

**Printed By:** Cheryl Byron
Date Printed: Jul 8, 2020

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: CAREMARKPCS HEALTH LLC
TIN (EIN or SSN): 752882129
Vendor ID: 1100088773
Principal Place of Business: 1 CVS Drive
Woonsocket, RI 02895
United States
Telephone: (480)661-3141
Fax: (480)860-3738
Website: www.cvscaremark.com
Email: sarah.bowen@caremark.com

Business Entity Information

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

Authorized Contacts

Name:	Sarah Smith	Address:	9501 E. Shea Blvd
Title:	Vice President, State of New York Account		Scottsdale, AZ 85260
Telephone:	(480)661-3141		United States
Fax:	(480)860-3738		
Email:	sarah.bowen@caremark.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 Organization

05/31/2000

 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

Delaware

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

[CaremarkPCS Health, L.L.C. - DE - Cert of Good Standing \(Dom\).pdf](#) 77K

1.2 Is the Legal Business Entity publicly traded?

- ☐ Yes
- ☒ No

1.3 Does the Legal Business Entity have a DUNS Number?


- ☐ Yes
- ☒ No

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

- 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)

Uploaded Files	
CaremarkPCS Health, L.L.C. Officer List.xlsx	9K

Last Modified: Jul 6, 2018
Modified By: Sarah Smith

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: Mar 3, 2014
Modified By: Bruce Lyons

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: Mar 3, 2014
Modified By: Bruce Lyons

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: Mar 3, 2014
Modified By: Bruce Lyons

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: Mar 3, 2014
Modified By: Bruce Lyons

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: Mar 3, 2014
Modified By: Bruce Lyons

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

[CaremarkPCS Health - Exhibit II - Additional Information 7.0 and 7.5 \(Jan 2017\).docx](#) 117K

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**Uploaded Files**

[CaremarkPCS Health - Exhibit II - Additional Information 7.0 and 7.5 \(Jan 2017\).docx](#) 117K

Last Modified: Jan 18, 2017
Modified By: Sarah Smith

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

Provide an explanation of the issues(s), relevant dates, the contracting party involved, the amount assessed and the current status of the issues(s).

Select method for providing this information:

- ☐ Enter Below
- ☒ Attach Document(s)
- ☐ Attach Document(s) with Explanation

Uploaded Files

[CaremarkPCS Health - Exhibit II - Explanation for 8.1 \(Jan 2017\).docx](#) 121K

- 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

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

Provide an explanation of the issue(s), identify the Associated Entity's name(s), EIN(s), primary business activity, relationship to the Reporting Entity, 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

For item 9.3d, please refer to the 2017 10-K report by following the link below.

All recent CVS Health Corporation SEC filings can be found at: <http://investors.cvshealth.com/sec-filings>

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

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

Indicate the question number(s) and explain the basis for the claim.

The indicated responses (items #7.5 and 8.1) contain competitively sensitive non-public information constituting the protectable confidential and trade secret information of CVS Health.

Last Modified: Jun 17, 2015
Modified By: Sarah Smith

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: CAREMARKPCS HEALTH LLC
Certifier's Name: Sarah Smith
Certifier's Title: Division Head
Certification Date: Jul 6, 2018