Supply Chain Department

Disclosure Form

Date: ________

Name of Contractor/Vendor: ____________________________________________________

Contact Name: _________________________________________________________________

Title ** (principal or officer): ____________________________________________________

1. In the last 10 years, has your company, or any Affiliate* of your company, or any present or former partner, principal, director, officer, or employee of, or any present or former holder of a 5% or greater ownership interest (a “5% Owner”) in, or any person presently or formerly serving in an advisory or consulting capacity (an “Advisor/Consultant”) to, your company or any Affiliate of your company been found to have committed (as determined by a final order of the Occupational Safety and Health Commission) any willful, repeat, or failure to abate violations of the Occupational Safety and Health Act?

☐ NO ☐ YES

If yes, please provide your explanation on a separate sheet of paper.

2. In the last 10 years, has your company, any Affiliate of your company, any present or former partner, principal, director, officer, or employee of, or any present or former 5% Owner in, or any present or former Advisor/Consultant to, your company or any Affiliate of your company been found to have committed a civil violation of any environmental law or been convicted (including by way of guilty plea) of a criminal violation of any environmental law or entered into any consent decree, consent order, stipulation of compromise and/or settlement, or settlement agreement with a federal, state, or local government, or governmental agency, authority or official with respect to an environmental law, where, in any case, a fine, penalty, assessment, or payment in excess of $10,000 was imposed or incarceration resulted?

☐ NO ☐ YES

If yes, please provide your explanation on a separate sheet of paper.
3.  A. In the last 10 years, has your company, any Affiliate of your company, any present or former partner, principal, director, officer, or employee of, or any present or former 5% Owner in, or any present or former Advisor/Consultant to, your company or any Affiliate of your company been convicted (including by way of a guilty plea), been investigated, or received a grant of immunity in connection with any business- or truthfulness-related act or omission, which constitutes or was alleged to constitute a crime (felony, misdemeanor, or violation) under federal, state or local law, including, but not limited to, a violation of the Racketeer Influenced and Corrupt Organizations Act, other racketeering offense, bid rigging, bid collusion, price-fixing, fraud, perjury, making false, inaccurate or misleading statements, extortion, bribery, embezzlement, providing or receiving kickbacks, or conspiring to do any of the foregoing (each, a “Business/Truthfulness Offense”)?

☐ NO  ☐ YES

*If yes, please provide your explanation on a separate sheet of paper.*

B. Does your company, any Affiliate of your company, or any of the other persons or entities referenced in Question 3.A. above currently have any charges pending against them for any Business/Truthfulness Offense?

☐ NO  ☐ YES

*If yes, please provide your explanation on a separate sheet of paper.*

4.  A. Has your company, any Affiliate of your company, or any present or former partner, principal, director, officer, or employee of, or any present or former 5% Owner in, or any present or former Advisor/Consultant to, your company or any Affiliate of your company, ever been under the review of a monitor or been suspended, debarred or disqualified from doing business with any company or any federal, state, or local government or governmental agency, authority, or official or been determined to not be a responsible or qualified bidder by any company or by any federal, state, or local government or governmental agency, authority, or official?

☐ NO  ☐ YES

*If yes, please provide your explanation on a separate sheet of paper.*

5.  A. In the last 10 years, has your company, any Affiliate of your company, any present or former partner, principal, director, officer, or employee of, or any present or former 5% Owner in, or any present or former Advisor/Consultant to, your company or any Affiliate of your company been convicted (including by way of a guilty or no contest plea), been investigated, or received a grant of immunity in connection with any conduct (i.e., non-business conduct and/or business conduct), which constitutes or was alleged to constitute a felony under federal, state or local law (a “Felony”)?

☐ NO  ☐ YES

*If yes, please provide your explanation on a separate sheet of paper.*
B. Does your company, any Affiliate of your company, or any of the other persons or entities referenced in Question 5.A. above currently have any charges pending against them for any Felony?

☐ NO  ☐ YES

*If yes, please provide your explanation on a separate sheet of paper.*

6. A. Are you a publicly traded corporation ☐ NO  ☐ YES

*If you responded “No” to question 6A, please provide on a separate sheet of paper the names of all present Owners, Partners, Principals, Directors and Managers of your company and its Affiliates.*

B. Has there been a change in the ownership or changes to the business, organization, management structure in the last three years?

☐ NO  ☐ YES

C. Has there been any significant change in the financial structure of your company in the last three years?

☐ NO  ☐ YES

*If you responded “Yes” to Questions 6B or 6C, please provide your explanation on a separate sheet of paper.*

7. A. Do you have an Ethics & Compliance program (“E&C Program”) meeting the requirements of the US Sentencing Guidelines for Organizations?

☐ NO  ☐ YES

*If yes, please send an e-mail describing the elements of your company’s E&C program that meet the requirements of section 8B2.1 of the US Sentencing Guidelines for Organizations along with a copy of the Code of Conduct for your employees. Please email this information to FORETHX@conEd.com.*

*Note: If you are interested in partnering with Con Edison to enhance your existing ethics and compliance program or implementing one, please call 1-855-FOR-ETHX (1-855-367-3849) or email FORETHX@conEd.com to get more information.*
8. Please acknowledge that you have read the Vendor Standards of Business Conduct attached hereto as Exhibit “A” and that you understand and agree to fully comply with the Code.

☐ NO  ☐ YES

________________________________________________________________________________

It is the contractor/vendor’s responsibility to immediately notify the Con Edison buyer or other Con Edison Supply Chain Department personnel (the “Con Edison Supply Chain personnel in charge of this Bid Event”) or any contract award to the contractor/vendor resulting from this Bid Event of any changes to the information supplied on this form or on the separate sheets submitted with this form which occur during the process leading up to the award of a contract to the successful contractor/vendor and, if the contractor/vendor submitting this form is the successful bidder, during the term of any contract that is awarded to such contractor/vendor by Con Edison. The contractor/vendor acknowledges and agrees that any false, inaccurate or misleading statements made on this form or on the separate sheets submitted with this form, the omission of any information from this form or such separate sheets, or the failure to immediately notify the Con Edison Supply Chain personnel of any changes to such information may result in Con Edison disqualifying the contractor/vendor from bidding for any contracts from Con Edison and constitutes sufficient grounds for Con Edison to cancel for default any contracts that may have been or may be awarded to the contractor/vendor.

*As used in this form, “Affiliate” means an entity that directly or indirectly through one or more intermediaries, controls, or is controlled by, or is under common control with, another entity. An entity “controls” another entity if it has the power to vote, directly or indirectly, 10% or more of the voting interests in such other entity or, in the case of a partnership, if it is a general partner.

Name: ____________________________

Print

Name: ____________________________

Signature**

Title: ____________________________

** This form must be signed by the principal or officer (Chief Executive Officer (CEO), President, Vice President, Corporate Secretary, or Chief Financial Officer) named above.
Contractor Notification of Subcontractors

Date: ________

Name of Contractor/Vendor: ____________________________
Please type in

Contact Name: ____________________________
Please type in

Title (principal or officer): ____________________________
Please type in

Does your company intend to award any portion of the work scope, as defined in the Invitation to Bid, to any subcontractor or subcontractors, which is equal to or greater than $350,000?

☐ NO  ☐ YES

If YES, please provide the Disclosure Form to the subcontractor(s). All completed subcontractor Disclosure Forms must be submitted to the Buyer of this Bid Event by the prime contractor. Failure of the prime contractor to submit these forms may be sufficient grounds for cancellation of the purchase order. Submission of a completed Disclosure Form by the subcontractor that contains any false statements and/or omissions may be grounds to disqualify the subcontractor from performing work under the purchase order and disqualification from all future work, with Con Edison and Orange & Rockland Utilities, as sub or prime contractor.
Exhibit A

Vendor Standards of Business Conduct
Values and Guidelines for Vendors

To Our Vendors, Consultants, Suppliers, and other Business Associates (collectively “Vendors” or “you”): Consolidated Edison, Inc. and its subsidiaries (CEI) are committed to conducting all dealings with Vendors in a fair, ethical and lawful manner.

CEI has established a comprehensive ethics program to support ethical business conduct. Without exception, every employee of our Company is required to follow the policies and practices set forth in the CEI Standards of Business Conduct when conducting business. In our ethics program, as with all other Company initiatives, we are guided by our core values of service, honesty, concern, courtesy, excellence and teamwork. We expect our Vendors to fully support these values when conducting business with us.

To that end, a copy of the CEI Standards of Business Conduct can be found at https://www.coned.com/-/media/files/conedison/standards-of-business-conduct.pdf. If a policy, procedure, or proper course of action is not clear, or if you see a Company employee or another Vendor engaged in a potential violation of the CEI Standards of Business Conduct or Vendor Standards of Business Conduct (“standards”), please contact the Ethics Helpline at 1-855-FOR-ETHX (1-855-367-3849), FORETHX@conEd.com or report online at tnw.coned.com.

The Ethics Helpline is available 24 hours a day, seven days a week, and is staffed by experienced professionals.

During business hours, callers may choose to speak with a representative of our local Ethics and Compliance office to answer questions, get advice, discuss concerns, and report possible violations.

Additionally, at all times, callers may choose to speak with a representative from outside CEI, who will document the question or concern and share it with our appropriate Ethics and Compliance office for a response.

All contacts are confidential to the extent possible. Callers and those who submit reports online may remain anonymous.

In addition, if you are interested in starting an Ethics and Compliance program or having your existing program reviewed by a CEI ethics professional, please contact the CEI Business Ethics &Compliance department at 1-855-FOR-ETHX (1-855-367-3849).
Act in Accordance with All Applicable Laws, Rules, and Regulations

We expect you to act in accordance with all applicable laws, rules and regulations in every jurisdiction in which we do business. In some instances the requirements of these standards may be more stringent than applicable laws, rules and regulations, and, in such cases, the requirements of this standards will be followed.

This Vendor Standards of Business Conduct ("standards") summarizes several principles of business conduct that can be found in the CEI Standards of Business Conduct and explains how you are to conduct your business in your dealings with our Company. Where you are permitted under the terms of your contract with our Company to subcontract work or services to third parties, we expect that you will inform those third party subcontractors, employees and agents of the principles detailed in these standards. In any event, you will be responsible for any breach of the standards by your subcontractors, employees or agents. We also expect you to be familiar with how such principles govern the manner in which our Company and employees interact with Vendors. In addition, we expect that you will fully uphold these principles when conducting business with, or on behalf of CEI.

Avoid Conflicts of Interest

Conflicts of interest occur when an individual’s personal interests impair his or her ability to make objective and fair decisions. Conflicts can also arise when an individual (or members of his or her family or household) receive improper personal benefits as a result of the individual’s position. We expect that you will be sensitive to the appearance of favoritism, collusion or personal gain, and not place our employees in conflicting or embarrassing situations that may give the appearance of a conflict.

A “family member,” whether related by blood, marriage, or adoption, is:

- Spouse or domestic partner
- Children, stepchildren, and grandchildren
- Grandparents, parents, and stepparents
- Siblings and stepsiblings
- Aunts, uncles, nieces, nephews, and cousins
- In-laws (parents, brothers, sisters, sons, and daughters)

A “Member of Household” is anyone who lives with you other than rent-paying tenants or employees who are not members of your family.

If you identify an actual or potential conflict of interest in connection with your work at CEI, we expect that you will review it with your management team and the appropriate CEI representative or alternatively contact the Ethics Helpline for guidance at 1-855-FOR-ETHX (1-855-367-3849).
**Do Not Offer or Accept Gifts or Gratuities**

When performing work for CEI you may not accept gratuities or gifts, other than nominal promotional items. In addition, you, your employees, agents and subcontractors are strictly prohibited from offering or giving any gift to any employee of our Company or any employee’s family member, agent, or designee.

Similarly, with respect to any work you perform or business you conduct on behalf of CEI, you, your employees, agents and subcontractors are strictly prohibited from offering or giving any gift, meal, entertainment or hospitality to any federal, state, or local government official, employee or agent.

Under very limited circumstances, you may offer invitations to business meals, entertainment, and other social events; and offer to pay expenses towards conferences and meetings with CEI employees. However, before offering any such invitation, you must first contact the Ethics Helpline to discuss the specific details of the event. Ethics Helpline: 1-855-FOR-ETHX (1-855-367-3849) or forethx@conEd.com

**Safety is a Priority**

At CEI, we believe that each of us is responsible for planning and creating a safe environment for all employees, our families, the public, and our business partners in all aspects of our work. We must know and comply with all applicable health, environmental, and safety laws and regulations, and company policies, and incorporate them into all of our decisions. As business partners you are expected to demonstrate the same commitment.

We also expect that you will work with us to create an inclusive work environment, where we share our perspectives and listen to each other, which also helps to keep us safe. An inclusive work environment supports our efforts to communicate openly, learn from each other, and look out for those around us.

CEI continually strives to improve its environmental performance. In the event hazardous substances or materials are released, spilled, or handled improperly by you, your employee, your agent, your subcontractor or another vendor, you will follow timely and accurate reporting and proper clean-up procedures.

**Proper Conduct**

A secure and safe work environment means a workplace free from violence and conduct that is dangerous or disruptive to anyone inside or outside CEI. Some important points to remember:

- Never bring weapons or ammunition of any type to any CEI property or the workplace
- Never use illegal drugs, abuse alcohol, or misuse prescription or over-the-counter medication as that may compromise our capabilities
Do not smoke in CEI buildings, company vehicles, or other prohibited locations

All Vendors or any permitted subcontractors must obtain and clearly display at all times a legal form of photo identification or vendor-issued photo identification while on Company property or at any company worksite, or while performing work at any public or private location on behalf of the Company.

**Value Diversity and Respect**

We expect all vendors to treat everyone with respect, dignity, and consideration. The power of our diversity is made stronger through inclusion. An inclusive workplace invites each of us to voice our ideas, share our perspectives, listen to each other, and empowers us all to reach our full potential.

Demonstrate your commitment to diversity and respect by:
- Valuing diversity and fostering an inclusive culture
- Not engaging in or tolerating harassing or discriminatory behaviors
- Treating everyone with respect and consideration
- Maintaining positive professional and personal relationships
- Never threatening, intimidating, or bullying others

**Maintaining Reliable Records is Key**

All records must accurately, completely and appropriately reflect transactions and events and conform to applicable legal, regulatory, accounting and control-procedure requirements. You, your employees, agents, and subcontractors are expected to accurately prepare all reports, vouchers, invoices, reimbursement requests, records, accounts covering work, and any other documentation required for the job at hand.

**The Company’s Assets**

As business partners, you are responsible for using company assets carefully and responsibly. You will protect our physical and financial assets, including computers and computer systems, from loss, theft, damage, waste, or misuse.

Company assets include:
- Facilities
- Identification cards and keys
- Vehicles
- Equipment
- Computers and computer systems
- Electronic devices
- Tools
- Supplies
- Funds
Materials
Maps, prints, plates, and layouts

In handling company assets, be sure to:

- Use CEI assets to support business goals and not for personal gain
- Use strong passwords and passphrases, and practice good password management
- Keep your laptops, mobile devices, briefcases, information, and all other company property secure and under password protection
- Lock your computer screen when leaving our workspace unattended
- Report the loss or misuse of company assets to Corporate Security

Confidential Information about Our Company and Others

As our business partners, you are responsible for keeping all confidential information secure and using it only as authorized and appropriate.

Safeguarding confidential information means:

- Not discussing confidential information in public settings
- Not making personal use of confidential information
- Only using confidential information for proper purposes, including uses protected by law
- Disclosing confidential information only as your job, laws, or regulations require or permit

Confidential information is company or third party information that is not available to the public. It includes the kind of information that, if disclosed, could be of value to competitors or harmful to the company, our customers, vendors, business partners, or shareholders. Examples of confidential company information include:

- Security information
- System layout and integrity
- Financial and operational data
- Customer records
- Research and development projects
- Business and marketing plans
- Employee health information
- All non-public financial information

Prevent Insider Trading
You, your employees, agents and subcontractors may encounter company information that is not available to the general public and could influence an investor’s decision to
buy, sell or hold securities of CEI. Use of insider information to trade in such securities or to in any other way use that information to create an unfair advantage is illegal and a violation of the standards.

**Competing Fairly**

When competing always be mindful of legal restrictions placed on dealings with competitors and customers by fair competition or antitrust laws. Follow all such laws and avoid even the appearance of potential wrongdoing.

Competing fairly means you:

- Never discuss or reach agreements with competitors on prices, division of service territories, or other allocation of customers
- Never ask for, or offer, any bribes or kickbacks to any company employee, customer, or another Vendor for the return of favorable treatment
- Do not temporarily lower prices below cost to eliminate competitors
- Never sell separate products as packages only in order to discourage competition for one of them

**Human Rights**

The human rights of all temporary, contract or full-time workers or employees are to be upheld, and employees/workers treated with dignity and respect and provided with safe and humane working conditions.

**Child Labor**

You and your subcontractors are expected to comply with all applicable child labor laws.

**Freedom of Association**

The rights of workers to associate freely, join labor unions, and seek representation shall be respected and upheld in accordance with local laws.

**Environmental Management**

Operations shall be carried out in compliance with all applicable environmental laws and regulations. Vendors shall reduce or eliminate waste/pollution and continually improve the efficiency of the resources and materials used.

**Responsible Sourcing of Minerals**

Mechanisms shall be deployed to reasonably assure that any natural resources (e.g. titanium, tin, tungsten and gold) used in products manufactured or contracted to manufacture
do not directly or indirectly finance or benefit groups known to perpetrate human rights abuses.

**Responsible Procurement**

Mechanisms are to be in place for ensuring that products and services procured are from ethical sources.

**Supplier Diversity**

Diversity in your supplier base shall be encouraged by creating opportunities for minority-owned, women-owned, and small businesses to compete successfully for company business.

**Use of Former Company Employees**

You agree not to use or otherwise permit any of our former employees, to perform any services relating to contracts with CEI within five (5) years of their separation from the Company, if such former employee was engaged or involved in the solicitation, negotiation or administration of any contract on behalf of the Company at any time during the three-year period immediately preceding such former employee’s separation from the Company. For purposes of the preceding sentence, "administration of any contract" shall mean engaging in any activity relating to the oversight or management of any Company contract including, but not limited to, the review, approval or payment of invoices relating to any such contract. This includes the supervision of employees engaged in these activities but not employees engaged in purely clerical functions such as filing, data entry or processing approved payments.

**Cooperate Fully and Accurately with Inquiries**

You, your employees, agents and subcontractors are expected to cooperate fully with any internal and external auditors, lawyers, and other compliance or investigative personnel as they conduct investigations or perform other duties on behalf of CEI.

**Consequence for Violations**

Vendor’s violation of any of the provisions of the standards shall be considered a material breach of contract(s) with the Company, entitling CEI to, in its sole discretion, terminate or suspend all contracts between CEI and Vendor, remove Vendor from its list of qualified bidders, and invoke and enforce all other rights or remedies that CEI may have under contract or applicable law. You are expected to report any alleged violation of these standards to the **Ethics Helpline at 1-855-FOR-ETHX (1-855-367-3849) or FORETHX@conEd.com.**