

CSR Qingdao Sifang Co. Ltd.

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

NON-COLLUSION AFFIDAVIT

It shall be understood that any offer submitted to the MBTA is made without collusion with any other Offeror submitting an offer on the same commodity/service, and is in all respects fair and without fraud.

STATE OF Shandong, China

Date: May 07, 2014

COUNTY OF Qingdao S.S.

The undersigned being duly sworn, deposes and says that he/she is the

Duty Authorized Official

(Sole Owner; Partner, President, Treasurer, or Other Duty Authorized Official of a Corporation)

of CSR Qingdao Sifang CO., LTD

(Name of Firm as Appearing in Submitted Proposal)

and works in Qingdao

(City/Town)

and certifies under penalties of perjury that this proposal is in all respects bona fide, fair and made without collusion or fraud with any other person. As used in this paragraph the word "person" shall mean any natural person, joint venture, partnership, corporation or other business or legal entity.

马强

MA QIANG

Assistant Director, Marketing Department, Overseas Business Division
(Signature and Title of Person Making Affidavit)

Sworn to before me this _____ day of _____, 20__

Notary Public: (SEE ATTACHED CA NOTARY CERTIFICATE)

My commission expires: _____

CALIFORNIA JURAT WITH AFFIANT STATEMENT

GOVERNMENT CODE § 8202

- ☒ See Attached Document (Notary to cross out lines 1-6 below)
☐ See Statement Below (Lines 1-6 to be completed only by document signer[s], *not* Notary)

 Signature of Document Signer No. 1

 Signature of Document Signer No. 2 (if any)

State of California

County of ALAMEDA

Subscribed and sworn to (or affirmed) before me

on this 7TH day of MAY, 2014
Date Month Year

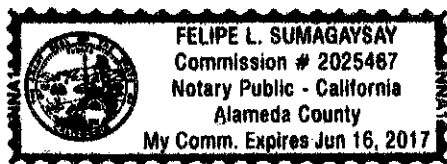
by
 (1) QIANG MA
Name of Signer

proved to me on the basis of satisfactory evidence
 to be the person who appeared before me (.) ☒
 (and

(2) _____
Name of Signer

proved to me on the basis of satisfactory evidence
 to be the person who appeared before me.)

Signature _____
Signature of Notary Public



Place Notary Seal Above

OPTIONAL

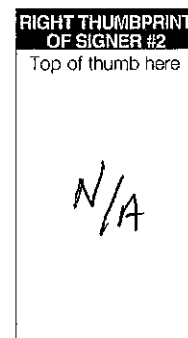
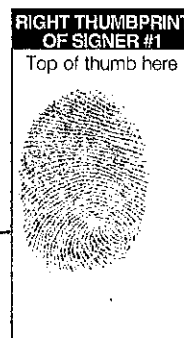
*Though the information below is not required by law, it may prove valuable
 to persons relying on the document and could prevent fraudulent removal
 and reattachment of this form to another document.*

Further Description of Any Attached Document

Title or Type of Document: NON-COLLUSION AFFIDAVIT

Document Date: MAY 7, 2014 Number of Pages: 1

Signer(s) Other Than Named Above: NONE



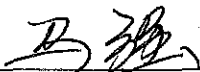
SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

CONFLICT OF INTEREST CERTIFICATION

The undersigned hereby certifies that the Offeror shall comply with the Massachusetts Conflict of Interest Laws, M.G.L. c. 268A, and with the Conflict of Interest terms stated in Section C7.03.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

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ASSURANCE OF ADHERENCE

By execution below, the Offeror hereby offers to furnish equipment and services in accordance with the Contract as indicated herein:

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: _____

May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
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PERFORMANCE GUARANTEE

The undersigned hereby certifies that the Offeror shall provide a Performance Guarantee in the form of an Irrevocable Stand-By Letter of Credit in the amount of Thirty Percent (30%) of the Total Base Contract Price in accordance with Section C3.03B. Statement from Banking Institute to be attached herein. The form of the letter provided by the Banking Institute shall be in substantial form as set forth in Section E.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

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INSURANCE REQUIREMENTS

The undersigned hereby certify that the Offeror shall provide full compliance with the Insurance Requirements provision in accordance with Section C3.05.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

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DOMESTIC U.S. CONTENT REQUIREMENT

The Offeror hereby certifies that it will comply with the Domestic U.S. Content Requirements set forth in Section C7.17.

NOTE: If the Offeror fails to demonstrate that it is in compliance with the Domestic U.S. Content Requirements set forth in Section C7.17, it will be required to take the necessary steps in order to achieve compliance. If the Offeror takes these necessary steps, it will not be allowed to change its original offered price or the price of its final offer. If an Offeror does not take the necessary steps, it will not be awarded the contract. Once the Contract has been awarded, the Contractor's failure to take the necessary steps will be considered a breach of the Contract.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

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DOMESTIC U.S. CONTENT WORKSHEET

At least 60% of the total cost of rolling stock components and subcomponents must be Domestic U.S. Content or covered by a current FTA waiver as provided in Section C7.17.

Components

Component (Name/ Description)	Manufacturer (Name / Address)	Domestic/ Foreign	Covered by Current FTA Waiver?	% of Domestic Content
Propulsion(include gear box/Coupling)	Toyo Denki/2507 Lovi Rd. Freedom, PA 15042	US	NO	<u>21.16%</u> of Total Content
Trucks and Major Truck Components(not include wheelsets/propulsion/brake/gear box /Coupling)	Bradken/12200 NW Ambassasor Drive, Suite 647, Kansas City, MO, 64163	US	NO	<u>10.20%</u> of Total Content
Auxiliary Power(not include Battery)	Toyo Denki/2507 Lovi Rd. Freedom, PA 15042	US	NO	<u>5.60%</u> of Total Content
HVAC	Faiveley/50 Beechtree Boulevard, PO Box 9377, Greenville, SC 29604	US	NO	<u>5.58%</u> of Total Content
Couplers	Dellner/8334-H Arrowridge Blvd, Charlotte, NC 28273	US	NO	<u>6.97%</u> of Total Content
Wheel sets	UTC RAS/501 Highland Avenue Morton, PA 19070	US	NO	<u>1.32%</u> of Total Content
Air Brake Equipment and Controls	Faiveley/50 Beechtree Boulevard, PO Box 9377, Greenville, SC 29604	US	NO	<u>4.67%</u> of Total Content
Cab Signal Equipment	Ansaldo STS/ASTS USA Manufacturing & Service Center, Batesburg, SC	US	NO	<u>1.89%</u> of Total Content
Door Systems	Faiveley/50 Beechtree Boulevard, PO Box 9377, Greenville, SC 29604	US	NO	<u>5.60%</u> of Total Content
Cab Seats	USSC/2021 The Alameda,Suite 295 San Jose, CA 95126	US	NO	<u>0.12%</u> of Total Content

Component (Name/ Description)	Manufacturer (Name / Address)	Domestic/ Foreign	Covered by Current FTA Waiver?	% of Domestic Content
Passenger Seats	Freedman/4545 W. Augusta Blvd, Chicago, IL 60651	US	NO	<u>0.97%</u> of Total Content
Vehicle Monitoring System	Toyo Denki/2507 Lovi Rd. Freedom, PA 15042	US	NO	<u>4.51%</u> of Total Content
Communications Equipment including LED and LCD Signage	RLC/LLC 10V Gill Street, Wobum, MA 01801	US	NO	<u>5.90%</u> of Total Content
Lighting	Trans-Lite 120 Wampus Lane Milford, CT 06460	US	NO	<u>1.27%</u> of Total Content

Subcomponents

For each Component identified as Domestic U.S. Content above, provide the information in the table below.

Subcomponent (Name/ Description)	Manufacturer (Name / Address)	Domestic/ Foreign	Covered by Current FTA Waiver?	% of Domestic Content
				____% of Total Content
				____% of Total Content
				____% of Total Content

(Attach additional sheets as necessary.)

TOTAL 75.76 % Domestic Content of Total Cost of Rolling Stock Components

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FINAL ASSEMBLY OF PRODUCTION (NON-PILOT) VEHICLES IN MASSACHUSETTS

The undersigned hereby certifies that it will comply with the requirement of Section C7.18 with regard to Final Assembly of Production (Non-Pilot) Vehicles in Massachusetts.

If the undersigned's anticipated final assembly operations, processes and measures it will use in connection with the Production Vehicles delivered under the Contract differ from or do not include at a minimum all operations, processes and measures listed in the definition of Final Assembly in Section C7.18, the undersigned certifies that it has included in its proposal an explanation as to why the undersigned believes that its final assembly satisfies the general requirement of final assembly of all Production Vehicles in Massachusetts, and seeks a determination from the Authority that its proposal satisfies the general requirement in Section C7.18 that final assembly of all production vehicles take place in Massachusetts. The undersigned understands that its proposal may be rejected by the Authority as non-compliant.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 马强

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

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SECURITY REQUIREMENTS CERTIFICATION

The undersigned hereby certifies that the Offeror, if awarded this Contract, shall comply with the MBTA's Security Requirements as stated in Section C7.11 of the Agreement.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: _____

马强

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: _____

May 10, 2014

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RIGHT-OF-WAY SAFETY TRAINING REQUIREMENTS CERTIFICATION

The undersigned hereby certifies that the Offeror, if awarded this Contract, shall be in full compliance with the MBTA Right-of-Way Safety Awareness Training Requirements as stated in the Agreement.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: _____

May 10, 2014

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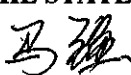
CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS

The Offeror certifies to the best of its knowledge and belief, that it, and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal, State or local department or agency.
2. Have not within a three-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification; and
4. Have not within a three-year period preceding this offer had one or more public transactions (Federal, State or local) terminated for cause of default.

If the Offeror is unable to certify to any of the statements in this certification with respect to it or its principals, the Offeror shall attach an explanation to this certification).

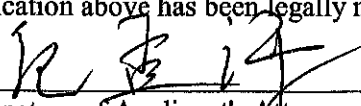
THE OFFEROR CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

Offeror:  Assistant Director, Marketing Department
Overseas Business Division
Signature and Title of Authorized Official

The undersigned chief legal counsel for the CSR Qingdao Sefang Co., Ltd. hereby certifies
(Offeror)

that the Ma Qiang has authority under State and local law to comply with
(Authorized Official)

the subject assurances and that the certification above has been legally made.


Signature of Applicant's Attorney

May 01, 2014
Date

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
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CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
CONTINUED

"INSTRUCTIONS FOR CERTIFICATION"

Primary Covered Transactions

1. By signing and submitting this Proposal the Offeror is providing the certification on the preceding page.
2. The inability of a person to provide the certification will not necessarily result in denial of participation in this covered transaction. The Offeror shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the Authority's determination whether to enter into this transaction. However, failure of the Offeror to furnish a certification or an explanation shall disqualify such a person from participation in this transaction.
3. The certification is a material representation of fact upon which reliance was placed when the Authority determined to enter into this transaction. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Authority, the Authority may terminate this transaction for cause of default.
4. The Offeror shall provide immediate written notice to the Authority if at any time the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The Offeror agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Authority.
6. The Offeror further agrees by submitting this proposal that it will include the clause titled "Certification regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction", without modification, in all lower tier covered transactions and in all solicitations for lowered tier covered transactions.
7. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Authority, the Authority may terminate this transaction for cause or default.

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CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS FOR LOWER TIER PARTICIPANT

The Offeror, as the Primary Participant, hereby certifies that the attached Lower Tier Participant Certification Regarding Debarment, Suspension and Other Responsibility Matters, as noted on the two following pages, shall be duly executed, and shall remain on file with the Offeror in accordance with the Contract Provisions as if stated herein.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
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INTELLECTUAL PROPERTY LICENSE AGREEMENT CERTIFICATION

The undersigned hereby certifies that the Contractor and its related subsuppliers/subcontractors/agents will execute and adhere to a software escrow agreement and comply with the provisions of Section C5.11 as noted and defined therein and shall comply with the Contract Specification No. VE-10-036 and all other general terms and conditions.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: _____

May 07. 2014

SECTION B
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CERTIFICATION OF COMPLIANCE WITH REGULATION 102 CMR 12.00
DEPENDENT CARE ASSISTANCE PROGRAM INCLUDING CHILD CARE

The undersigned hereby certifies that the Offeror is in compliance with Section 7 of Chapter 521 of the Acts of 1990, as amended by Chapter 329 of the Acts of 1991, and the regulations issued pursuant thereto, 102 CMR 12.00, and that the Offeror is either a qualified employer having fifty (50) or more full time employees and has established a dependent care assistance program, or offers its employees child care tuition assistance or on-site or near site subsidized child care placements, or is an exempt employer.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

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PART B TECHNICAL PROPOSAL AND STATEMENTS AND
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PROHIBITED USE OF UNDOCUMENTED WORKERS CERTIFICATION

The Offeror agrees to comply with Massachusetts Executive Order 481, which applies to all state agencies in the Executive Branch, including all executive offices, boards, commissions, agencies, departments, divisions, councils, bureaus, and offices, now existing and hereafter established. As it is the policy of the Executive Branch to prohibit the use of undocumented workers in connection with the performance of state contracts, all contracts entered into after February 23, 2007 require that contractors, as a condition of receiving Commonwealth funds under any Executive Branch contract, make the following certification:

CERTIFICATION:

As evidenced by the signature of the Offeror's Authorized Signatory below, the Offeror certifies under the pains and penalties of perjury that the Offeror shall not knowingly use undocumented workers in connection with the performance of all Executive Branch contracts; that pursuant to federal requirements, the Offeror shall verify the immigration status of all workers assigned to such contracts without engaging in unlawful discrimination; and that the Offeror shall not knowingly or recklessly alter, falsify, or accept altered or falsified documents from any such worker(s). The Offeror understands and agrees that breach of any of these terms during the period of each contract may be regarded as a material breach, subjecting the Offeror to sanctions, including but not limited to monetary penalties, withholding of payments, contract suspension or termination.

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

The Offeror is required to sign this Certification only once and may provide a copy of the signed Certification for any contract executed with an Executive Branch Department. A copy of this signed Certification must be attached to the "record copy" of all contracts with this Offeror that are filed with the contracting Department.

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CERTIFICATION REGARDING COMPANIES DOING BUSINESS
WITH OR IN NORTHERN IRELAND

Pursuant to M.G.L. c.7 §§ 22C-F, the undersigned, being an authorized representative of the Offeror, hereby certifies under the pains and penalties of perjury that (check applicable item):

1. ☒ The Offeror does not employ ten (10) or more employees in an office or other facility located in Northern Ireland.
2. ☐ The Offeror does employ ten (10) or more employees in an office or other facility located in Northern Ireland and certifies that:
 - (a) ☐ The Offeror does not discriminate in employment, compensation, or the terms, conditions and privileges of employment on account of religious or political belief; and
 - (b) ☐ The Offeror promotes religious tolerance within the work place, and the eradication of any manifestations of religious and other illegal discrimination; and
 - (c) ☐ The Offeror is not engaged in the manufacture, distribution or sale of firearms, munitions, including rubber or plastic bullets, tear gas, armored vehicles or military aircraft for use or deployment in Northern Ireland.
3. ☐ The Offeror does not certify to either 1 or 2(a-c) above.

Signed under the pains and penalties of perjury:

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2014

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MBTA RETIREE CERTIFICATION

In accordance with Section 3.3 of the MBTA Hiring of MBTA Retirees Policy dated June 5, 2009, THE CONTRACTOR IS REQUIRED TO NOTIFY THE MBTA THAT AN MBTA RETIREE HAS BEEN INCLUDED AS A MEMBER OF ITS TEAM.

Every contractor is required to notify the MBTA as part of the bidding process that an MBTA retiree will be included as a member of its team. The contractor shall be required to provide the name and date of retirement for each MBTA retiree on the team. Every MBTA retiree working for the MBTA under this condition shall do so in accordance with M.G.L., c 268A, Section 5.

Project Name: RFP No. CAP 27-10 – Proposal for New Orange and Red Line Vehicles

Is a MBTA Retiree(s) presently included as a member of the team?

Yes _____ No ✓

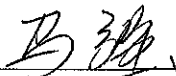
If you responded "yes" to the above question, the Contractor certifies that the following MBTA Retirees are assigned to the team for this contract.

Firm Name
(Please Print)

Retiree Name

MBTA Retirement Date

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 07, 2014

If additional space is required, please enclose attachments to be included with your proposal.

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(re: Section C5.15F notes the minimum "Major Equipment" suppliers to be listed. Additional suppliers, if known, should be provided)

Name	Address	Domestic(D) Foreign(F)	Assignments	M/WBE Status
Toyo Denki	2507 Lovi Rd. Freedom, PA 15042	D	Propulsion	
ABB	7878 N 16th St, Phoenix, AZ 85020	D	Propulsion	
Columbus Castings	2211 Parsons Avenue Columbus, OH 43207	D	Trucks and Major Truck Components	
Bradken	12200 NW Ambassadors Drive, Suite 647, Kansas City, MO, 64163	D	Trucks and Major Truck Components	
Toyo Denki	2507 Lovi Rd. Freedom, PA 15042	D	Auxiliary Power Supply	
ABB	7878 N 16th St, Phoenix, AZ 85020	D	Auxiliary Power Supply	
Transtech	709 Augusta Arbor Way, Piedmont, SC 29673	D	Auxiliary Power Supply	
Feiveley	50 Beechtree Boulevard, PO Box 9377, Greenville, SC 29604	D	Auxiliary Power Supply	
GE Transportation	2712 S. Dillingham, Grain Valley, Mo, 64029	D	Auxiliary Power Supply	
Toyo Denki	2507 Lovi Rd. Freedom, PA 15042	D	Low Voltage DC Power	
ABB	7878 N 16th St, Phoenix, AZ 85020	D	Low Voltage DC Power	
Transitair	One William K. Jackson LaneHornell, New York 14843	D	HVAC	
Faiveley	709 Augusta Arbor Way, Piedmont, SC 29673	D	HVAC	
CSR Qingdao Sifang Co., Ltd.	88 Jinhongdong Road, Chengyang District, Qingdao 266111, China	F	Carbody	
Wabtec Passenger Transit	130 Ridgeview Center Drive, Duncan, SC 29334	D	Couplers	

Name	Address	Domestic(D) Foreign(F)	Assignments	M/WBE Status
Dellner	8334-H Arrowridge Blvd, Charlotte, NC 28273	D	Couplers	
Wabtec Passenger Transit	30 Ridgeview Center Drive, Duncan, South Carolina, 29334	D	Draft Gear	
Dellner	8334-H Arrowridge Blvd, Charlotte, NC 28273	D	Draft Gear	
UTC RAS	501 Highland Avenue Morton, PA 19070	D	Wheel Sets	X
Wabtec Passenger Transit	130 Ridgeview Center Drive, Duncan, SC, 29334	D	Air Brake Equipment and Controls	
Faiveley	709 Augusta Arbor Way, Piedmont, SC 29673	D	Air Brake Equipment and Controls	
Knorr	50 Beechtree Boulevard, PO Box 9377, Greenville, SC 29604	D	Air Brake Equipment and Controls	
Ansaldo STS	ASTS USA Manufacturing & Service Center, Batesburg, SC	D	Cab Signal Equipment	
Siemens	2400 Nelson Miller Parkway Louisville, KY 40223	D	Cab Signal Equipment	
GE Transportation	2712 S. Dillingham, Grain Valley, Mo, 64029	D	Cab Signal Equipment	
Wabtec Vapor Door	130 Ridgeview Center Drive, Duncan, SC, 29334	D	Door Systems	
Ultimate Transport	30914 San Antonia St., Hayward, CA 94544	D	Door Systems	
Faiveley	709 Augusta Arbor Way, Piedmont, SC 29673	D	Door Systems	
Kustom Seating	3000 Madison Street Bellwood, Illinois 60104-2219D	D	Seats	
Ultimate Transport	30914 San Antonia St., Hayward, CA 94544	D	Seats	
Freedman	4545 W. Augusta Blvd, Chicago, IL 60651	D	Seats	
Toyo Denki	2507 Lovi Rd. Freedom, PA 15042	D	Vehicle System Monitoring	
ABB	7878 N 16th St, Phoenix, AZ 85020	D	Vehicle System Monitoring	
Woojin	5108 Azusa Canyon Rd. Irwindale, CA 91706	D	Vehicle System Monitoring	
Toyo Denki	2507 Lovi Rd. Freedom, PA 15042	D	Network Equipment and Integrator	

Name	Address	Domestic(D) Foreign(F)	Assignments	M/WBE Status
ABB	7878 N 16th St, Phoenix, AZ 85020	D	Network Equipment and Integrator	
RL Controls	LLC 10V Gill Street, Woburn, MA 01801	D	Communications Equipment including LED and LCD Signage	X
Woojin	5108 Azusa Canyon Rd. Irwindale, CA 91706	D	Communications Equipment including LED and LCD Signage	
ST Electronics	1151-6-3, Lianxi Rd., Pudong New District, Shanghai 201204, China	F	Communications Equipment including LED and LCD Signage	
Luminator	900 Klein Road Plano, Texas, 75074	D	Lighting	
SARIA	3000 Village Run Road, Unit 103#350, Wexford, PA 15090	D	Lighting	
Adrian Nameplates	PO Box 211, Essex, MA 01929	D	Decals and signs	X
Baultar	355, Parc-Industriel, Windsor (Quebec) J1S 3A9	F	Floor panels w/ covering	
SARIA	3000 Village Run Road, Unit 103#350, Wexford, PA 15090	D	Event Recorder	
Siemens	2400 Nelson Miller Parkway Louisville, KY 40223	D	Event Recorder	
Wabtec Bach Simpson	130 Ridgeview Center Drive, Duncan, SC, 29334	D	Event Recorder	

If additional space is required, please enclose attachments to be submitted with your proposal.

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

Acknowledgment of Addenda is hereby established below:

ACKNOWLEDGMENT OF ADDENDA

Addenda No.	Dated	Received
1	1/10/2014	1/10/2014
2	1/14/2014	1/14/2014
3	1/24/2014	1/24/2014
4	1/27/2014	1/27/2014
5	1/30/2014	1/30/2014
6	2/20/2014	2/20/2014
7	3/04/2014	3/04/2014
8	4/01/2014	4/01/2014
9	4/03/2014	4/03/2014
10	4/14/2014	4/14/2014

Failure to acknowledge receipt of all Addenda may cause the proposal to be considered non-responsive to the solicitation.

Acknowledgment of receipt of each Addendum must be duly established and included with this Offer (See the above table).

OFFEROR: CSR Qingdao Sifang Co., Ltd.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division

DATE: May 10, 2010



中國銀行

BANK OF CHINA NEW YORK BRANCH

TELEX: ITT 423635, WU 661723

S.W.I.F.T.: BKCH US 33

410 MADISON AVENUE
NEW YORK, NY 10017
TEL: (212) 935-3101
FAX: (212) 593-1831

BANK LETTER OF COMMITMENT FOR LETTER OF CREDIT

Re: CSR Qingdao Sifang Co., Ltd. and CSR America Inc.
MBTA Project No. CAP 27-10

To: MBTA

Dear Sirs:

This letter serves to confirm that our bank will issue an unconditional, irrevocable, nontransferable standby letter of credit in the format quoted below naming Massachusetts Bay Transportation Authority ("MBTA") as beneficiary, in the amount of USD276,000,000.00, within five (5) business days of receipt of written notice from MBTA or CSR Qingdao Sifang Co., Ltd. and CSR America Inc. that CSR Qingdao Sifang Co., Ltd. and CSR America Inc. has been selected as a successful proposer for the referenced Project.

It is further agreed that any actions arising under the letter of credit will be subject to jurisdiction and venue in the commonwealth of Massachusetts and governed by Massachusetts law. Provided that if the issuing bank has no office in Massachusetts, the letter of credit will be subject to jurisdiction and venue in the state of New York, and governed by New York law.

This letter shall remain in full force and effect until said letter of credit is delivered to MBTA in form and substance acceptable to MBTA or upon the withdrawal or termination of this letter upon ten (10) days' prior written notice to the Office of the General Counsel, MBTA.

Quote

Irrevocable and Non-transferable Standby Letter of Credit

Our Ref. No.: ///

Issue Date: ////

To: MBTA

Address:////

Whereas, CSR Qingdao Sifang Co., Ltd. and CSR America Inc. (hereinafter called 'the Seller') has been selected by you as the successful proposer under REP No. CAP 27-10 for new orange and red line vehicles and will enter into a Contract No./// with you for //// (hereinafter called the 'Contract').

And, whereas it has been stipulated by you in the said contract that the seller shall furnish you with an irrevocable and non-transferable standby letter of credit by a recognized bank for the sum of USD276,000,000.00 (say U.S. Dollars Two Hundred and Seventy Six Million Only).



中國銀行

BANK OF CHINA NEW YORK BRANCH

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410 MADISON AVENUE
NEW YORK, NY 10017
TEL: (212) 935-3101
FAX: (212) 593-1831

And whereas we, Bank of China Ltd., New York Branch, address: //// have agreed to give this irrevocable and non-transferable standby letter of credit on behalf of the seller.

Therefore, we, hereby affirm that we are the guarantor and responsible to you, on behalf of the seller, up to a total amount of USD276,000,000.00 (say U.S. Dollars Two Hundred and Seventy Six Million Only), and we undertake to pay you unconditionally and independently, upon our receipt of your first written demand in original paper form stating that the seller fails to perform its obligations under the contract and specifying in which respects the proposer is in failure and your certificate and bank draft in the attached E-2 and E-3 forms of REP No.CAP 27-10.

The amount of this irrevocable and non-transferable standby letter of credit shall be reduced to USDxxx, representing 5 percent of the contract price upon our receipt of the seller's notification in original paper form stating that he has received the final milestone payment under the contract with your prior confirmation.

For the purpose of identification, any such demand and certificate and bank draft both in original paper form should be presented to us through your bank with their confirmation that the signatures thereon are authentic and legally binding upon you.

This standby letter of credit shall be valid from the effective date of the contract and remain valid until ////(expiry date). Any demand in respect of this standby letter of credit should reach us at our counter not later than the close of our business hours on the above expiry date.

Upon expiry, our liability under this standby letter of credit shall become null and void automatically.

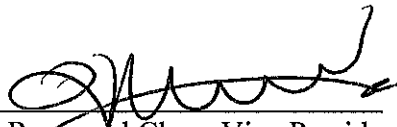
This standby letter of credit is only personal to you and is not assignable or transferable. Any actions arising under this letter of credit will be subject to jurisdiction and venue in the commonwealth of Massachusetts and governed by Massachusetts law, provided that if the issuing bank has no office in Massachusetts, the letter of credit will be subject to jurisdiction and venue in the state of New York and governed by New York law.

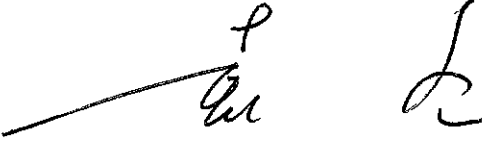
Unquote

Dated: May 9th, 2014

Very truly yours
Bank of China, New York

By:


Raymond Chan, Vice President


Yuan, Dong, Executive Vice President

CSR Americas, Inc.

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

NON-COLLUSION AFFIDAVIT

It shall be understood that any offer submitted to the MBTA is made without collusion with any other Offeror submitting an offer on the same commodity/service, and is in all respects fair and without fraud.

STATE OF Illinois

Date: May 07, 2014

COUNTY OF Cook S.S.

The undersigned being duly sworn, deposes and says that he/she is the

Duty Authorized Official

(Sole Owner; Partner, President, Treasurer, or Other Duty Authorized Official of a Corporation)

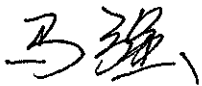
of CSR America INC

(Name of Firm as Appearing in Submitted Proposal)

and works in Chicago

(City/Town)

and certifies under penalties of perjury that this proposal is in all respects bona fide, fair and made without collusion or fraud with any other person. As used in this paragraph the word "person" shall mean any natural person, joint venture, partnership, corporation or other business or legal entity.



MA QIANG

Assistant Director, Marketing Department, Overseas Business Division, CSR Qingdao Sifang CO.,LTD
(Signature and Title of Person Making Affidavit)

Sworn to before me this _____ day of _____, 20__

Notary Public: (SEE ATTACHED CA NOTARY CERTIFICATE)

My commission expires: _____

CALIFORNIA JURAT WITH AFFIANT STATEMENT

GOVERNMENT CODE § 8202

- ☐ See Attached Document (Notary to cross out lines 1-6 below)
☐ See Statement Below (Lines 1-6 to be completed only by document signer[s], *not* Notary)

 Signature of Document Signer No. 1

 Signature of Document Signer No. 2 (if any)

State of California

County of ALAMEDA

Subscribed and sworn to (or affirmed) before me

on this 7TH day of MAY, 20 14,
Date Month Year

by
 (1) QIANG MA
Name of Signer

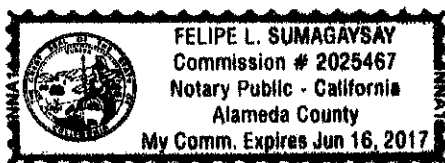
proved to me on the basis of satisfactory evidence
 to be the person who appeared before me (.) ☒

~~(and~~

(2) _____
Name of Signer

proved to me on the basis of satisfactory evidence
 to be the person who appeared before me.)

Signature _____
Signature of Notary Public



Place Notary Seal Above

OPTIONAL

*Though the information below is not required by law, it may prove valuable
 to persons relying on the document and could prevent fraudulent removal
 and reattachment of this form to another document.*

Further Description of Any Attached Document

Title or Type of Document: NON-COLLUSION AFFIDAVIT

Document Date: MAY 7, 2014 Number of Pages: 1

Signer(s) Other Than Named Above: NONE

RIGHT THUMBPRINT
 OF SIGNER #1

Top of thumb here



RIGHT THUMBPRINT
 OF SIGNER #2

Top of thumb here

N/A

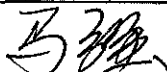
SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

CONFLICT OF INTEREST CERTIFICATION

The undersigned hereby certifies that the Offeror shall comply with the Massachusetts Conflict of Interest Laws, M.G.L. c. 268A, and with the Conflict of Interest terms stated in Section C7.03.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: _____

May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

ASSURANCE OF ADHERENCE

By execution below, the Offeror hereby offers to furnish equipment and services in accordance with the Contract as indicated herein:

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

PERFORMANCE GUARANTEE

The undersigned hereby certifies that the Offeror shall provide a Performance Guarantee in the form of an Irrevocable Stand-By Letter of Credit in the amount of Thirty Percent (30%) of the Total Base Contract Price in accordance with Section C3.03B. Statement from Banking Institute to be attached herein. The form of the letter provided by the Banking Institute shall be in substantial form as set forth in Section E.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: _____

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: _____

May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

INSURANCE REQUIREMENTS

The undersigned hereby certify that the Offeror shall provide full compliance with the Insurance Requirements provision in accordance with Section C3.05.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

DOMESTIC U.S. CONTENT REQUIREMENT

The Offeror hereby certifies that it will comply with the Domestic U.S. Content Requirements set forth in Section C7.17.

NOTE: If the Offeror fails to demonstrate that it is in compliance with the Domestic U.S. Content Requirements set forth in Section C7.17, it will be required to take the necessary steps in order to achieve compliance. If the Offeror takes these necessary steps, it will not be allowed to change its original offered price or the price of its final offer. If an Offeror does not take the necessary steps, it will not be awarded the contract. Once the Contract has been awarded, the Contractor's failure to take the necessary steps will be considered a breach of the Contract.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: _____

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: _____

May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

FINAL ASSEMBLY OF PRODUCTION (NON-PILOT) VEHICLES IN MASSACHUSETTS

The undersigned hereby certifies that it will comply with the requirement of Section C7.18 with regard to Final Assembly of Production (Non-Pilot) Vehicles in Massachusetts.

If the undersigned's anticipated final assembly operations, processes and measures it will use in connection with the Production Vehicles delivered under the Contract differ from or do not include at a minimum all operations, processes and measures listed in the definition of Final Assembly in Section C7.18, the undersigned certifies that it has included in its proposal an explanation as to why the undersigned believes that its final assembly satisfies the general requirement of final assembly of all Production Vehicles in Massachusetts, and seeks a determination from the Authority that its proposal satisfies the general requirement in Section C7.18 that final assembly of all production vehicles take place in Massachusetts. The undersigned understands that its proposal may be rejected by the Authority as non-compliant.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division, CSR Qingdao Sifang Co., Ltd.

DATE: May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

SECURITY REQUIREMENTS CERTIFICATION

The undersigned hereby certifies that the Offeror, if awarded this Contract, shall comply with the MBTA's Security Requirements as stated in Section C7.11 of the Agreement.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

RIGHT-OF-WAY SAFETY TRAINING REQUIREMENTS CERTIFICATION

The undersigned hereby certifies that the Offeror, if awarded this Contract, shall be in full compliance with the MBTA Right-of-Way Safety Awareness Training Requirements as stated in the Agreement.

OFFEROR: CSR America, Inc.

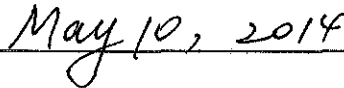
AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: _____



SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY


CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS

The Offeror certifies to the best of its knowledge and belief, that it, and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal, State or local department or agency.
2. Have not within a three-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification; and
4. Have not within a three-year period preceding this offer had one or more public transactions (Federal, State or local) terminated for cause of default.

If the Offeror is unable to certify to any of the statements in this certification with respect to it or its principals, the Offeror shall attach an explanation to this certification).

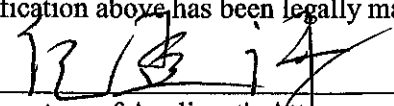
THE OFFEROR CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

Offeror:  Assistant Director, Marketing Department,
Overseas Business Division, CSR Qingdao Sifang Co., LTD.
Signature and Title of Authorized Official

The undersigned chief legal counsel for the CSR America INC hereby certifies
(Offeror)

that the Ma Qiang has authority under State and local law to comply with
(Authorized Official)

the subject assurances and that the certification above has been legally made.


Signature of Applicant's Attorney

May 01, 2014
Date

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
CONTINUED

"INSTRUCTIONS FOR CERTIFICATION"

Primary Covered Transactions

1. By signing and submitting this Proposal the Offeror is providing the certification on the preceding page.
2. The inability of a person to provide the certification will not necessarily result in denial of participation in this covered transaction. The Offeror shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the Authority's determination whether to enter into this transaction. However, failure of the Offeror to furnish a certification or an explanation shall disqualify such a person from participation in this transaction.
3. The certification is a material representation of fact upon which reliance was placed when the Authority determined to enter into this transaction. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Authority, the Authority may terminate this transaction for cause of default.
4. The Offeror shall provide immediate written notice to the Authority if at any time the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The Offeror agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Authority.
6. The Offeror further agrees by submitting this proposal that it will include the clause titled "Certification regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction", without modification, in all lower tier covered transactions and in all solicitations for lowered tier covered transactions.
7. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Authority, the Authority may terminate this transaction for cause or default.


SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS FOR LOWER TIER PARTICIPANT

The Offeror, as the Primary Participant, hereby certifies that the attached Lower Tier Participant Certification Regarding Debarment, Suspension and Other Responsibility Matters, as noted on the two following pages, shall be duly executed, and shall remain on file with the Offeror in accordance with the Contract Provisions as if stated herein.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: _____

May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

INTELLECTUAL PROPERTY LICENSE AGREEMENT CERTIFICATION

The undersigned hereby certifies that the Contractor and its related subsuppliers/subcontractors/agents will execute and adhere to a software escrow agreement and comply with the provisions of Section C5.11 as noted and defined therein and shall comply with the Contract Specification No. VE-10-036 and all other general terms and conditions.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: _____

May 27, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION OF COMPLIANCE WITH REGULATION 102 CMR 12.00
DEPENDENT CARE ASSISTANCE PROGRAM INCLUDING CHILD CARE

The undersigned hereby certifies that the Offeror is in compliance with Section 7 of Chapter 521 of the Acts of 1990, as amended by Chapter 329 of the Acts of 1991, and the regulations issued pursuant thereto, 102 CMR 12.00, and that the Offeror is either a qualified employer having fifty (50) or more full time employees and has established a dependent care assistance program, or offers its employees child care tuition assistance or on-site or near site subsidized child care placements, or is an exempt employer.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

PROHIBITED USE OF UNDOCUMENTED WORKERS CERTIFICATION

The Offeror agrees to comply with Massachusetts Executive Order 481, which applies to all state agencies in the Executive Branch, including all executive offices, boards, commissions, agencies, departments, divisions, councils, bureaus, and offices, now existing and hereafter established. As it is the policy of the Executive Branch to prohibit the use of undocumented workers in connection with the performance of state contracts, all contracts entered into after February 23, 2007 require that contractors, as a condition of receiving Commonwealth funds under any Executive Branch contract, make the following certification:

CERTIFICATION:

As evidenced by the signature of the Offeror's Authorized Signatory below, the Offeror certifies under the pains and penalties of perjury that the Offeror shall not knowingly use undocumented workers in connection with the performance of all Executive Branch contracts; that pursuant to federal requirements, the Offeror shall verify the immigration status of all workers assigned to such contracts without engaging in unlawful discrimination; and that the Offeror shall not knowingly or recklessly alter, falsify, or accept altered or falsified documents from any such worker(s). The Offeror understands and agrees that breach of any of these terms during the period of each contract may be regarded as a material breach, subjecting the Offeror to sanctions, including but not limited to monetary penalties, withholding of payments, contract suspension or termination.

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: May 10, 2014

The Offeror is required to sign this Certification only once and may provide a copy of the signed Certification for any contract executed with an Executive Branch Department. A copy of this signed Certification must be attached to the "record copy" of all contracts with this Offeror that are filed with the contracting Department.

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING COMPANIES DOING BUSINESS
WITH OR IN NORTHERN IRELAND

Pursuant to M.G.L. c.7 §§ 22C-F, the undersigned, being an authorized representative of the Offeror, hereby certifies under the pains and penalties of perjury that (check applicable item):

1. ☒ The Offeror does not employ ten (10) or more employees in an office or other facility located in Northern Ireland.
2. ☐ The Offeror does employ ten (10) or more employees in an office or other facility located in Northern Ireland and certifies that:
 - (a) ☐ The Offeror does not discriminate in employment, compensation, or the terms, conditions and privileges of employment on account of religious or political belief; and
 - (b) ☐ The Offeror promotes religious tolerance within the work place, and the eradication of any manifestations of religious and other illegal discrimination; and
 - (c) ☐ The Offeror is not engaged in the manufacture, distribution or sale of firearms, munitions, including rubber or plastic bullets, tear gas, armored vehicles or military aircraft for use or deployment in Northern Ireland.
3. ☐ The Offeror does not certify to either 1 or 2(a-c) above.

Signed under the pains and penalties of perjury:

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

MBTA RETIREE CERTIFICATION

In accordance with Section 3.3 of the MBTA Hiring of MBTA Retirees Policy dated June 5, 2009, THE CONTRACTOR IS REQUIRED TO NOTIFY THE MBTA THAT AN MBTA RETIREE HAS BEEN INCLUDED AS A MEMBER OF ITS TEAM.

Every contractor is required to notify the MBTA as part of the bidding process that an MBTA retiree will be included as a member of its team. The contractor shall be required to provide the name and date of retirement for each MBTA retiree on the team. Every MBTA retiree working for the MBTA under this condition shall do so in accordance with M.G.L., c 268A, Section 5.

Project Name: RFP No. CAP 27-10 – Proposal for New Orange and Red Line Vehicles

Is a MBTA Retiree(s) presently included as a member of the team?

Yes _____ No ✓

If you responded “yes” to the above question, the Contractor certifies that the following MBTA Retirees are assigned to the team for this contract.

Firm Name
(Please Print)

Retiree Name

MBTA Retirement Date

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: Ma Qiang

NAME (PRINTED):

Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business Division
CSR Qingdao Sifang Co., Ltd.

DATE:

May 07, 2014

If additional space is required, please enclose attachments to be included with your proposal.

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

Acknowledgment of Addenda is hereby established below:

ACKNOWLEDGMENT OF ADDENDA

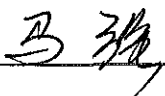
Addenda No.	Dated	Received
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Failure to acknowledge receipt of all Addenda may cause the proposal to be considered non-responsive to the solicitation.

Acknowledgment of receipt of each Addendum must be duly established and included with this Offer (See the above table).

OFFEROR: CSR America, Inc.

AUTHORIZED SIGNATURE: _____



NAME (PRINTED): Ma Qiang

TITLE: Assistant Director, Marketing Department, Overseas Business
Division, CSR Qingdao Sifang Co., Ltd.

DATE: _____

May 10, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS FOR LOWER TIER PARTICIPANT
CONTINUED

"INSTRUCTIONS FOR CERTIFICATION"

Lower Tier Covered Transactions

1. By signing and submitting this proposal the prospective lower tier participant is providing the certification on the preceding page.
2. This certification is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Authority, the Authority may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances.
4. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Authority.
5. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions", without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
6. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.
7. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
8. Except for transactions authorized under paragraph (4) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is

suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Authority, the Authority may pursue available remedies, including suspension and/or debarment.

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS FOR LOWER TIER PARTICIPANT

The Lower Tier Participant certifies by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal, State or local department or agency.

When the Lower Tier Participant is unable to certify to any of the statements in this certification, such Participant shall attach an explanation to this proposal.

THE LOWER TIER PARTICIPANT CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

LOWER TIER PARTICIPANT:

ABB INC

AUTHORIZED SIGNATURE:

Appld for Jeff Young

NAME (PRINTED):

Jeff Young

TITLE:

Chief Counsel Power Systems Division N America

DATE:

January 29, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

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LOWER TIER PARTICIPANT: Ansaldo STS USA, Inc

AUTHORIZED SIGNATURE:

NAME (PRINTED):

Marco Fumagalli

TITLE:

President & CEO

DATE:

3/10/2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

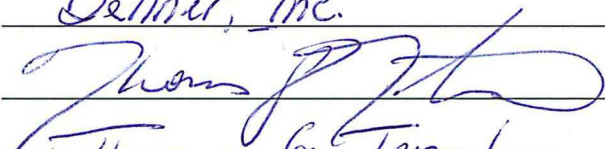
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LOWER TIER PARTICIPANT: Dellner, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Thomas G. Tarantino

TITLE: President

DATE: April 9th, 2014

Appendix F

SECTION B

PART B TECHNICAL PROPOSAL AND

STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND

OTHER RESPONSIBILITY MATTERS FOR LOWER TIER PARTICIPANT

Supplier Name:

ELLCON NATIONAL INC. (Fairley Transport)

Supplier Representative:

Hewie SAVARY - Key Account Manager - ~~Iscoer~~

System:

APS, Doors, Brakes, HVAC

Date:

01/26/2014.

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT: ELLCON NATIONAL Inc. (Fawcley Transport)

AUTHORIZED SIGNATURE: 

NAME (PRINTED): NERVE SAVARY

TITLE: Key Account Manager

DATE: 01 / 22 / 2014

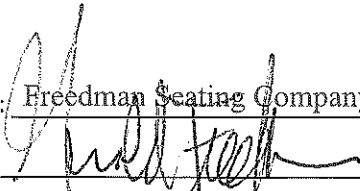
SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY
CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT: Freedman Seating Company

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Gerald Freedman

TITLE: CEO

DATE: April 16, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT: GE Transportation Systems Global Signaling, LLC

AUTHORIZED SIGNATURE: _____

NAME (PRINTED): Richard Bennett

TITLE: Sales Leader-Intelligent Transportation Solutions

DATE: March 20, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT: Knorr Brake Company, LLC

AUTHORIZED SIGNATURE:



NAME (PRINTED): Kenneth E. Towns

TITLE: Vice President, Contracts

DATE: March 10, 2014

SECTION B

**PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY**

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS FOR LOWER TIER PARTICIPANT**

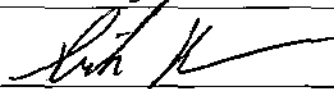
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LOWER TIER PARTICIPANT: Kustom Seating Unlimited

AUTHORIZED SIGNATURE:



NAME (PRINTED): Rick Komm

TITLE: Director of Sales and Marketing

DATE: 3/21/13

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT:

Lumigator Holding LP

AUTHORIZED SIGNATURE:

J. Payne

NAME (PRINTED):

Leah Payne

TITLE:

Contract Manager

DATE:

12/12/2013

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT:

RL Controls, LLC

AUTHORIZED SIGNATURE:

Jena R. Walsh

NAME (PRINTED):

Jena Walsh

TITLE:

Principal/owner

DATE:

4/21/14

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY
CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT: Transitair

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Michael L. Nisbet

TITLE: Managing Director & CFO

DATE: April 23, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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THE LOWER TIER PARTICIPANT CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

LOWER TIER PARTICIPANT: TOYO DENKI USA, Inc.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Shinya Koizumi

TITLE: President

DATE: April 16, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY
CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT: Teknoware Inc. (d.b.a. Trans-Lite, a Division of Teknoware)

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Esa Melkko

TITLE: President

DATE: April 11, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY
CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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LOWER TIER PARTICIPANT: Transtechnik Corp USA

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Stephen Mark

TITLE: Sales Manager

DATE: April 14, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND STATEMENTS AND
CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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THE LOWER TIER PARTICIPANT CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

LOWER TIER PARTICIPANT: Ultimate Transportation N.America, LLC

AUTHORIZED SIGNATURE: 

NAME (PRINTED): Geoff Nelson

TITLE: President

DATE: April 9th 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY
CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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THE LOWER TIER PARTICIPANT CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

LOWER TIER PARTICIPANT: USSC LLC _____

AUTHORIZED SIGNATURE: Craig Nichols _____

NAME (PRINTED): Craig Nichols _____

TITLE: Senior Program Manager –Rail Transit _____

DATE: 11 April 2014 _____

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS FOR LOWER TIER PARTICIPANT

The Offeror, as the Primary Participant, hereby certifies that the attached Lower Tier Participant Certification Regarding Debarment, Suspension and Other Responsibility Matters, as noted on the two following pages, shall be duly executed, and shall remain on file with the Offeror in accordance with the Contract Provisions as if stated herein.

OFFEROR: _____

AUTHORIZED SIGNATURE: _____

NAME (PRINTED): _____

TITLE: _____

DATE: _____

HTG RAS

Frank R. Ursone

FRANK R. URSONE

President, Rail Systems Group

12/26/13

Appendix F

SECTION B

PART B TECHNICAL PROPOSAL AND

STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND

OTHER RESPONSIBILITY MATTERS FOR LOWER TIER PARTICIPANT

Supplier Name: _____

Supplier Representative: _____

System: _____

Date: _____

**CERTIFICATION OF LOWER-TIER PARTICIPANT
REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, VOLUNTARY
EXCLUSION, AND OTHER RESPONSIBILITY MATTERS**

The Lower-Tier Participant (applicant or potential Subcontractor for a major third party Contract),
Wabtec Passenger Transit division of Westinghouse Air Brake Technologies Corporation, certifies, by submission of this Bid,
d/b/a Wabtec Corp. (Company Name)

that it and its "principals" [as defined in 49 CFR 29.105(p)], to the best of their knowledge and belief:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal Department or agency;
2. Have not within a three-year period preceding this Bid been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) transaction or contract under a public transaction; violation of Federal or state antitrust statutes or commission of embezzlement, theft, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, state, or local) with commission of any of the offences enumerated in paragraph (2) of this certification; and
4. Have not within a three-year period, preceding this application/Bid, had one or more public transactions (Federal, state, or local) terminated for cause or default.

**THE LOWER-TIER PARTICIPANT (APPLICANT OR POTENTIAL SUBCONTRACTOR FOR
A MAJOR THIRD PARTY CONTRACT) Wabtec Passenger Transit division of Westinghouse Air Brakes
Technologies Corporation, d/b/a Wabtec Corp. (Company Name)
CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF
THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND
UNDERSTANDS THAT THE PROVISIONS OF 31 USC §§ 3801 ET SEQ. ARE APPLICABLE
THERE TO.**



Signature and Title of Authorized Officer

Robert F. Dezzi, Vice President

Typed Name and Title of Authorized Officer

6Jan2014

Date

If the Lower-Tier Participant is unable to certify to any of the statements in this certification, then the Lower-Tier Participant must attach an explanation to this certification.

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
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THE LOWER TIER PARTICIPANT CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

LOWER TIER PARTICIPANT: Vapor Stone Rail Systems,
a division of Westinghouse Air Brake Technologies Corporation, d/b/a Wabtec Corp.

AUTHORIZED SIGNATURE: _____

NAME (PRINTED): Frederik van der Veen

TITLE: Proposals Manager

DATE: January 31, 2014

SECTION B
PART B TECHNICAL PROPOSAL AND
STATEMENTS AND CERTIFICATIONS REGARDING ELIGIBILITY
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LOWER TIER PARTICIPANT: WOJIN IS AMERICA, INC.

AUTHORIZED SIGNATURE: 

NAME (PRINTED): JOSEPH S. KIM

TITLE: Vice President & COO

DATE: April 16, 2014