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**NEW YORK STATE HOUSING FINANCE AGENCY  
HOUSING TRUST FUND CORPORATION  
NEW YORK STATE AFFORDABLE HOUSING CORPORATION  
STATE OF NEW YORK MORTGAGE AGENCY  
STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY  
TOBACCO SETTLEMENT FINANCING CORPORATION  
DIVISION OF HOUSING AND COMMUNITY RENEWAL**

**(individually, “Agency” and collectively, “Agencies”)**

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**Vendor Information Form**

**Vendor Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
\_\_\_\_\_

**Telephone Number:** (\_\_\_\_\_) \_\_\_\_\_

**Fax Number:** (\_\_\_\_\_) \_\_\_\_\_

**Website Address:** \_\_\_\_\_

**NYS Vendor ID Number (10 digits):** \_\_\_\_\_

**Primary Contact Email Address:** \_\_\_\_\_

**Billing Contact Email Address:** \_\_\_\_\_

**Name & Title of Principal(s):** \_\_\_\_\_  
\_\_\_\_\_

**Name & Title of Authorized Signer(s):** \_\_\_\_\_

**Federal Employer Identification Number:** \_\_\_\_\_

**Charities Bureau Registration #:** \_\_\_\_\_  
(Only applies to not-for-profits.)

**Legal Status:** \_\_\_\_\_ **Corporation** \_\_\_\_\_ **Partnership**  
\_\_\_\_\_ **Not-for-Profit** \_\_\_\_\_ **Other** \_\_\_\_\_

**(Note: If conducting business under an assumed name (d/b/a), please include evidence of filing of certificate.)**

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## New York State Business Enterprises

1. Is your business a New York State Business Enterprise as defined below pursuant to Section 2879 of the Public Authorities Law?

(Please circle)                      Yes                      No

***“New York State Business Enterprise”*** is any business enterprise, including a sole proprietorship, partnership or corporation, which offers for sale, lease or other form of exchange, goods sought by any Agency and substantially manufactured, produced or assembled in New York State, or services, other than construction services, which are sought by any Agency and which are substantially performed within New York State. For purposes of construction services, a New York state business enterprise shall mean a business enterprise, including a sole proprietorship, partnership, or corporation, which has its principal place of business in New York State.

### Encouraging Use of New York State Businesses in Contract Performance

New York State businesses have a substantial presence in State contracts and strongly contribute to the economics of the State and the nation. In recognition of their economic activity and leadership in doing business in New York State, bidders/proposers for this Agency procurement are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the Agency awarded contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Bidders/proposers need to be aware that all authorized users of the awarded contract will be strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsive New York State businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing New York State businesses in Agency contracts will help create more private sector jobs, rebuild New York’s infrastructure, and maximize economic activity to the mutual benefit of the contractor and its New York State business partners. New York State businesses will promote the contractor’s optimal performance under the contract award, thereby benefiting the public sector programs that are supported by associated procurements.

Public procurements can drive and improve the State’s economic engine through promotion of the use of New York businesses by its contractors. The Agency therefore expects proposers to provide maximum assistance to New York businesses in their use of the awarded contract. The potential participation of all kinds of New York businesses will deliver great value to the State and its taxpayers.

Bidders/proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below:

1. Will New York State Businesses be used in the performance of this contract award?

(Please circle)                      Yes                      No

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**Minority Owned Business Enterprises**

1. Is your company a Minority-Owned Business Enterprise as defined below pursuant to Section 2879 of the Public Authorities Law?

(Please circle)                      Yes                      No

2. If yes, has your company been certified as a Minority-Owned Business Enterprise?

(Please circle)                      Yes                      No

3. Is your company certified with New York State’s Empire State Development Corporation (ESD)?

(Please circle)                      Yes                      No

If yes, please submit a copy of your company’s most recent certification letter from ESD.

**Minority-Owned Business Enterprise:** Any business enterprise, including a sole proprietorship, a partnership, or a corporation that is:

- (i) At least 51% percent owned by one or more minority group members;
- (ii) An enterprise in which the minority ownership is real, substantial and continuing;
- (iii) An enterprise in which the minority ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise;
- (iv) An enterprise authorized to do business in New York State and is independently owned and operated;
- (v) An enterprise owned by an individual or individuals, whose ownership, control and operation are relied upon for certifications, with a person net worth that does not exceed three million five hundred thousand dollars, as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and
- (vi) An enterprise that is a small business<sup>1</sup>

**Minority Group Member:** Any person that is a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups:

- (i) Black persons having origins in any of the Black African racial groups;
- (ii) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American of either Indian or Hispanic origin, regardless of race;
- (iii) Native American or Alaskan native persons having origins in any of the original peoples of North America.
- (iv) Asian and Pacific Islander persons having origins in any of the Far East countries, Southeast Asia, the Indian sub-continent or the Pacific Islands.

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<sup>1</sup>"Small Business" means, unless otherwise indicated, a business which has a significant business presence in the State of New York, is independently owned and operated, not dominant in its field and employs, based on its industry, a certain number of persons as determined by the Director of division of minority and women’s business development in the department of economic development, but not to exceed 300, taking into consideration factors which include, but are not limited to, Federal small business administration standards pursuant to 13 CFR part 121 and any amendments thereto. The Director may issue regulations on the construction of the terms in this definition.

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**Women Owned Business Enterprises**

1. Is your company a Women-Owned Business Enterprise as defined below pursuant to Section 2879 of the Public Authorities Law?

(Please circle)                      Yes                      No

2. If yes, has your company been certified as a Women-Owned Business Enterprise?

(Please circle)                      Yes                      No

3. Is your company certified with New York State’s Empire State Development Corporation (ESD)?

(Please circle)                      Yes                      No

If yes, please submit a copy of your company’s most recent certification letter from ESD.

**Women-Owned Business Enterprise:** Any business enterprise, including a sole proprietorship, a partnership, or a corporation that is:

- (i) At least 51% percent owned by one or more United States citizens or permanent resident aliens who are women;
- (ii) An enterprise in which the ownership interest of such women is real, substantial and continuing;
- (iii) An enterprise in which such women ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise;
- (iv) An enterprise authorized to do business in the State of New York and is independently owned and operated;
- (v) an enterprise owned by an individual or individuals, whose ownership, control and operation are relied upon for certifications, with a personal net worth that does not exceed \$3.5 million dollars, as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and
- (vi) An enterprise that is a small business<sup>2</sup>

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**Small Business Enterprises**

1. Is your company a "Small Business Concern" in accordance with New York State Finance Law?

(Please circle)                      Yes                      No

2. If yes, has your company been certified by any municipal, NYS or Federal governmental agency?

(Please circle)                      Yes                      No

If yes, please submit a copy of your company’s most recent certification letter from the governmental agency.

**"Small Business Concern"** means a business which is resident in the State of New York, independently owned and operated, not dominant in its field and employs one hundred or less persons.

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<sup>2</sup>"Small Business" means, unless otherwise indicated, a business which has a significant business presence in the State of New York, is independently owned and operated, not dominant in its field and employs, based on its industry, a certain number of persons as determined by the Director of division of minority and women’s business development in the department of economic development, but not to exceed 300, taking into consideration factors which include, but are not limited to, Federal small business administration standards pursuant to 13 CFR part 121 and any amendments thereto. The Director may issue regulations on the construction of the terms in this definition.

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**Service-Disabled Veteran Owned Businesses**

1. Is your company certified as a Service-Disabled Veteran-Owned Business (SDVOB)?  
(Please circle)                      Yes                      No
2. If yes, has your company been certified as a SDVOB by the New York State Office of General Services (OGS)?  
(Please circle)                      Yes                      No

If yes, please submit a copy of your company’s most recent certification letter from OGS and provide your SDVOB Control Number (issued by OGS) in the following space: \_\_\_\_\_

**“Certified Services-Disabled Veteran-Owned Business Enterprise”** means a business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is:

- (a) at least 51% owned by one or more service-disabled veterans;
- (b) an enterprise in which such service-disabled veteran ownership is real, substantial, and continuing;
- (c) an enterprise in which such service-disabled veteran ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise;
- (d) an enterprise authorized to do business in the State of New York and is independently-owned and operated;
- (e) an enterprise that is a small business which has a significant business presence in the State of New York, not dominant in its field and employs, based on its industry, a certain number of persons as determined by the director, but not to exceed 300, taking into consideration factors which include, but are not limited to, federal small business administration standards pursuant to 13 CFR part 121 and any amendments thereto; and
- (f) certified by New York State’s Office of General Services.

**Vendor Certification:**  
*Proposer/bidder certifies that to the best of his/her knowledge and belief, all information contained in this application is true and correct.*

**Name of Vendor:** \_\_\_\_\_

**Authorized Signature:** \_\_\_\_\_

**Print Name and Title:** \_\_\_\_\_

**Date:** \_\_\_\_\_