

**CITY OF CHICAGO  
DEPARTMENT OF PROCUREMENT SERVICES  
ROOM 403, CITY HALL, 121 N. LASALLE STREET**

FOR NCRB USE ONLY	
Date	<u>9-4-12</u>
Recommend Approval	<input type="checkbox"/>
Return To Dept.	<input type="checkbox"/>
Reject	<input type="checkbox"/>
Vote	<u>11-4</u>

**NON-COMPETITIVE REVIEW BOARD (NCRB)  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT**

**COMPLETE THIS SECTION IF NEW CONTRACT**

For contract(s) in this request, fill in each of the four (4) major subject areas below in accordance with the **Instructions for Preparation of Non-Competitive Procurement Form** on the reverse side. Complete "Other" subject area if additional information is needed. Subject areas must be fully completed. Responses merely referencing attachments will not be accepted.

Request that negotiations be conducted only with **Siemens** for the product(s) and/or service(s) described herein.

This is a request for:

One-Time Contractor Requisition #: **68490**, copy attached or  Term Agreement or  Delegate Agency (Check one).

If Delegate Agency, this request is for "blanket approval" for all contracts within the **<<proj description/name>>** (Attach List).

Pre-Assigned Specification No.:           

Pre-Assigned Contract No.:           

**COMPLETE THIS SECTION IF AMENDMENT OR MODIFICATION TO CONTRACT**

Describe in detail the change in terms of dollars, time period, scope of services, etc., its relationship to the original contract and the specific reasons for the change. Indicate both the original and the adjusted contract amount and/or expiration date with this change, as applicable. Attach copy of all supporting documents. Request approval for a contract amendment or modification to the following:

Contract #: **15105**

Company or Agency Name: **Siemens Industry, Inc.**

Specification #: **B29295503**

Contract or Program Description: **Maint. and Tech Support of the  
ATS at O'Hare**

Modification #:           

(Attach List if multiple)

**Marcos Fernandez**

**773-894-2085**

*[Signature]*

**CDA**

**6/21/12**

Originator Name  
(mm/dd/yr)

Telephone

Signature

Department

Date

<input checked="" type="checkbox"/> <b>PROCUREMENT HISTORY</b> See attachment
<input checked="" type="checkbox"/> <b>ESTIMATED COST</b> See attachment
<input checked="" type="checkbox"/> <b>SCHEDULE REQUIREMENTS</b> See attachment
<input checked="" type="checkbox"/> <b>EXCLUSIVE OR UNIQUE CAPABILITY</b> See attachment
<input type="checkbox"/> <b>OTHER</b> <u>          </u>

APPROVED BY:

*Rosemaris Andolina* 6/21/12  
DEPARTMENT HEAD OR DESIGNEE (12) DATE

*Rich Butler* 9/4/2012  
BOARD CHAIRPERSON DATE

*Rosemaris Andolina*  
PRINT NAME  
*[Signature]*  
CHIEF PROCUREMENT OFFICER

**RICH BUTLER**  
PRINT NAME  
9/4/12  
DATE OF APPROVAL

*Stenya Thompson*

**CITY OF CHICAGO  
PRE-APPROVED  
MODIFICATION / OVERRIDE REQUISITION**

**Copy (Department)**

<b>DELIVER TO:</b>  214 LANDSIDE OPERATIONS DIVISION P.O. BOX 66142 CHICAGO, IL 60666	<b>REQUISITION:</b> 68490 For PO Number: 15105  <b>PAGE:</b> 1 <b>DEPARTMENT:</b> 85 - DEPT OF AVIATION <b>PREPARER:</b> James F Hankin <b>NEEDED:</b> <b>PRE-APPROVED</b> 3/1/2012
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**REQUISITION DESCRIPTION**

REQUEST MODIFICATION FOR 184 DAY TIME EXTENSION THRU 12/31/2012 OR UNTIL NEW CONTRACT WHICHEVER COMES FIRST FOR PO 15105 WITH SIEMENS INDUSTRY, INC. FOR MAINT. AND TECHNICAL SUPPORT OF THE ATS AT O'HARE INT'L AIRPORT. VLI NOT REQUIRED.

SPECIFICATION NUMBER: B29295503

Mod Reason: TIME EXTENSION

**COMMODITY INFORMATION**

LINE	ITEM	QUANTITY	UOM	UNIT COST	TOTAL COST						
1	92955	184.00	Day	0.00	0.00						
184 DAY TIME EXTENSION THRU 12/31/2012 OR UNTIL NEW CONTRACT IS AWARDED WHICHEVER COMES FIRST											
<b>SUGGESTED VENDOR:</b> SIEMENS INDUSTRY INC			<b>REQUESTED BY:</b> James F Hankin								
DIST	BFY	FUND	COST CTR	APPR	ACCNT	ACTV	PROJECT	RPT CAT	GENRL	FUTR	TOTAL COST
1	012	0740	0854020	0157	220157	0000	00000000	000000	00000	0000	0.00
<b>LINE TOTAL:</b>											<b>0.00</b>
<b>REQUISITION TOTAL:</b>											<b>0.00</b>

Where a commodity is for a particular or unique use other than standard quality, grades, color, size or other characteristics, give details of how it will be and for what purpose. Requisitions prepared incorrectly will be returned to the using department.

# DPS PROJECT CHECKLIST

For DPS Use Only

**IMPORTANT:** ALL INFORMATION SHOULD BE COMPLETED, ATTACH ALL REQUIRED MATERIALS AND SUBMIT FOR ROUTING TO THE DEPARTMENT OF PROCUREMENT SERVICES, ROOM 403, CITY HALL, 121 N. LASALLE STREET, CHICAGO, ILLINOIS 60602, ATTENTION: CHIEF PROCUREMENT OFFICER.

Date Received  
Date Returned  
Date Accepted  
CA/CN's Name

**General Information:**

Date: 6/21/12 Need by (estimated date): \_\_\_\_\_  
 Requisition No.: 68490 Contact Person: \_\_\_\_\_  
 Specification No.: (if known) B29295503 MICHELLE YOKOYAMA Project Manager: \_\_\_\_\_  
 PO No.: (if known) 15105 Telephone: (773) 894-3046 MARCOS FERNANDEZ  
 Modification No.: (if known) \_\_\_\_\_ Fax: \_\_\_\_\_ Telephone: (773) 894-2085  
 Previous PO No.: (if known) \_\_\_\_\_ Fax: \_\_\_\_\_  
 Project Description: MAINTENANCE AND TECHNICAL SUPPORT OF THE AIRPORT TRANSIT SYSTEM (ATS)  
AT O'HARE INTERNATIONAL AIRPORT Email: \_\_\_\_\_

**Funding:**

City:  Corporate  Bond  Enterprise  Grant\*  Other:  
 State:  IDOT/Transit  IDOT/Highway  Grant\*  Other:  
 Federal:  FHWA  FTA  FAA  Grant\*  Other:

LINE	FY	FUND	DEPT	ORGN	APPR	ACTV	PROJECT	RPTG	\$ DOLLAR AMOUNT
	<u>12</u>	<u>740</u>	<u>85</u>	<u>4020</u>	<u>0157</u>	<u>0157</u>			<u>\$1,050,672</u>

\*IF GRANT FUNDED, ATTACH COPY OF THE APPROVED GRANT AND APPLICATION AND ANY OTHER TERMS AND CONDITIONS OF FUNDING SOURCE THAT MAY APPLY. GRANT FUNDS MUST BE COMMITTED OR SPENT BY DEADLINE: \_\_\_\_\_ (DATE) Term Estimated Value \$1,050,672

Scope Statement: 184 DAY TIME EXTENSION THRU 12/31/12 OR UNTIL NEW CONTRACT IS AWARDED, WHICHEVER COMES FIRST. VENDOR LIMIT INCREASE NOT REQUIRED  
 Attached is a Detailed Scope of Services and/or Specification. E-mail softcopy in Microsoft Word to DPS Unit Manager

**IMPORTANT:** THIS IS A CRITICAL PORTION OF YOUR SUBMITTAL. IN ORDER FOR DPS TO ACCEPT YOUR SUBMITTAL YOU MUST COMPLETE THE SPECIFIC SCOPE REQUIREMENTS AS SET FORTH IN THE SUPPLEMENTAL CHECKLIST FOR THAT UNIT.

**Purchase Order Type (Check All That Apply):**

**New Request**  
 Blanket/Term/DUR/Agreement  
 Master Agreement (Task Order)  
 Standard/One-Time Purchase

**Forms**  
 Requisition  
 Special Approvals  
 Non-Competitive Review Board (NCRB)

**Modification/Amendment**  
 Time Extension\*\* 184 DAYS THRU 12/31/12  
 Vendor Limit Increase NOT REQUIRED  
 Scope Change/Price Increase/Additional Line Item(s)  
 Other (specify): \_\_\_\_\_

Contract Term:

\*\* Requested Term (Number of Months): 184 DAYS THRU 12/31/12 OR UNTIL NEW CONTRACT IS AWARDED, WHICHEVER COMES FIRST

**Pre-Bid/Submittal Requirements:**

Mandatory Pre Bid/Submittal Conference?  Yes\*  No  
 Requesting Site Visit?  Yes  No

\*If yes, explain reasons why mandatory attendance is necessary.

The following is a general description of what should be included in a Scope of Services or Specification:  
A clear description of all anticipated services and products, including: time frame for completion, special qualifications of prospective vendors, special requirements or needs of the project, locations, anticipated participating user departments, citation of any applicable City ordinance or state/federal regulation or statute.

**ARCHITECTURAL/ENGINEERING SUPPLEMENTAL CHECKLIST**

Required Attachments: Scope of Services, including location, description of project, services required, deliverables, and other information as required

**Risk Management**

Current Insurance Requirements prepared/approved by Risk Management:

Yes  No

Will services be performed within 50 feet of CTA train or other railroad property?

Yes  No

Will services be performed on or near a waterway?

Yes  No

If applicable, Pre-Qualification Category No.

Category Description:

For Pre-Qualification Program, attach list of suggested firms to be solicited

Other Agency Concurrence Required: None State Federal Other \_\_\_\_\_

If Amendment request, please verify and provide the following:

Contractor's Name:

Contractor's Address:

Contractor's e-mail Address:

Contractor's Phone Number:

Contractor's Contact Person:

Attach Recommendation of MBE/WBE/DBE Analysis Form

Yes  No

**AVIATION CONSTRUCTION SUPPLEMENTAL CHECKLIST**

DOA sign-off for final design documents:

Yes  No

Required Attachments:

Copy of Draft Contract Documents and Detailed Specifications

**Risk Management:**

Current Insurance Requirements prepared/approved by Risk Management:

Yes  No

Will work be performed within 50 feet of CTA or ATS structure or property?

Yes  No

Will work be performed airside?

Yes  No

\*NOTE: Any non-construction Aviation request, complete the applicable section.

Do bid documents contain Sensitive Security Information (SSI)?

Yes\* No Redacted

\*If yes, attach Confidentiality Statement

Attach Recommendation of MBE/WBE/DBE Analysis Form

Yes  No

If Amendment request, please verify and provide the following:

Contractor's Name:

Contractor's Address:

Contractor's e-mail Address:

Contractor's Phone Number:

Contractor's Contact Person:



### COMMODITIES SUPPLEMENTAL CHECKLIST

**Required Attachments:**

- Detailed Specifications (Scope of Services) including detailed description of the product, delivery location, user department contact, price escalation considerations
- Bidder's qualification, contract term and extension options
- Contractor's qualifications, citation of any applicable City/State/Federal statutes or regulations, citation of any applicable technical standards
- Price Lists/Catalogs, technical drawings and other exhibits and attachments as appropriate.

Attach Recommendation of MBE/WBE/DBE Analysis Form  
Is this a Revenue Producing contract?

- Yes  No  
 Yes  No

If Modification request, please verify and provide the following:

Contractor's Name:  
Contractor's Address:  
Contractor's e-mail Address:  
Contractor's Phone Number:  
Contractor's Contact Person:

### CONSTRUCTION SUPPLEMENTAL CHECKLIST

**Required attachments:**

Copy of Draft (80% Completion), Contract Documents and Detailed Specifications  
Risk Management

Current Insurance Requirements prepared/approved by Risk Management:

Will services be performed within 50 feet of CTA train or other railroad property?

Will services be performed on or near a waterway?

- Yes  No  
 Yes  No  
 Yes  No

Attach Recommendation of MBE/WBE/DBE Analysis Form

- Yes  No

If Modification request, please verify and provide the following:

Contractor's Name:  
Contractor's Address:  
Contractor's e-mail Address:  
Contractor's Phone Number:  
Contractor's Contact Person:

### PROFESSIONAL SERVICES SUPPLEMENTAL CHECKLIST

If New Request (Check applicable boxes):

Is this a Request for Information (RFI)?

Is this a Request for Qualifications (RFQ)?

Is this a Request for Proposal (RFP)?

If RFQ or RFP, did any outside Consultant provide advice or deliverables in developing the RFQ or RFP?

\*If yes, Company Name: PO#

- Yes  No  
 Yes  No  
 Yes  No  
 Yes\*  No

Attach a narrative explaining the consulting services and deliverables provided.

Is this a Non-Competitive Procurement?

\*If yes, attach completed Non-Competitive Justification form, vendor proposal and completed MBE/WBE compliance plan (Schedules C-1 and D-1) submitted to the Non-Competitive Review Board.

- Yes\*  No

Is this a request for Individual Contract Services?

\*If yes and you seek a sole source contract to hire a person as a Consultant, attach completed Office of Compliance "Request for Individual Contract Services" approval form signed by Department Head, Office of Compliance & OBM.

- Yes\*  No

Is this a Revenue Producing contract?

- Yes  No

Does this request involve the purchase of Software?

\*If yes, is City required to sign a software license?

\*If yes, attach descriptions of software and software license agreement.

- Yes\*  No  
 Yes\*  No

**PROFESSIONAL SERVICES SUPPLEMENTAL CHECKLIST (continued)**

**Required Attachments (IF RFP/RFQ OR SOLE SOURCE):**

Statement of Work (SOW), Deliverables or Scope of Services defined

Does SOW involve any work in the public way?

Yes\*  No

\*If yes, attach list of locations.

Does SOW involve any public improvement to property that requires performance bond or prevailing wage?

Yes\*  No

\*If yes, attach list of locations.

Is City Council approval required?

Yes  No

Project or Program Background Information

Project Goals and Objectives

Qualifications or Licenses/Certifications required for any disciplines

Evaluation Criterion desired in RFP or RFQ

Evaluation Committee (EC) members recommended. Attach list of names, titles and departments

Technical and/or Functional Requirements, if applicable

Cost Proposal/Schedule of Compensation structure (If Sole Source, over Contract Term by Milestone Deliverables)

If an Information Technology (IT) project valued at \$100,000.00 or more, attach approval transmittal sheet from Information Technology Governance Board (ITGB)

Attach Recommendation of MBE/WBE/DBE Analysis Form

Yes  No

If Amendment request, please verify and provide the following:

Contractor's Name: *SIEMENS INDUSTRY, INC.*

Contractor's Address: *498 SEVENTH AVENUE, FLOOR 16, NEW YORK CITY, NY 10018*

Contractor's e-mail Address: *MOHAMED.BOUKHALFA@SIEMENS.COM*

Contractor's Phone Number: *(773) 844-4587*

Contractor's Contact Person: *MOHAMED BOUKHALFA*

**VEHICLES/HEAVY EQUIPMENT SUPPLEMENTAL CHECKLIST**

**Required Attachments:**

Detailed Specifications including detailed description of the vehicle(s) or equipment, mounted equipment, if any, and options/accessories

Special Provisions (Delivery, Warranty, Manuals, Training, Additional Unit Purchase Options, Bid Submittal Information, etc.)

Delivery Location(s)

Technical Literature

Drawings, if any

Part Number List (Manufacturer, or Dealer; or Other Source)

Current Price List(s)/Catalog(s)

Special Approval Form

Exhibits and Attachments

Attach Recommendation of MBE/WBE/DBE Analysis Form

Yes  No

Is this a Revenue Producing Contract?

Yes  No

If Modification request, please verify and provide the following:

Contractor's Name:

Contractor's Address:

Contractor's e-mail Address:

Contractor's Phone Number:

Contractor's Contact Person:

**WORK SERVICES/FACILITY MAINTENANCE SUPPLEMENTAL CHECKLIST**

**Required Attachments:**

- Detailed Specifications (Scope of Services) including detailed description of the work, locations (with supporting detail), user department contacts, work hours/days, laborer/supervisor mix, compensation and price escalation considerations
- Bidder's qualification, contract term and extension options
- Contractor's qualifications, citation of any applicable City/State/Federal statutes or regulations, citation of any applicable technical standards
- Price Lists/Catalogs, technical drawings and other exhibits and attachments as appropriate
- If an Information Technology (IT) project valued at \$100,000.00 or more, attach approval transmittal sheet from Information Technology Governance Board (ITGB)

**Risk Management:**

Will services be performed within 50 feet (50') of CTA train or other railroad property?

Yes  No

Will services be performed on or near a waterway?

Yes  No

Will services require the handling of hazardous/bio-waste material?

Yes  No

Will services require the blocking of streets or sidewalks which may affect public safety?

Yes  No

**Attach Recommendation of MBE/WBE/DBE Analysis Form**

Is this a Revenue Producing contract?

Yes  No

Yes  No

**If Modification or Amendment request, please verify and provide the following:**

Contractor's Name:

Contractor's Address:

Contractor's e-mail Address:

Contractor's Phone Number:

Contractor's Contact Person:



CHICAGO DEPARTMENT OF AVIATION  
CITY OF CHICAGO

**MEMORANDUM**

To: Jamie L. Rhee  
Chief Procurement Officer

Attention: James McIsaac  
Deputy Procurement Officer

From: Rosemarie S. Andolino  
Commissioner

Subject: Request for 184 Day Time Extension Modification  
Maintenance and Technical Support of the Airport Transit System (ATS)  
at O'Hare International Airport  
Vendor: Siemens Industry, Inc.  
Contract Number: 15105  
Specification Number: B29295503  
Original Expiration Date: 6/30/2011  
Current Expiration Date: 6/30/2012

RSA 6/30/12

The Chicago Department of Aviation (CDA) is requesting approval to extend the above referenced contract for a period of 184 days or until new contract is awarded, whichever comes first. The vendor has performed well during the course of their contract which was initially awarded via non-competitive bid. In addition, the vendor will honor the original terms and conditions of the contract during the extension period. A vendor limit increase will not be required as the contract has sufficient funds remaining under its current vendor limit.

If you have any questions or need additional information regarding this request, please contact Michelle Yokoyama at 773-894-3046.

Thank you for your cooperation.





**CHICAGO DEPARTMENT OF AVIATION  
CITY OF CHICAGO**

To: Jamie L. Rhee  
Chief Procurement Officer

Attention: James McIsaac  
Deputy Procurement Officer

From: Rosemarie S. Andolino  
Commissioner

RSA  
(1) 6/21/12

Subject: Attendance at NCRB Meeting RE: Request for 184-day Extension of Technical Services Agreement for Maintenance and Technical Support of the ATS

Contract No./Spec. No.: 15105/B29295503

Vendor Name: Siemens Transportation System, Inc.

Original Expiration Date: 06/30/10

Current Expiration Date: 06/30/12

The following staff members from the Chicago Department of Aviation intend to attend the Non-Competitive Review Board Meeting regarding the above-referenced contract. These individuals are familiar with the project's exclusivity and uniqueness.

Marcos Fernandez, Manager of Landside Operations O'Hare International Airport  
Michelle Yokoyama, Contracts Attorney

If you have any questions or need additional information, please contact Michelle Yokoyama at (773) 894-3046.

SCHEDULE OF COMPENSATION

1. BASIS OF PAYMENT July 1<sup>st</sup>, 2012 to December 31<sup>st</sup>, 2012

The City will pay Contractor for the satisfactory Services performed from July 1<sup>st</sup>, 2012 through December 31<sup>st</sup>, 2012 as follows:

- A. For Technical Support Service \$448,942.56 for six months. Contractor will provide one individual.
- B. For Home Office Support, a lump sum of \$285,658.61 for six months
- C. For Maintenance Services, a lump sum of \$371,071.33 for six months
- D. Total compensation for A, B and C for a period of 6 months **\$1,050,672.50**
- E. For Rolling Stock and Guide way Stock Supply and Repair Services the City will pay Contractor the actual and reasonable costs incurred for supply of rolling stock and guide way stock—external costs only, which includes parts, handling, shipping, plus a fee of 25% of such costs, which includes Contractor internal costs for labor, incidentals, applicable taxes, overhead. etc., and profit.

2. METHOD OF PAYMENT - July 1<sup>st</sup>, 2012 to December 31<sup>st</sup>, 2012

The City will process payment in the following manner:

Contractor will receive advance payments for Technical Support, Home Office Support and Maintenance Services. Monthly payments will be based upon 1/12 of the lump sum amounts detailed above. Contractor must Invoice for Rolling Stock Supply and Repair Services in the month following completion of such Services.

Upon execution of this Agreement, Contractor must submit to the City its invoice in the amount of compensation for Technical Support, Home Office Support, and Maintenance Services for the first two months of Services under this Agreement. The City will pay Contractor the amount invoiced within 60 days after receipt of the properly completed invoice. In order to facilitate advance payment on the 15th day of the month for each succeeding month of the term thereafter, commencing the 15th day of the month following commencement of Services under this Agreement, and not later than the 15th day of each succeeding month throughout the term of this Agreement, Contractor must submit to the City its certified invoice, in such form and detail as may be required by the Commissioner, showing:

- A. Monthly lump sum of \$74,823.76 for Technical Support person providing on-site Services from July 1<sup>st</sup>, 2012 to December 31<sup>st</sup>, 2012
- B. Monthly lump sum of \$47,609.77 for Home Office Support from July 1<sup>st</sup>, 2012 to December 31<sup>st</sup>, 2012

EXHIBIT 2-1

- C. Monthly lump sum of \$61,845.22 for Maintenance Services from July 1<sup>st</sup>, 2012 to December 31<sup>st</sup>, 2012
- D. The cost reimbursement plus fee for Rolling Stock and Guide way Stock Supply and Repair Services, if any, performed during the preceding month. Costs must be supported by documentation and information as may be requested by the Commissioner to evidence actual costs incurred by Contractor during the prior month for Rolling Stock Supply and Repair Services expenses.

All books and accounts in connection with Rolling Stock Supply and Repair Services must be maintained by Contractor and must be open to inspection by a property accredited representative of the City for a period 5 years following expiration or termination of this Agreement.

Upon the expiration or termination of this Agreement, or at any time during the term of this Agreement at the City's option, a final reconciliation of amounts paid by the City versus amounts actually due from the City to Contractor as provided in this Agreement will be done by the City. Contractor must remit to the City any overpayments made by the City, and if the City has underpaid the City will remit to Contractor the amount due Contractor.

### ADDITIONAL SERVICES

Within 30 days of receipt of a written request for Additional Services, Contractor must submit to the City, in writing, its proposal for compensation for such Additional Services. The proposal may be based on a lump sum or cost reimbursable basis, at Contractor's option, and will be a starting point for negotiation between the City and Contractor.

**SIEMENS**

SIEMENS Industry Inc.  
Infrastructure & Cities  
US – Rail Systems Division  
7464 French Road - Sacramento,  
CA 95828

City of Chicago  
Department Of Procurement services  
Jamie L. Rhee, chief procurement officer  
121N. LaSalle suite #403  
Chicago Il 60602

Name Mohamed Boukhalfa  
Department SII mobility  
Telephone 1 773 844 4587  
Fax 1 773 601 0532  
mohamed.boukhalfa@siemens.com

July 11<sup>th</sup>, 2012

SUBJECT: SOLE SOURCE PROCUREMENT, **184 Days EXTENSION**  
Siemens Industry, Inc.  
Specification No. B29295503  
PO# 15105

Dear Madam:

Chicago Airport Transit System was supplied and commissioned by MATRA Transit (now part of Siemens Industry Inc - SII) in 1993. Subsequent to that we have supported the operation of the ATS system thru a Technical Services Agreement (TSA). **The current TSA runs through June 2012.**

This high performance, fully automatic, driverless system relies on Siemens design, hardware and software for its reliability and safety. The TSA covers the repair and maintenance of this system including the hardware and software components. This requires not only access to and familiarity with the exclusive proprietary hardware and software but also a thorough knowledge of the overall System Integration and Interfaces to other subsystems. This is our practice and policy for the VAL driverless systems thru out the world.

We have had a long and successful relationship with the City of Chicago to help make the Chicago ATS the best of its class in availability and performance.

We are committed to continuing our successful relationship and would like to enter into discussion with the City of Chicago for extending the current contract beyond June 2012 with the same terms and conditions but with an updated fixed budget of 1,105,672.50 USD for first six (6) months. We are also committed to meet the contract's MBE/WBE requirements with Industria Inc. (MBE) at 2.93%, Cal Communications Inc (MBE) at 13.97% and TEC HSERV corp. (WBE) at 4.5%, for a total (MBE) participation of 16.9% and a total (WBE) participation of 4.5 %.

Respectfully yours,



---

Mohamed Boukhalfa  
TSA Project manager & Chief Engineer

# SCHEDULE D-1

## Affidavit of MBE/WBE Goal Implementation Plan

Project Name: Maintenance and Technical Support of the ATS

Specification No.: B29295503

State of ILLINOIS

County (City) of COOK

I HEREBY DECLARE AND AFFIRM that I am duly authorized representative of:  
**SIEMENS INDUSTRY INC.**

\_\_\_\_\_  
Name of Prime Consultant/Contractor

and that I have personally reviewed the material and facts set forth herein describing our proposed plan to achieve the MBE/WBE goals of this contract.

All MBE/WBE firms included in this plan have been certified as such by the City of Chicago (Letters of Certification Attached).

### I. Direct Participation of MBE/WBE Firms

(Note: The bidder/proposer shall, in determining the manner of MBE/WBE participation, first consider involvement with MBE/WBE firms as joint venture partners, subcontractors, and suppliers of goods and services directly related to the performance of this contract.)

- A. If bidder/proposer is a certified MBE or WBE firm, attach copy of the City of Chicago Letter of Certification. (Certification of the bidder/proposer as a MBE satisfies the MBE goal only. Certification of the bidder/proposer as a WBE satisfies the WBE goal only.)
- B. If bidder/proposer is a joint venture and one or more joint venture partners are certified MBEs or WBEs, attach copies of Letters of Certification and a copy of Joint Venture Agreement clearly describing the role of the MBE/WBE firm(s) and its ownership interest in the joint venture.

#### C. MBE/WBE Subcontractors/Suppliers/Consultants:

1. Name of MBE/WBE: TECHSERV CORPORATION  
 Address: 453 Lincoln Avenue, suite 110, Lisle 60532-1290  
 Contact Person: Ms. Patty Lu Phone: 630-969-6687  
 Dollar Amount Participation: \$ DUR  
 Percent Amount of Participation: 4.5 %  
 Schedule C-1 attached? Yes X No    \* \*(see next page)
2. Name of MBE/WBE: INDUSTRIA INC  
 Address: 2856 N. CAMPBELL AVENUE  
 Contact Person: DAVID RAMBAJAN  
 Phone: 312-617-5261  
 Dollar Amount Participation: \$ DUR  
 Percent Amount of Participation: 2.93 %  
 Schedule C-1 attached? Yes X No    \*

**SCHEDULE D-1**  
**Affidavit of MBE/WBE Goal Implementation Plan**

3. Name of MBE/WBE: Cal communications \_\_\_\_\_  
Address: 1572 Barclay Blvd. Buffalo grove, IL 60089 \_\_\_\_\_  
Contact Person: Carlos Lopez \_\_\_\_\_ Phone: 847-537-2425\_ \_\_\_\_\_  
Dollar Amount Participation: \$ \_\_\_\_\_ DUR \_\_\_\_\_  
Percent Amount of Participation: \_\_\_\_\_ 13.97 %  
Schedule C-1 attached? Yes  No  \*

4. Name of MBE/WBE: \_\_\_\_\_  
Address: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_  
Dollar Amount Participation: \$ \_\_\_\_\_  
Percent Amount of Participation: \_\_\_\_\_ %  
Schedule C-1 attached? Yes \_\_\_\_\_ No \_\_\_\_\_ \*

5. Name of MBE/WBE: \_\_\_\_\_  
Address: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_  
Dollar Amount Participation: \$ \_\_\_\_\_  
Percent Amount of Participation: \_\_\_\_\_ %  
Schedule C-1 attached? Yes \_\_\_\_\_ No \_\_\_\_\_ \*

6. Attach additional sheets as needed

\*All Schedule C-1s and Letters of Certification not submitted with bid/proposal must be submitted so as to assure receipt by the Contract Administrator within three (3) business days after bid opening (or proposal due date.)

**II. Indirect Participation of MBE/WBE Firms**

(Note: This section need not be completed if the MBE/WBE goals have been met through the direct participation outlined in Section I. If the MBE/WBE goals have not been met through direct participation, Contractor will be expected to demonstrate that the proposed MBE/WBE direct participation represents the maximum achievable under the circumstances. Only after such a demonstration will indirect participation be considered.)

MBE/WBE Subcontractors/Suppliers/Consultants proposed to perform work or supply goods or services where such performance does not directly relate to the performance of this contract:

A. Name of MBE/WBE: \_\_\_\_\_  
Address: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_  
Dollar Amount Participation: \$ \_\_\_\_\_  
Percent Amount of Participation: \_\_\_\_\_ %  
Schedule C-1 attached? Yes \_\_\_\_\_ No \_\_\_\_\_ \* \*(see next page)



**SCHEDULE D-1**  
**Affidavit of MBE/WBE Goal Implementation Plan**

B. Name of MBE/WBE: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_  
 Dollar Amount Participation: \$ \_\_\_\_\_  
 Percent Amount of Participation: \_\_\_\_\_ %  
 Schedule C-1 attached? Yes \_\_\_ No \_\_\_ \*

C. Name of MBE/WBE: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_  
 Dollar Amount Participation: \$ \_\_\_\_\_  
 Percent Amount of Participation: \_\_\_\_\_ %  
 Schedule C-1 attached? Yes \_\_\_ No \_\_\_ \*

D. Name of MBE/WBE: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_  
 Dollar Amount Participation: \$ \_\_\_\_\_  
 Percent Amount of Participation: \_\_\_\_\_ %  
 Schedule C-1 attached? Yes \_\_\_ No \_\_\_ \*

E. Attach additional sheets as needed.

\*All Schedule C-1s and Letters of Certification not submitted with bid/proposal must be submitted so as to assure receipt by the Contract Administrator within three (3) business days after bid opening (or proposal due date).

**III. Summary of MBE/WBE Proposal:**

A. MBE Proposal

1. MBE Direct Participation (from Section I.)

MBE Firm Name	Dollar Amount of Participation	Percent Amount of Participation
Cal communications	\$ DUR	13.97%
INDUSTRIA INC	\$ DUR	2.93%
_____	\$ _____	_____ %
<b>Total Direct MBE Participation</b>	<b>\$ DUR</b>	<b>16.9%</b>

2. MBE Indirect Participation (from Section II.)

MBE Firm Name	Dollar Amount of Participation	Percent Amount of Participation
_____	\$ _____	_____ %
_____	\$ _____	_____ %
_____	\$ _____	_____ %

**SCHEDULE D-1**  
**Affidavit of MBE/WBE Goal Implementation Plan**

Total Indirect MBE Participation                   \$ \_\_\_\_\_ %

**B. WBE Proposal**

**1. WBE Direct Participation (from Section I.)**

<b>WBE Firm Name</b>	<b>Dollar Amount of Participation</b>	<b>Percent Amount of Participation</b>
_____ <u>TECHSERV CORPORATION</u> _____	\$ _____ <u>DUR</u> _____	_____ <u>4.5%</u> _____
_____	\$ _____	_____ %
_____	\$ _____	_____ %
<b>Total Direct WBE Participation</b>	\$ _____	_____ <u>4.5%</u> _____

**2. WBE Indirect Participation (from Section II.)**

<b>WBE Firm Name</b>	<b>Dollar Amount of Participation</b>	<b>Percent Amount of Participation</b>
_____	\$ _____	_____ %
_____	\$ _____	_____ %
_____	\$ _____	_____ %
<b>Total Indirect WBE Participation</b>	\$ _____	_____ %

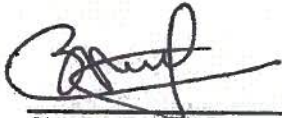
**SCHEDULE D-1**  
**Affidavit of MBE/WBE Goal Implementation Plan**

To the best of my knowledge, information and belief, the facts and representations contained in this Schedule are true, and no material facts have been omitted.

The Contractor designates the following person as their MBE/WBE Liaison Officer:

Name: Mohamed Boukhalfa \_\_\_\_\_ Phone Number: 773 844 4587 \_\_\_\_\_

I do solemnly declare and affirm under penalties of perjury that the contents of the foregoing document are true and correct, and that I am authorized, on behalf of the Contractor, to make this affidavit.



JUNE 21<sup>st</sup>, 2012

Signature of Affiant (Date)

State of ILLINOIS \_\_\_\_\_

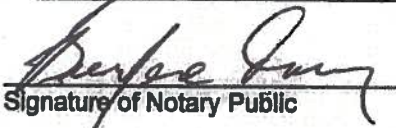
County of COOK \_\_\_\_\_

This instrument was acknowledged before me on 6-21-2012 (date)

by BERNADENE DORSEY \_\_\_\_\_ (name /s of person/s)

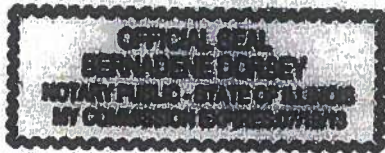
as NOTARY PUBLIC \_\_\_\_\_ (type of authority, e.g., officer, trustee, etc.)

of \_\_\_\_\_ (name of party on behalf of whom instrument executed)



Signature of Notary Public

(Seal)





CITY OF CHICAGO  
**OFFICE OF COMPLIANCE**

December 30, 2011

Carlos Lopez  
Cal Communications, Inc.  
1572 Barclay Blvd  
Buffalo Grove, IL 60089-4505

Dear Carlos Lopez:

We are pleased to inform you that Cal Communications, Inc. continued eligibility for certification as a Disadvantaged Business Enterprise (DBE) with the City of Chicago has been granted. Re-validation of certification is required by September 1, 2012.

It is mandatory under Federal Regulation 49 CFR Part 26 and 23 that all Disadvantaged Business Enterprise (DBE) firms, upon completing their fifth fiscal year of certification, must re-validate with its host agency. Since the City of Chicago is your host agency, we will send you a copy of the new "Continued Eligibility Affidavit" for your convenience when it is due at the end of your term.

*Please note that you must include a copy of your most current Corporate Federal Tax Returns, Personal Net Worth Statement (PNW), and the Continued Eligibility Affidavit with supporting documentation. Failure to file this Affidavit will result in the removal of your certification.*

You must also notify the Certification Unit of any changes in ownership or control of your firm or any other matters or facts affecting your firm's eligibility for certification. The City may commence actions to remove your firm's eligibility if you fail to notify us of any changes in ownership, management or control, or otherwise fail to cooperate with the City in any inquiry or investigation. Removal of eligibility procedures may also be commenced if your firm is found to be involved in bidding or contractual irregularities.

Cal Communications, Inc. will appear in the Illinois Certification Program (IL UCP) DBE Directory under the area(s) of specialty listed below. The Directory can be accessed via the internet at <http://www.dot.state.il.us/ucp/ucp.html>.

**NIGP-28029: COMMUNICATIONS CABLE**  
**NIGP-91438: ELECTRICAL**  
**NIGP-99829: COMPUTERS, PARTS AND SUPPLIES**

Your firm's participation on City contracts will be credited only toward DBE/ACDBE goals in your area(s) of specialty. While your participation on City contracts is not limited to your specialty, credit toward Disadvantaged Business Enterprise (DBE) goals will be given only for work done in a specialty category.

Thank you for your continued interest in the City's Disadvantaged Business Enterprise (DBE) Program.

Sincerely,

Michael Chambers  
Senior Compliance Officer – Supplier Diversity  
CITY OF CHICAGO



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Logged on as:  
**Habib Rehman,**  
35 Department of  
Procurement Services

### Vendor Information



Business Name      **Cal Communications, Inc.**  
 VendorID            **20069411**  
 Primary Owner's Name   **Carlos Lopez**  
 Company Type  
 Ethnic Group         **Hispanic/Latino**  
 Gender                **Male**

### Certification Information



Certifying Agency      **City of Chicago**  
 Certification Type      **MBE - Minority Business Enterprise**  
 Effective Date         **10/30/2006**  
 Renewal Date         **9/1/2012**  
 Expiration Date       **9/1/2012**

### Contact Information



Main Company Email    **clopez@calcomm.com**  
 Main Phone            **847-537-2425**  
 Main Fax               **847-537-1613**  
 Internet Web Page      **http://www.calcomm.com**

### Addresses



Physical Address        **1572 Barclay Blvd  
Buffalo Grove, IL 60089-4505**  
 Mailing Address        **1572 Barclay Blvd  
Buffalo Grove, IL 60089-4505**

### Business Capabilities



Business certified for    **COMMUNICATIONS CABLE;ELECTRICAL;COMPUTERS,  
PARTS AND SUPPLIES**  
 Full Description of  
 Capabilities/Products  
 Commodity Codes        **NIGP 28029    Communications Cable**  
                                      **NIGP 91438    Electrical**  
                                      **NIGP 99829    Computers, Parts and Supplies**

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*A*

**SCHEDULE C-1**  
**Letter of Intent from MBE/WBE to Perform**  
**as Subcontractor, Supplier and/or Contractor**

Name of Project/Contract: Maintenance & Technical Services  
Specification Number: B29295503

From: CAL Communications, Inc.  
(Name of MBE/WBE Firm)

MBE: Yes XX No \_\_\_\_\_  
WBE: Yes \_\_\_\_\_ No XX

To: Siemens Transportation Systems and the City of Chicago:  
(Name of Prime Contractor - Bidder/Proposer)

The undersigned intends to perform work in connection with the above projects as a:

\_\_\_\_\_ Sole Proprietor                      XX Corporation  
\_\_\_\_\_ Partnership                         \_\_\_\_\_ Joint Venture

The MBE/WBE status of the undersigned is confirmed by the attached letter of Certification from the City of Chicago effective date of 08/25/2010 to 11/01/2011 for a period of five years.

The undersigned is prepared to provide the following described services or supply the following described goods in connection with the above named project/contract:

Electronics, Engineers, Technicians.  
Services and Materials

The above described performance is offered for the following price and described terms of payment:

13.97% at fixed price. DUR

If more space is needed to fully describe the MBE/WBE firm's proposed scope of work and/or payment schedule, attach additional sheets.

The undersigned will enter into a formal written agreement for the above work with you as a Prime Contractor, conditioned upon your execution of a contract with the City of Chicago, and will do so within (3) three working days of receipt of a signed contract from the City of Chicago.

*CLopez*  
(Signature of Owner or Authorized Agent)  
Carlos A. Lopez, President  
Name/Title (Print)  
June 29, 2012  
Date  
(847) 537-2425  
Phone





DEPARTMENT OF PROCUREMENT SERVICES  
CITY OF CHICAGO

**JUN 21 2012**

Patty Lu  
Techserv Corporation  
4513 Lincoln Avenue, Suite 110  
Lisle, IL 60532-1290

Dear Patty Lu:

This letter is to inform you that the City of Chicago has extended your status as a Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) until **September 1, 2012**. We are providing this extension to allow enough time to provide any additional documentation that your application may be missing and for our office to complete our review of all of the submitted documents.

This extension does not guarantee eligibility in the program but will act as a courtesy extension until we receive all of the required documentation and complete a review of that documentation.


Please present this letter as evidence of your certification to be included with bid document submittals as needed.

If you have any questions, please feel free to call our office at 312-744-1929.

Sincerely,

Shannon Andrews  
Deputy Procurement Officer

FH



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Logged on as:  
**Habib Rehman,**  
**35 Department of**  
**Procurement Services**

?

### Vendor Information

Business Name	Techserv Corporation, DBA Techserv Corporation
VendorID	20069517
Primary Owner's Name	Patty Lu
Company Type	
Ethnic Group	Asian American
Gender	Female

?

### Certification Information

Certifying Agency	City of Chicago
Certification Type	WBE - Women Business Enterprise
Effective Date	4/3/2009
Renewal Date	9/1/2012
Expiration Date	9/1/2012

?

### Contact Information

Main Company Email	patty@techservs.com
Main Phone	630-969-2330
Main Fax	630-969-3110
Internet Web Page	http://www.techservs.com

?

### Addresses

Physical Address	4513 Lincoln Avenue, Suite 110 Lisle, IL 60532-1290
Mailing Address	4513 Lincoln Avenue, Suite 110 Lisle, IL 60532-1290

?

### Business Capabilities

Business certified for	Information Technology Provider; Local and Wide Area Network Services; Information Technology Consulting; Training and Placement; Computer Repair and Maintenance Services; Environmental Inspections												
Full Description of Capabilities/Products	Information Technology Provider; Local and Wide Area Network Services; Information Technology Consulting; Training and Placement; Computer Repair and Maintenance Services; Environmental Inspections												
Commodity Codes	<table border="0" style="width: 100%;"> <tr><td>NIGP 20732</td><td>Computer Instructional Aids and Training Devices</td></tr> <tr><td>NIGP 91551</td><td>Information Highway Electronic Services (Internet, etc.)</td></tr> <tr><td>NIGP 91828</td><td>Computer Hardware Consulting</td></tr> <tr><td>NIGP 91829</td><td>Computer Software Consulting</td></tr> <tr><td>NIGP 91885</td><td>Personnel/Employment Consulting</td></tr> <tr><td>NIGP 92040</td><td>Programming Services, Computer</td></tr> </table>	NIGP 20732	Computer Instructional Aids and Training Devices	NIGP 91551	Information Highway Electronic Services (Internet, etc.)	NIGP 91828	Computer Hardware Consulting	NIGP 91829	Computer Software Consulting	NIGP 91885	Personnel/Employment Consulting	NIGP 92040	Programming Services, Computer
NIGP 20732	Computer Instructional Aids and Training Devices												
NIGP 91551	Information Highway Electronic Services (Internet, etc.)												
NIGP 91828	Computer Hardware Consulting												
NIGP 91829	Computer Software Consulting												
NIGP 91885	Personnel/Employment Consulting												
NIGP 92040	Programming Services, Computer												

?

**Letter of Intent from MBE/WBE to Perform  
as Subcontractor, Supplier and/or Consultant**

Name of Project/Contract: maintenance and technical support of the ATS  
Specification Number: 29295503

From: TECHSERV CORPORATION  
(Name of MBE/WBE Firm)

MBE: Yes  No   
WBE: Yes  No

To: SIEMENS INDUSTRY and the City of  
Chicago:  
(Name of Prime Contractor - Bidder/Proposer)

The undersigned intends to perform work in connection with the above projects as a:

Sole Proprietor  Corporation  
 Partnership  Joint Venture

The MBE/WBE status of the undersigned is confirmed by the attached letter of Certification from the City of Chicago effective date of 03/28/2011 to 04/01/2012 for a period of five years.

The undersigned is prepared to provide the following described services or supply the following described goods in connection with the above named project/contract:

ELECTRONICS - ELECTRICS - Materials -  
Logistics - Test Equipment - Computers - IT -  
SERVICES - project management - UTILITIES  
Logistics - shipping / receiving -

The above described performance is offered for the following price and described terms of payment:

AT Regular Prices - DUR  
45%

If more space is needed to fully describe the MBE/WBE firm's proposed scope of work and/or payment schedule, attach additional sheets.

The undersigned will enter into a formal written agreement for the above work with you as a Prime Contractor, conditioned upon your execution of a contract with the City of Chicago, and will do so within (3) three working days of receipt of a signed contract from the City of Chicago.

*Notary*  
Julie H. Hattak  
DuPage County, IL  
Feb 15, 2013

*Patty Lu*  
(Signature of Owner or Authorized Agent)  
Patty Lu / President  
Name / Title (Print)  
02/13/2012  
Date  
630-969-2330  
Phone

Rev. 9/03



## Vendor Profile: Certifications



Business Name: **Industria, Inc.**

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### Current Certifications



Type	Action	Effective	Renewal	Expiration	Organization	Reviewer	Actions
MBE	No Change Affidavit	7/28/2011	9/1/2012	9/1/2012	City of Chicago	Felicia Hinton	<a href="#">View</a> <a href="#">Edit</a>

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### Applications



Status	Application Number	App Type	Organization	Dates	Contact	Actions
<b>Received &amp; In Process</b>	5553428	MBE/WBE/BEPD No Change Affidavit	City of Chicago	Started: 6/6/2012 Submitted: 6/6/2012 Received: 6/13/2012	Paul Daniel	<a href="#">View</a>
<b>Processing Complete, Decision Made</b>	6882966	MBE/WBE/BEPD No Change Affidavit	City of Chicago	Started: 6/7/2011 Submitted: 6/7/2011 Received: 6/16/2011	Paul Daniel	<a href="#">View</a>
<b>Incomplete</b>	0518522	New MBE/WBE/BEPD Application	City of Chicago	Started: 6/20/2012	Paul Daniel	<a href="#">View</a>

### Other Certifications



Status	Type	Action	Action Date	Cert Dates	Organization	Reviewer	Actions
<b>App. Closed</b>	MBE	No Change Affidavit	6/13/2012	-	City of Chicago	Felicia Hinton	<a href="#">View</a> <a href="#">Edit</a>
<b>Deactivated</b>	MBE	Recertification/ Renewal/ Annual	7/28/2011	Cert: 7/17/2009 Renew: 8/1/2011 Exp: 8/1/2012	City of Chicago	Robert Cunniff	<a href="#">View</a> <a href="#">Edit</a>
<b>Deactivated</b>	MBE	Recertification/ Renewal/ Annual	8/18/2009	Cert: 3/9/2007 Renew: 9/1/2009 Exp: 8/1/2012	City of Chicago	Robert Cunniff	<a href="#">View</a> <a href="#">Edit</a>

**Certification: View**Help & Tools [Return To List](#)[Edit](#)**Vendor Information** 

Business Name	Industria, Inc.
System Vendor Number	20060983
Primary Owner's Name	Mr. David Rambhajan
Company Type	Corporation
Ethnic Group	Asian American
Gender	Male

**Certification Information** 

Current Status	Approved; Published to Directory
Certifying Agency	City of Chicago
Certification Type	MBE - Minority Business Enterprise
Certification Action	No Change Affidavit
Certification Number	
Certification Date	7/28/2011
Renewal Date	9/1/2012
Expiration Date	9/1/2012
Renewal/Expiration Setting	Manual. This certification will remain listed on the active directory after the renewal date is reached. The auto-extension setting will NOT impact this status.
Auto-Extension	Yes. If a pending application is on file, automatically extend by 1 month OR Automatically extend ONE time by 1 month if no pending application is on file
Certifying Agent	Felicia Hinton, City of Chicago

**Contact Information** 

Main Company Email	david@rambhajan.com
Main Phone	773-697-0190
Main Fax	773-773-6970
Internet Web Page	

**Addresses** 

Physical Address	2856 N. Campbell Ave. Chicago, IL 60618
Mailing Address	2856 N. Campbell Ave. Chicago, IL 60618

**Business Capabilities** 

Business certified for	Construction and Project Management Services; General Contractor Specializing in Laborers/Painting Services on Small Projects only; Distributor of Light Bulbs and Ballast; Supplier of Construction Related Materials	
Full Description of Capabilities/Products	Construction and Project Management Services; General Contractor Specializing in Laborers/Painting Services on Small Projects only; Distributor of Light Bulbs and Ballast; Supplier of Construction Related Materials	
Commodity Codes	NIGP 20868	Project Management
	NIGP 28506	Ballasts, All Kinds

NIGP 28554	Lighting Fixtures, Indoor: All Kinds and Parts (Including Lampholders)
NIGP 91054	Painting, Maintenance and Repair Services
NIGP 91461	Painting
NIGP 95826	Construction Management Services

### Owner Ethnicity and Gender

Ethnic Group	Asian American
Gender	Male
DBE Ethnic Group	Sub Continent Asian American
State Ethnic Group	

### Business Information

Federal Tax ID Number	*****183
Primary Owner's Social Security Number	
Gross Receipts	Average for last 3 year(s): \$7,049,124.67
	2010: \$8,159,229.00
	2009: \$6,069,350.00
	2008: \$6,918,795.00
	2007: \$2,510,167.00
	2006: \$2,632,302.00
Date Established	
Date Incorporated	
Number of Employees	Full Time: 6 Part-Time: 0 Contract: 0
State Certification	N/A
Principal place of business in the State?	N/A
US Citizen	N/A
Veteran	N/A

### Location and Work Areas/Districts

County	Cook (IL)
Statewide Work Area	N/A
District Work Area	

### Certification Timeline - Phase 1 - Preliminary Tasks

Action	Date	User
Record Creation Date	7/28/2011 9:41 CDT	
Submission/Application Date	6/7/2011 10:49 CDT	Paul Daniel
Date Received	6/16/2011 9:18 CDT	Felicia Hinton
Date To Supervisor	7/28/2011 9:41 CDT	Felicia Hinton
Date Assigned to Staff	7/28/2011 9:41 CDT	Felicia Hinton
Date of Fee Collection	7/28/2011 9:41 CDT	Felicia Hinton
Date of Regional Eligibility Review	7/28/2011 9:41 CDT	Felicia Hinton
Date of Document Screening	7/28/2011 9:41 CDT	Felicia Hinton



**Certification Timeline - Phase 2 - Audits**



Action	Date	User
Date of Financial Audit	7/28/2011 9:41 CDT	Felicia Hinton

**Certification Timeline - Phase 3 - Approval and Review**



Action	Date	User
Date To Committee/Board	7/28/2011 9:41 CDT	Felicia Hinton
Date of Final Decision	7/28/2011 9:42 CDT	Felicia Hinton
Date of Approval	7/28/2011 9:42 CDT	Felicia Hinton
Date of Data Input	7/28/2011 9:46 CDT	Felicia Hinton
Date of Directory Publication	7/28/2011 9:46 CDT	Felicia Hinton

**Certification Timeline - Alternate Actions**



No actions recorded.

**Certification Timeline - Communications**



No communication actions recorded for this certification record.

**Letters Sent**



No letters sent for this certification record.

**Comments**



No comments found for this certification.

**Other Information**



Certifying Agency	City of Chicago
Category - Construction	Yes
Category - Trucking	No
Category - Manufacturer	No
Category - Supplier	No
Category - Professional	No
Category - Architecture	No
Category - Miscellaneous	No
UCP District	District 1
CEA or NCA	
3M Location	
License/Certificate	
Graduation Standard	
Certification Fee	Not Paid - Control Number: -1 - Comments: -1

Comments


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Logged on as:  
**Habib Rehman,**  
**35 Department of**  
**Procurement Services**

### Vendor Information

Business Name	Industria, Inc.
VendorID	20060983
Primary Owner's Name	Mr. David Rambhajan
Company Type	
Ethnic Group	Asian American
Gender	Male

### Certification Information

Certifying Agency	City of Chicago
Certification Type	MBE - Minority Business Enterprise
Effective Date	7/28/2011
Renewal Date	9/1/2012
Expiration Date	9/1/2012

### Contact Information

Main Company Email	david@rambhajan.com
Main Phone	773-697-0190
Main Fax	773-773-6970
Internet Web Page	

### Addresses

Physical Address	2856 N. Campbell Ave. Chicago, IL 60618
Mailing Address	2856 N. Campbell Ave. Chicago, IL 60618

### Business Capabilities

Business certified for	Construction and Project Management Services; General Contractor Specializing in Laborers/Painting Services on Small Projects only; Distributor of Light Bulbs and Ballast; Supplier of Construction Related Materials	
Full Description of Capabilities/Products	Construction and Project Management Services; General Contractor Specializing in Laborers/Painting Services on Small Projects only; Distributor of Light Bulbs and Ballast; Supplier of Construction Related Materials	
Commodity Codes	NIGP 20868	Project Management
	NIGP 28506	Ballasts, All Kinds
	NIGP 28554	Lighting Fixtures, Indoor: All Kinds and Parts (Including Lampholders
	NIGP 91054	Painting, Maintenance and Repair Services
	NIGP 91461	Painting
	NIGP 95826	Construction Management Services

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Industria, Inc.

Application Type: **MBE/WBE/BEPD No Change Affidavit**Application Number: **5553428**Application status: **Submitted, Pending Receipt**Application started: **6/6/2012**Submitted: **6/6/2012**[Print to Printer](#)[Print to PDF File](#)**Certification Application Information** 

Application Type	<b>MBE/WBE/BEPD No Change Affidavit</b>
Certifying Agency	<b>City of Chicago</b>
Business Name	<b>Industria, Inc. DBA N/A</b>
Current Status	<b>Submitted, Pending Receipt</b>
Application Number	<b>5553428</b>
Contact Person	<b>Paul Daniel</b>

**Questions** **A.1. Certification Type(s)**

MBE/Minority-owned Business Enterprise

**A.2. Renewal Date**

August 2012

**A.3. Name of Firm**

Industria, Inc.

**A.4. DBA Name**

N/A

**A.5. Address**2856 N. Campbell Ave.  
Chicago, IL 60618**A.6. Telephone Number**

773-697-0190

**A.7. Fax Number**

773-697-0191

**A.8. Email**

david@rambhajan.com

**A.9. Website**

www.industriainc.com

**A.10. Contact Person**

David Rambhajan, President

**B.1. Current number of employees of the firm, including all affiliates and subsidiaries.**

Full-time 7

Part-time 0

Contract Personnel 0

**B.2. Have the owners/partners of the firm changed?**

No

**B.3. Have the officers of the firm changed?**

No

**B.4. Have the directors of the firm changed?**

No

**B.5. Has the control/management of the firm changed?**

No

**B.6. Has the address of the firm changed?**

No

**B.7. List the amount of annual gross receipts for the last three fiscal years.**

Year Ending	Total Receipts
2011	\$7,861,087
2010	\$8,159,229
2009	\$6,069,350

**B.8. Has any owner or management official of the applicant firm acquired an ownership interest in any other firm?**

No

**Required Documents**

Document	Status
<b>Statement of Material Change</b>	<b>Not Applicable</b> , noted by Paul Daniel on 6/6/2012
<b>Resolution(s) documenting changes in Owners/Partners, Officers, Directors, change in Control/Management or Address</b>	<b>Not Applicable</b> , noted by Paul Daniel on 6/6/2012
<b>If an owner or management official of the applicant firm acquired an ownership interest in any other firm, submit information as to the owner's title, address of firm, percentage of ownership and product or service of the other firm</b>	<b>Not Applicable</b> , noted by Paul Daniel on 6/6/2012

**Electronic Signature**

Signature	<b>Paul M. Daniel</b>
Title	<b>Procurement Project Manager</b>
Organization	<b>Industria, Inc.</b>
Date	<b>6/6/2012</b>

**Customer Support**

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(Rev. 10/00)

### SCHEDULE C-1

Letter of Intent from MBE/WBE to Perform  
as Subcontractor, Supplier and/or Consultant

Name of Project/Contract: \_\_\_\_\_  
Specification Number: \_\_\_\_\_

From: Industria Inc.  
(Name of MBE/WBE Firm)

MBE: Yes x; No \_\_\_\_\_  
WBE: Yes \_\_\_\_\_; No x

To: \_\_\_\_\_ and the City of Chicago:  
(Name of Prime Contractor - Bidder/Proposer)

The undersigned intends to perform work in connection with the above projects as a:

\_\_\_\_ Sole Proprietor                      x Corporation  
\_\_\_\_ Partnership                          \_\_\_\_ Joint Venture

The MBE/WBE status of the undersigned is confirmed by the attached letter of Certification from the City of Chicago effective date of July 28, 2011 to August 1, 2012 for a period of one year.

The undersigned is prepared to provide the following described services or supply the following described goods in connection with the above named project/contract:

ELECTRONICS - ELECTRICAL materials  
Logistics - shipping/receiving Project management  
Services.

The above described performance is offered for the following price and described terms of payment:

AT Regular Prices. DVR  
AT 2.93%

If more space is needed to fully describe the MBE/WBE firm's proposed scope of work and/or payment schedule, attach additional sheets.

The undersigned will enter into a formal written agreement for the above work with you as a Prime Contractor, conditioned upon your execution of a contract with the City of Chicago, and will do so within three (3) working days of receipt of a signed contract from the City of Chicago.

*Veronica Palacios*

*David M. Rambhajan*

(Signature of Owner or Authorized Agent)

David M Rambhajan, President

Name/Title (Print)

February 10, 2012

Date

773-697-0190

Phone







CERTIFICATE OF FILING FOR  
CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT

EDS Number: 31872

Date of This Filing:06/06/2012 12:13 PM

Certificate Printed on: 06/06/2012

Original Filing Date:06/06/2012 12:13 PM

Disclosing Party: SIEMENS INDUSTRY INC Title:PROJECT MANAGER

Filed by: Mr. mohamed BOUKHALFA

Matter: maintenance and technical support of  
the ATS at O'hare airport

Applicant: SIEMENS INDUSTRY INC

Specification #: B29295503

Contract #: 15105

The Economic Disclosure Statement referenced above has been electronically filed with the City. Please provide a copy of this Certificate of Filing to your city contact with other required documents pertaining to the Matter. For additional guidance as to when to provide this Certificate and other required documents, please follow instructions provided to you about the Matter or consult with your City contact. JM

A copy of the EDS may be viewed and printed by visiting <https://webapps.cityofchicago.org/EDSWeb> and entering the EDS number into the EDS Search. Prior to contract award, the filing is accessible online only to the disclosing party and the City, but is still subject to the Illinois Freedom of Information Act. The filing is visible online to the public after contract award.



**CITY OF CHICAGO  
ECONOMIC DISCLOSURE STATEMENT and AFFIDAVIT  
Related to Contract/Amendment/Solicitation  
EDS # 31872**

**SECTION I -- GENERAL INFORMATION**

**A. Legal name of the Disclosing Party submitting the EDS:**

SIEMENS INDUSTRY INC

Enter d/b/a if applicable:

**The Disclosing Party submitting this EDS is:**

the Applicant

**B. Business address of the Disclosing Party:**

8933 western way  
suite 18  
Jacksonville, FL 32256  
United States

**C. Telephone:**

773-844-4587

**Fax:**

773-601-0532

**Email:**

MOHAMED.BOUKHALFA@SIEMENS.COM

**D. Name of contact person:**

Mr. mohamed BOUKHALFA

E. Federal Employer Identification No. (if you have one):

13-2762488

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains:

maintenance and technical support of the ATS at O'hare airport

Which City agency or department is requesting this EDS?

DEPT OF PROCUREMENT SERVICES

Specification Number

B29295503

Contract (PO) Number

15105

Revision Number

Release Number

User Department Project Number

department of Aviation

## **SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS**

### **A. NATURE OF THE DISCLOSING PARTY**

1. Indicate the nature of the Disclosing Party:

Privately held business corporation

Is the Disclosing Party incorporated or organized in the State of Illinois?

No

State or foreign country of incorporation or organization:

DELAWARE

Registered to do business in the State of Illinois as a foreign entity?

Yes

**B. DISCLOSING PARTY IS A LEGAL ENTITY:**

**1.a.1 Does the Disclosing Party have any directors?**

Yes

**1.a.3 List below the full names and titles of all executive officers and all directors, if any, of the entity. Do not include any directors who have no power to select the entity's officers.**

**Officer/Director:** Mr. DARYL DULANEY

**Title:** PRESIDENT AND CEO

**Role:** Both

---

**Officer/Director:** Mr. AXEL MEIR

**Title:** VP AND CFO

**Role:** Both

---

**Officer/Director:** Mr. RUSSWURM SIEGFRIED

**Title:** CHAIRMAN

**Role:** Director

---

**Officer/Director:** Mr. DAN HISLIP

**Title:** GENERAL COUNSEL AND SECRETARY

**Role:** Director

---

**Officer/Director:** Mr. HANNES APITZCH

**Title:** DIRECTOR

**Role:** Director

---

**Officer/Director:** Mr. ROLAND BUSCH

**Title:** DIRECTOR

**Role:** Director

---

**Officer/Director:** Mr. ERIC ALAN SPIEGEL

**Title:** DIRECTOR

**Role:** Director

---

**Officer/Director:** Mr. KLAUS STEGEMANN

**Title:** DIRECTOR

**Role:** Director

---

**Officer/Director:** Mr. THOMAS RALF  
**Title:** DIRECTOR  
**Role:** Director

---

## 2. Ownership Information

Please provide ownership information concerning each person or entity having a direct or indirect beneficial interest in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate, or other similar entity. Note: Pursuant to Section 2-154-030 of the Municipal code of Chicago, the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

- Siemens Corporation - 100%
  - Siemens USA Holdings - 100%

### Owner Details

Name	Address
Siemens Corporation	527 Madison Avenue New York, NY 10022 United States
Siemens USA Holdings	527 Madison Avenue 8th Floor New York, NY 10022 United States

## **SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS**

Has the Disclosing Party had a "business relationship," as defined in [Chapter 2-156 of the Municipal Code](#), with any City elected official in the 12 months before the date this EDS is signed?

No

## **SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES**

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

1. Has the Disclosing Party retained any legal entities in connection with the Matter?

No

3. Has the Disclosing Party retained any persons in connection with the Matter?

No

## **SECTION V -- CERTIFICATIONS**

### **A. COURT-ORDERED CHILD SUPPORT COMPLIANCE**

Under [Municipal Code Section 2-92-415](#), substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage of any child support obligations by any Illinois court of competent jurisdiction?

No

### **B. FURTHER CERTIFICATIONS**

1. Pursuant to [Municipal Code Chapter 1-23](#), Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if



the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows:

- i. neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and
- ii. the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City.

NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

I am unable to certify the above to be true

Explain :

SEE ATTACHMENT

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

I am unable to certify the above to be true

Explain :

SEE ATTACHMENT

3. Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

I am unable to certify the above to be true

Explain :

WE ARE USING TWO MBE/ WBE CONTRACTORS AND WE COULD NOT VERIFY THAT THE ABOVE IS TRUE: TECHSERV CORP (WBE), CITY OF CHICAGO ID # 1064737 INDUSTRIA INC ( MBE), CITY OF CHICAGO ID # 1042881

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of

- bid-rigging in violation of 720 ILCS 5/33E-3;
- bid-rotating in violation of 720 ILCS 5/33E-4; or
- any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

I certify the above to be true

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

I certify the above to be true

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), Chapter 2-56 (Inspector General) and Chapter 2-156 (Governmental Ethics) of the Municipal Code.

I certify the above to be true

7. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago.

None

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient.

None

#### C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

The Disclosing Party certifies that, as defined in Section 2-32-455(b) of the Municipal Code, the Disclosing Party

is not a "financial institution"

#### D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

No

#### E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

If the Disclosing Party cannot make this verification, the Disclosing Party must disclose all required information in the space provided below or in an attachment in the "Additional Info" tab. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

I can make the above verification

#### **SECTION VI -- CERTIFICATIONS FOR FEDERALLY-FUNDED MATTERS**

Is the Matter federally funded? For the purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

No

#### **SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE**

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

- B. The City's Governmental Ethics and Campaign Financing Ordinances, [Chapters 2-156 and 2-164](#) of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. A training program is available on line at [www.cityofchicago.org/city/en/depts/ethics.html](http://www.cityofchicago.org/city/en/depts/ethics.html), and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

I acknowledge and consent to the above

The Disclosing Party understands and agrees that:

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of [Chapter 1-23 of the Municipal Code](#) (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by [Chapter 1-23 and Section 2-154-020 of the Municipal Code](#).

I acknowledge and consent to the above

The Disclosing Party represents and warrants that:



F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

I am unable to certify the above to be true

Explain :

NOT BEEN VERIFIED

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.

I am unable to certify the above to be true

Explain :

NOT BEEN VERIFIED

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

I am unable to certify the above to be true

Explain :

NOT BEEN VERIFIED

## **FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS**

This question is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.



Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all corporate officers of the Disclosing Party, if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

No

## **ADDITIONAL INFO**

Please add any additional explanatory information here. If explanation is longer than 1000 characters, you may add an attachment below. Please note that your EDS, including all attachments, becomes available for public viewing upon contract award. Your attachments will be viewable "as is" without manual redaction by the City. You are responsible for redacting any non-public information from your documents before uploading.

SEE ATTACHMENT

List of vendor attachments uploaded by City staff

None .

List of attachments uploaded by vendor

FOR ALL THE QUESTIONS WHICH WE COULD NOT CERTIFY THAT THEY ARE TRUE OR NOT BEEN VERIFIED

**CERTIFICATION**

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City.

/s/ 06/06/2012

Mr. mohamed BOUKHALFA  
PROJECT MANAGER  
SIEMENS INDUSTRY INC

This is a printed copy of the Economic Disclosure Statement, the original of which is filed electronically with the City of Chicago. Any alterations must be made electronically, alterations on this printed copy are void and of no effect.

**Attachment**

**Siemens Industry, Inc.**

**City of Chicago Economic Disclosure Statement**

**Additional Information**

Siemens Industry, Inc. submits this attachment as a supplement to the City of Chicago- Economic Disclosure Statement. Please note that this document primarily reflects information related only to Siemens Industry, Inc. and not to its affiliates. Siemens Industry, Inc. and its affiliates are part of a large corporate enterprise, with numerous directly or indirectly controlled or controlling affiliates, conducting various disparate businesses in multiple jurisdictions, and employing over 69,000 employees in the United States. Information from Siemens Industry, Inc. affiliates regarding issues not material to the business Siemens Industry, Inc. is generally not centrally maintained by Siemens Industry, Inc. As a result, Siemens Industry, Inc. cannot ensure the completeness of such information.

**Answers**

**Section V. Question B. 1**

**Siemens Industry, Inc. formerly Siemens Building Technologies, Inc. ("SBT")**

On June 27, 2008, a former general manager of SBT Baltimore office pled guilty in Baltimore County Circuit Court to a misdemeanor for conspiring to bribe the manager of the University of Maryland Baltimore County ("UMBC") Construction Services. This plea results from an investigation by the Maryland Attorney General's Office (the "Maryland AG") into corruption at UMBC. UMBC employees regularly demanded and obtained cash and gifts from contractors. The former SBT employee received a two-year suspended sentence, two years of supervised probation, community service and a \$5,000 fine. The Maryland AG has informed SBT that no other SBT employees will be charged and that SBT is not a target of the investigation.

**Section V. Question B. 2 b**

Please also answer to Section V. Question B. 1

**Section V. Question B. 2 e**

Siemens is a multi-billion dollar company involved in wide ranging construction projects. As such SBT has been involved in miscellaneous litigation (e.g., collection of fees, workers' compensation, etc.) arising out of its business, none of which are of a material nature, individually or collectively, as to adversely impact its ability to completely and satisfactorily perform any of its projects.

**Section V. Question B. 3**

**Although Siemens Medical Solutions is not an "Affiliate Entity" of the submitting vendor, in the spirit of good faith disclosures, please find the following information:**

**Siemens Medical Solutions USA, Inc.**

On February 8, 2007, Siemens Medical Solutions, Inc., ("SMS"), pleaded guilty to a single federal criminal charge of obstruction of justice in connection with 2001 civil litigation that followed a competitive bid to provide radiology equipment to Cook County Hospital, located in Illinois, in 2000. On May 22, 2007, SMS was sentenced and ordered to pay a fine of \$1 million and restitution of approximately \$1.5 million. No probation was ordered. On February 27, 2007, two Siemens employees pleaded guilty to federal criminal charges in connection with the 2000-2001 civil litigation and bid. On February 28, 2008, the two employees were sentenced to probation, a fine and community service. Neither individual is currently employed by SMS, its parent or any of its affiliates.

**Diagnostics Products Corporation:**

Diagnostics Products Corporation (DPC) (an entity acquired by Siemens Medical Solutions USA, Inc (SMS) on July 27, 2006) discovered that certain improper payments had been made in China by certain employees of its wholly owned Chinese subsidiary, and which extended over a period ending in 2002. DPC promptly investigated and disclosed these to the Securities and Exchange Commission (SEC) and the Department of Justice (DOJ). In May, 2005, DPC resolved these issues with both the SEC and the DOJ (i) by paying an aggregate of approximately \$4.8 million to those agencies (consisting of \$2.0 million in fines and approximately \$2.8 million in disgorgement of profits and related interest charges) and agreeing to a cease and desist order with the SEC and (ii) by DPC's Chinese subsidiary pleading guilty to violations of the United States Foreign Corrupt Practices Act (FCPA) and agreeing to take certain actions. All such events, and the resolution thereof, occurred prior to the date that DPC was acquired by SMS. This RFP response does not include any services from DPC.

**Although Siemens AG is an indirect owner of the submitting vendor, in the spirit of good faith disclosures, please find the following information:**

**Siemens AG**

On December 15, 2008, Siemens AG, a corporation organized under the laws of the Federal Republic of Germany, entered a plea of guilty to criminal charges of violating the accounting provisions of the Foreign Corrupt Practices Act ("FCPA"). On the same day, three non-U.S. subsidiaries of Siemens AG each entered pleas of guilty to criminal charges for conspiracy to violate certain provisions of the FCPA. Also on the same day, Siemens AG entered into a Consent Decree with the U.S. Securities and Exchange Commission ("SEC") for violations of the FCPA, and also settled administrative charges with the Munich Public Prosecutor for failure to supervise its employees. Siemens paid over \$1.9 billion in fines and disgorgement to U.S. and German authorities in connection with the settlements and related tax matters. On December 9, 2008, the Defense Logistics Agency ("DLA"), the U.S. Government agency responsible for conducting a responsibility review of Siemens AG and its respective subsidiaries in light of the FCPA conviction, concluded that due to Siemens' cooperation in the U.S. Department of Justice ("DOJ") and SEC investigations, and its remedial actions, corporate cleansing, and the enhancement of internal controls and compliance procedures, Siemens AG is a "presently reliable and responsible company" and "it is not necessary to exclude Siemens from [U.S.] Government contracting." Also in connection with the settlements, the DOJ stated that Siemens AG and its subsidiaries demonstrated "extraordinary cooperation" during the government investigations and engaged in what the DOJ viewed as "extraordinary remediation and self-cleaning efforts." Letters from the DOJ and DLA are attached.

On March 9, 2009, Siemens received a decision by the Vendor Review Committee of the United Nations Secretariat Procurement Division (UNPD) suspending Siemens AG from the UNPD vendor database for a minimum period of six months. The suspension applies to contracts with the UN Secretariat and stems from Siemens' guilty plea in December 2008 to violations of the U.S. Foreign Corrupt Practices Act. At the end of the suspension period, the UNPD will review its decision and determine whether Siemens' eligibility for registration in the UNPD vendor database will be reinstated. On January 14, 2011, the suspension was lifted.

On July 1, 2009, Siemens AG entered into a global settlement with the World Bank in connection with the World Bank's investigation into corruption by Siemens and specifically in a project in Russia involving a non-U.S. subsidiary of Siemens. In connection with the settlement, Siemens AG agreed to make a \$100 million contribution to fight corruption by funding projects and organizations with anti-corruption agendas. Siemens AG also agreed to a two-year voluntary restraint by Siemens AG and its consolidated subsidiaries and affiliates from bidding on or otherwise participating in World Bank projects, as well as a four-year debarment of the Siemens AG subsidiary involved in the World Bank project at issue in Russia.



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
06/08/2012

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

<b>PRODUCER</b> MARSH USA, INC. 445 SOUTH STREET MORRISTOWN, NJ 07960-6454		<b>CONTACT NAME:</b> PHONE (A/C, No. Ext): E-MAIL ADDRESS:		FAX (A/C, No):	
100129-MOBI-11/12                      MOBI    SHAM		<b>INSURER(S) AFFORDING COVERAGE</b>			
<b>INSURED</b> SIEMENS INDUSTRY INC. INCLUDING: MOBILITY DIVISION 1000 DEERFIELD PARKWAY BUFFALO GROVE, IL 60089-4513		<b>INSURER A :</b> HDI-Gerling America Insurance Company		NAIC # 41343	
		<b>INSURER B :</b> Liberty Mutual Fire Ins Co		23035	
		<b>INSURER C :</b> Liberty Insurance Corporation		42404	
		<b>INSURER D :</b>			
		<b>INSURER E :</b>			
		<b>INSURER F :</b>			

**COVERAGES**                      **CERTIFICATE NUMBER:** NYC-005725266-23                      **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDLSUBR INSR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	GENERAL LIABILITY <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC		GLD11101-03	10/01/2011	10/01/2012	EACH OCCURRENCE	\$ 1,000,000
						DAMAGE TO RENTED PREMISES (Ea occurrence)	\$ 1,000,000
						MED EXP (Any one person)	\$ 100,000
						PERSONAL & ADV INJURY	\$ 1,000,000
						GENERAL AGGREGATE	\$ 7,500,000
						PRODUCTS - COMP/OP AGG	\$ INCL
							\$
B	AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input checked="" type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS		AS2-631-004334-211	10/01/2011	10/01/2012	COMBINED SINGLE LIMIT (Ea accident)	\$ 2,000,000
						BODILY INJURY (Per person)	\$ N/A
						BODILY INJURY (Per accident)	\$ N/A
						PROPERTY DAMAGE (Per accident)	\$ N/A
							\$
A	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED    RETENTION \$		CUD11102-03	10/01/2011	10/01/2012	EACH OCCURRENCE	\$ 4,000,000
						AGGREGATE	\$ 4,000,000
							\$
C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N N	WA7-63D-004334-011 (AOS) WC7-631-004334-021 (OR, WI)	10/01/2011 10/01/2011	10/01/2012 10/01/2012	<input checked="" type="checkbox"/> WC STATU-TORY LIMITS <input type="checkbox"/> OTH-ER	
		N/A				E.L. EACH ACCIDENT	\$ 1,000,000
						E.L. DISEASE - EA EMPLOYEE	\$ 1,000,000
						E.L. DISEASE - POLICY LIMIT	\$ 1,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)  
THE CITY OF CHICAGO IS HEREBY ADDITIONAL INSURED AS OBLIGATED UNDER CONTRACT.

### CERTIFICATE HOLDER

### CANCELLATION

THE CITY OF CHICAGO ATTN: DEPARTMENT OF PURCHASING 121 N. LASALLE STREET CHICAGO, IL 60602	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.  AUTHORIZED REPRESENTATIVE of Marsh USA Inc.  Manashi Mukherjee <i>Manashi Mukherjee</i>
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## Contract Summary Sheet

**Contract (PO) Number:** 15105

**Specification Number:** B29295503

**Name of Contractor:** SIEMENS TRANSPORTATION SYSTEM,

**City Department:** DEPT OF AVIATION

**Title of Contract:** Maintenance and Technical Support of the ATS

**Term of Contract: Start Date:** 7/1/2007

**End Date:** 6/30/2010

**Dollar Amount of Contract (or maximum compensation if a Term Agreement) (DUR):**  
\$7,671,676.80

**Brief Description of Work:** Maintenance and Technical Support of the ATS

**Procurement Services Contract Area:** PRO SERV-AVIATION

*Please refer to the DPS website for Contact information under "Doing Business With The City".*

**Vendor Number:** 1071949.

**Submission Date:** AUG 22 2007

**Specification No.: B2929550**

**P.O. No.: 1510**

**Vendor No.: 107194**

**PROFESSIONAL SERVICES AGREEMENT**

**BETWEEN**

**THE CITY OF CHICAGO  
DEPARTMENT OF AVIATION**

**AND**

**SIEMENS TRANSPORTATION SYSTEMS, INC**



**For  
Maintenance and Technical Support of the  
Airport Transit System (ATS) at  
O'Hare International Airport**

**RICHARD M. DALEY  
MAYOR**

**Barbara A. Lumpkin  
Chief Procurement Officer**




Procurement Type: Modification to extend time

Duration: 184 days from 6/30/2012 to 12/31/12 or until award of new contract, whichever comes first

Estimated Cost: \$1,050,672

Funding Source: 740 85 4020 0157 0157

User Contact: Marcos Fernandez  Phone: (773) 894-2085

User Managing Deputy: Khaled Naja Phone: (773) 462-7311

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