the required information is optional.

Select method for providing this information:

- (●) Enter Below
- ( ) Attach Document(s)

Name

John Michael Prince

Title

President

% of Ownership (Enter 0%, if not applicable)

0

Add another?

- (●) Yes
- ( ) No

Name

Jeffrey David Grosklags

Title

Chief Financial Officer

% of Ownership (Enter 0%, if not applicable)

0

Add another?

- (●) Yes
- ( ) No

Name

Karen Elizabeth Peterson

Title

Secretary

% of Ownership (Enter 0%, if not applicable)

0

Add another?

- ( ) Yes
- (●) No

Last Modified: Apr 9, 2018
Modified By: David Hassoun

II. Reporting Entity Information

2.0 The Reporting Entity for this questionnaire is:

(Note: Select only one)

- (●) Legal Business Entity
- ( ) Organizational Unit within and operating under the authority of the Legal Business Entity

Last Modified: Jun 27, 2017
Modified By: David Hassoun

III. Leadership Integrity

Within the past five (5) years, has any current or former Reporting Entity Official or any individual currently or formerly having the authority to sign, execute or approve bids, proposals, contracts or supporting documentation on behalf of the Reporting entity with any government entity been:

3.0 Sanctioned relative to any business or professional permit and/or license?

- ○ Yes
- ◉ No
- ○ Other

3.1 Suspended, debarred or disqualified from any government contracting process?

- ○ Yes
- ◉ No
- ○ Other

3.2 The subject of an investigation, whether open or closed, by any government entity for a civil or criminal violation for any business-related conduct?

- ○ Yes
- ◉ No
- ○ Other

3.3 Charged with a misdemeanor or felony, indicted, granted immunity, convicted of a crime or subject to a judgment for:

a. Any business-related activity; or
b. Any crime, whether or not business-related, the underlying conduct of which is related to truthfulness?

- ○ Yes
- ◉ No
- ○ Other

Last Modified: May 3, 2012
Modified By: David Hassoun

IV. Integrity - Contract Bidding

Within the past five (5) years, has the Reporting Entity:

4.0 Been suspended or debarred from any government contracting process or been disqualified on any government procurement, permit, license, concession, franchise or lease, including, but not limited to, debarment for a violation of New York State Workers' Compensation or Prevailing Wage laws or New York State Procurement Lobbying Law?

- Yes
- No

4.1 Been subject to a denial or revocation of a government prequalification?

- Yes
- No

4.2 Been denied a contract award or had a bid rejected based on a non-responsibility finding by a government entity?

- Yes
- No

4.3 Had a low bid rejected on a government contract for failure to make good faith efforts on any Minority-Owned Business Enterprise, Women-Owned Business Enterprise or Disadvantaged Business Enterprise goal or statutory affirmative action requirements on a previously held contract?

- Yes
- No

4.4 Agreed to a voluntary exclusion from bidding/contracting with a government entity?

- Yes
- No

4.5 Initiated a request to withdraw a bid submitted to a government entity in lieu of responding to an information request or subsequent to a formal request to appear before the government entity?

- Yes
- No

Last Modified: May 3, 2012
Modified By: David Hassoun

V. Integrity - Contract Award

Within the past five (5) years, has the Reporting Entity:

5.0 Been suspended, cancelled or terminated for cause on any government contract including, but not limited to, a non-responsibility finding?

- Yes
- No

5.1 Been subject to an administrative proceeding or civil action seeking specific performance or restitution in connection with any government contract?

- Yes
- No

5.2 Entered into a formal monitoring agreement as a condition of a contract award from a government entity?

- Yes
- No

Last Modified: May 3, 2012
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VI. Certification/Licenses

Within the past five (5) years, has the Reporting Entity:

6.0 Had a revocation, suspension or disbarment of any business or professional permit and/or license?

- ○ Yes
- ◉ No

6.1 Had a denial, decertification, revocation or forfeiture of New York State certification of Minority-Owned Business Enterprise, Women-Owned Business Enterprise or federal certification of Disadvantaged Business Enterprise status for other than a change ownership?

- ○ Yes
- ◉ No

Last Modified: May 3, 2012
Modified By: David Hassoun

VII. Legal Proceedings

Within the past five (5) years, has the Reporting Entity:

7.0 Been the subject of an investigation, whether open or closed, by any government entity for a civil or criminal violation?

- (●) Yes
- ( ) No

Provide an explanation of the issue(s), relevant dates, the government entity involved, any remedial or corrective action(s) taken and the current status of the issue(s).

Select method for providing this information:

- ( ) Enter Below
- (●) Attach Document(s)
- ( ) Attach Document(s) with Explanation

Uploaded Files

ORx Fines Assessed TPA-UR - 7.25.17.pdf 53K

7.1 Been the subject of an indictment, grant of immunity, judgment or conviction (including entering into a plea bargain) for conduct constituting a crime?

- ( ) Yes
- (●) No

7.2 Received any OSHA citation and Notification of Penalty containing a violation classified as serious or willful?

- ( ) Yes
- (●) No

7.3 Had a government entity find a willful prevailing wage or supplemental payment violation or any other willful violation of New York State Labor Law?

- ( ) Yes
- (●) No

7.4 Entered into a consent order with the New York State Department of Environmental Conservation, or received an enforcement determination by any government entity involving a violation of federal, state or local environmental laws?

- ( ) Yes
- (●) No

7.5 Other than the previously disclosed:

a. Been subject to fines or penalties imposed by government entities which in the aggregate total $25,000 or more; or
b. Been convicted of a criminal offense pursuant to any administrative and/or regulatory action taken by any government entity?

- (●) Yes
- ( ) No

Provide an explanation of the issue(s), relevant dates, the government entity involved, any remedial or corrective action(s) taken and the current status of the issue(s).

Select method for providing this information:

- (●) Enter Below
- ( ) Attach Document(s)
- ( ) Attach Document(s) with Explanation

Explain

Duplicate information to that supplied in answering Question 7.0

Last Modified: Jul 25, 2017
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VIII. Financial and Organizational Capacity

8.0 Within the past five (5) years, has the Reporting Entity received any formal unsatisfactory performance assessment(s) from any government entity on any contract?

- ○ Yes
- ◉ No

8.1 Within the past five (5) years, has the Reporting Entity had any liquidated damages assessed over $25,000?

- ○ Yes
- ◉ No

8.2 Within the past five (5) years, have any liens or judgments (not including UCC filings) over $25,000 been filed against the Reporting Entity which remain undischarged?

- ○ Yes
- ◉ No

8.3 In the last seven (7) years, has the Reporting Entity initiated or been the subject of any bankruptcy proceedings, whether or not closed, or is any bankruptcy proceeding pending?

- ○ Yes
- ◉ No

8.4 During the past three (3) years, has the Reporting Entity failed to file or pay any tax returns required by federal, state or local tax laws?

- ○ Yes
- ◉ No

8.5 During the past three (3) years, has the Reporting Entity failed to file or pay any New York State unemployment insurance returns?

- ○ Yes
- ◉ No

8.6 During the past three (3) years, has the Reporting Entity had any government audit(s) completed?

- ◉ Yes
- ○ No

Did any audit of the Reporting Entity identify any reported significant deficiencies in internal control, fraud, illegal acts, significant violations of provisions of contract or grant agreements, significant abuse or any material disallowance?

- ○ Yes
- ◉ No

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Modified By: David Hassoun

IX. Associated Entities

This section pertains to any entity(ies) that either controls or is controlled by the Reporting Entity.

(See definition of "Associated Entity" for additional information to complete this section.)

9.0 Does the Reporting Entity have any Associated Entities?

Note: The response must be "Yes," if the Reporting Entity is either:

- An Organizational Unit; or
- The entire Legal Business Entity which controls, or is controlled by, any other entity(ies).

(●) Yes
( ) No

Within the past five (5) years, has any Associated Entity Official or Principal Owner been charged with a misdemeanor or felony, indicted, granted immunity, convicted of a crime or subject to a judgment for:

- Any business-related activity; or
- Any crime, whether or not business-related, the underlying conduct of which was related to truthfulness?

( ) Yes
(●) No

Does any Associated Entity have any currently undischarged federal, New York State, New York City or New York local government liens or judgments (not including UCC filings) over $50,000?

( ) Yes
(●) No

Within the past five (5) years, has any Associated Entity been disqualified, suspended or debarred from any federal, New York State, New York City or other New York local government contracting process?

( ) Yes
(●) No

Within the past five (5) years, has any Associated Entity been denied a contract award or had a bid rejected based upon a non-responsibility finding by any federal, New York State, New York City, or New York local government entity?

( ) Yes
(●) No

Within the past five (5) years, has any Associated Entity been suspended, cancelled or terminated for cause (including for non-responsibility) on any federal, New York State, New York City or New York local government contract?

( ) Yes
(●) No

Within the past five (5) years, has any Associated Entity been the subject of an investigation, whether open or closed, by any federal, New York State, New York City, or New York local government entity for a civil or criminal violation with a penalty in excess of $500,000?

( ) Yes
(●) No

Within the past five (5) years, has any Associated Entity been the subject of an indictment, grant of immunity, judgment, or conviction (including entering into a plea bargain) for conduct constituting a crime?

( ) Yes
(●) No

Within the past five (5) years, has any Associated Entity been convicted of a criminal offense pursuant to any administrative and/or regulatory action taken by any federal, New York State, New York City, or New York local government entity?

( ) Yes
(●) No

Within the past five (5) years, has any Associated Entity initiated or been the subject of any bankruptcy proceedings, whether or not closed, or is any bankruptcy proceeding pending?

( ) Yes
(●) No

Last Modified: May 3, 2012
Modified By: David Hassoun

X. Freedom of Information Law (FOIL)

10.0 Indicate whether any information supplied herein is believed to be exempt from disclosure under the Freedom of Information Law (FOIL).

Note: A determination of whether such information is exempt from FOIL will be made at the time of any request for disclosure under FOIL.

- ○ Yes
- ◉ No

Last Modified: May 3, 2012
Modified By: David Hassoun

Certification

The undersigned: (1) recognizes that this questionnaire is submitted for the express purpose of assisting New York State government entities (including the Office of the State Comptroller (OSC)) in making responsibility determinations regarding award or approval of a contract or subcontract and that such government entities will rely on information disclosed in the questionnaire in making responsibility determinations; (2) acknowledges that the New York State government entities and OSC may, in their discretion, by means which they may choose, verify the truth and accuracy of all statements made herein; and (3) acknowledges that intentional submission of false or misleading information may result in criminal penalties under State and/or Federal Law, as well as a finding of non-responsibility, contract suspension or contract termination.

The undersigned certifies that he/she:

- is knowledgeable about the submitting Business Entity's business and operations;
- has read and understands all of the questions contained in the questionnaire;
- has reviewed and/or supplied full and complete responses to each question;
- to the best of his/her knowledge, information and belief, confirms that the Business Entity's responses are true, accurate and complete, including all attachments, if applicable;
- understands that New York State government entities will rely on the information disclosed in the questionnaire when entering into a contract with the Business Entity; and
- is under an obligation to update the information provided herein to include any material changes to the Business Entity's responses at the time of bid/proposal submission through the contract award notification, and may be required to update the information at the request of the New York State government entities or OSC prior to the award and/or approval of a contract, or during the term of the contract.

Legal Business Name:	OPTUMRX INC
Certifier's Name:	Tricia Fringer
Certifier's Title:	SVP, OptumRx
Certification Date:	Apr 9, 2018

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State of California
Secretary of State

CERTIFICATE OF STATUS

ENTITY NAME:

OPTUMRX, INC.

FILE NUMBER:	C1569496
FORMATION DATE:	08/10/1990
TYPE:	DOMESTIC CORPORATION
JURISDICTION:	CALIFORNIA
STATUS:	ACTIVE (GOOD STANDING)

I, ALEX PADILLA, Secretary of State of the State of California, hereby certify:

The records of this office indicate the entity is authorized to exercise all of its powers, rights and privileges in the State of California.

No information is available from this office regarding the financial condition, business activities or practices of the entity.

IN WITNESS WHEREOF, I execute this certificate and affix the Great Seal of the State of California this day of July 02, 2018.

ALEX PADILLA
Secretary of State

CMH

State of New York
Department of State } ss:

I hereby certify, that RXSOLUTIONS, INC., a CALIFORNIA corporation, filed an Application for Authority to do business in the State of New York on 07/31/2001. I further certify that so far as shown by the records of this Department, such corporation is still authorized to do business in the State of New York.

A certificate changing name to OPTUMRX, INC. was filed on 10/05/2011.

***

Witness my hand and the official seal of the Department of State at the City of Albany, this 29th day of June two thousand and eighteen.

Brendan W. Fitzgerald
Executive Deputy Secretary of State

*201807020280 * EZ*