



Printed By: kevin mcelwee

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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: RR DONNELLEY & SONS COMPANY
TIN (EIN or SSN): 361004130
Vendor ID: 1000040640
Principal Place of Business: 35 West Wacker Drive
 Chicago, IL 60601
 United States
Telephone: (315)453-0701 x1
Fax: (315)453-0690
Website: www.rrdonnelley.com
Email: kevin.mcelwee@rrd.com

Business Entity Information

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

Additional Business Entity Identities

Type:	Explanation:
Previously Enrolled As	
Name: RR Donnelley & Sons Company	
Vendor ID: 1000040640	
Status: Active	

Authorized Contacts

Name: Kevin McElwee	Address: 1035 Seventh North Street 1st Floor Liverpool, NY 13088-6182 United States
Title: Sales Representative	
Telephone: (315)453-0701 x13	
Fax: (315)453-0690	
Email: kevin.mcelwee@rrd.com	
Name: Aaron Ambrosino	Address: 13 Delta Way Clifton Park, NY 12065 United States
Title: Sales Rep	
Telephone: (518)438-2479	
Email: aaron.ambrosino@rrd.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

12/31/1934

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

[Certificate of Good Standing RRD.PDF](#) 32K
[RRDONNELLEYSONSCOMPANY_DE_GS.pdf](#) 78K

1.2 Is the Legal Business Entity publicly traded?

- Yes
- No

Provide CIK Code or Ticker Symbol

RRD

1.3 Does the Legal Business Entity have a DUNS Number?

- Yes
- No

Enter DUNS number

005119573

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 located in New York State:

Address Line

1035 7th North Street

City

Liverpool

State

NY

Zip Code


13088

Telephone

315.453.0701

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

[RRD_Executive_Leadership.docx](#) 23K

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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

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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

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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

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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

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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

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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

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

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

As a large fortune 250 manufacturing company with over 120 locations in 43 states, we are frequently inspected by OSHA and other similar governmental agencies. We have occasionally received OSHA citations at some of these facilities that have been classified as serious. We have worked with OSHA on any citations identified to ensure that each have been resolved to their satisfaction. An internal investigation of each of these incidents has also been completed, with any needed corrective actions implemented to ensure the safety of our employees. At no time has any citations received impacted our ability to perform our customer's work.

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

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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

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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

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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

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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: RR DONNELLEY & SONS COMPANY
Certifier's Name: kevin mcelwee
Certifier's Title: Sales Representative
Certification Date: Jul 15, 2020