INSTRUCTIONS FOR AWARDING AND COMPLETING CONSTRUCTION AGREEMENT, SCHEDULES, GENERAL CONDITIONS & EXHIBITS

REQUIREMENTS PRIOR TO AWARD OF CONTRACT

Before this Construction Agreement can be executed, the following conditions must be complied with:

(1) HTFC shall have approved the Contractor.

COMPLETION OF CONTRACT DOCUMENTS

The following information needs to be inserted in order to complete the Construction Agreement:

Construction Agreement

Cover Page: Insert Contractor name and date of Agreement.

Preliminary Statement: Insert date of Agreement and Contractor name, state of formation, type of entity and address.

Signature Page: Insert Contractor name.

Schedule A – Work Order

Instructions for completing the Work Order for each Project are included at the front of the Schedule A.

Schedule C – Authorized Reps and Contact Information

Verify/insert name and contact information for HTFC and Contractor.

Schedule D – General Conditions

Cover Page: Insert Contractor name and date of Agreement.

GOSR Supplementary Conditions for Contracts

Instructions for completing the Supplementary Conditions for each Subcontract and lower-tiered Subcontract are included at the front of the Supplementary Conditions.

PROTOCOL FOR FINAL CONSTRUCTION AGREEMENT

Please prepare four execution copies of the complete Construction Agreement, including Schedules, General Conditions, Exhibits and all other attachments – each set must be bound as one document.

HTFC CONSTRUCTION AGREEMENT

HTFC: HOUSING TRUST FUND CORPORATION
25 Beaver Street
New York, New York 10004

CONTRACTOR: Lipsky Building Construction Inc.
814 Montauk Highway
Bayport, NY 11705

DATED: November 2, 2016

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GOSR SUPPLEMENTARY CONDITIONS FOR CONTRACTS

CONSTRUCTION AGREEMENT (this "Construction Agreement" or this "Agreement") dated as of November 2, 2016 between HOUSING TRUST FUND CORPORATION, having an office at 25 Beaver Street, New York, New York 10004, ("HTFC") and Lipsky Building Construction Inc., with an office at 814 Montauk Highway, Bayport, NY 11705 ("Contractor").

Introductory Statement

HTFC, through the Governor's Office of Story Recovery ("GOSR"), is undertaking programs in support of recovery, blight removal, disposition and redevelopment for those properties impacted by Superstorm Sandy, Hurricane Irene or Tropical Storm Lee, in connection with GOSR's administration of U.S. Department of Housing and Urban Development ("HUD") Community Development Block Grant Disaster Recovery ("CDBG-DR") funds appropriated by the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2). Contractor has been selected to perform construction work on certain property or properties (each, a "Project") to be identified in one or more Work Orders, each in the form of Schedule A attached hereto, and executed subsequent to the execution of this Construction Agreement (each, a "Work Order"). Contractor has advised HTFC that Contractor is experienced and properly qualified and desires to perform and finish certain services for HTFC in connection with the same.

For the purpose of assessing the cost and risks of the obligations which Contractor is assuming under this Agreement and subsequent issued work orders, Contractor acknowledges that Contractor will have had a full and complete opportunity, before signing any Work Order hereunder, to conduct a physical inspection of the applicable Project Site to be covered by the respective Work Order (defined below). Contractor acknowledges, further, that Contractor is taking the entire and exclusive risk of all site conditions, disclosed or undisclosed, foreseen or unforeseen, except as expressly set forth in the General Conditions, and will not seek Change Orders or Extra Payment (each as defined below) of any kind from HTFC except for Discretionary HTFC Changes and Extraordinary Conditions (as defined below). Notwithstanding Contractor's assumption of risk for Unforeseen Conditions under Article 1 of the General Conditions, HTFC reserves the option make an equitable adjustment to the Work Order Price through the use of a Discretionary HTFC Change Order issued to Contractor during the term of the applicable Work Order. If approved by HTFC, Contractor will be compensated for changes in the applicable Project Scope Documents in accordance with the terms of the Change Order.

The Homeowner (defined below) identified in a particular Work Order will approve and consent to the Work and to allowing access to the Project Site for performance of the Work prior to execution of the Work Order by HTFC and Contractor, pursuant to the Supplement to Grant Agreement (defined below), and will be a third party beneficiary of Contractor's obligations under this Construction Agreement with the right to enforce all warranties and other remedies directly against Contractor.

Contractor acknowledges that performance of this Construction Agreement requires compliance with certain federal and state requirements as set forth in Section 9.1 below and the GOSR Supplementary Conditions for Contracts attached hereto.

NOW, THEREFORE, in consideration of their mutual promises, and intending to be legally bound hereby, HTFC and Contractor agree as follows:

ARTICLE 1. General Conditions; Contract Documents; Defined Terms

1.1 "General Conditions" means the General Conditions for the Contract attached hereto which are incorporated by reference herein.

1.2 The Contract Documents consist of the Contract Documents as defined under the General Conditions. This Construction Agreement and each Work Order form part of the Contract Documents.

1.3 All words and phrases defined in the Contract Documents have the same meaning in this Construction Agreement. Refer to Article 1 of the General Conditions for the principal list (but not all) of the defined terms.

ARTICLE 2. The Work

2.1 Contractor shall perform the Work in accordance with the Contract Documents.

ARTICLE 3. Contract Price

3.1 The Work Order Price for each Project shall be the amount specified as the "Work Order Price" in the applicable Work Order. HTFC agrees to compensate Contractor for its performance of the services under any proper and fully executed Work Order. Notwithstanding the latter, Contractor agrees that in no event will HTFC pay to Contractor more than $5,000,000.00 ("Contract Price") for the services under all applicable work orders under this Construction Agreement unless the Contract Price is first modified in writing by a fully executed Amendment to this Construction Agreement. For the avoidance of doubt, the Contract Price for all work to be performed pursuant to this Construction Contract **shall not exceed $5,000,000.00.**

ARTICLE 4. Starting Date; Completion Date

4.1 The "Starting Date" for the Work on each Project shall be as specified in the applicable Work Order.

4.2 The "Completion Date" for all the Work of this Contractor on each Project shall be as specified in the applicable Work Order, subject to extension if and to the extent permitted under Article 18 of the General Conditions.

4.3 **Period of Performance**. Contractor will perform the Work set forth in all applicable Work Orders under this Construction Agreement during the period:

September 7, 2016 thru September 6, 2017

ARTICLE 5. Authorized Representatives of HTFC and Contractor; GOSR Referee; the Project Manager

5.1 The authorized representatives of the Contractor are identified in Schedule C to the Construction Agreement.

5.2 The authorized representatives of HTFC are identified in Schedule C to the Construction Agreement.

5.3 The "GOSR Referee" means the GOSR Appeals Resolution Committee and includes any similar successor entity designated by HTFC.

5.4 The "Project Manager" for a particular Project will be identified in the Work Order and shall include any successor designated by HTFC.

ARTICLE 6. Miscellaneous

6.1 Schedules A through C hereto and each Work Order executed by HTFC and Contractor pursuant to this Construction Agreement are and shall be deemed part of (and incorporated in) this Construction Agreement as though fully set forth in this Construction Agreement.

6.2 In the event of any question as to whether a particular provision of this Contract complies with the Construction Contracts Act, N.Y. Gen. Bus. Law § 756-758 (the "Act"), the particular provision shall be construed in a manner which results in compliance with the Act.

6.3 This Construction Agreement may be executed (a) in counterparts, a complete set of which shall constitute an original and (b) in duplicates, each of which shall constitute an original. Copies of this Construction Agreement showing the signatures of the respective parties, whether produced by photographic, digital, computer, or other reproduction, may be used for all purposes as originals.

ARTICLE 7. Bonds

7.1 If required by HTFC (such requirement to be set forth in the applicable Work Order), before commencing the Work on any Project, Contractor shall give HTFC a performance bond (the "Performance Bond"), and a labor and materials payment bond (the "Payment Bond"), in forms approved by HTFC, each with a penal sum equal to the Work Order Price. (The Performance Bond and the Payment Bond are referred to collectively as the "Bonds".)

7.2 The Bonds shall be issued by a reputable and well-established surety company or companies (collectively, the "Surety") satisfactory to HTFC, approved in writing by HTFC, and licensed to do business in the State of New York.

7.3 HTFC's payment to Contractor or any other Person of all or any portion of the Work Order Price, or HTFC's failure to retain any portion of the Work Order Price (whether or not specifically permitted under this Contract), or any change in or variation in the time, method or condition of payment of the Work Order Price by HTFC, or any extension of Contractor's time for performance or the issuance of any Change Order or other modification of the Contract Documents, shall not discharge or modify to any extent whatsoever the obligation of the Surety upon the Bonds.

ARTICLE 8. Required Insurance

8.1 Schedule B sets forth general insurance requirements applicable to the insurance coverages required of Contractor under each Work Order.

ARTICLE 9. GOSR Supplementary Conditions for Contracts

9.1 Contractor shall (a) comply with the GOSR Supplementary Conditions for Contracts attached hereto (the "Supplementary Conditions"), (b) include such Supplementary Conditions in any Subcontract entered into under this Construction Agreement, and (c) require all Subcontractors to flow-down such terms to all lower-tiered Subcontractors. These Supplementary Conditions include required terms for project contracts, HUD General Provisions, Participation by Minority Group Members and Women Requirements and Procedures for Contracts with HTFC, Standard Clauses for Contracts with HTFC and required diversity forms.

ARTICLE 10. Contractor Evaluation

10.1 Contractor acknowledges and agrees that HTFC may, at its option, conduct an evaluation of Contractor's performance after Completion of the Work under any Work Order, and that the results of any such evaluation will be a factor in Contractor's continuing eligibility for bidding on and award of additional Work Orders. HTFC reserves the right, at its option, to disqualify Contractor from such bidding and awards solely on the basis of a negative evaluation. Contractor agrees to participate in HTFC's evaluation process and provide all requested information.

[SIGNATURE PAGE FOLLOWS THIS PAGE]

IN WITNESS WHEREOF, HTFC and Contractor have duly executed this Construction Agreement (including the Schedules, General Conditions and Exhibits) as of the date first above written.

HTFC:

HOUSING TRUST FUND CORPORATION

By: [redacted]

Na[redacted]

Ti[redacted]

CONTRACTOR:

Lipsky Building Construction Inc.

By: [redacted]

Nam[redacted] 10/21/16

Title: President

SCHEDULES

SCHEDULE A	Form of Work Order for Each Project
SCHEDULE B	Required Insurance
SCHEDULE C	Authorized Representatives of HTFC and Contractor
SCHEDULE D	General Conditions

SCHEDULE A

Form of Work Order for Each Project

[*see attached*]

REQUIREMENTS PRIOR TO EXECUTION OF WORK ORDER

Before any Work Order can be executed, the following conditions must be complied with:

(1) Homeowner and HTFC shall have signed the Supplement to Grant Agreement.

(2) If required under the Work Order, Contractor shall have delivered to HTFC the Performance Bond and Payment Bond.

(3) INTENTIONALLY OMITTED

(4) Contractor shall have delivered to HTFC certificates of insurance evidencing compliance with the Required Insurance Coverage Types, Insurance Limits, and Endorsements as set forth herein in Sections A and B of Schedule B of this contract, and in the Work Order.

(5) Contractor shall have confirmed and accepted all Scope Documents listed in and to be attached to the Work Order.

COMPLETION OF EACH WORK ORDER

Introductory Statement

Insert date of Construction Agreement.

Insert Contractor Name.

Insert Work Order Number, Project ID, Project Site, Description of Work, and Work Order Value

Insert Work Order Number and Project ID at top of signature page

Insert effective date of Work Order.

Work Order Terms and Conditions

A: Insert Work Order Number and Project ID at top of page

B: Insert address of the Project, Homeowner name and contact information

C: Insert HTFC's Project Manager name and contact information

D: Insert Starting Date and Completion Date for the Work.

E: Insert the Work Order Price and payment schedule.

F: Check "yes" or "no" for bond requirement.

G: Confirm limits for Required Insurance.

H: Check "yes" or "no" for Structural Movers Cargo or Riggers Liability insurance requirement.

I: Insert list of other reference documents, including Scope Documents and other plans, documents and reports which impact the Contractor's scope of Work.

PROTOCOL FOR EACH FINAL WORK ORDER

Please prepare four execution copies of the applicable complete Work Order and any attachments – each set must be bound as one document.

Governor's Office of Storm Recovery

Andrew M. Cuomo
Governor

Lisa Bova-Hiatt
Interim Executive Director

NEW YORK STATE

WORK ORDER

Introductory Statement

HOUSING TRUST FUND CORPORATION ("HTFC") has entered into a Construction Agreement dated as of _____ ___, 2016 (including all Schedules, General Conditions and Exhibits, and Supplementary Conditions thereto, the "Construction Agreement" or the "Agreement") with _____ ("Contractor"), pursuant to which Contractor shall perform construction work on the specified Project Site. The Construction Agreement contemplates that for each such Project, HTFC and Homeowner will enter into a Supplement to Grant Agreement with respect to the specific Project and HTFC and Contractor will enter into a Work Order in this form setting forth the terms and conditions for the specific Project. Contractor hereby acknowledges that it has received and reviewed a copy of the Supplement to Grant Agreement with respect to the specific Project covered by this Work Order. HTFC desires to engage Contractor to undertake the Project described in this Work Order pursuant to the terms of the Construction Agreement; and Contractor desires to undertake and perform the Work of this Project. Accordingly, upon execution by the parties below, this Work Order becomes part of, and is incorporated into, the Construction Agreement. All words and phrases defined in the Contract Documents have the same meaning in this Work Order.

Scope of Work: ***The Work described in the Scope Documents and the other terms and conditions listed in the attached Work Order Terms and Conditions for the PROJECT ID listed below only.***

Work Order Number	Project ID	Project Site	Description of Work	Work Order Value

[SIGNATURE PAGE FOLLOWS THIS PAGE]

Work Order Number	Project ID

Effective Date of Work Order: _____

Completion Date: ***Listed in in the attached Work Order Terms and Conditions.***

IN WITNESS WHEREOF, HTFC and Contractor have duly executed this Work Order (including the Terms and Conditions attached hereto) as of _____, __ 2016.

HTFC:

HOUSING TRUST FUND CORPORATION

By: _____
Name:
Title:

CONTRACTOR:

[_____]

By: _____
Name:
Title:

Work Order Number	Project ID

Work Order Terms and Conditions

A. PROJECT; PROJECT SITE AND HOMEOWNER

The "Project" is the Work described in the Scope Documents attached to this Work Order to be performed in accordance with this Construction Agreement on the property located at and on the Project Site.

The "Project Site" is [street address], [city], NY [zip code].

The "Homeowner" of the Project Site is [name(s) and contact information]

B. PROJECT MANAGER

HTFC's "Project Manager" for the Project is [name and contact information].

C. STARTING DATE AND COMPLETION DATE

The "Starting Date" for the Work is _____ __, 20__.

The "Completion Date" for all the Work of Contractor shall be _____, 20__, subject to extension if and to the extent provided under Article 18 of the General Conditions.

D. WORK ORDER PRICE; PAYMENT SCHEDULE

The "Work Order Price" is $_____. The Work Order Price includes the cost of the Bonds and the Structural Movers Cargo or Riggers Liability Insurance, if required, and the cost of all other Required Insurance.

Work Order payments will be made according to the following "Payment Schedule" for the Work Order Price:

[payment shall be made upon Completion of the Work as set forth in Article 26 of the General Conditions]
or
[insert payment schedule]

Invoices shall be submitted by the 10th and 24th of each month for processing, as applicable. Each Work Order will be invoiced and paid separately.

E. BONDS

[___] YES or [___] NO – A Payment Bond and Performance Bond is required for the Work under this Work Order.

F. INSURANCE COVERAGE AMOUNTS

For purposes of this Work Order, "Insurance Limits" (as such term is used in the Construction Agreement) shall mean the following:

[insert list of required coverages for applicable Work Order]

G. STRUCTURAL MOVERS CARGO OR RIGGERS LIABILITY INSURANCE

[___] YES or [___] NO – Structural Movers Cargo or Riggers Liability Insurance is required for the Work under this Work Order.

H. SCOPE DOCUMENTS

1. Project Specifications prepared by [_____], dated [_____]
2. Contract Drawings prepared by [_____], dated [_____] (if any)
3.
4.

[*list other reference documents applicable to this project, such as site assessment or engineering reports, other consultant reports, instructions for sequence of work, etc.*]

I. OTHER REQUIREMENTS

These requirements shall apply to each and every Project for which HTFC and Contractor enter into a Work Order. In each such case Contractor shall comply with these requirements in completing the Work for each applicable Project under this Construction Agreement. The cost for any and all such requirements is included in the Work Order Price.

1. Contractor is responsible for having a New York State business license.

2. Contractor shall not display any signs, posters, or other advertising on/or about the Project Site without the prior written consent of HTFC.

3. Contractor shall be responsible to close up and secure the Work after each time it performs the Work at the Project Site.

4. Contractor is responsible to provide a report for each property that it performs Work. Such report shall indicate the address and time when the required Work was performed. This report shall be required for verification of Work and approval of invoices.

5. Contractor shall be responsible for and promptly repair and make good at its own expense, all damage to the Project Site, streets, sidewalks, curbs, utility lines, adjoining premises or any other public or private property, resulting from, or in connection with the performance of the Work.

6. Contractor shall attend meetings as required by the Project Manager.

7. It is mandatory that all personnel wear the appropriate safety equipment as required by OSHA standards. Contractor shall be responsible for site safety.

8. Contractor shall comply with all Federal and Local laws regarding noise control. Every effort shall be made by Contractor to reduce noise, disruption, and/or inconvenience to the surrounding community.

9. Contractor shall furnish for its, personnel proper drinking water and first aid kits.

10. Contractor shall provide all engineering, surveying, field measuring, lines, elevations, and lay-out required for execution of the Work.

11. Contractor shall coordinate all logistics, staging and storage area(s) with the Project Manager and Homeowner.

12. For projects within New York City, all private carting firms employed directly or by Subcontract must comply with the City of New York Business Integrity Commission. Copies of such registration must be submitted to the Project Manager prior to the rending of any private carting services at the Project Site.

13. Contractor shall obtain all permits and inspections required for the performance of the Work and shall include all costs for permits, fees, bonds, assessments and municipal inspections applicable to the Work as levied or required by all public authorities having jurisdiction. Provide all required licenses, OSHA, FDNY and DOB certifications and requirements. All NYC and other jurisdictional DOT permits for street and sidewalk closings, opening, crossings, material storage, equipment, etc., to execute the work will be obtained by Contractor.

14. Contractor will be responsible for all sweeping, pickup and removal of all dirt and debris resulting from the performance of his operations and suitable disposal (recycling) of the debris. Daily and final cleanup shall be performed by Contractor. Cleanup may also be required at any time as directed by the Project Manager to ensure compliance with the project safety plan. Contractor shall include all snow removal and maintain sidewalks free of ice and snow during the course of the contract. Should mold be encountered during the Work, Contractor shall remove and dispose of in a legal and proper manner.

15. Contractor is to supply and pay the cost for all cranes, hoists, lifts, staging, scaffolding and rigging needed to complete the Work, if any. Contractor is responsible for the erection, dismantling, and maintenance of any scaffolding, ladders, swing stages, etc. required to perform the Work. All scaffolds, ladders, staging, etc., shall be constructed and used in strict accordance with OSHA regulations and the project safety plan.

16. Contractor shall provide all temporary signage, warning devices, flagmen or other means of traffic control. Work areas in accordance with all Federal, County, State and Local laws, codes or ordinances as required to perform this scope of work. Contractor shall also provide all necessary means to control traffic disrupted by the Work.

SCHEDULE B

Required Insurance

A. Contractor Insurance

1. The "Required Insurance" under this Contract consists of all coverages described in, and required under this Section A and under Section C (if required by the applicable work order). The cost of all Required Insurance is included in the Work Order Price and shall be borne by Contractor at Contractor's sole expense.

2. Contractor shall secure and maintain the following coverages (with the Insurance Limits as specified in the applicable Work Order , as set forth in Section B below):

(a) workers' compensation insurance and New York State statutory disability insurance as required by Laws covering employers liability, workers' compensation, and disability benefits for all persons employed in connection with the Work (including those by Subcontractors or independent contractors engaged by Contractor);

(b) commercial general liability insurance covering liability for bodily injury (including death) and property damage combined, and for personal and advertising injury, covering the Project Site and all streets, alleys and sidewalks adjoining or appurtenant to the Project Site, and including:

(i) operations-premises liability;

(ii) contractor's protective liability on the operations of all Subcontractors;

(iii) products/completed operations coverage (with completed operations maintained within Contractor's ongoing general liability insurance program for not less than six years after completion of the Work (or such shorter period which HTFC may approve);

(iv) broad form property damage coverage;

(v) broad form contractual liability (designating Article 6 of the General Conditions);

(vi) a broad form comprehensive general liability endorsement (including explosion, subsidence, collapse, and underground damage, libel, slander, and false arrest, and products liability);

(vii) no exclusions relating to (a) gravity related injuries, and (b) injuries sustained by the employee of an insured or any insured rather than "the insured";

(viii) fire damage and water damage legal liability;

(ix) protective liability insurance in HTFC's name for the operations of Contractor and all Subcontractors; and

(x) deletion of the Contractual Liability Exclusion as applicable to construction or demolition to be performed within 50 feet of railroad track; and

(xi) property of others in the care, custody and control of Contractor; and

(c) comprehensive business automobile liability insurance for all owned, non-owned, leased, rented and/or hired vehicles insuring against liability for bodily injury (including death) and property damage combined ;

(d) excess or umbrella liability insurance applying in excess over all limits and coverages in paragraphs 2(b) and 2 (c) above;

(e) contractors' pollution legal liability insurance which shall include coverage for loss and expense arising out of the acts, errors or omissions of the Contractor with respect to, among other things, coverage for asbestos, lead paint, and mold, with limits as set forth in the applicable Work Order and any Subcontractor or other Person performing environmental testing shall also procure pollution legal liability coverage of the same type with limits as set forth in the applicable work order; and

(f) any Contractor, Subcontractor or other Person providing engineering or other professional services shall procure professional liability insurance covering loss and expense arising out of the acts, errors or omissions of the professional or its subcontractors, with limits as set forth in the applicable work order.

3. The commercial general liability, business automobile liability, excess or umbrella liability and pollution legal liability coverage shall be endorsed to designate HTFC, Homeowner and all other Indemnitees (but excluding any licensed engineers with respect to liability for professional malpractice or negligence), as additional insureds. The commercial general liability additional insureds coverage shall be issued on ISO Forms CG 20 10 07 04 and 20 37 07 04 or their equivalent. Coverage provided to the additional insureds shall be on a primary and non-contributory basis.

4. Except as specified for completed operations coverage under paragraph 2(b)(iii) above, Contractor shall maintain all coverages of Required Insurance without interruption from the date of this Contract through Completion and thereafter during any period while Contractor and/or any Subcontractor is performing any Work (including any warranty or corrective work) or furnishing any services pursuant to the Contract Documents.

5. Contractor shall require that all Subcontractors carry liability and property damage insurance of the same types and coverages as specified in paragraphs 2 and 3 of this section A (except for the coverage under (b)(viii)), as well as coverage specified in section C below (where applicable); and Contractor shall require each Subcontractor to furnish the same documentation of such coverage as required of Contractor hereunder, unless and except as HTFC agrees otherwise in writing.

6. Contractor is advised that HTFC does not maintain, and will not maintain, insurance which would cover Contractor's temporary plant and equipment. Contractor shall secure and maintain insurance for temporary plant and equipment ("Plant and Equipment Insurance"). This requirement for Plant and Equipment Insurance is solely for the benefit of Contractor, and the failure of Contractor to secure such insurance or to maintain adequate levels of coverage shall not subject HTFC to liability for losses of owned or rented equipment. Such Plant and Equipment Insurance shall contain an endorsement stating that "permission is granted to complete and occupy"; and, if any offsite storage location is used for plant and equipment, such insurance shall cover, for full insurable value, all such items on or about any such off-site storage location or in transit to the Project Site. Contractor shall be fully responsible for, and shall carry "all risk" insurance on, materials and equipment to become part of the Work until same are delivered to, and accepted at, the Project Site.

7. Each policy of Required Insurance shall contain the following (whether or not requiring additional premium):

(a) an agreement by the insurer that such policy shall not be cancelled or amended or non-renewed, or any coverages reduced, without at least 30 days prior written notice by registered mail to HTFC at the address specified in this Contract; (b) deductibles of not more than the amounts allowed in Section B below;

(b) an endorsement that:

(i) no unintentional act or omission of HTFC, Homeowner, Contractor or any other named or additional insured; and

(ii) no violation of warranties, declarations or conditions of the policy or any application therefor by any of the aforementioned,

shall affect or limit the insurer's obligation with respect to HTFC and any other named or additional insured;

(c) a waiver of subrogation by the insurer with respect to HTFC and any other named insured and additional insured with respect to professional malpractice or negligence; and

(d) a waiver by the insurer of any claim for insurance premiums against HTFC.

Contractor and each Subcontractor shall deliver to HTFC certificates (and copies of the applicable policy if requested by HTFC) evidencing the Required Insurance, BEFORE bringing any Employees, materials, or equipment to a Project Site, or otherwise commencing the Work, whether on a Project Site, or elsewhere. Not later than five days before any renewal premiums become due, Contractor shall deliver endorsements or other evidence of the renewal of all insurance. As a condition to Completion, Contractor shall deliver to HTFC evidence of continuing completed operations coverage as required under paragraph 2(b) above.

8. All Required Insurance shall be on a per location or per project basis and shall be provided through valid and enforceable policies issued by a company or companies which are licensed to issue insurance in the State of New York and having A.M. Best's Ratings of "A-" and "VII" or better (or which are otherwise reasonably acceptable to HTFC). All liability insurance of every kind required under this Schedule B (except for the insurance required under A.2 (e) and (f) above) shall be written on a per "occurrence" basis. For insurance required under A (2) (e) and (f), in the event coverage is on a claims-made basis or is terminated upon completion of the project, then Contractor shall purchase an extended reporting period of not less than 3 years.

9. Any additional insurance policies necessary to obtain required permits or otherwise comply with Laws, including any changed circumstances regarding the performance of the Work shall be at the risk of the Contractor.

10. The Contractor shall provide Certificates of Insurance to HTFC prior to the commencement of work, and prior to any expiration or anniversary of the respective policy terms, evidencing compliance with all insurance provisions set forth above, and shall provide full and complete copies of the actual policies and all endorsements upon request. An Accord Certificate of Insurance is an acceptable form to submit evidence of all forms of insurance coverage except Workers' Compensation Insurance and Disability Benefits Insurance. For evidence of Workers' Compensation Insurance, the contractor must supply one of the following forms: Form C-105.2 (Certificate of Workers' Compensation Insurance issued by a private carrier), Form U-26.3 (Workers Compensation Insurance issued by the State Insurance Fund), Form SI-12 (Certificate of Workers' Compensation Self- insurance), Form GSI-105.2 (Certificate of Participation in Workers' Compensation Group Self-Insurance), or CE-200 (Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage). For evidence of Disability Benefits Insurance, the contractor must supply one of the following forms: Form DB-120.1 (Certificate of Disability Benefits Insurance), Form DB-155 (Certificate of Disability Benefits Self-Insurance), or CE-200 (Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage).

B. Insurance Limits

The required insurance coverage limits for each Project are set forth in the applicable Work Order.

C. Structural Movers Cargo or Riggers Liability Insurance

If required by the applicable Work Order, Contractor shall secure and maintain, without interruption during the course of any construction work which includes home elevation through completion, Structural Movers Cargo or Riggers Liability Insurance, on a completed replacement value basis, covering, at least, property of others in the care, custody and control of Contractor and its subcontractors which are performing the elevation work ("elevation subs"), during rigging operations, transport, loading or unloading, rigging, hoisting, erecting, lowering, placing and removing with a crane and in conjunction with other equipment (which may include, but not limited to, forklifts, dollies, skids), and insuring against collapse and all

other perils associated with elevation activities, with HTFC, GOSR, the State of New York, and Homeowner as Additional Insureds. The deductible shall be in an amount approved by HTFC and Contractor will be responsible for paying the same for all claims. The policy(ies) will provide primary coverage for the obligations assumed by Contractor and/or its elevation subs and will provide for a waiver of subrogation against HTFC, GOSR, the State of New York, and Homeowner. Homeowner shall have the exclusive right to adjust and negotiate any claims against the Structural Movers Cargo or Riggers Liability Insurance in its sole discretion

SCHEDULE C

Authorized Representatives of HTFC and Contractor

HTFC's authorized representatives

HTFC's authorized representative is:

[name, address, phone, e-mail]

Notices to HTFC shall also include a copy to:

[name, address, phone, e-mail]

Contractor’s authorized representatives

Contractor's authorized representative is:

[name, address, phone, e-mail]

Notices to Contractor shall also include a copy to:

[name, address, phone, e-mail]

SCHEDULE D

GENERAL CONDITIONS

HTFC: HOUSING TRUST FUND CORPORATION
25 Beaver Street
New York, New York 10004

CONTRACTOR: Lipsky Building Construction Inc.
814 Montauk Highway
Bayport, NY 11705

DATED:

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EXHIBIT B Forms of Final Waivers of Lien for Contractor and Subcontractor

GENERAL CONDITIONS

ARTICLE 1. Definitions

1.1 The following definitions shall apply in all Contract Documents (unless specifically provided to the contrary):

"Base Contract Work" for each Project means all work required under the Scope Documents, as in effect on the Work Order Date. Any Extra Work that was added to the Project by Discretionary HTFC Change shall also be deemed "Base Contract Work" after the effective date of such Discretionary HTFC Change.

"Bond(s)" is defined in Section 7.1 of the Construction Agreement.

"Books and Records" is defined in Section 11.1.

"Cancellation Payment" is defined in Section 20.2.

"Change Order" means a written order issued by HTFC to Contractor after execution of the applicable Work Order, in a form approved by HTFC, authorizing or requiring: (a) Extra Work for a Discretionary HTFC Change pursuant to Article 21; (b) an extension of time under Article 18; (c) Deleted Work pursuant to Article 21; or (d) Any other change as authorized and agreed to by HTFC.

"Change Order Mark-Up" is defined in Section 21.8.

"City" means the city, town, village, or other jurisdiction in the State of New York in which the Project is located.

"Close-Out Requirements" means Contractor's obligations for closing out the Work and completing and furnishing to HTFC documentation of the Work as required under the Contract Documents.

"Code" means the building code and all other municipal or other local laws applicable to the Project, the Project Site, the Contract Documents, and/or the Work.

"Completion" is defined in Section 26.1.

"Completion Expense" is defined in Section 12.3.

"Completion Notice" is defined in Section 26.2.

"Construction Agreement" (or "Agreement") means the Construction Agreement between HTFC and Contractor that precedes these General Conditions.

"Contract" means the legal agreement between Contractor and HTFC set forth in the Contract Documents.

"Contract Documents" means the following: (a) the Construction Agreement; (b) all Schedules to the Construction Agreement; (c) the applicable Work Order signed by HTFC and Contractor for the particular Project and all attachments thereto and Reference Documents referenced therein; (d) the General Conditions; (e) the Supplementary Conditions; (f) all other addenda; (h) any Change Orders; and (i) any other modifications to any of the foregoing signed by HTFC and Contractor.

"Contractor" is defined in the preliminary statement of the Construction Agreement.

"Damage" is defined in Section 8.1.

"Default" is defined in Section 12.2.

"Delay Notice" is defined in Section 18.1.

"Deleted Work" means any portion or aspect of the Work deleted or omitted from the Base Contract Work by HTFC.

"Discretionary HTFC Change" is defined in Section 21.2

"Employee" means an officer, director, official, trustee, manager, member, partner, employee, agent, servant, or representative.

"Environmental Law" means every federal, state, or local law, rule, or regulation governing the removal and remediation of Hazardous Materials.

"Event of Default" is defined in Section 12.1.

"Excusable Delay" means any delay in the Work resulting from any cause (during the Project) after the applicable Work Order Date and before Completion if such cause is beyond Contractor's reasonable control and was not caused by the fault of Contractor or any Subcontractor. Subject to the foregoing, Excusable Delay shall include delay caused by: (a) acts of God; (b) fire, earthquake, explosion, landslide, lightning or flood; (c) epidemic; (d) strikes (other than a strike caused by, or within the control of, Contractor); (e) lockouts by Persons other than Contractor; (f) riots, civil disturbance, insurrection, enemy action, terrorist acts, or war; (g) embargoes or blockades; (h) Extraordinary Conditions; (i) acts or omissions of HTFC; (j) the delay of any Government Entity in issuing any permits necessary to perform the Work (including delay due to incompleteness or other inadequacies in the Scope Documents); (k) injunctions, or orders of any Government Entity; and (l) temporary or permanent interruption of, or failure of any company to provide utilities to the Project or necessary in connection with the Work.

"Exhibits" means the Exhibits to these General Conditions.

"Extra Payment" means any payment due Contractor for Extra Work, computed in accordance with Article 21.

"Extra Work" means any Work in addition to the Base Contract Work which is required by a Discretionary HTFC Change. For the avoidance of doubt, "Extra Work" does not, in any case, include (a) development of details reasonably inferable from or implied by, but not explicit in, the Scope Documents; (b) the inclusion or exclusion of any item which should be included or excluded in accordance with good construction practice, whether or not shown or set forth in a drawing or specification; and (c) any matters resulting from, or attributable to, fault of Contractor or any Subcontractor.

"Extraordinary Conditions" means any and all Unforeseen Conditions which would not be expected to be known to Contractor on the basis of Contractor's experience with projects similar to the Project or inspection of the Project Site and do not constitute a risk or obligation assumed by Contractor in the Contract Documents. For the avoidance of doubt, the following are Extraordinary Conditions: the existence of Hazardous Materials on the Project Site <u>which were not disclosed in any reports or other documents furnished by HTFC to Contractor</u>, including (a) asbestos-containing materials; (b) fuel tanks of any kind and/or any petroleum, or other gasoline, propane, or other fluids or substances within (or discharging or discharged from) any such fuel tanks; and/or (c) lead or lead-based paints.

"Fees-And-Costs" means the reasonable fees and expenses of attorneys, architects, engineers, investigators, expert witnesses, contractors, consultants, and other Persons, and costs of investigating claims, obtaining transcripts, printing of briefs and records on appeal, copying, and other reimbursable costs and expenses charged by any of the foregoing, and all other reasonable expenses of any actual or potential Legal Proceeding.

"Final Payment" is defined in Section 26.3.

"Five Day Notice" is defined in Section 12.2.

"Funding Source" is defined in Section 32.1.

"General Conditions" means these General Conditions and the Exhibits hereto and the Supplementary Conditions.

"GOSR" is defined in the preliminary statement of the Construction Agreement.

"GOSR Referee" is defined in Section 5.3 of the Construction Agreement.

"Government Entity" means the United States, the State of New York (and any other state in which the Work will take place), the City of New York, and any and every other agency, authority, department, board, bureau, court, commission, or instrumentality or political subdivision of any of the foregoing.

"Guarantee Period" is defined in Section 15.1.

"Hazardous Materials" means all toxic and hazardous materials, pollutants, chemicals, hydrocarbons, carcinogens, and other materials of every kind whatsoever which pose risk to human health or safety and as to which the presence, exposure, excavation, handling, demolition, removal, remediation, transportation, and/or disposition are subject to or governed by federal, state, and/or local prescription, prohibition, and/or regulation.

"HTFC" is defined in the preliminary statement of the Construction Agreement.

"Homeowner" means the particular "Homeowner" defined in the applicable Work Order.

"Homeowner Work Approval Certification" means a signed certification by Homeowner, on a form provided by HTFC, that the Work under the applicable Work Order for which payment is sought by Contractor has been completed.

"HUD" is defined in the preliminary statement of the Construction Agreement.

"Included Items" means fees, overhead, profit, general conditions, and administrative and/or indirect of every kind. References to Included Items in the Contract Documents mean that the relevant Work will be furnished without markup or other separate compensation for any of the Included Items.

"Indemnitee(s)" for each Project means Homeowner, the fee owner of the Project Site (if different than Homeowner), HTFC, GOSR, GOSR Referee, the Program Manager, the Project Manager, New York State and U.S. Department of Housing and Urban Development ("HUD"); the Employees of each of the foregoing; occupants or users of the Project Site, if any other than Homeowner; ~~and~~ the invitees and guests of such occupants and/or Homeowner; pedestrians or other passersby, strangers, trespassers; or others who may be determined to be third party beneficiaries of the indemnity and insurance provision herein. "Insurance Limits" is defined in Schedule B to the Construction Agreement.

"Law" (or "Laws") means each and every code, law, rule, regulation, requirement, order, judgment, decree, or ordinance of every kind issued by any Government Entity applicable to or affecting the Project, the Project Site, the Contract Documents, and/or the Work, including Code and Environmental Law.

"Legal Proceeding" means an action, litigation, arbitration, administrative proceeding, and other legal or equitable proceeding of any kind.

"Lien" means any lien or claim (including those filed with any surety holding a Performance Bond or Payment Bond) of any kind against HTFC, Homeowner, the Project, the Project Site, the Work, any monies due or to become due from HTFC to Contractor, and/or any other property of HTFC, for or on account of the Work.

"Line Item Breakdown" means a detailed written estimate or schedule of values in the form set forth in AIA Form G702 (Application for Payment) and AIA Form G703 (Continuation Sheet), showing the various operations comprising the Work and allocating percentages and dollar amounts of the Work Order Price to the labor, materials, and

other elements of each such operation, prepared and submitted by Contractor and approved by HTFC before the submission of Contractor's first Requisition, to be submitted thereafter by Contractor with all Requisitions.

"Loss-And-Expense" means loss, liability, alleged liability, obligation, damage, delay, penalty, judgment, cost, fee, claim, charge, tax, or expense of every kind (including related Fees-And-Costs).

"Payment Bond" is defined in Section 7.1 of the Construction Agreement.

"Payment Schedule" is defined in the applicable Work Order.

"Performance Bond" is defined in Section 7.1 of the Construction Agreement.

"Person" means an individual person, a corporation, partnership, limited liability company, trust, joint venture, proprietorship, estate, Government Entity, or other incorporated or unincorporated enterprise, entity or organization of any kind whatsoever.

"Project" means the particular "Project" described in the applicable Work Order.

"Project Manager" is defined in the applicable Work Order and includes any successor designated by HTFC.

"Project Site" (or "site") for each Project is defined in the applicable Work Order.

"Scope Documents" means the Scope Documents attached to the applicable Work Order and shall include any Contract Drawings attached to the applicable Work Order.

"Punch List Work" is defined in Section 26.2.

"Required Insurance" is defined in Schedule B to the Construction Agreement.

"Requisition" means a written submission by Contractor, on a form approved by HTFC, requesting payment for the Work or a portion thereof (including any Extra Payment to which Contractor is entitled).

"Salvage Credit" is defined in the applicable Work Order.

"Schedules" means the schedule(s) to the Construction Agreement.

"Separate Contractor" means any Person, other than Contractor and its Subcontractors, performing work or conducting other activities on the Project Site pursuant to an agreement with HTFC or Homeowner.

"Starting Date" for each Project is defined in the applicable Work Order.

"Subcontract" means an agreement between Contractor and a Subcontractor, or between two Subcontractors, as applicable.

"Subcontractor" means every Person (other than Employees of Contractor) employed by Contractor, or by any Person directly or indirectly in privity with Contractor (<u>including every sub-subcontractor of whatsoever tier and anyone for whose acts they may be liable</u>), for any portion of the Work, whether for the furnishing of labor, materials, equipment, services, or otherwise.

"Supplementary Conditions" is defined in Section 9.1 of the Construction Agreement.

"Supplement to Grant Agreement" means the Supplement to an Homeowner's CDBG-DR Grant Agreement in which the Homeowner agrees, among other things to performance of the Work by Contractor, to allow access to the Project Site, and to comply with the terms and conditions of the Contract Documents in enforcing Homeowner's rights as third-party beneficiary thereunder.

"Surety" is defined in Section 7.2 of the Construction Agreement.

"Termination Date" is defined in Section 20.1.

"Termination Notice" is defined in Section 20.1.

"Unforeseen Conditions" means any and all covered or otherwise latent or hidden and materially adverse conditions of every kind whatsoever existing on or in the Project Site or on or in any building or structure on the Project Site which were not known to Contractor and were not disclosed in any Scope Documents, or other documents previously furnished to Contractor by HTFC or any other Person. For the avoidance of doubt, and supplementing other provisions of the Contract Documents which make similar reference, Contactor has agreed to assume, and does assume, the risk of all Unforeseen Conditions within the Work Order Price except for Extraordinary Conditions.

"Waiver of Lien" means, with respect to Requisitions prior to and upon Completion, a partial waiver and general release of Lien in the form set forth in Exhibit "A" and, with respect to Requisitions upon Completion, a final waiver and general release of Lien in the form set forth in Exhibit "B".

"Work" means: (i) the Base Contract Work and (ii) everything required to be furnished and done by Contractor pursuant to the Contract Documents, including the employment and/or furnishing of all necessary labor, materials, equipment, supplies, tools, plant, scaffolding, transportation, insurance, temporary facilities, and other things and services of every kind necessary for the full performance and completion of Contractor's obligations (and including, also, all administrative, accounting, record-keeping, notification and similar obligations).

"Work Day" (or "Business Day") means any day other than Saturday, Sunday, any federal legal holiday, or any day designated as a holiday under the collective bargaining agreement of a particular trade union.

"Work Order" is defined in the Introductory Statement to the Construction Agreement.

"Work Order Date" for each Project means the date of the applicable Work Order.

"Work Order Price" for each Project means the Work Order Price as defined in the applicable Work Order, as increased or decreased pursuant to specific provisions of the Contract Documents. For the avoidance of doubt, the Work Order Price for each Project shall be and remain separate; and the fixed-price line item costs within any particular Work Order shall be and remain separate; and Contractor may not apply savings under one Work Order or line item toward the costs of any other Work Order or line item.

1.2 Wherever used in the Contract Documents:

(a) "approve" or any of its derivatives or "consent" requires such approval or consent to be in writing or email, unless the particular provision specifically requires it to be in writing;

(b) the words "include" or "including" shall be construed as incorporating, also, "but not limited to" or "without limitation";

(c) "day" means a calendar day unless the text specifies a Work Day;

(d) "delay" means any and every delay, obstruction, hindrance, interference, inefficiency, or loss of efficiency or productivity, of any kind;

(e) "fault" means fault, mistake, error, omission, inaccuracy, delay, mismanagement or negligence; and

(f) "at Contractor's expense" means at the sole and exclusive expense of Contractor.

1.3 Certain other words and phrases are defined elsewhere in the Contract Documents and have the same meaning in these General Conditions.

1.4 Wherever the Contract Documents impose any obligation on Contractor, or provide that Contractor shall be responsible for any action or matter, the Contract Documents shall be construed to mean, unless specifically provided to the contrary, Contractor shall perform or undertake the particular action or matter at Contractor's expense.

ARTICLE 2. Work in Accordance with Contract Documents

2.1 Contractor hereby agrees to furnish, perform, and complete the Work required under this Contract in accordance with all provisions and requirements of the Contract Documents. Contractor agrees that the Work shall satisfy the requirements of the Contract Documents and shall (without limitation): (a) conform to the Scope Documents; (b) be of the quality required under the Scope Documents; (c) be free of Liens caused or created by Contractor or any Subcontractor; and (d) be constructed by means and methods complying with Laws.

2.2 Contractor agrees that the Work Order Price shall be Contractor's entire compensation and/or reimbursement for the performance of the Work and for all Included Items which will, might, or could be earned or incurred by Contractor and all Subcontractors under or by reason of the Contract Documents. Contractor agrees that amounts received by Contractor from HTFC shall be held in trust by Contractor pursuant to the Lien Law of New York State and shall be used first to pay for: (a) labor, materials, services, or equipment furnished in connection with the Work or any portion thereof (including materials or equipment stored offsite); (b) utilities furnished and taxes imposed; and (c) premiums on the Bonds and the Required Insurance.

2.3 Contractor shall secure (or cause to be secured), as part of the Work Order Price, all permits, licenses, certificates and approvals, if any, required under the Scope Documents or otherwise customary for Contractor's trade.

2.4 Contractor shall perform the Work in a good and skillful manner in accordance with current good standards of practice. Contractor shall be responsible for all applications, means, methods, techniques, sequences, and procedures necessary or desirable for the correct, prompt, and orderly prosecution and completion of the Work as required by the Contract Documents; subject, however, to HTFC's right to reject means and methods proposed by Contractor which (a) will constitute or create a hazard to the Work or to persons or property, or (b) will not produce finished Work in accordance with the requirements of the Contract Documents. Approval of (or failure to reject) any of Contractor's means and methods of demolition shall not relieve Contractor of any obligations under the Contract Documents.

2.5 Subject to HTFC's prior written approval (not to be unreasonably withheld), Contractor may use the Project Site for storage of materials and for temporary facilities, provided that Contractor makes all necessary arrangements for protecting, insuring, and securing such items within the Work Order Price.

ARTICLE 3. Familiarity with Documents and Conditions; No Warranties as to Contract Documents

3.1 Contractor represents that Contractor has reviewed carefully the Scope Documents and all other Contract Documents, as existing on the applicable Work Order Date. Execution of each Work Order shall be deemed representation by Contractor that Contractor had carefully reviewed all such documents existing on the applicable Work Order Date. Contractor agrees that HTFC has not made, and shall not be deemed to have made, any representations or warranties with respect to the Scope Documents, whether as to the design or other adequacy or sufficiency thereof, or otherwise.

3.2 Execution of each Work Order shall be deemed representation by Contractor that Contractor represents that, before the applicable Work Order Date: (a) Contractor has inspected (and has had the opportunity to inspect) and is familiar with the nature and location of the Project Site, other physical conditions relevant to the Work, and the jurisdiction and work rules of labor unions involved or to be involved in the Project; and (b) Contractor has become familiar with other applicable general and local conditions which may be material to Contractor's performance of the Work and the observable condition of and all existing buildings and structures (if any) on or adjacent to the Project Site; and (c) Contractor and has afforded its Subcontractors the opportunity to conduct such inspections and to become familiar with such general and local conditions.

3.3 Contractor shall not receive Extra Payment (or other additional compensation) with respect to any conditions or circumstances of any kind relating to or affecting the Project Site, including Unforeseen Conditions except for Extraordinary Conditions covered by an approved Change Order. Except for Extraordinary Conditions, Contractor assumes the entire risk of all conditions or circumstances relating to or affecting the Project Site, including Unforeseen Conditions.

3.4 Changes in Law occurring during the term of any applicable Work Order and/or reasonably expected to be effective immediately subsequent to completion of the services, which require a change in design of the Work, or in Contractor's means and methods, shall NOT be deemed Extra Work, and Contractor shall not receive any adjustment of the Work Order Price for any changes in Law. For the avoidance of doubt, a change in Law shall mean and include, also, a change in the interpretation or administration of any Law (including any changes or interpretations in rules, regulations, or administrative protocols or procedures of any kind).

ARTICLE 4. Meaning of Documents

4.1 The Scope Documents and all other Contract Documents are intended to complement and supplement each other and to include or imply all items required for the proper execution and completion of the Work. The Scope Documents and other Contract Documents do not necessarily indicate or describe all items required for full performance of the Work. Contractor agrees to furnish without additional compensation all Work indicated on, or implied from, any one such Contract Document as if required by all. Contractor shall perform and complete the Work in accordance with the requirements of the Contract Documents (with all labor, materials, services, and other things included thereto, or usually performed in connection therewith, or reasonably inferable therefrom). In the event of any inconsistency among any of the Contract Documents, the Construction Agreement shall govern, followed by the remaining Contract Documents in the order of precedence determined by the order in which they appear in the definition of "Contract Documents" in Article 1. Any issues of inconsistency shall be resolved by the GOSR Referee.

4.2 Contractor represents that Contractor is fully familiar with the technical standards specified in the Contract Documents or otherwise applicable to Contractor's performance of the Work. References in the Contract Documents to technical standards shall be construed to mean the most recent published technical standards of the institute, organization, association, authority, or society specified. Unless otherwise specified to the contrary in the Contract Documents: (a) all references to technical standards shall include all revisions prior to the applicable Work Order Date; (b) such technical standards shall apply as if incorporated in the Contract Documents; and (c) if any revision of such technical standards occurs after the applicable Work Order Date and prior to completion of the applicable Work, Contractor shall notify HTFC and, if directed to do so by HTFC, shall perform the Work in accordance with the revised requirement. Where the Contract Documents require materials or apparatus to conform to specified technical standards, Contractor shall furnish HTFC, upon request, the manufacturer's written certification that such materials or apparatus conform to such technical standards. Failure of HTFC to request or reject any certification shall not release Contractor from full responsibility for the accurate and complete performance of the Work in accordance with the Contract Documents.

4.3 All indications, notations, schedules, or details in the Contract Documents specifically applicable to one or a number of similar situations, materials or processes, or shown as typical or representative, shall apply to all similar situations, materials, or processes, wherever appearing in the Work, unless the Contract Documents clearly require a contrary result. A typical or representative detail indicated on the Contract Documents shall be the standard of construction and material in all corresponding parts of the Work. Where necessary, and where inferable from the Scope Documents, Contractor shall apply such representative detail for all corresponding parts of the Work.

4.4 Any reference in the Contract Documents to materials, equipment, systems or supplies shall be construed to require Contractor to furnish the same in accordance with the grades and/or standards indicated in the Contract Documents. Where the Contract Documents do not specify any explicit quality or standard for materials or construction, Contractor shall use only construction and new materials of the quality appropriate to the Project; and the Contract Documents are to be interpreted accordingly. The products and materials of manufacturers referred to in the Scope Documents are intended to establish the standard of quality and design required. Items other than those specified may be used if equivalent and approved by HTFC.

4.5 Contractor shall be responsible for all measurements required for execution of the Work to the position and elevation as required by the Contract Documents. Contractor shall follow dimensions set forth in the Contract Documents and in such cases shall not determine dimensions of the Work by scale. Before executing any Work, Contractor shall verify all measurements by inspection and examination at the Project Site. Contractor acknowledges that the Scope Documents do not necessarily show all variations in alignment, elevation, detail, etc., required to avoid interference or satisfy architectural and structural limitations; and Contractor assumes responsibility for the proper and correct performance of the Work.

4.6 Contractor shall be responsible for all measurements, load and other stress tests required for execution of the Work. Before executing any Work, Contractor shall verify all measurements by inspection and examination at the Project Site.

ARTICLE 5. Subcontractors

5.1 Each Subcontractor to be engaged by Contractor shall be subject to HTFC's prior written approval. Contractor shall have full responsibility for every portion of the Work furnished by any Subcontractor and for every act and omission (whether willful, negligent, or otherwise) of every Subcontractor and such Subcontractor's Employees. All Work, acts or omissions of every Subcontractor and such Subcontractor's Employees shall be deemed those of Contractor for all purposes of the Contract Documents.

5.2 If HTFC disapproves any proposed Subcontractor, Contractor shall promptly propose a substitute Subcontractor for the applicable Work at no additional cost or give written notice to HTFC that Contractor itself will perform the same Work. Failure to disapprove any Subcontractor shall not: (a) excuse Contractor from complying in all respects with the Contract Documents; or (b) imply that HTFC approves Contractor's or any Subcontractor's proposed staffing or scheduling of the Work or agrees that Contractor or any Subcontractor has the capacity or ability to complete the Work.

5.3 Nothing contained in the Contract Documents shall create any relationship of contract or agency between HTFC and any Subcontractor, notwithstanding HTFC's consent to any Subcontractor. Contractor acknowledges and agrees that HTFC shall have no obligation to supervise or deal with any Subcontractor or its Employees or to pay any Subcontractor or its Employees. No dealings of any kind whatsoever between HTFC or Homeowner and any Subcontractor shall be deemed a waiver of the foregoing by HTFC unless HTFC (at HTFC's election) specifically agrees otherwise in writing.

5.4 Contractor shall require all Subcontracts to be in writing and to comply with the requirements of this Article 5. Each Subcontract shall include a provision under which the Subcontractor agrees that the Subcontract shall be assigned to HTFC, at HTFC's written election, upon a termination of Contractor's rights to perform the Work under Article 12 or Article 20 (such assignment to become effective upon HTFC's giving written notice to the Subcontractor). Each Subcontract shall contain the same terms and conditions as to method of payment for Work and as to retained percentages as are set forth in this Contract, unless HTFC agrees otherwise in writing. Each Subcontract shall incorporate these General Conditions (and all other Contract Documents which apply generally to all Work or specifically to the Work covered by such Subcontract, and specifically the Supplementary Conditions) and shall provide that the Subcontractor shall be obligated to Contractor thereunder to the same extent as Contractor is obligated to HTFC for the Work of such Subcontractor. Upon HTFC's written request, Contractor shall deliver to HTFC a true and complete copy (or counterpart original) of the signed Subcontract between Contractor and each Subcontractor (and any modifications thereof). If Contractor desires to make a substitution for any Subcontractor, the proposed substitution shall be subject to all other requirements of this Article.

5.5 No Subcontractor shall be permitted on the Project Site unless Contractor has complied with Sections 5.2 and 5.4 of these General Conditions. Contractor shall bear all risk of delay resulting from Contractor's failure to submit required information, or obtain HTFC's decision concerning acceptability, within sufficient time to enable the applicable Subcontractor to commence Work when scheduled.

ARTICLE 6. Indemnification; Release of Liability

6.1 Contractor hereby agrees to defend (using counsel acceptable to HTFC), indemnify and hold harmless each and every Indemnitee (its successors, affiliates and assigns) from and against (and to pay the full amount of) all Loss-And-Expense, whenever asserted or occurring, which any Indemnitee may suffer, incur or pay out, or which may be asserted against any Indemnitee in whole or in part, by reason of, or in connection with, the following:

(a) any bodily injury, sickness, disease or death of or to any person or persons occurring in connection with (or arising out of, or resulting from) the Work and/or any willful or negligent acts or omissions of Contractor or any Subcontractor, and whether occurring on the Project Site or elsewhere;

(b) any damage to or destruction or loss of any property, including any third party property and any property of HTFC and any property of others in the care, custody and control of Contractor, arising out of, or

resulting from the Work and/or any willful or negligent acts or omissions of Contractor or its Employees or any Subcontractors, and whether occurring on the Project Site or elsewhere;

(c) any loss of benefits under any manufacturer's guarantee, warranty or service agreement resulting from the fault of Contractor or any Subcontractor;

(d) any materially untrue or incorrect statement or representation of Contractor or Subcontractors in any Requisition, or in any other document submitted by Contractor with respect to the Work, the Project, or the Contract Documents (or for purposes of securing the Construction Agreement)**;**

(e) any failure of Contractor or subcontractors to comply with Laws;

(f) any failure of Contractor or subcontractors to secure and maintain Required Insurance, or any Indemnitee's loss of coverage under any Insurance by reason of acts or omissions of Contractor;

(g) any amounts payable under worker's compensation or similar Laws not otherwise covered under (a) or (b) above in connection with (or arising out of, or resulting from) Contractor's performance or failure to perform the Work, or any other willful or negligent acts or omissions of Contractor or any Subcontractor attributable or relating thereto; and/or

(h) any claim in the nature of patent, copyright, or trade secret infringement or unfair competition, or other propriety right, arising out of Contractor's or subcontractor’s unauthorized use of any intellectual property or other similar protected material.

6.2 Contractor shall defend (using counsel acceptable to HTFC) any claim, demand, allegations of liability, or Legal Proceedings (collectively referred to herein as “Legal Proceedings”) commenced against any Indemnitee concerning any matter covered by any indemnity under Section 6.1. If Contractor fails to defend diligently any such Legal Proceeding, HTFC shall have the right (but no obligation) to defend the same at Contractor's expense. Contractor shall not settle any such Legal Proceeding without HTFC's prior written consent. Contractor shall give HTFC copies of documents served in any such Legal Proceeding and, whenever requested by HTFC, shall advise promptly as to the status of such Legal Proceeding. Contractor shall notify HTFC promptly of every Legal Proceeding or claim of which Contractor has knowledge which may be covered by any indemnity under this Article 6 and/or which may be covered by any Required Insurance. Contractor shall also give timely notice of such Legal Proceedings and claims to each insurer which has issued an applicable policy of Required Insurance, identifying all Indemnitees involved.

6.3 Contractor's indemnities and obligations under Sections 6.1 and 6.2 shall cover and include the Fees-And-Costs paid or incurred by HTFC in connection with any matter and amount referred to in Sections 6.1 and 6.2, together with the Fees-And-Costs paid or incurred by any Indemnitee to enforce this Article and Contractor's obligations hereunder (and Contractor agrees specifically that Contractor shall pay HTFC the Fees-And-Costs paid or incurred by HTFC to enforce this Article and Contractor's indemnities and obligations hereunder). Contractor shall pay such Fees-And-Costs upon demand from time to time.

6.4 Contractor's indemnities and obligations under the Contract Documents shall not be limited or defined by the amount of Required Insurance or by any limitations or restrictions on the amount or type of damages, compensation or benefits payable to, by or for Contractor under workers' compensation acts, disability benefit acts or any other Laws relating to employee benefits. No Indemnitee's right to indemnity under the Contract Documents shall be diminished, waived, or discharged by the exercise of any other remedy allowed under the Contract Documents or by Law.

6.5 This Article 6 and the obligations of Contractor hereunder shall survive Completion, all payments to Contractor, and any termination of Contractor's right to perform the Contract.

6.6 Contractor assumes the risk of, and hereby releases all Indemnitees from and with respect to, any and all matters and things covered by Contractor's obligations under this Article 6; provided, however, that Contractor shall not be required to indemnify against Loss-And-Expense as to any Indemnitee to the extent that such Loss-And-Expense is the result of the negligence or willful misconduct of such Indemnitee.

6.7 If any Subcontractor or any other Person claiming to have been employed directly or indirectly by or through Contractor or any Subcontractor files a Lien (unless as a result of HTFC's failure to pay an undisputed amount properly due to Contractor under this Contract), Contractor shall satisfy, remove or discharge such Lien at Contractor's expense by bonding, payment or otherwise within 30 days after notice to Contractor of the filing thereof. If Contractor fails to do so, HTFC may satisfy, remove or discharge such Lien; and, at HTFC's election: (a) HTFC may deduct the cost thereof (including all applicable Fees-And-Costs) from Contractor's next succeeding Requisitions (or may invalidate any previously approved but unpaid Requisitions) until HTFC recoups the total thereof; or (b) Contractor shall pay the same to HTFC upon demand.

ARTICLE 7. Access to Work; Inspections; Testing; Uncovering of Work

7.1 During the progress of the Work through Completion, Contractor shall at all times afford HTFC and other Persons designated by HTFC, access to the Work and every reasonable, safe, and proper facility for inspecting or examining all Work at the Project Site or, if elsewhere, at the place of preparation. Contractor shall secure and deliver to HTFC promptly all certificates of inspection, test reports, work logs, or approvals with respect to the Work as and when required by the Contract Documents (or by Laws which place responsibility for the same on Contractor).

7.2 All tests or inspections required by Law ("Controlled Inspections") shall be at Contractor's expense within the Work Order Price (and Contractor shall engage, or provide the services of, a licensed engineer, at Contractor's expense, for such purpose). Contractor shall arrange and coordinate any Controlled Inspections and notify HTFC sufficiently in advance of the need and time for such Controlled Inspections. Additionally, Contractor shall arrange, coordinate and conduct all tests or inspections specifically required of Contractor or any Subcontractor under the Contract Documents (or which are otherwise required by any Laws which place the responsibility for conducting such test or inspection on Contractor) which are not Controlled Inspections. Contractor shall give three Work Days advance notice of the scheduled time for a test or inspection to HTFC and any consultants or other Persons who will be affected by (or who should necessarily or properly be present for) such test or inspection. Contractor shall give HTFC copies of all inspection certificates from Controlled Inspections or other tests and inspections within five days after Contractor receives the same.

7.3 HTFC may at any time conduct (or cause to be conducted) such on-site inspections and such other tests as HTFC deems necessary or desirable to ascertain whether the Work complies with the Contract Documents. HTFC will pay for a test or inspection requested by HTFC (and not required under Section 7.2) as Extra Work under Article 21, unless such test or inspection reveals a failure of the Work to comply with the Contract Documents or Laws, in which event Contractor shall bear all expenses of such inspection or test. Should Contractor fail to adequately coordinate with the applicable inspector or testing entity, Contractor shall be back-charged for any additional Fees-And-Costs incurred by HTFC for re-inspection or re-testing.

7.4 Contractor shall secure and deliver to HTFC promptly all certificates of inspection, test reports, work logs, or approvals with respect to the Work as and when required by the Contract Documents (or by Laws which place responsibility for the same on Contractor).

ARTICLE 8. Casualty and Other Damage to the Work

8.1 In the Contract Documents, "Damage" (or "Damaged") means and includes damage, destruction, or loss resulting from fire, weather, other casualty, vandalism, theft, negligent or intentional acts or omissions of Contractor or a Subcontractor, and/or any other cause whatsoever. From the applicable Work Order Date until Completion, Contractor shall use care and diligence, and shall take precautions, to protect the Work and other property of HTFC and/or other Persons from Damage. Contactor acknowledges that HTFC and Homeowner shall NOT carry any builder's risk or other insurance that would cover any such Damage. Contractor assumes the risk of all Damage to the Work or the Project and agrees that any restoration, remediation, additional protection, and/or any change in Contractor's logistics or means and methods of conducting the Work required by reason of Damage shall be at Contractor's expense.

8.2 Contractor shall notify HTFC of any Damage to the Work, or any accidents on the Project Site, as promptly as reasonably possible after Contractor learns of the same; and, within ten days after learning of any occurrence, Contractor shall submit a full and complete written report to HTFC. Contractor shall also submit to HTFC copies of all accident and other reports filed with (or given to Contractor by) any insurance company, adjuster, or Government Entity.

ARTICLE 9. Ownership of Drawings and Other Protected Material

9.1 The Scope Documents, and all drawings, notes and other documents of any kind issued by HTFC in connection with the Contract, the Work Order or the Work, and all samples, Shop Drawings, and other submittals prepared by Contractor or any Subcontractor in connection with the Work or the Project, together with all other Books and Records, and all rights in the foregoing (including rights of use, copyright, and trademark), shall be and remain the sole and confidential property of Homeowner (whether or not HTFC undertakes, terminates, or completes the Work, or this Construction Agreement is terminated for any reason whatsoever) and, for the avoidance of doubt, Contractor hereby assigns all rights it may have in the foregoing to Homeowner.

9.2 Notwithstanding anything to the contrary in Section 9.1, HTFC and Homeowner shall not own but shall have a royalty-free perpetual license to use (or permit use of) any intellectual property or other similar protected material prepared as part of the Work for any purpose related to the Project. If Contractor does not have the right to grant such a license with respect to such material prepared by third parties, Contractor shall notify HTFC promptly.

ARTICLE 10. Contractor's Representatives and Personnel; Contractor Responsible for Labor Matters, Coordination, Etc.

10.1 Contractor has designated in Schedule C to the Construction Agreement one or more representatives who have full authority, individually, to act for Contractor under and with respect to the Contract Documents. The acts of each such representative shall fully bind Contractor; and HTFC shall be fully protected in relying upon, or dealing with, any one of such designated representatives. Contractor is an independent contractor and not an Employee of HTFC. Contractor and all Persons assigned to the Work by Contractor shall perform in a manner which is skillful and otherwise appropriate and shall cooperate with HTFC and its Employees, consultants, contractors and representatives. If any Person assigned to the Work by Contractor is unacceptable, in HTFC's judgment, Contractor shall terminate the assignment of such Person immediately (and secure an acceptable substitute, if required) without any increase in the Work Order Price.

10.2 Contractor shall be responsible for establishing a safety program and security as appropriate for each Project. Contractor shall (and shall cause each Subcontractor to) (a) use care and diligence to protect the Work and the Project Site and Homeowner from theft, vandalism, and other unlawful or inappropriate activities, and (b) in furtherance thereof, in compliance with Laws, perform background screening of all employees entering the Project Site. Costs of safety and security required under this paragraph shall be borne by Contractor, at Contractor’s expense, within the Work Order Price.

10.3 Contractor acknowledges and agrees that HTFC or Homeowner may award contracts to Separate Contractors for other activities or work at the Project Site. Contractor agrees: to cooperate reasonably and to coordinate with any Separate Contractors so as to avoid disputes and delays; to allow Separate Contractors, upon reasonable advance notice during normal working hours, to review pertinent documents in Contractor’s possession (including any Contract Documents or Shop Drawings and samples which will or may affect the work of such Separate Contractor); if Contractor controls the Project Site, to afford Separate Contractors access to the Project Site (provided that all Separate Contractors shall coordinate their work with Contractor while on the Project Site); and to notify promptly any Separate Contractor, HTFC and Homeowner of any problems in the Separate Contractor’s work that are reasonably likely to cause damage or delay to Contractor and to cooperate with the Separate Contractor to mitigate the effects of the problem.

ARTICLE 11. Books and Records

11.1 Contractor shall keep and maintain the following (the “Books and Records”): (a) complete accounts and cost records of all payments by HTFC to Contractor and/or by Contractor to any Subcontractor or other Person in connection with the Work, including records of all Extra Work and Disputed Work performed; (b) copies (and originals, as appropriate) of all documents of any kind prepared, issued, or received by Contractor in connection with the Work or the Project; (c) all payroll records, receiving documents, time books, job diaries and reports, cost analyses, cancelled checks, sales or excise tax filings and returns (or exemptions therefrom), other government filings, and other documents showing acts or transactions in connection with (or relating to or arising by reason of) the Work, the Contract, or any Subcontract; and (d) one complete set of the Scope Documents marked to record all changes by Contractor during the Work and specifying the applicable Change Orders. Contractor shall, upon written notice from HTFC, produce any or all Books and Records for examination, audit, and/or copying, during regular business hours, at Contractor's office, by a representative of HTFC. Contractor shall keep and maintain all Books and Records for at least six years after Completion.

12.1 "Event of Default" means any of the following:

(a) Contractor fails to commence Work on the Starting Date, subject to Excusable Delays;

(b) Contractor abandons the Work in violation of Contractor's obligations under the Contract Documents;

(c) Contractor reduces Contractor's work force to a number which HTFC reasonably believes would be insufficient to complete the Work and Contractor fails, after five days' written notice from HTFC, to increase the work force to a number sufficient so as to complete the Work;

(d) Contractor fails to secure and maintain all Required Insurance in accordance with the Contract Documents;

(e) Contractor does not achieve Completion on or before the Completion Date (as extended under Article 18);

(f) the unpaid balance of the Work Order Price is clearly insufficient to complete the Work and to pay all Liens which are Contractor's responsibility under Section 6.7 (and not yet bonded or discharged), and Contractor fails to confirm in writing, after seven days written notice from HTFC, that Contractor shall complete the Work in accordance with the Contract Documents;

(g) Contractor: (i) seeks, consents to, acquiesces in, or suffers the appointment of, a receiver of all or a material part of Contractor's property or income; (ii) admits in writing Contractor's inability to pay Contractor's debts as they mature; (iii) makes a general assignment for the benefit of creditors; (iv) files a voluntary petition in bankruptcy, or a petition or an answer seeking reorganization or an arrangement with creditors or an advantage under any present or future federal, state or other law relating to bankruptcy, reorganization, insolvency, readjustment of debt, dissolution or liquidation or similar relief; or files an answer admitting the material allegations of a petition filed against Contractor in any proceeding under any such law; and/or (v) is adjudicated an insolvent or is subject to an involuntary petition in bankruptcy, and such adjudication or filing is not set aside or terminated within 30 days;

(h) an attachment is levied or a judgment is executed against all or any material part of Contractor's property or income and the same is not discharged within 30 days;

(i) Contractor (or the chairman or president, or any vice president, treasurer, or any shareholder owning more than twenty percent (20%) of Contractor's issued and outstanding capital stock, or the sole proprietor of Contractor or any member, manager, general partner or joint venturer of Contractor) is indicted for an alleged felony related or pertaining to the business activities of Contractor; and/or

(j) except as covered by (a) through (i) above, Contractor fails to perform or observe any other term, covenant, condition and provision of the Contract Documents for twenty-one (21) days after written notice from HTFC specifying the nature of Contractor's failure; provided, however, that if curing or correcting such failure requires Work to be performed, acts to be done, or conditions to be removed which cannot be performed, done, or removed within such twenty-one (21) days, no Event of Default shall be deemed to have occurred if Contractor: (i) gives written notice to HTFC within such twenty-one (21) days acknowledging that Contractor intends to take all actions necessary to remedy the matter involved with due diligence; (ii) promptly commences to cure and correct the matter involved and diligently continues to prosecute the same; and (iii) cures and corrects the matter involved within a reasonable time, taking into account the relevant circumstances.

12.2 Upon the occurrence of any Event of Default (following the applicable notice and/or cure period specified in Section 12.1 for such Event of Default, if any), HTFC may give written notice (the "Five Day Notice") to Contractor. If Contractor still fails to cure or correct the specified default within five days after HTFC gives the Five Day Notice, Contractor shall be in "Default" and thereupon HTFC may do any or all of the following, in any sequence: (a) terminate Contractor's

right to perform the Work, in whole or in part, to the extent specified by HTFC; and/or (b) at Contractor's expense, take (or cause to be taken) any and all actions and incur any costs which HTFC deems necessary or desirable (in HTFC's judgment) to investigate and/or cure all or any portion of such Default. For this purpose, HTFC may: (i) take possession of and use (or permit any Person described in (ii) or (iv) below to take possession of and use) any or all materials, tools, plant, equipment, supplies and/or facilities used or to be used by Contractor for the Work (whether on or off the Project Site) to the fullest extent permitted by Law; (ii) employ any architect, engineer, attorney, accountant, or other consultant, or any contractor or other Person, on terms satisfactory to HTFC (in HTFC's judgment), with or without competitive bidding, to advise and consult, to furnish services, labor, materials, tools, plant, equipment, supplies, transportation, facilities, and/or any other matters of any kind necessary or desirable (in HTFC's judgment) to complete the Work, or otherwise to cure Contractor's Default; (iii) repair or replace any Work or part of the Project, or Work of any other contractor, damaged, removed, or uncovered by reason of Contractor's Default, or the curing and correction thereof; (iv) rebid, re-let, or otherwise award the Construction Agreement or any portion of the Work to any other Person (whether by negotiation, competitive bidding, or otherwise); and/or (v) compel the Surety under the Performance Bond (if any) to perform Contractor's obligations under the Contract Documents. Contractor and each Surety under the Bonds (if any) shall remain liable under the Contract Documents, whether or not HTFC terminates Contractor's right to perform the Construction Agreement (either in whole or in part) or takes (or omits to take) any other action with respect to any Default.

12.3 Contractor shall be liable to HTFC for all Loss-And-Expense paid or incurred by HTFC in connection with any and all actions and matters under Section 12.2 (collectively, "Completion Expense"). HTFC shall determine the amount of the Completion Expense from time to time, and: (a) to the extent the Completion Expense exceeds the portion of the Work Order Price properly attributable to the remaining Work being completed or corrected, such excess amount: (i) shall be deducted from any unpaid balance of the Work Order Price or other amounts due Contractor hereunder, to the extent of such balance; and (ii) Contractor shall pay HTFC any amount exceeding the unpaid balance of the Work Order Price, upon demand; and (b) upon Completion of the Work, but only to the extent the entire Completion Expense is less than the unpaid balance of the Work Order Price, HTFC shall pay Contractor any balance of the Work Order Price still due and unpaid for Work actually performed by Contractor, without interest, after Contractor has complied with the requirements of Article 28.

12.4 If HTFC terminates Contractor's right to perform the Work and if it is determined subsequently for any reason that an Event of Default did not occur or that Contractor had cured such Event of Default in a timely manner, then HTFC's termination of Contractor's right to perform the Work shall be deemed to have been an elective termination of this Construction Agreement pursuant to Article 20 and HTFC shall pay Contractor the Cancellation Payment specified in Section 20.2.

12.5 The rights and remedies of HTFC under this Article are not intended to be exclusive. Each right and remedy shall be cumulative and shall be in addition to all other rights and remedies given HTFC under the Contract Documents or available at law or in equity.

12.6 This Article is intended to supplement and not limit any provisions of the Supplementary Conditions dealing with the subject matter hereof.

ARTICLE 13. Legal Proceedings by Contractor; Governing Law

13.1 Contractor shall not bring any Legal Proceeding against HTFC or any other Indemnitee under the Contract Documents, or with respect to any aspect of the Work, unless Contractor commences the same no later than 365 days after: (a) Completion; (b) any termination of Contractor's right to perform the Work under Article 12 or Article 20; and/or (c) any abandonment of the Project or purported termination by Contractor based upon any alleged default by HTFC. The Contract Documents shall be construed and enforced in accordance with, and governed by, the laws of the State of New York (without regard to principles of conflicts of laws). In the event of any Legal Proceeding between the parties concerning the Contract Documents (or any matter pertaining to or arising under the Contract Documents) which results in a judgment final beyond appeal, the prevailing party shall be entitled to reimbursement from the losing party, upon demand, for all Fees-And-Costs of such Legal Proceeding paid or incurred by the prevailing party. Contractor and HTFC agree that any legal action with respect to this Contract (including all defenses to any such legal action and all counterclaims or cross-claims therein) shall be brought and maintained only in the Supreme Court of the State of New York, New York County; and Contractor and HTFC accept (and submit to) the jurisdiction of such court.

ARTICLE 14. No Waivers; No Third-Party Rights

14.1 The Contract Documents may not be modified or amended (or any term or provision waived or discharged) except in writing signed by the party against whom such amendment, modification, waiver or discharge is intended to be effective or except as elsewhere provided in the Contract Documents. Except and unless as elsewhere provided in the Contract Documents (or unless otherwise specifically agreed by HTFC in writing with respect to a particular matter), no action, failure to act, course of dealing or delay of HTFC shall constitute a waiver by HTFC of Contractor's compliance with any term or provision of the Contract Documents or shall preclude any other or further exercise thereof or the exercise of any other right, power or remedy.

14.2 Unless another provision of the Contract Documents provides specifically to the contrary, nothing in the Contract Documents, express or implied, is intended: (a) to confer on any Person other than HTFC, Homeowner or Contractor any rights, obligations, liabilities or remedies; or (b) to waive any claim or right of Contractor, HTFC, Homeowner or any Indemnitee against any other Person.

ARTICLE 15. Correction of Work; Guarantees

15.1 Prior to Completion and at any time during the Guarantee Period when HTFC or Homeowner gives written notice to Contractor, Contractor shall correct promptly all Work which is incorrect, defective, incomplete, omitted, or not otherwise in compliance with the Contract Documents. Unless a longer period is otherwise set forth in the Contract Documents, “Guarantee Period” means the period commencing on the date of Completion and ending on the later of (a) 365 days following such date or (b) 180 days after the completion of the specific corrective action. If Contractor fails to commence required action under this Article within ten (10) days after written notice from HTFC or Homeowner, or if Contractor does not thereafter prosecute such action diligently to completion, HTFC or Homeowner may undertake the necessary corrective action itself or through other Persons at Contractor's expense. Any costs of corrective action for which Contractor is responsible under this Article shall be deducted from the unpaid balance of the Work Order Price (if any) or otherwise paid by Contractor upon demand. This Article is intended to supplement (and not to limit) Contractor's obligations under other provisions of the Contract Documents and under Laws, including Article 2.

ARTICLE 16. Resolution of Disputes

16.1 If Contractor, HTFC or Homeowner dispute any action of the other relating to any issue arising under this Construction Agreement (or under the Supplement to Grant Agreement), and if they fail to resolve their dispute within fifteen (15) days after written notice from one party to the other advising of the dispute and specifying this Article, either party may submit a notice of dispute to the GOSR Referee. Each such submission to the GOSR Referee shall specify in reasonable detail:

(a) the nature of the dispute and/or any information or interpretation requested by the party (the “petitioner”) giving notice to the GOSR Referee; and

(b) the petitioner’s proposal for resolving the dispute.

16.2 The petitioner shall include with such request all documents and other materials which the petitioner deems relevant. The petitioner shall give copies to the other party(ies) (the “respondent”) of all documents and other materials submitted by the petitioner to the GOSR Referee.

16.3 The GOSR Referee shall review each matter submitted and shall allow the respondent an opportunity to submit a written statement of the respondent’s position (together with any documents or materials which the respondent deems relevant) within thirty (30) days after the respondent receives the petitioner’s submission of documents under Section 16.2. The GOSR Referee shall also confer with both parties together to discuss the dispute and hear argument and may allow either party to submit a further written statement (or statements) of its position. In considering or rendering any decision, the GOSR Referee shall construe, interpret, and apply the Contract Documents or Supplement to Grant Agreement strictly in accordance with their terms. The GOSR Referee shall deliver a written decision to Contractor, HTFC and Homeowner as promptly as possible, but no later than thirty (30) days after the last document submission by the parties to the GOSR Referee

(or conference with both parties, if later). Contractor, HTFC and Homeowner shall comply promptly with decisions of the GOSR Referee.

16.4 A decision of the GOSR Referee shall be conclusive and binding on Contractor, HTFC and Homeowner with full effect as the decision of an arbitrator under New York law.

16.5 HTFC, Contractor and Homeowner shall each bear its own expenses of any proceeding before the GOSR Referee. There shall be no charge for the fees or expenses of the GOSR Referee.

16.6 If the GOSR Referee is disbanded or is unable to serve, GOSR shall designate a successor within thirty (30) days after application by a petitioner. In such event the time periods for issuance of a determination by the GOSR Referee under this Article shall (if necessary) be postponed day-for-day pending the appointment (and agreement to serve) of the successor GOSR Referee.

16.7 A Surety issuing any Bond with respect to this Construction Agreement shall be bound by decisions of the GOSR Referee to the same extent as Contractor. Moreover, by issuing its Bond such Surety shall be deemed to have agreed that submission of any matter to the GOSR Referee, and/or any decision or other action of the GOSR Referee, shall not discharge, release, amend, or waive such Bond or any rights of HTFC or Homeowner thereunder.

16.8 Contractor shall not stop Work during the pendency of any dispute. Following a decision of the GOSR Referee, each party (as applicable) shall comply immediately with such decision.

16.9 Contractor and Homeowner acknowledge and agreed that the members of GOSR Referee may be an employee of, or contractor with, HTFC or of another agency of the State of New York. Nonetheless, Contractor and Homeowner each waives any actual or apparent conflict of interest and accepts the GOSR Referee as the Person to perform the functions which are specified for the GOSR Referee under this Article.

ARTICLE 17. Commencement of Work; Time

17.1 Contractor shall commence Work on the Project Site, no later than the Starting Date. Subject to Excusable Delays, time is of the essence for Contractor's Completion of the Work on or before the Completion Date.

17.2 If at any time the Work is likely to be delayed for any reason, or if HTFC otherwise desires to accelerate the Work for any reason, HTFC may give written notice requiring Contractor to (a) increase the number of workers and/or the amount or types of machinery, tools, equipment, or materials employed by Contractor in or for the performance of the Work; and/or (b) schedule and conduct additional lawful work shifts. Contractor shall undertake immediately all such action which HTFC so requires in order to accelerate the Work, subject to availability of labor and materials. Costs of additional labor, machinery, tools, equipment and/or materials, if any, required under this paragraph shall be borne by Contractor, at Contractor’s expense, within the Work Order Price where the Work has been delayed by Contractor (as extended for Excusable Delays) or otherwise shall be borne by HTFC as an Extra Payment computed in accordance with Article 21. If HTFC and Contractor do not agree as to the cause of any delay in the Work, or if Contractor disputes the necessity of accelerating the Work, nevertheless Contractor shall comply with HTFC's requirements and shall continue to prosecute the Work. Whether or not HTFC exercises the same, HTFC's right to accelerate performance of the Work under this Section shall not limit, modify or waive any of HTFC's rights or remedies under the Contract Documents.

ARTICLE 18. Extensions of Time

18.1 Contractor shall be entitled to extensions of the Completion Date only for Excusable Delays, subject to compliance with the conditions and requirements of this Article. Contractor may request an extension of time by giving a written notice to HTFC which briefly describes the delay and estimates the duration of the delay (a “Delay Notice”) within ten (10) days (unless a different time period is expressly identified in the applicable Work Order) after Contractor receives notice or otherwise becomes aware that the Excusable Delay has commenced or can be expected to commence. Contractor hereby waives and releases any right to an extension of time as to which Contractor does not give a Delay Notice as specified in this Article. Subject to the foregoing, if Contractor is entitled to a requested extension of time, HTFC shall issue a Change Order after timely receipt of the Delay Notice. Contractor shall not receive an extension of time under this Article to the extent that Contractor would have been delayed concurrently by any fault of Contractor.

ARTICLE 19. Suspensions of Work

19.1 HTFC may order Contractor, by written notice at any time, to stop the Work (or any part thereof) for any period or periods specified by HTFC, for any reasons (i.e., with or without cause). HTFC's order shall specify the date on which Contractor shall stop the Work. Contractor shall resume the Work thereafter if and when HTFC so orders. Contractor shall receive an extension of time as an Excusable Delay for any period of stoppage ordered by HTFC under this Article unless the suspension was necessary by reason of or attributable to Contractor's fault.

19.2 Extensions of time under Article 18, and payment of any amounts that may be due under Section 27.1 for a suspension by HTFC, shall be construed as full consideration to Contractor, and as a release of HTFC by Contractor (and all Persons claiming by, through and/or under Contractor), with respect to the particular stoppage of the Work.

ARTICLE 20. Elective Termination By HTFC

20.1 HTFC may terminate Contractor's right to perform the Contract in whole or in part at any time after the date of the Construction Agreement for any reason, with or without cause, by at least ten (10) days' prior written notice to Contractor (the "Termination Notice") specifying the effective date of such termination (the "Termination Date") and the extent to which performance of the Work is terminated.

20.2 Upon a termination under this Article and after Contractor complies with Article 28, Contractor shall be entitled to a "Cancellation Payment" consisting of the following: (a) all amounts (including any Extra Payments) due, but not yet paid, Contractor under the Contract Documents for Work completed prior to the Termination Date; (b) direct out-of-pocket costs of any supplies, materials, machinery, equipment, facilities, or other property, in each case specially fabricated or purchased by Contractor or any Subcontractor pursuant to the Scope Documents in accordance with the Construction Agreement for the sole purpose of performing the Construction Agreement and not capable of installation and use except as a part of the Work; (c) other reasonable costs for which Contractor is obligated under non-cancellable agreements, even though Contractor has not yet received delivery of the same (but limited as though all Subcontractors have received a notice of termination effective as of the same date and are bound by similar provisions in their Subcontracts); and (d) five percent (5%) of all costs computed under (a) through (c) above; however, (e) minus any amounts due to HTFC from Contractor under the Contract Documents. Contractor shall receive no other payments (and, without limitation, no payment of any Included Items) by reasons of such termination.

20.3 Contractor agrees that the Cancellation Payment will fully and adequately compensate Contractor (and all other Persons claiming by or under Contractor) for all Loss-And-Expense attributable to the termination of Contractor's right to perform this Construction Agreement. After the Termination Date, in HTFC's sole discretion (but without any obligation to do so), HTFC may take any and all actions necessary or desirable to complete the Work so terminated, including, entering into contracts with other contractors, with or without public letting. Unless Section 12.4 applies, this Article shall not apply to any termination of Contractor's right to perform this Construction Agreement under Article 12.

20.4 This Article is intended to supplement and not limit any provisions of the Supplementary Conditions dealing with the subject matter hereof.

ARTICLE 21. Change Orders; Extra Work

21.1 HTFC may issue Change Orders pertaining to any and all aspects of the Work at any time and for any reason whatsoever, whether and however such Change Orders may revise this Contract, add Extra Work, or require the deletion of Deleted Work.

21.2 Whenever Contractor believes (or has cause to believe) that Extra Work is required, or whenever Contractor performs any Disputed Work (see Section 22.1), Contractor shall deliver to HTFC a notice (the "Change Order Advisory") containing (a) a statement of why the particular Work is Extra Work; and (b) a rough order of magnitude as to the Extra Payment involved and extension of time required (if any). For the avoidance of doubt, Contractor understands that Contractor will receive no Change Orders for Unforeseen Conditions or for any other matter under this Construction Agreement other than Discretionary HTFC Changes or other matters for which this Construction Agreement otherwise makes explicit provision. As used herein a "Discretionary HTFC Change" means Extra Work which materially changes the Base

Contract Work and is specifically required by a written order of HTFC describing the same. The Project Manager shall have no authority to issue Discretionary HTFC Changes; and no bulletin, interpretation, advisory, or other document of any kind issued by the Project Manager or any other Government Entity shall be deemed to constitute a Discretionary HTFC Change.

21.3 If HTFC issues a Discretionary HTFC Change, or if Contractor believes that Contractor has encountered Extraordinary Conditions, Contractor shall submit to HTFC a Change Order which shall set forth in sufficient detail all proposed changes in the Work and the reasons therefor. Contractor shall specify, also, whether the Change Order will result in an increase or reduction in the Work Order Price and the amount thereof (which shall be governed by this Article). If HTFC approves, HTFC shall issue a Change Order and Contractor shall implement the particular Change Order in accordance with HTFC's instructions. Submission of any proposed Change Order by Contractor shall be deemed a representation by Contractor that (a) the Work covered by such proposed Change Order is Extra Work or Deleted Work, as the case may be, which requires an adjustment in the Work Order Price and (b) that the adjustment in the Work Order Price set forth in such proposed Change Order is fair and reasonable and does not include any costs which are not permissible under the Contract Documents. For the avoidance of doubt, HTFC reserves the right to engage one or more Separate Contractors for performance of work or services that would constitute Extra Work if performed by Contractor hereunder, including addressing Extraordinary Conditions.

21.4 Contractor shall undertake and complete promptly all Extra Work authorized under this Article. Subject to Section 22.1, Contractor shall not perform any Extra Work without a Change Order signed by HTFC specifically authorizing Extra Work.

21.5 Without limiting other provisions of this Construction Agreement, Contractor shall not be entitled to any Extra Payment for any Extra Work, if and to the extent required by reason of: (a) Contractor's or any Subcontractor's fault; (b) coordination of Scope Documents, other than lack of coordination resulting from material design defects; (c) development of details inferable from the Scope Documents; (d) the inclusion or exclusion of any item which should be included or excluded in accordance with good construction practice, whether or not shown or set forth in a Contract Drawing and/or Specification; or (e) any risk or obligation assumed by Contractor in the Contract Documents, including Unforeseen Conditions.

21.6 HTFC may request Contractor to submit a price for Extra Work covered by any proposed Change Order. In response, within five Work Days after receipt of any such request, Contractor shall submit a written quotation in a form approved by HTFC.

21.7 If HTFC and Contractor fail to agree upon the amount of Extra Payment due Contractor with respect to proposed Extra Work, HTFC may, in its sole discretion, issue a Change Order requiring such Extra Work, instruct Contractor to continue performance of the Work without the proposed Extra Work (if physically possible), or instruct Contractor to stop the Work. If HTFC issues a Change Order requiring such Extra Work, or if HTFC issues a Change Order without first requesting a quotation pursuant to Section 21.6, Contractor shall proceed immediately with the Extra Work covered by such Change Order; and, unless Contractor and HTFC agree on a lump-sum or unit-price payment, any Extra Payment due Contractor shall be computed on the time and materials basis in accordance with Section 21.8; and in such case Contractor shall notify HTFC by telephone before 3:00 p m. E.S.T. on any Work Day of all Extra Work to be performed on a time and materials basis which Contractor has scheduled for the next Work Day. If HTFC instructs Contractor to stop the Work, Contractor shall stop Work on the date and to the extent specified by HTFC and take all action as necessary (or as HTFC may direct) to protect and preserve all materials, equipment, tools, facilities and other property and the safety of all Persons connected with the Work or the Project Site.

21.8 Whenever Contractor performs Extra Work on the time and materials basis, HTFC shall pay Contractor the following reasonable costs actually incurred for the following with respect to such Extra Work: (a) necessary materials (including actual costs of transportation to the Site); (b) necessary direct labor; (c) premiums actually paid by the employer for worker's compensation; vacation allowances, union dues, health, welfare, unemployment, and retirement benefits, and payroll taxes, which the employer actually pays on such direct labor; (d) incremental additional costs of Required Insurance and/or Bonds occasioned by performance of such Extra Work; (e) sales and personal property taxes (if any) required to be paid on materials incorporated in such Extra Work, other than those for which exemption is (or should be) allowed under this Contract; (f) actual rental costs of necessary plant and equipment other than small tools (or, in the case of Contractor-owned equipment, the reasonable rental value thereof); (g) necessary installation and dismantling of such plant and equipment (including transportation to and from the Site), if any; and (h) fifteen percent (15%) (the "Change Order Mark-up") <u>in the aggregate</u> on the total of items (a) through (g) for all Included Items of Contractor and all Subcontractors associated with

such Extra Work. Where Contractor performs Extra Work on a time and materials basis and Contractor has not submitted full time sheets with its Requisition for same, HTFC will make a provisional payment of 70% of the Extra Payment requested by Contractor in any Requisition with the remaining 30% paid upon HTFC's receipt and verification of full time sheets for such Extra Work, subject to Article 24 and the completion of an audit.

21.9 The Work Order Price shall be reduced if and to the extent that any Change Order, whether for Deleted Work or otherwise, results in any net reduction in Contractor's cost of the Work. If Contractor and HTFC do not agree as to the amount of the reduction, the Work Order Price shall be reduced by an amount equal to the estimated cost of the Deleted Work, computed in accordance with Items (a) through (h) of Section 21.8; provided, however, that if any Change Order requires both Extra Work and Deleted Work with respect to related items of Work, the applicable Extra Payment (if any) shall be computed only on the actual net increase in Contractor's cost of the Work. However, any savings or decreased costs attributable to Deleted Work shall not be netted against Extra Payment for an unrelated item of Work.

ARTICLE 22. Disputed Work; Time and Materials Certificate

22.1 If Contractor is of the opinion that any Work ordered to be done as Base Contract Work is instead Extra Work and not Base Contract Work ("Disputed Work"), before proceeding with the particular Disputed Work, Contractor shall give HTFC the Change Order Advisory described in Section 21.2. If Contractor fails to deliver such Change Order Advisory within ten (10) days of HTFC's direction to perform the Disputed Work, Contractor shall be conclusively deemed to have agreed that such Disputed Work is Base Contract Work, and Contractor shall pay, at Contractor's expense, all costs due to the particular Subcontractor(s) by reason of such Disputed Work. If, after receipt of such Change Order Advisory, HTFC does not approve a Change Order for the Disputed Work, Contractor shall not perform the Disputed Work.

22.2 For all Disputed Work performed (after approval of a Change Order by HTFC) and for all Extra Work performed on a time and materials basis, Contractor shall prepare and deliver to HTFC a certificate containing the following: (a) a statement of the number of hours for which workers were actually employed, the wages due such worker, and a brief statement of the categories of work performed; (b) a statement of changes (if any) in the rates and amounts of worker's compensation premiums, state and federal taxes, vacation allowances, and union dues and assessments payable upon any worker's wages; (c) a statement of the amount and character of materials furnished for such Work, the Persons from whom purchased, and amounts payable for the same; and (d) a statement of the equipment used in the performance of such Work, together with the rental (if any) payable for the same.

ARTICLE 23. Requisitions

23.1 Subject to the terms of this Construction Agreement, HTFC will pay the Work Order Price for each Project after Completion of the applicable Project in accordance with the Payment Schedule set forth in the applicable Work Order. To this end, Contractor shall submit all Requisitions to HTFC (with copies to the Project Manager) upon satisfaction of the conditions set forth in the Payment Schedule. Contractor shall submit to HTFC with each Requisition:

(a) the Line Item Breakdown, annotated to reflect all Work actually completed to date;

(b) a list and copies of all permits, licenses and certificates obtained from Government Entities having jurisdiction over the Work not yet submitted with a prior Requisition, if any;

(c) a partial Waiver of Lien from Contractor and every Subcontractor covering all payments by HTFC pursuant to previous Requisitions, if any;

(d) a detailed summary of all Change Orders approved and/or requested to date;

(e) a Homeowner Work Approval Certification;

(f) photographs or other documents of completed work in place; and

(g) any other certification, reports, documentation or information relating to the Work or the Contract Documents required to meet the conditions to payment set forth in the Payment Schedule or which HTFC otherwise reasonably requests or are required by Law.

23.2 Within thirty (30) days after receipt of a Requisition satisfactory to HTFC pursuant to Section 23.1, HTFC will approve or disapprove all or a portion of such Requisition. If HTFC disapproves all or a portion of the Requisition, HTFC will deliver a written statement of any disapproved amounts pursuant to Section 24.3.

23.3 HTFC may withhold payment of all or any portion of a Requisition for the reasons set forth in Sections 24.2 and 24.3 below. However, if, in HTFC's reasonable judgment, other grounds for withholding payment do not concurrently exist, HTFC will pay any portion(s) of the Requisition not then in dispute within thirty (30) days of HTFC's approval of all or the applicable portion of the Requisition.

23.4 With respect to the portion, if any, of the Requisition which HTFC has disapproved, Contractor shall immediately undertake all corrective or other action required by HTFC and shall continue to prosecute the Work expeditiously in accordance with the Contract Documents. If and when HTFC's grounds for withholding payment are removed by judicial determination final beyond appeal, expiration of an applicable limitation period, or written agreement between HTFC and Contractor, HTFC shall pay Contractor the amount so withheld, less any other amounts still subject to withholding under Sections 24.2 and 24.3.

23.5 If HTFC receives notice (or otherwise has good reason to believe) that Contractor has failed to pay any Subcontractor an amount due to such Subcontractor from funds previously paid by HTFC to Contractor (*i.e.*, where the funds due to such Subcontractor were covered by a Requisition previously paid by HTFC), upon demand from HTFC, Contractor shall immediately pay the amount due to such Subcontractor or (if HTFC so specifies) shall return such funds to HTFC with interest at the legal rate from the date when due. In such event, also, HTFC may elect, upon three days' written notice to Contractor, thereafter to issue payments directly to any or all Subcontractors and deduct any and all such payments (including interest thereon) from any amounts due from HTFC to Contractor pursuant to this Contract.

23.6 Whenever requested, Contractor shall submit to HTFC a sworn statement, in form and accompanied by documents satisfactory to HTFC, accounting for the disbursement of funds received from HTFC. No payment by HTFC shall relieve Contractor of any of Contractor's obligations under this Construction Agreement.

23.7 If at any time, taking into account any amounts which HTFC is entitled to withhold and retain under the Contract Documents, HTFC has made payments to Contractor which exceed the aggregate amount then due Contractor under the Contract Documents, Contractor shall repay the excess to HTFC upon demand (or HTFC may, in its discretion, offset the amount of such payment against amounts due Contractor under Contractor's pending or future Requisitions).

ARTICLE 24. Conditions of Payment; Money Retained Against Claims

24.1 No Requisition shall be payable unless and until Contractor has prepared and submitted to HTFC, and HTFC has approved, the submissions required pursuant to Section 23.1.

24.2 HTFC may withhold and retain the following amounts from payments requested by Contractor: (a) any amount permitted under Section 24.3 from any payment requested in any Requisition; (b) any amounts then due and payable to HTFC under Section 15.1; (c) any Completion Expense due HTFC under Article 12; (d) any amounts due HTFC under Article 6; (e) one hundred twenty-five percent (125%) of the amount of any Lien asserted against HTFC, Homeowner, the Work, or the Project Site (or any portion thereof) by any Person claiming by, through or under Contractor which has not been bonded, paid, or otherwise discharged (except to the extent such Lien is asserted as a result of HTFC's failure to pay an undisputed amount properly due under to Contractor under this Contract); and/or (f) any other amount which HTFC may deduct or withhold pursuant to other specific provisions of the Contract Documents.

24.3 HTFC may disapprove and withhold any payment (or any portion thereof) requested in any Requisition if and to the extent that: (a) such Requisition and/or any documents to be delivered therewith are not correct and complete; (b) the Work covered by such Requisition (and/or any previous Requisition) does not comply with the Contract Documents; (c) any condition to payment set forth in the Payment Schedule has not been satisfied; (d) any Person has asserted a claim or secured a judgment against any Indemnitee, the Work or the Project involving any matter covered by Contractor's indemnification under Article 6 and the applicable Required Insurance (if any) may or will not cover the matter (taking into account all previous such judgments, if any); (e) any statement or representation in any Requisition or other document submitted with respect to the Project or the Work (or for purposes of securing this Contract) was materially untrue or incorrect when made; (f) an Event of Default has occurred under Article 12; (g) Contractor has failed to pay any Subcontractor (or any

Person claiming by, through, or under Contractor) any amount previously due to such Subcontractor or other Person for which Contractor has previously received payment; and/or (h) such withholding is authorized pursuant to Section 756-a of the New York General Obligations Law.

ARTICLE 25. Intentionally Omitted

ARTICLE 26. Completion; Requisition

26.1 "Completion" for each Project shall occur when all of the following conditions have been satisfied for the applicable Project:

(a) all Work (including any Punch List Work and all Close-Out Requirements) is complete and in compliance with the Contract Documents;

(b) all Government Entities having jurisdiction have inspected the Work and the Project and have unconditionally authorized all final or permanent permits, licenses, certificates, evidencing the final completion of the Work in accordance with Law and any other approvals specifically required under the Contract Documents;

(c) Contractor has submitted to HTFC a Requisition, which shall include the submissions required pursuant to Section 23.1 (except that such Requisition shall include a final Waiver of Lien from Contractor and every Subcontractor covering all payments by HTFC pursuant to previous Requisitions, if any), with respect to Completion; and

(d) Contractor has delivered to HTFC a written statement of any Surety (in form and substance satisfactory to HTFC) to the effect that HTFC's payment of the unpaid balance of the Work Order Price shall not modify or discharge any obligations of the Surety under the Bonds.

26.2 When Contractor believes that the Work is complete in compliance with the Contract Documents, Contractor shall submit to HTFC a written notice stating that in Contractor's estimation the Work has been completed in compliance with the Contract Documents ("Completion Notice"). Upon HTFC's receipt of the Completion Notice, HTFC shall perform an inspection for the purposes of determining whether the Work is so performed. Such inspection shall commence within ten days of receipt of Completion Notice by HTFC and shall be completed with due diligence and in any event within fifteen (15) days of commencement of such inspection. If HTFC identifies repairs, corrections and adjustments to the Work or incomplete aspects of the Work (collectively, "Punch List Work") that remain to be completed, Contractor shall undertake and complete same. When HTFC finds upon inspection that the Work (including any Punch List Work and the Close-out Requirements) is complete, HTFC shall issue to Contractor a certificate of Completion.

26.3 Upon Completion, Contractor may submit to HTFC a Requisition for the unpaid balance of the Work Order Price. Within thirty (30) days after submission of a satisfactory Requisition pursuant to this Section, HTFC shall pay Contractor the unpaid balance of the Work Order Price, less any amounts then withheld under Article 24 (the "Final Payment").

26.4 Contractor's acceptance of Final Payment shall be construed as Contractor's complete, unconditional and general release of HTFC and all Indemnitees by Contractor (and all Persons claiming by, through, and/or under Contractor) with respect to all payments of the Work Order Price or any other amounts due Contractor connected with, or arising out of, the Contract Documents or the Work, except for Contractor's claim for any amount then withheld under Article 24. This Section shall not be construed to revive any claim previously waived by Contractor under other provisions of the Contract Documents.

ARTICLE 27. No Claim for Delay Damages

27.1 If acts or omissions of HTFC that constitute an Excusable Delay cause Contractor to experience Excusable Delays prior to Completion (such delays, "Sec. 27.1 Delays") exceeding thirty (30) days in the aggregate; and if, by reason

of such Sec. 27.1 Delays, Contractor incurs additional out-of-pocket costs for labor, materials and/or third-party services which Contractor would not have incurred but for such Sec. 27.1 Delays; and if Contractor has given HTFC Delay Notices within the time specified in Section 18.1 describing the acts or omissions of HTFC which caused the respective Sec. 27.1 Delay(s); and if Contractor has taken action to avoid or mitigate such additional costs to the extent possible; then HTFC shall reimburse Contractor for the reasonable actual additional direct out-of-pocket costs of labor, materials and/or third-party services (without markup for any Included Items) incurred by Contractor from and after the end of such thirty (30) day period by reason of such Sec. 27.1 Delays exceeding thirty (30) days in the aggregate. Contractor agrees that Contractor has experienced no Sec. 27.1 Delays prior to the signing of this Construction Agreement.

27.2 Except for extensions of time under Article 18 and subject to Sections 17.2 and 27.1: (a) Contractor alone hereby specifically assumes the risk of all delays in the Work (or the performance thereof) of any kind of duration, whether Excusable Delays or otherwise, and whether or not within the contemplation of the parties and whether foreseeable or unforeseeable and all Loss-And-Expense attributable thereto; and (b) Contractor agrees to make no claim for damages for delay in the Work (or the performance thereof) of any kind whatsoever, whether foreseeable or unforeseeable and agrees that any such claim shall be compensated for solely by an extension of time to complete performance of the Work. Contractor shall have no right to rescind or terminate this Contract and Contractor shall have no cause of action under any theory of quasi-contract or quantum meruit, by reason of any delay of any kind or duration whatsoever.

ARTICLE 28. Certain Obligations of Contractor Upon Termination or Completion

28.1 Upon a termination of Contractor's right to perform the Construction Agreement under Article 12 or Article 20, Contractor shall:

(a) stop Work on the date and to the extent specified by HTFC;

(b) take all action as necessary (or as HTFC may direct) to protect and preserve all materials, equipment, tools, facilities and other property and the safety of all Persons connected with the Work or the Project Site;

(c) deliver to HTFC promptly complete copies of all Subcontracts, together with a statement of (i) the items ordered and not yet delivered pursuant to each agreement; (ii) the expected delivery dates of all such items; (iii) the total cost of each agreement and the terms of payment; (iv) the estimated costs of canceling each agreement; and (v) sums paid under contracts and all other sums due and outstanding; and, at HTFC's option, Contractor shall either terminate or assign to HTFC Contractor's rights under each Subcontract and make no additional agreements with Subcontractors with respect to the Work or the Contract Documents;

(d) deliver to HTFC promptly a correct and complete list of all supplies, materials, machinery, equipment and other property previously delivered by Contractor or any Subcontractor but not yet incorporated into the Work;

(e) give written notice promptly to every Surety which has issued a Bond (with a copy of each such notice to HTFC);

(f) as directed by HTFC, transfer free and clear title to HTFC or Homeowner (as directed by HTFC) by appropriate instruments of title, and deliver to the Project Site (or such other place as HTFC may specify), all property paid for by HTFC (or, if required under Section 12.2, any other property);

(g) notify HTFC promptly in writing of any Legal Proceedings against Contractor by any Subcontractor relating to the termination of the Work or otherwise;

(h) deliver to HTFC promptly all plans, drawings, manuals, books, records, and other documents which the Contract Documents would otherwise have required Contractor to deliver to HTFC prior to (or upon) Completion;

(i) give written notice promptly (if required) under each policy of Required Insurance (with a copy of each such notice to HTFC), but continue to maintain any policy of completed operations coverage for the period required under Schedule B; and

(j) take such other actions, and execute such other documents, as HTFC may reasonably request to effectuate and confirm the foregoing matters, or as may be necessary or desirable to minimize HTFC's costs, and take no action which will increase any amount payable by HTFC under the Contract Documents.

28.2 Upon Completion, or upon a termination of Contractor's right to perform the Work under Article 12 or Article 20, Contractor shall: (a) unless HTFC directly or otherwise takes possession of and uses the same under Section 12.2, promptly remove from the Project Site all equipment, implements, machinery, tools, temporary facilities of any kind and other property owned, leased, or rented by Contractor, and repair any damage caused by such removal; (b) provide for the termination and removal of any temporary utilities or other services used in connection with the Work; (c) clean the Project Site, the Work and all areas of the Project Site previously occupied by Contractor, and leave the same in a neat and orderly condition; (d) complete and comply with all other Close-Out Requirements; and (e) promptly cause all Employees of Contractor and any Subcontractors to vacate the Project Site.

28.3 If Contractor fails to comply with any obligation under this Article, HTFC may perform the action contemplated after five (5) Work Days' prior written notice to Contractor; and, at HTFC's election, HTFC may deduct the entire cost (or any portion thereof) from the unpaid balance of the Work Order Price; or Contractor shall pay the entire cost (or any portion thereof) upon demand, notwithstanding that any other Person may have defaulted in taking similar action or occupied the same areas or otherwise had any responsibility for the condition involved. Contractor shall have no right to further payments under any Requisition until Contractor has complied with all obligations under this Article.

ARTICLE 29. Miscellaneous

29.1 The Contract Documents embody the entire agreement and understanding of the parties and supersede all prior proposals, agreements and understandings relating to the subject matter hereof.

29.2 Except as set forth in Article 5, Contractor shall not assign or delegate this Contract, the Contract Documents, or any of Contractor's rights, payments, liabilities, or duties under this Contract or the Contract Documents, or any part thereof (or subcontract or delegate the Work, or any part thereof) without the prior written consent of HTFC in each case, which HTFC may withhold for any reason whatsoever. Any such assignment, subcontract, or delegation without HTFC's prior written consent (including any assignment or transfer by operation of law or any transfer of control of Contractor) shall be void against HTFC.

29.3 All the terms of the Contract Documents, whether so expressed or not, shall be binding upon the respective permitted successors and assigns of the parties hereto and shall inure to the benefit of and be enforceable by the parties hereto and by their respective permitted successors and assigns. The headings of the Contract Documents are for purposes of reference only and shall not limit or otherwise affect the meaning thereof. This Contract may be executed (a) in counterparts, a complete set of which shall constitute an original and (b) in duplicates, each of which shall constitute an original. Copies of this Contract showing the signatures of the respective parties, whether produced by photographic, digital, computer, or other reproduction, may be used for all purposes as originals.

29.4 If any court determines that any provision of the Contract Documents is illegal or unenforceable, the Contract Documents shall remain in effect in accordance with their terms, excluding the provision declared illegal or unenforceable.

29.5 Nothing in this Contract is intended, nor shall anything herein be construed, to deem HTFC and Contractor to be joint venturers or partners with respect to any activity whatsoever.

29.6 Contractor agrees that no members, directors, trustees, managers, officers, or other Employees of HTFC shall have any personal liability for any amounts or obligations owing to Contractor or any Subcontractors under or with respect to the Contract Documents. The liability of HTFC for HTFC's obligations under this Construction Agreement will be limited to HTFC's title and interest in and to the Project.

29.7 Unless and until HTFC gives Contractor notice to the contrary, throughout all Projects, Contractor shall work with and take direction and instruction from the Project Manager (except that all written approvals and Change Orders must be signed by HTFC's authorized representative). Contractor shall submit to the Project Manager copies of all submissions and deliveries of documents and other materials which Contractor is required to submit to HTFC under the Contract Documents. For the avoidance of doubt, references to "HTFC" in the Contract Documents shall also be deemed to be references to the Project Manager unless specifically stated otherwise.

ARTICLE 30. Organizational Representations

30.1 Contractor represents and warrants to HTFC as follows:

(a) Contractor is the type of legal entity specified in the Construction Agreement, duly organized, validly existing and in good standing under the laws of the state specified in the Construction Agreement;

(b) the execution and delivery of this Contract, and the performance by Contractor of all its obligations thereunder, have been duly and effectively authorized by all necessary action on the part of Contractor, and this Contract has been duly executed and delivered by authorized representatives of Contractor;

(c) neither Contractor nor any of its Employees has offered or given any gratuity to an Employee of HTFC or of the State of New York to secure this Contract or to secure favorable treatment with respect thereto; and

(d) there are no judgments, actions, suits, or proceedings existing or pending (or, to the knowledge of Contractor's officers, threatened) against Contractor which can reasonably be expected to have a material adverse effect upon its performance of the Contract.

ARTICLE 31. Notices

31.1 All notices, requests, demands, elections, consents and other communications of any kind whatsoever ("notices") which may or must be given under the Contract Documents shall be addressed to Contractor, HTFC and the Project Manager at the addresses set forth in the applicable Work Order. Any notice required by the Contract Documents to be given or made in writing within a specified period of time or on or before a date certain must be transmitted either by hand delivery (which may include commercial delivery service) subject to written receipt, or by U.S. Express, registered or certified mail, return receipt requested and postage and registry fees prepaid. All notices shall be deemed given when received (or date of attempted delivery if refused). Either party (or the Project Manager) may change its address for notices by written notice to the other party which complies with the foregoing requirements.

ARTICLE 32. Funding Source; Other Assignments

32.1 Contractor hereby consents to the assignment of the Contract Documents, and/or any part of HTFC's interest therein, to any Government Entity, pension trust or other financial institution which makes, or participates in, a grant, loan, or contribution to finance the Project, whether or not such loan is secured by an Encumbrance, whether directly or collaterally (each a "Funding Source").

32.2 Each assignment pursuant to Section 32.1 shall be subject to the condition that either:

(a) HTFC shall agree in writing with Contractor to remain responsible for the full performance of all obligations of HTFC under the Contract arising prior to the date of such assignment and the assignee shall agree in writing with Contractor to assume all obligations of HTFC under the Contract arising from and after the date of such assignment; or

(b) the assignee shall assume all responsibility and liability for the performance of all obligations of HTFC under the Contract, including any obligations arising prior to the date of such assignment.

32.3 Upon HTFC's written request, and subject to Contractor's approval (not to be unreasonably withheld or delayed), Contractor shall execute any documents or instruments which any Funding Source or other assignee may reasonably

request to confirm and effect Contractor's agreements in this Article, provided such documents are consistent with Section 32.2 above.

ARTICLE 33. Homeowner; Third Party Beneficiary

33.1 It is a precondition to the award of any Work Order that the applicable Homeowner shall have executed and delivered to HTFC a Supplement to Grant Agreement with respect to the applicable Work.

33.2 Contractor agrees that Homeowner is a third-party beneficiary of, and shall have the right to directly enforce, Contractor's obligations under the Contract Documents, although nothing contained in the Contract Documents shall create (or be deemed to create) any relationship of contract or agency between Homeowner and Contractor (or any Subcontractor). No dealings of any kind whatsoever between Homeowner and Contractor shall be deemed a waiver of the foregoing (unless Homeowner and HTFC specifically agree otherwise in writing). Upon HTFC's request, Contractor shall furnish to Homeowner any submissions, services, or other Work which the Contract Documents require Contractor to furnish to HTFC (in addition to any matters which the Contract Documents direct specifically to Homeowner).

33.3 Contractor agrees to allow Homeowner: (a) the right to participate in meetings concerning the Work; and (b) every reasonable, safe and proper facility for inspecting the Work at the Project Site and for inspecting the manufacture or preparation of materials and equipment at the place of such manufacture or preparation. Contractor shall coordinate all logistics, staging and storage area(s) with the Project Manager and Homeowner.

33.4 Each Indemnitee is a third-party beneficiary of, and shall have the right to directly enforce, Contractor's obligations under the indemnity and insurance provisions of the Contract Documents.

EXHIBIT A

FORMS OF PARTIAL WAIVERS OF LIEN FOR CONTRACTOR AND SUBCONTRACTOR

Payments Received through date hereof: $_____

CONTRACTOR'S PARTIAL RELEASE AND WAIVER OF LIEN

PARTIAL RELEASE AND WAIVER OF LIEN dated as of _____, 20__ made by _____ ("Contractor") to and for the benefit of _____, a _____ with its principal office at _____ ("HTFC") pursuant to an agreement dated as of _____ (the "Contract") covering the Work for the Project known as _____ (the "Project"). Unless otherwise specified herein, words and phrases defined in the Contract shall have the same meanings in this instrument.

This Partial Release and Waiver of Lien is given in connection with the payment to Contractor of sums heretofore requisitioned by Contractor for Work supplied, furnished or performed for the Project. Contractor hereby certifies and acknowledges that, as of the date hereof, Contractor has received payments in the aggregate amount of _____ Dollars ($_____) for Work performed, furnished or supplied for the Project, and that such payments constitute all sums due and owing to Contractor in accordance with the Contract up to and including the date hereof, except as expressly provided in the following paragraph..

IN CONSIDERATION OF, AND TO THE EXTENT OF, SUCH PAYMENT, Contractor (for itself and its successors and assigns) does hereby release and waive any and all rights, claims, and demands which Contractor has or may have against HTFC and the State of New York (the "State") (including any rights which Contractor has or may have pursuant to the New York Lien Law or otherwise to file any Lien or notice of Lien against the Project or any property of HTFC or the State), on account of or deriving from Work supplied, furnished, or performed for the Project to and including the date hereof, other than (1) unpaid amounts of prior requisitions which were properly prepared and submitted and which HTFC does not dispute; (2) pending claims of which Contractor has given proper written notice to HTFC in accordance with the Contract; and (3) pending Change Orders identified in the schedule accompanying this Partial Release and Waiver of Lien.

This Partial Release and Waiver of Lien shall not affect the right of Contractor to recover compensation for Work supplied, furnished or performed by Contractor for the Project to the extent that compensation for such Work is not included within the aggregate amount identified above, but is included within categories (1)-(3) in the immediately preceding paragraph.

IN WITNESS WHEREOF, Contractor has caused this Partial Release and Waiver of Lien to be duly executed as of the date first set forth above by its undersigned officer who is duly authorized to do so.

(INSERT NAME OF CONTRACTOR)

By: _____
Name:
Title:

Subscribed and sworn to before me this
___ day of _____, 20___.

_____
Notary Public

Payments Received through date hereof: $_____

SUBCONTRACTOR'S PARTIAL RELEASE AND WAIVER OF LIEN

PARTIAL RELEASE AND WAIVER OF LIEN dated as of _____, 20_, made by _____ ("Subcontractor") to and for the benefit of _____, a _____ with its principal office at _____ ("HTFC") and of _____ ("Contractor") pursuant to an agreement between Subcontractor and HTFC [or between Subcontractor and Contractor as agent of HTFC] dated as of _____, 20__ (the "Contract") covering the _____ work for the project known as _____ (the "Project"). Unless otherwise specified herein, words and phrases defined in the Contract shall have the same meanings in this instrument.

This Partial Release and Waiver of Lien is given in connection with the payment to Subcontractor of sums heretofore requisitioned by Subcontractor for Work supplied, furnished or performed for the Project. Subcontractor hereby certifies and acknowledges that, as of the date hereof, Subcontractor has received payments in the aggregate amount of _____ Dollars ($_____) for Work performed, furnished or supplied for the Project, and that such payments constitute all sums due and owing to Subcontractor in accordance with the Contract up to and including the date hereof, except as expressly provided in the following paragraph.

IN CONSIDERATION OF, AND TO THE EXTENT OF, SUCH PAYMENT, Subcontractor (for itself and its successors and assigns) does hereby release and waive any and all rights, claims, and demands which Subcontractor has or may have against HTFC, Contractor and/or the State of New York (the "State") (including any rights which Subcontractor has or may have pursuant to the New York Lien Law or otherwise to file any Lien or notice of Lien against the Project or any property of HTFC, Contractor or the State), on account of or deriving from Work supplied, furnished, or performed for the Project to and including the date hereof, other than (1) unpaid amounts of prior requisitions which were properly prepared and submitted and which neither HTFC nor Contractor dispute; (2) pending claims of which Subcontractor has given proper written notice to HTFC and Contractor in accordance with the Contract; and (3) pending Change Orders identified in the schedule accompanying this Partial Release and Waiver of Lien. "Work" means labor, materials and supplies, furnished or performed by or through Subcontractor with respect to the Project.

This Partial Release and Waiver of Lien shall not affect the right of Subcontractor to recover compensation for Work supplied, furnished or performed by Subcontractor for the Project to the extent that compensation for such Work is not included within the aggregate amount identified above but is included within categories (1)-(3) in the immediately preceding paragraph.

IN WITNESS WHEREOF, Subcontractor has caused this Partial Release and Waiver of Lien to be duly executed as of the date first set forth above by its undersigned officer who is duly authorized to do so.

(INSERT NAME OF SUBCONTRACTOR)

By: _____
Name:
Title:

Subscribed and sworn to before me this
___ day of _____, 20___.

_____
Notary Public

EXHIBIT B

FORMS OF FINAL WAIVERS OF LIEN FOR CONTRACTOR AND SUBCONTRACTOR

Total Payments Received: $_____

CONTRACTOR'S FINAL RELEASE AND WAIVER OF LIEN

FINAL RELEASE AND WAIVER OF LIEN dated as of _____, 20__ made by _____ ("Contractor") to and for the benefit of HTFC and the Governor's Office of Storm Recovery ("Owner") pursuant to an agreement dated as of _____ (the "Contract"). Unless otherwise specified herein, words and phrases defined in the Contract shall have the same meanings in this instrument.

This Final Release and Waiver of Lien is given in connection with the completion of services under this Contract and in consideration of $ _____ in **Full Payment** of all sums due under the Contract. This Full Payment amount includes the **Final Payment** amount of $_____, which has been requested by Contractor and will be released upon execution of the Final Release and Waiver of Lien.

For Owner's benefit, Contractor does hereby certify and acknowledge that:

(i) Contractor has supplied Owner with a list of all subcontractors and/or suppliers of any level or tier that have supplied, furnished, or performed services under this Contract and that such list is true and complete as of the date hereof;

(ii) Upon receipt of the requested Final Payment amount, Contractor has received all sums due and owing to Contractor for all services performed, furnished, or supplied by Contractor under the Contract;

(iii) Contractor has paid all subcontractors and/or suppliers for all services performed; and

(iv) All GOSR-owned property and/or equipment acquired on behalf of GOSR, as well as all security badges and keys, and all proprietary, classified and/or confidential/sensitive information in the possession of Contractor and/or subcontractors and/or suppliers of any level or tier, has been returned to GOSR.

In consideration of such Full Payment:

Contractor (on behalf of Contractor and its successors and assigns) does hereby forever release and waive any and all rights, claims and demands which Contractor has or may have against Owner, the State of New York (the "State"), and any Program applicants or other third party beneficiaries (including any rights pursuant to the New York Lien Law to file any Lien or notice of Lien against any property of Owner or the State or any Program applicants or other third party beneficiaries) on account of or deriving from any services supplied, furnished , or performed; and

Contractor agrees to indemnify and hold harmless (including reimbursement of attorneys' fees and other litigation or dispute resolution costs) Owner, the State of New York, and any Program applicants or other third party beneficiaries (including their respective successors, affiliates and assigns) from and against any and all rights, claims and demands (including any rights pursuant to the New York Lien Law to file any Lien or notice of Lien) of any subcontractors and/or suppliers of any level or tier, on account of or deriving from services supplied, furnished or performed by any such subcontractors and/or suppliers.

IN WITNESS WHEREOF, Contractor has caused this Final Release and Waiver of Lien to be duly executed as of the above date by the undersigned officer of Contractor who is duly authorized to do so.

(INSERT NAME OF CONTRACTOR)

By: _____
Name:
Title:

Subscribed and sworn to before me this
___ day of _____, 20___.

_____
Notary Public

Total Payments Received: $_____

SUBCONTRACTOR'S FINAL RELEASE AND WAIVER OF LIEN

FINAL RELEASE AND WAIVER OF LIEN dated as of _____, 20___, made by _____ ("Subcontractor") to and for the benefit of _____, a _____ with its principal office at _____ ("HTFC") and of _____ ("Contractor") pursuant to an agreement between Subcontractor and HTFC [or between Subcontractor and Contractor as agent of HTFC] dated as of _____, 20_ (the "Contract") covering the _____ work for the project known as _____ (the "Project"). Unless otherwise specified herein, words and phrases defined in the Contract shall have the same meanings in this instrument.

This Final Release and Waiver of Lien is given in connection with the construction of the Project and in consideration of $_____ in full payment of all sums due under the Contract.

For the benefit of HTFC and Contractor, Subcontractor does hereby certify and acknowledge: (i) that Subcontractor has supplied HTFC and Contractor with a list of all subcontractors and vendors supplying, furnishing or performing Work for the Project and that such list is true and complete as of the date hereof; (ii) that upon receipt of the above-described payment, Subcontractor has received all sums due and owing to Subcontractor for all Work performed, furnished or supplied by or through Subcontractor for the Project; and, in consideration of such payment, Subcontractor (for Subcontractor, its successors and assigns) does hereby forever release and waive any and all rights, claims and demands which Subcontractor has or may have against HTFC, Contractor and/or the State of New York (the "State") (including any rights pursuant to the New York Lien Law to file any Lien or notice of Lien against the Project or any property of HTFC, Contractor or the State) on account of or deriving from any Work supplied, furnished or performed for the Project; and Subcontractor agrees to indemnify and hold harmless HTFC from and against any and all rights, claims and demands of any subcontractors or vendors on account of or deriving from Work supplied, furnished or performed by any such subcontractor or vendor for the Project. "Work" means labor, materials and supplies, furnished or performed by or through Subcontractor with respect to the Project.

IN WITNESS WHEREOF, Subcontractor has caused this Final Release and Waiver of Lien to be duly executed as of the date first set forth above by the undersigned officer of Subcontractor who is duly authorized to do so.

(INSERT NAME OF SUBCONTRACTOR)

By: _____
Name:
Title:

Subscribed and sworn to before me this
___ day of _____, 20___.

_____
Notary Public

Governor's Office of Storm Recovery

Andrew M. Cuomo
Governor

Lisa Bova-Hiatt
Executive Director

APPENDICES

for

Contracts

Housing Trust Fund Corporation
38-40 State Street
Albany, New York 12207
www.nyshcr.org

APPENDIX I

HUD General Provisions

The following terms and conditions apply to any contract for which any portion of the funding is derived from a grant made by the United States Department of Housing and Urban Development ("HUD"). In addition, Contractor shall comply with the Federal Labor Standards Provisions set forth in Form HUD-4010, available at http://www.hud.gov/offices/adm/hudclips/forms/files/4010.pdf.

1. PROVISIONS REQUIRED BY LAW DEEMED INSERTED

Each and every provision of law and clause required by law to be inserted in this contract shall be deemed to be inserted herein and the contract shall be read and enforced as though it were included herein, and if through mistake or otherwise any such provision is not inserted, or is not correctly inserted, then upon the application of either party the contract shall forthwith be physically amended to make such insertion or correction.

2. STATUTORY AND REGULATORY COMPLIANCE

Contractor shall comply with all laws and regulations applicable to the Community Development Block Grant-Disaster Recovery funds appropriated by the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2), including but not limited to the applicable Office of Management and Budget Circulars, which may impact the administration of funds and/or set forth certain cost principles, including the allowability of certain expenses.

3. BREACH OF CONTRACT TERMS

The State reserves its right to all administrative, contractual, or legal remedies, including but not limited to suspension or termination of this contract, in instances where the Contractor or any of its subcontractors violate or breach any contract term. If the Contractor or any of its subcontractors violate or breach any contract term, they shall be subject to such sanctions and penalties as may be appropriate. The duties and obligations imposed by the contract documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law.

4. REPORTING REQUIREMENTS

The Contractor shall complete and submit all reports, in such form and according to such schedule, as may be required by the State. The Contractor shall cooperate with all State efforts to comply with HUD requirements and regulations pertaining to reporting, including but not limited to 24 C.F.R. §§ 85.40-41 (or 84.50-52, if applicable) and 570.507.

5. ACCESS TO RECORDS

The State, the U.S. Department of Housing and Urban Development, the Comptroller General of the United States, or any of their duly authorized representatives, shall have, at any time and from time to time during normal business hours, access to any work product, books, documents, papers, and records of the Contractor which are related to this contract, for the purpose of inspection, audits, examinations, and making excerpts, copies and transcriptions.

6. MAINTENANCE/RETENTION OF RECORDS

All records connected with this contract will be maintained in a central location and will be maintained for a period of at least four (4) years following the date of final payment and close-out of all pending matters related to this contract.

7. SMALL AND MINORITY FIRMS, WOMEN'S BUSINESS ENTERPRISES, AND LABOR SURPLUS AREA FIRMS

The Contractor will take necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used in subcontracting when possible. Steps include:

(i) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;

(ii) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;

(iii) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;

(iv) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises; and

(v) Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce.

8. RIGHTS IN DATA

(a) *Definitions.* As used in this clause—

Computer database or *database* means a collection of recorded information in a form capable of, and for the purpose of, being stored in, processed, and operated on by a computer. The term does not include computer software.

Computer software: (1) Means (i) Computer programs that comprise a series of instructions, rules, routines, or statements, regardless of the media in which recorded, that allow or cause a computer to perform a specific operation or series of operations; and (ii) Recorded information comprising source code listings, design details, algorithms, processes, flow charts, formulas, and related material that would enable the computer program to be produced, created, or compiled; and (2) Does not include computer databases or computer software documentation.

Computer software documentation means owner's manuals, user's manuals, installation instructions, operating instructions, and other similar items, regardless of storage medium, that explain the capabilities of the computer software or provide instructions for using the software.

Data means recorded information, regardless of form or the media on which it may be recorded. The term includes technical data and computer software. The term does not include information incidental to contract administration, such as financial, administrative, cost or pricing, or management information.

Form, fit, and function data means data relating to items, components, or processes that are sufficient to enable physical and functional interchangeability, and data identifying source, size, configuration, mating and attachment characteristics, functional characteristics, and performance requirements. For computer software it means data identifying source, functional characteristics, and performance requirements but specifically excludes the source code, algorithms, processes, formulas, and flow charts of the software.

Limited rights means the rights of HTFC in limited rights data as set forth in the Limited Rights Notice of paragraph (g)(3) if included in this clause.

Limited rights data means data, other than computer software, that embody trade secrets or are commercial or financial and confidential or privileged, to the extent that such data pertain to items, components, or processes developed at private expense, including minor modifications.

Restricted computer software means computer software developed at private expense and that is a trade secret, is commercial or financial and confidential or privileged, or is copyrighted computer software, including minor modifications of the computer software.

Restricted rights, as used in this clause, means the rights of the HTFC in restricted computer software, as set forth in a Restricted Rights Notice of paragraph (g) if included in this clause, or as otherwise may be provided in a collateral agreement incorporated in and made part of this contract, including minor modifications of such computer software.

Technical data, means recorded information (regardless of the form or method of the recording) of a scientific or technical nature (including computer databases and computer software documentation). This term does not include computer software or financial, administrative, cost or pricing, or management data or other information incidental to contract administration. The term includes recorded information of a scientific or technical nature that is included in computer databases (See 41 U.S.C. 403(8)).

Unlimited rights means the rights of HTFC to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.

(b) *Allocation of rights.*

(1) Except as provided in paragraph (c) of this clause, HTFC shall have unlimited rights in: (i) Data first produced in the performance of this contract; (ii) Form, fit, and function data delivered under this contract; (iii) Data delivered under this contract (except for restricted

computer software) that constitute manuals or instructional and training material for installation, operation, or routine maintenance and repair of items, components, or processes delivered or furnished for use under this contract; and (iv) All other data delivered under this contract unless provided otherwise for limited rights data or restricted computer software in accordance with paragraph (g) of this clause.

(2) The Contractor shall have the right to: (i) Assert copyright in data first produced in the performance of this contract to the extent provided in paragraph (c)(1) of this clause; (ii) Use, release to others, reproduce, distribute, or publish any data first produced or specifically used by the Contractor in the performance of this contract, unless provided otherwise in paragraph (d) of this clause; (iii) Substantiate the use of, add, or correct limited rights, restricted rights, or copyright notices and to take other appropriate action, in accordance with paragraphs (e) and (f) of this clause; and (iv) Protect from unauthorized disclosure and use those data that are limited rights data or restricted computer software to the extent provided in paragraph (g) of this clause.

(c) *Copyright*.

(1) *Data first produced in the performance of this contract.* (i) Unless provided otherwise in paragraph (d) of this clause, the Contractor may, without prior approval of HTFC, assert copyright in scientific and technical articles based on or containing data first produced in the performance of this contract and published in academic, technical or professional journals, symposia proceedings, or similar works. The prior, express written permission of HTFC is required to assert copyright in all other data first produced in the performance of this contract; (ii) When authorized to assert copyright to the data, the Contractor shall affix the applicable copyright notices of 17 U.S.C. 401 or 402, and an acknowledgment of HTFC sponsorship (including contract number); (iii) For data other than computer software, the Contractor grants to HTFC, and others acting on its behalf, a paid-up, nonexclusive, irrevocable, worldwide license in such copyrighted data to reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly by or on behalf of HTFC. For computer software, the Contractor grants to HTFC, and others acting on its behalf, a paid-up, nonexclusive, irrevocable, worldwide license in such copyrighted computer software to reproduce, prepare derivative works, and perform publicly and display publicly (but not to distribute copies to the public) by or on behalf of HTFC.

(2) *Data not first produced in the performance of this contract.* The Contractor shall not, without the prior written permission of HTFC, incorporate in data delivered under this contract any data not first produced in the performance of this contract unless the Contractor: (i) Identifies the data; and (ii) Grants to HTFC, or acquires on its behalf, a license of the same scope as set forth in paragraph (c)(1) of this clause or, if such data are restricted computer software, HTFC shall acquire a copyright license as set forth in paragraph (g)(4) of this clause (if included in this contract) or as otherwise provided in a collateral agreement incorporated in or made part of this contract.

(3) *Removal of copyright notices.* HTFC will not remove any authorized copyright notices placed on data pursuant to this paragraph (c), and will include such notices on all reproductions of the data.

(d) *Release, publication, and use of data.* The Contractor shall have the right to use, release to others, reproduce, distribute, or publish any data first produced or specifically used by the

Contractor in the performance of this contract, except: (1) As prohibited by Federal law or regulation (*e.g.*, export control or national security laws or regulations); (2) As expressly set forth in this contract; or (3) If the Contractor receives or is given access to data necessary for the performance of this contract that contain restrictive markings, the Contractor shall treat the data in accordance with such markings unless specifically authorized otherwise in writing by HTFC.

(e) *Unauthorized marking of data.*

(1) Notwithstanding any other provisions of this contract concerning inspection or acceptance, if any data delivered under this contract are marked with the notices specified in paragraph (g)(3) or (g) (4) if included in this clause, and use of the notices is not authorized by this clause, or if the data bears any other restrictive or limiting markings not authorized by this contract, HTFC may at any time either return the data to the Contractor, or cancel or ignore the markings. However, pursuant to 41 U.S.C. 253d, the following procedures shall apply prior to canceling or ignoring the markings: (i) HTFC will make written inquiry to the Contractor affording the Contractor 60 days from receipt of the inquiry to provide written justification to substantiate the propriety of the markings; (ii) If the Contractor fails to respond or fails to provide written justification to substantiate the propriety of the markings within the 60-day period (or a longer time approved in writing by HTFC for good cause shown), HTFC shall have the right to cancel or ignore the markings at any time after said period and the data will no longer be made subject to any disclosure prohibitions; (iii) If the Contractor provides written justification to substantiate the propriety of the markings within the period set in paragraph (e)(1)(i) of this clause, HTFC will consider such written justification and determine whether or not the markings are to be cancelled or ignored. If HTFC determines that the markings are authorized, the Contractor will be so notified in writing. If HTFC determines, with concurrence of the head of the contracting activity, that the markings are not authorized, HTFC will furnish the Contractor a written determination, which determination will become the final agency decision regarding the appropriateness of the markings unless the Contractor files suit in a court of competent jurisdiction within 90 days of receipt of HTFC's decision. HTFC will continue to abide by the markings under this paragraph (e)(1)(iii) until final resolution of the matter either by HTFC's determination becoming final (in which instance HTFC will thereafter have the right to cancel or ignore the markings at any time and the data will no longer be made subject to any disclosure prohibitions), or by final disposition of the matter by court decision if suit is filed.

(2) The time limits in the procedures set forth in paragraph (e)(1) of this clause may be modified in accordance with agency regulations implementing the Freedom of Information Act (5 U.S.C. 552) if necessary to respond to a request thereunder.

(3) Except to the extent HTFC's action occurs as the result of final disposition of the matter by a court of competent jurisdiction, the Contractor is not precluded by paragraph (e) of the clause from bringing a claim, in accordance with the Disputes clause of this contract, that may arise as the result of HTFC removing or ignoring authorized markings on data delivered under this contract.

(f) *Omitted or incorrect markings.*

(1) Data delivered to HTFC without any restrictive markings shall be deemed to have been furnished with unlimited rights. HTFC is not liable for the disclosure, use, or reproduction of such data.

(2) If the unmarked data has not been disclosed without restriction outside HTFC, the Contractor may request, within 6 months (or a longer time approved by HTFC in writing for good cause shown) after delivery of the data, permission to have authorized notices placed on the data at the Contractor's expense. HTFC may agree to do so if the Contractor: (i) Identifies the data to which the omitted notice is to be applied; (ii) Demonstrates that the omission of the notice was inadvertent; (iii) Establishes that the proposed notice is authorized; and (iv) Acknowledges that HTFC has no liability for the disclosure, use, or reproduction of any data made prior to the addition of the notice or resulting from the omission of the notice.

(3) If data has been marked with an incorrect notice, HTFC may: (i) Permit correction of the notice at the Contractor's expense if the Contractor identifies the data and demonstrates that the correct notice is authorized; or (ii) Correct any incorrect notices.

(g) *Protection of limited rights data and restricted computer software.*

(1) The Contractor may withhold from delivery qualifying limited rights data or restricted computer software that are not data identified in paragraphs (b)(1)(i), (ii), and (iii) of this clause. As a condition to this withholding, the Contractor shall: (i) Identify the data being withheld; and (ii) Furnish form, fit, and function data instead.

(2) Limited rights data that are formatted as a computer database for delivery to HTFC shall be treated as limited rights data and not restricted computer software.

(h) *Subcontracting.* The Contractor shall obtain from its subcontractors all data and rights therein necessary to fulfill the Contractor's obligations to HTFC under this contract. If a subcontractor refuses to accept terms affording HTFC those rights, the Contractor shall promptly notify HTFC of the refusal and shall not proceed with the subcontract award without authorization in writing from HTFC.

(i) *Relationship to patents or other rights.* Nothing contained in this clause shall imply a license to HTFC under any patent or be construed as affecting the scope of any license or other right otherwise granted to HTFC.

9. ENERGY EFFICIENCY

The Contractor shall comply with mandatory standards and policies relating to energy efficiency which are contained in the New York State energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Public Law 94-163).

10. TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

The Contractor shall comply with the provisions of Title VI of the Civil Rights Act of 1964. No person shall, on the grounds of race, color, or national origin, be excluded from participation in, be

denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

11. SECTION 109 OF THE HOUSING AND COMMUNITY DEVELOPMENT ACT OF 1974

The Contractor shall comply with the provisions of Section 109 of the Housing and Community Development Act of 1974. No person in the United States shall on the grounds of race, color, national origin, or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under this title. Section 109 further provides that discrimination on the basis of age under the Age Discrimination Act of 1975 or with respect to an otherwise qualified handicapped individual as provided in Section 504 of the Rehabilitation Act of 1973, as amended, is prohibited.

12. SECTION 504 OF THE REHABILITATION ACT OF 1973

The Contractor shall comply with section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794), as amended, and any applicable regulations.

The Contractor agrees that no qualified individual with handicaps shall, solely on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity that receives Federal financial assistance from HUD.

13. AGE DISCRIMINATION ACT OF 1975

The Contractor shall comply with the Age Discrimination Act of 1975 (42 U.S.C. § 6101 *et seq.*), as amended, and any applicable regulations. No person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity receiving Federal financial assistance.

14. DEBARMENT, SUSPENSION, AND INELIGIBILITY

The Contractor represents and warrants that it and its subcontractors are not debarred or suspended or otherwise excluded from or ineligible for participation in Federal assistance programs subject to 2 C.F.R. part 2424.

15. CONFLICTS OF INTEREST

The Contractor shall notify the State as soon as possible if this contract or any aspect related to the anticipated work under this contract raises an actual or potential conflict of interest (as defined at 2 C.F.R. Part 215 and 24 C.F.R. § 85.36 (or 84.42, if applicable)). The Contractor shall explain the actual or potential conflict in writing in sufficient detail so that the State is able to assess such actual or potential conflict. The Contractor shall provide the State any additional information necessary for the State to fully assess and address such actual or potential conflict of interest. The Contractor shall accept any reasonable conflict mitigation strategy employed by the State, including but not limited to the use of an independent subcontractor(s) to perform the portion of work that gives rise to the actual or potential conflict.

16. SUBCONTRACTING

When subcontracting, the Contractor shall solicit for and contract with such subcontractors in a manner providing for fair competition. Some of the situations considered to be restrictive of competition include but are not limited to:

(i) Placing unreasonable requirements on firms in order for them to qualify to do business,

(ii) Requiring unnecessary experience and excessive bonding,

(iii) Noncompetitive pricing practices between firms or between affiliated companies,

(iv) Noncompetitive awards to consultants that are on retainer contracts,

(v) Organizational conflicts of interest,

(vi) Specifying only a *brand name* product instead of allowing *an equal* product to be offered and describing the performance of other relevant requirements of the procurement, and

(vii) Any arbitrary action in the procurement process.

The Contractor represents to the State that all work shall be performed by personnel experienced in the appropriate and applicable profession and areas of expertise, taking into account the nature of the work to be performed under this contract.

The Contractor will include these HUD General Provisions in every subcontract issued by it so that such provisions will be binding upon each of its subcontractors as well as the requirement to flowdown such terms to all lower-tiered subcontractors.

17. ASSIGNABILITY

The Contractor shall not assign any interest in this contract, and shall not transfer any interest in the same (whether by assignment or novation) without prior written approval of the State.

18. INDEMNIFICATION

The Contractor shall indemnify, defend, and hold harmless the State and its agents and employees from and against any and all claims, actions, suits, charges, and judgments arising from or related to the negligence or willful misconduct of the Contractor in the performance of the services called for in this contract.

19. COPELAND "ANTI-KICKBACK" ACT
(Applicable to all construction or repair contracts)

Salaries of personnel performing work under this contract shall be paid unconditionally and not less often than once a month without payroll deduction or rebate on any account except only such payroll deductions as are mandatory by law or permitted by the applicable regulations issued by

the Secretary of Labor pursuant to the Copeland "Anti-Kickback Act" of June 13, 1934 (48 Stat. 948; 62 Stat. 740; 63 Stat. 108; Title 18 U.S.C. § 874; and Title 40 U.S.C. § 276c). The Contractor shall comply with all applicable "Anti-Kickback" regulations and shall insert appropriate provisions in all subcontracts covering work under this contract to ensure compliance by subcontractors with such regulations, and shall be responsible for the submission of affidavits required of subcontractors thereunder except as the Secretary of Labor may specifically provide for variations of or exemptions from the requirements thereof.

20. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT
(Applicable to construction contracts exceeding $2,000 and contracts exceeding $2,500 that involve the employment of mechanics or laborers)

The Contractor shall comply with Sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-330) as supplemented by Department of Labor regulations (29 C.F.R. part 5).

All laborers and mechanics employed by contractors or subcontractors shall receive overtime compensation in accordance with and subject to the provisions of the Contract Work Hours and Safety Standards Act, and the contractors and subcontractors shall comply with all regulations issued pursuant to that act and with other applicable Federal laws and regulations pertaining to labor standards.

21. DAVIS-BACON ACT
(Applicable to construction contracts exceeding $2,000 when required by Federal program legislation)

The Contractor shall comply with the Davis Bacon Act (40 U.S.C. §§ 276a to 276a-7) as supplemented by Department of Labor regulations (29 C.F.R. part 5).

All laborers and mechanics employed by contractors or subcontractors, including employees of other governments, on construction work assisted under this contract, and subject to the provisions of the federal acts and regulations listed in this paragraph, shall be paid wages at rates not less than those prevailing on similar construction in the locality as determined by the Secretary of Labor in accordance with the Davis-Bacon Act.

22. TERMINATION FOR CAUSE (Applicable to contracts exceeding $10,000)

If, through any cause, the Contractor shall fail to fulfill in a timely and proper manner his obligations under this contract, or if the Contractor shall violate any of the covenants, agreements, or stipulations of this contract, the State shall thereupon have the right to terminate this contract by giving written notice to the Contractor of such termination and specifying the effective date thereof, at least five (5) days before the effective date of such termination. In such event, all finished or unfinished documents, data, studies, surveys, drawings, maps, models, photographs, and reports prepared by the Contractor under this contract shall, at the option of the State, become the State's property and the Contractor shall be entitled to receive just and equitable compensation for any work satisfactorily completed hereunder. Notwithstanding the above, the Contractor shall not be relieved of liability to the State for damages sustained by the State by virtue of any breach of the contract by the Contractor, and the State may withhold any payments to the Contractor for

the purpose of set-off until such time as the exact amount of damages due the State from the Contractor is determined.

23. TERMINATION FOR CONVENIENCE (Applicable to contracts exceeding $10,000)

The State may terminate this contract at any time by giving at least ten (10) days' notice in writing to the Contractor. If the contract is terminated by the State as provided herein, the Contractor will be paid for the time provided and expenses incurred up to the termination date.

24. SECTION 503 OF THE REHABILITATION ACT OF 1973
(Applicable to contracts exceeding $10,000)

The Contractor shall comply with section 503 of the Rehabilitation Act of 1973 (29 U.S.C. § 793), as amended, and any applicable regulations.

Equal Opportunity for Workers With Disabilities

1. The Contractor will not discriminate against any employee or applicant for employment because of physical or mental disability in regard to any position for which the employee or applicant for employment is qualified. The Contractor agrees to take affirmative action to employ, advance in employment and otherwise treat qualified individuals with disabilities without discrimination based on their physical or mental disability in all employment practices, including the following:

   i. Recruitment, advertising, and job application procedures;

   ii. Hiring, upgrading, promotion, award of tenure, demotion, transfer, layoff, termination, right of return from layoff and rehiring;

   iii. Rates of pay or any other form of compensation and changes in compensation;

   iv. Job assignments, job classifications, organizational structures, position descriptions, lines of progression, and seniority lists;

   v. Leaves of absence, sick leave, or any other leave;

   vi. Fringe benefits available by virtue of employment, whether or not administered by the contractor;

   vii. Selection and financial support for training, including apprenticeship, professional meetings, conferences, and other related activities, and selection for leaves of absence to pursue training;

   viii. Activities sponsored by the contractor including social or recreational programs; and

   ix. Any other term, condition, or privilege of employment.

2. The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the act.

3. In the event of the Contractor's noncompliance with the requirements of this clause, actions for noncompliance may be taken in accordance with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the act.

4. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the Deputy Assistant Secretary for Federal Contract Compliance Programs, provided by or through the contracting officer. Such notices shall state the rights of applicants and employees as well as the Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified employees and applicants with disabilities. The Contractor must ensure that applicants and employees with disabilities are informed of the contents of the notice (e.g., the Contractor may have the notice read to a visually disabled individual, or may lower the posted notice so that it might be read by a person in a wheelchair).

5. The Contractor will notify each labor organization or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the Contractor is bound by the terms of section 503 of the Rehabilitation Act of 1973, as amended, and is committed to take affirmative action to employ and advance in employment individuals with physical or mental disabilities.

6. The Contractor will include the provisions of this clause in every subcontract or purchase order in excess of $10,000, unless exempted by the rules, regulations, or orders of the Secretary issued pursuant to section 503 of the act, as amended, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontract or purchase order as the Deputy Assistant Secretary for Federal Contract Compliance Programs may direct to enforce such provisions, including action for noncompliance.

25. <u>EXECUTIVE ORDER 11246</u>
(Applicable to construction contracts and subcontracts exceeding $10,000)

The Contractor shall comply with Executive Order 11246 of September 24, 1965, entitled "Equal Employment Opportunity," as amended by Executive Order 11375 of October 13, 1967, and as supplemented in Department of Labor regulations (41 CFR chapter 60).

During the performance of this contract, the Contractor agrees as follows:

A. The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The Contractor shall take affirmative action to ensure that applicants for employment are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to, the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

B. The Contractor shall post in conspicuous places, available to employees and applicants for employment, notices to be provided by Contracting Officer setting forth the provisions of this non-discrimination clause. The Contractor shall state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.

C. The Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.

D. The Contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the agency contracting officer, advising the labor union or workers representative of the contractor's commitments under Section 202 of Executive Order 11246 of September 24, 1965, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

E. The Contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations and relevant orders of the Secretary of Labor.

F. The Contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules, regulations and orders of the Secretary of Labor, or pursuant thereto, and will permit access to books, records and accounts by the contracting agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.

G. In the event of the Contractor's non-compliance with the non-discrimination clause of this contract or with any of such rules, regulations or orders, this contract may be cancelled, terminated or suspended in whole or in part and the contractor may be declared ineligible for further government contracts in accordance with procedures authorized in Executive Order 11246 and such other sanctions as may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation or order of the Secretary of Labor, or as otherwise provided by law.

H. Contractor shall incorporate the provisions of A through G above in every subcontract or purchase order unless exempted by rules, regulations or orders of the Secretary of Labor so that such provisions shall be binding on such subcontractor. The Contractor will take such action with respect to any subcontract or purchase order as the contracting agency may direct as a means of enforcing such provisions including sanctions for non-compliance, provided, however, that in the event the contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the contracting agency, the Contractor may request the United States to enter into such litigation to protect the interests of the United States.

26. <u>CERTIFICATION OF NONSEGREGATED FACILITIES</u>
(Applicable to construction contracts exceeding $10,000)

The Contractor certifies that it does not maintain or provide for its establishments, and that it does not permit employees to perform their services at any location, under its control, where segregated facilities are maintained. It certifies further that it will not maintain or provide for employees any segregated facilities at any of its establishments, and it will not permit employees to perform their services at any location under its control where segregated facilities are maintained. The Contractor agrees that a breach of this certification is a violation of the equal opportunity clause of this contract.

As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms, and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation and housing facilities provided for employees which are segregated by explicit directive or are, in fact, segregated on the basis of race, color, religion, or national origin because of habit, local custom, or any other reason.

The Contractor further agrees that (except where it has obtained for specific time periods) it will obtain identical certification from proposed subcontractors prior to the award of subcontracts exceeding $10,000 which are not exempt from the provisions of the equal opportunity clause; that it will retain such certifications in its files; and that it will forward the preceding notice to such proposed subcontractors (except where proposed subcontractors have submitted identical certifications for specific time periods).

27. CERTIFICATION OF COMPLIANCE WITH CLEAN AIR AND WATER ACTS
(Applicable to contracts exceeding $100,000)

The Contractor and all subcontractors shall comply with the requirements of the Clean Air Act, as amended, 42 U.S.C. § 1857 *et seq.*, the Federal Water Pollution Control Act, as amended, 33 U.S.C. § 1251 *et seq.*, and the regulations of the Environmental Protection Agency with respect thereto, at 40 C.F.R. Part 15 and 32, as amended, Section 508 of the Clean Water Act (33 U.S.C. § 1368) and Executive Order 11738.

In addition to the foregoing requirements, all nonexempt contractors and subcontractors shall furnish to the owner, the following:

A. A stipulation by the Contractor or subcontractors, that any facility to be utilized in the performance of any nonexempt contract or subcontract, is not listed on the Excluded Party Listing System pursuant to 40 C.F.R. 32 or on the List of Violating Facilities issued by the Environmental Protection Agency (EPA) pursuant to 40 C.F.R. Part 15, as amended.

B. Agreement by the Contractor to comply with all the requirements of Section 114 of the Clean Air Act, as amended, (42 U.S.C. § 1857 c-8) and Section 308 of the Federal Water Pollution Control Act, as amended, (33 U.S.C. § 1318) relating to inspection, monitoring, entry, reports and information, as well as all other requirements specified in said Section 114 and Section 308, and all regulations and guidelines issued thereunder.

C. A stipulation that as a condition for the award of the contract, prompt notice will be given of

any notification received from the Director, Office of Federal Activities, EPA, indicating that a facility utilized, or to be utilized for the contract, is under consideration to be listed on the Excluded Party Listing System or the EPA List of Violating Facilities.

D. Agreement by the Contractor that he will include, or cause to be included, the criteria and requirements in paragraph (A) through (D) of this section in every nonexempt subcontract and requiring that the Contractor will take such action as the government may direct as a means of enforcing such provisions.

28. LOBBYING (Applicable to contracts exceeding $100,000)

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

29. BONDING REQUIREMENTS
(Applicable to construction and facility improvement contracts exceeding $100,000)

The Contractor shall comply with New York state bonding requirements, unless they have not been approved by HUD, in which case the Contractor shall comply with the following minimum bonding requirements:

(1) *A bid guarantee from each bidder equivalent to five percent of the bid price.* The "bid guarantee" shall consist of a firm commitment such as a bid bond, certified check, or other

negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of his bid, execute such contractual documents as may be required within the time specified.

(2) *A performance bond on the part of the Contractor for 100 percent of the contract price.* A "performance bond" is one executed in connection with a contract to secure fulfillment of all the Contractor's obligations under such contract.

(3) *A payment bond on the part of the Contractor for 100 percent of the contract price.* A "payment bond" is one executed in connection with a contract to assure payment as required by law of all persons supplying labor and material in the execution of the work provided for in the contract.

30. <u>SECTION 3 OF THE HOUSING AND URBAN DEVELOPMENT ACT OF 1968</u>
(As required by applicable thresholds)

A. The work to be performed under this contract is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. § 1701u (section 3). The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

B. The parties to this contract agree to comply with HUD's regulations in 24 C.F.R. part 135, which implement section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the part 135 regulations.

C. The Contractor agrees to send to each labor organization or representative of workers with which the Contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the Contractor's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

D. The Contractor agrees to include this section 3 clause in every subcontract subject to compliance with regulations in 24 C.F.R. part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 C.F.R. part 135. The Contractor will not subcontract with any subcontractor where the Contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 C.F.R. part 135.

E. The Contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the Contractor is selected but before the contract is executed, and (2)

with persons other than those to whom the regulations of 24 C.F.R. part 135 require employment opportunities to be directed, were not filled to circumvent the Contractor's obligations under 24 C.F.R. part 135.

F. Noncompliance with HUD's regulations in 24 C.F.R. part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.

G. With respect to work performed in connection with section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. § 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the provisions of section 3 and section 7(b) agree to comply with section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

NEW YORK STATE HOUSING FINANCE AGENCY, STATE OF NEW YORK MORTGAGE AGENCY
NEW YORK STATE AFFORDABLE HOUSING CORPORATION, STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY, AND TOBACCO SETTLEMENT FINANCING CORPORATION
641 LEXINGTON AVENUE, NEW YORK, NEW YORK 10022, (212) 688-4000

HOUSING TRUST FUND CORPORATION
38-40 STATE STREET, ALBANY NEW YORK 12207

May, 2014

APPENDIX II

STANDARD CLAUSES FOR CONTRACTS WITH THE

NEW YORK STATE HOUSING FINANCING AGENCY
STATE OF NEW YORK MORTGAGE AGENCY
NEW YORK STATE AFFORDABLE HOUSING CORPORATION
STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY
TOBACCO SETTLEMENT FINANCING CORPORATION
HOUSING TRUST FUND CORPORATION
(individually or collectively, "Agency" or "Agencies")

NEW YORK STATE HOUSING FINANCE AGENCY, STATE OF NEW YORK MORTGAGE AGENCY NEW YORK STATE AFFORDABLE HOUSING CORPORATION, STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY, AND TOBACCO SETTLEMENT FINANCING CORPORATION 641 LEXINGTON AVENUE, NEW YORK, NEW YORK 10022, (212) 688-4000

HOUSING TRUST FUND CORPORATION 38-40 STATE STREET, ALBANY NEW YORK 12207

May, 2014

STANDARD CLAUSES FOR AGENCY CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "Contract") agree to be bound by the following clauses which are hereby made a part of the Contract (the word "Contractor" herein refers to any party other than the State of New York ("State"), whether a contractor, licenser, licensee, lessor, lessee or any other party):

1. ACCOUNTING RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance of work done for the Agency or Agencies under this Contract (hereinafter, collectively, "the Records") consistent with generally accepted bookkeeping practices. The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The Agency or Agencies involved in this Contract and any person or entity authorized to conduct an examination shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The Agency or Agencies shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform the Agencies' Senior Vice President and Counsel, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the Agency's or Agencies' right to discovery in any pending or future litigation.

2. CONFLICTS OF INTEREST. The Contractor shall not accept any engagement in conflict with the Agency's or Agencies' interest in the subject matter of this Contract.

The Servicer shall not offer to any employee, member or director of the Agency or Agencies' any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director.

3. SUBCONSULTANTS. The Contractor shall not employ, contract with, or use the services of any consultant for the work of this Contract (except such third parties which may be used by the Contractor in the normal course of business, such as couriers, imaging services, etc.) without obtaining the prior written approval of the Agency or Agencies.

4. NON-ASSIGNABILITY. This Contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or disposed of without the previous consent in writing of the Agency or Agencies and any attempts to assign the Contract without the Agency or Agencies' written consent are null and void. However, this Contract shall be binding upon and inure to the benefit of the Agency or Agencies and its successors and assigns.

5. INDEMNITY. The Contractor shall indemnify and hold the Agency or Agencies and their employees, officers, Members and Directors (collectively, the "Indemnities") harmless from and against all claims, demands, liability, loss, cost, damage or expense, including attorney's fees, which may be incurred by the Indemnities because of negligence or malfeasance on the part of the Contractor arising out of this Contract.

6. NON-DISCRIMINATION. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. If this a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason or race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this Contract. Contractor is subject to fines of $50 per person per day for any violation of Section 239 as well as possible termination of this Contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

If directed to do so by the State Commissioner of Human Rights ("Commissioner"), the Contractor will send to each labor union to which the Contractor is bound a notice provided by the Commissioner advising of this provision. The Servicer will keep posted in conspicuous places notices of the Commissioner regarding laws against discrimination. The Contractor will state in

all advertisements for employees that all qualified applicants will be afforded equal opportunities without discrimination because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status.

If the Contractor has fifteen or more employees, it is an unlawful employment practice for the Contractor to fail or refuse to hire or to discharge any individual, or otherwise to discriminate against any individual with respect to the individual's compensation, terms, conditions, or privileges of employment, or to limit, segregate, or classify employees or applicants for employment in any way which would deprive or tend to deprive any individual of employment opportunities or otherwise adversely affect an individual's status as an employee, because of such individual's race, color, religion, sex, or national origin, or because an individual opposed any practice made unlawful by Title VII of the Civil Rights Act of 1964, as amended, or because he or she made a charge, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under that Title; and that it shall be an unlawful employment practice to print or publish or cause to be printed or published any notice or advertisement relating to employment indicating any preference, limitation, specification, or discrimination on the basis of race, color, religion, sex, or national origin.

If the Contractor has fifteen or more employees, the Contractor: (1) will make and keep such records relevant to the determinations of whether unlawful employment practices have been or are being committed; (2) will preserve such records for such periods as the Equal Employment Opportunity Commission ("EEOC") shall prescribe by regulation; (3) will make such reports therefrom as the EEOC shall prescribe by regulation or order; (4) must post and keep posted in conspicuous places upon its premises where notices to employees and applicants for employment are customarily posted a notice prepared or approved by the EEOC setting forth excerpts from, or summaries of, pertinent provisions of Title VII of the Civil Rights Act of 1964, as amended, and information pertinent to the filing of a complaint.

To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will comply with all non-discriminatory employment practices, will furnish all information deemed necessary by the Commissioner, and will permit the Commissioner access to its records to ascertain compliance. The Contractor will bind all subcontractors hired to perform services in connection with this Contract to the requirements of this section, take such action for enforcement as the Commissioner may direct, and notify the Commissioner if such action results in litigation. This Contract may be terminated by the Agency or Agencies upon the Commissioner's finding of non-compliance with this section, and the Contractor may be declared ineligible for future contracts with an agency of the State or a public authority until the Contractor satisfies the Commissioner of compliance.

7. <u>EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN</u>. In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this Contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of $25,000.00, whereby the Agency or Agencies, is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the Agency or Agencies, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) the Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on Agency or Agencies' contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the Agency or Agencies, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of this Contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of 'a", "b", and "c" above, in every subcontract. Section 312 does not apply to: (i) work,

goods or services unrelated to this Contract; or (ii) employment outside New York State. The Agency or Agencies shall consider compliance by a Contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The Agency or Agencies shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the Agency or Agencies shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

(d) If the procurement of the goods or services provided herein is subject to minority and women-owned participation requirements pursuant to Article 15-A of the Executive Law, the Contractor shall be liable to the Agency or Agencies for liquidated or other appropriate damages and shall provide for other appropriate remedies on account of such breach in the event it is found that the Contractor willfully and intentionally failed to comply with the minority and women-owned participation requirements set-forth in Article 15-A of the Executive Law.

8. PROPRIETARY INFORMATION. All memoranda, analyses, spreadsheets and other pertinent documents or writings, including reports and financial statements developed or prepared by, or for, the Contractor in connection with the performance of this Contract are "Proprietary Information" and shall be, and remain, the property of the Agency or Agencies. All original documents constituting Proprietary Information shall be delivered to the Agency or Agencies by the Contractor, or any subcontractor, or any other person possessing them, upon the termination of this Contract or upon the earlier request of the Agency or Agencies, except that the Contractor may retain copies for its files. Proprietary Information may not be utilized, disclosed or otherwise made available to other persons by the Contractor without the prior written approval of the Agencies' Senior Vice President and Counsel. The provisions of this section shall be in addition to, and not in derogation of, any duty imposed upon the Contractor by any law, regulation or rule governing professional conduct respecting confidentiality.

9. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. All invoices submitted for payment for the sale of goods or services or the lease of real or personal property to the Agency or Agencies must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice, must give the reason or reasons why the payee does not have such number or numbers.

(b) PRIVACY NOTIFICATION. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the Agency or Agencies is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by Agency or Agencies to purchase the goods or services or lease the real or personal property covered by this Contract or lease. The information is maintained by Disbursement Manager at the Agency or Agencies, 641 Lexington Avenue, New York, New York 10022, under the name "Vendor Federal Social Security and Federal Employee Identification Numbers."

10. CONTRACTUAL RELATIONSHIP. It is expressly understood that the relationship between the Agency or Agencies and the Contractor is an independent contractual relationship and neither the Contractor, its employees, nor its subcontractors shall be considered employees of the Agency or Agencies for any purpose. Please refer to the following link on the Agency's web site to view each of the Agency's Prompt Payment Policies at http://www.nyshcr.org/AboutUs/Procurement/Contractinformation.htm or call the Agencies' Contract Officer at (212) 688-4000.

11. ENTIRE AGREEMENT. This Contract constitutes the entire agreement between the Contractor and the Agency or Agencies with respect to the subject matter hereof, superseding all negotiations, prior discussions and preliminary agreements. In the event of a conflict between the terms of the Contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix II, the terms of this Appendix II shall control.

12. MODIFICATION. Waiver, discharge, amendment, supplement, extension or other modification of this Contract shall be subject to prior approval by the Agency or Agencies and may be effected only by an instrument in writing signed by the parties to this Contract.

13. SECTION HEADINGS. The caption of sections in this Contract are inserted solely for convenience of reference and are not intended to define, limit, or describe the scope of this Contract or any provision hereof or to otherwise affect this Contract in any way. The section headings shall not be considered in any way in construing this Contract.

14. COUNTERPARTS. This Contract may be executed in any number of counterparts. Each such counterpart shall be deemed to be a duplicate original. All such counterparts shall constitute but one and the same instrument.

15. GOVERNING LAW. This Contract has been executed and delivered in, and shall be construed and enforced in accordance with the laws of, the State of New York. In the event of conflict between New York State law and federal laws and regulations, the latter shall prevail.

16. NOTICES. All notices and other communications given hereunder shall not be effective for any purpose whatsoever unless in writing and delivered by hand or mailed by United States first class registered or certified mail, return receipt requested. Notice shall be deemed to have been given, if delivered by hand, when actually received by the party being notified, or, if mailed, when addressed (a) if to the Contractor, to the attention of the Contractor's authorized signatory of this Contract at the address specified for the Contractor on page one of this Contract, or at such other address as to which the Contractor shall have notified the Agency or Agencies, and (b) if to the Agency or Agencies, to the attention of the Senior Vice President and Counsel, at the address for the Agency or Agencies on page one this Contract, or at such other address of which the Agency or Agencies shall have notified the Contractor.

17. SEVERABILITY. All rights, powers and remedies provided herein may be exercised only to the extent that they do not violate any applicable law, and are intended to be limited to the extent necessary so that they will not render this Contract invalid, unenforceable or not entitled to be recorded, registered, or filed under applicable law. If any provision or term of this Contract or any portion of a provision shall be held to be invalid, illegal or unenforceable, only such provision or part thereof shall be affected by such holding and this Contract shall be construed as if such invalid, illegal or unenforceable provision or part thereof had not been contained herein.

18. WORKERS' COMPENSATION. This Contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this Contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

19. NO ARBITRATION. Disputes involving this Contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

20. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), the Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service of process hereunder shall be complete upon the Contractor's actual receipt of process or upon the Agency's or Agencies' receipt of the return thereof by the United States Postal Service as refused or undeliverable. The Contractor must promptly notify the Agency or Agencies, in writing, of each and every change of address to which service of process can be made. Service of process by the Agency or Agencies to the last known address shall be sufficient. The Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

21. NON-COLLUSIVE BIDDING CERTIFICATION. If this Contract was awarded based upon the submission of a bid or proposal, the Contractor affirms, under penalty of perjury, that the prices in its bid or proposal were arrived at independently, without collusion, consultation, communication, or agreement, for the purpose of restricting competition, or as to any matter relating to such prices with any other Contractor or with any competitor. The Contractor further affirms that, at the time the Contractor submitted its bid or proposal, an authorized and responsible person executed and delivered a non-collusive bidding certification to the Agency or Agencies on the Contractor's behalf.

22. LOBBYING REFORM LAW DISCLOSURE. If the procurement of the goods or services provided herein were applicable to Lobbying Reform Law Disclosure as pursuant to State Finance Law §§139-j and 139-k, the Agency or Agencies reserves the right to terminate this Contract in the event it is found that the certification filed by the Offerer/Bidder in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, the Agency or Agencies may exercise their termination right by providing written notification to the Contractor.

23. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles

(Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

24. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100 Fax: 518-292-5884
Email: opa@esd ny.gov

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, New York 10017
Telephone: 212-803-2424
Email:mwbecertification@esd.ny.gov
https://ny newnycontracts.com/FrontEnd/VendorSearchPublic.asp

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or Contract, as applicable, Contractors certify that whenever the total bid amount is greater than $1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this Contract and agrees to cooperate with the State in these efforts.

25. GENERAL RESPONSIBILITY LANGUAGE. The Contractor shall at all times during Contract term remain responsible. The Contractor agrees, if requested by the Agencies, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

For purposes of this Agreement, Contractor responsibility generally means that the Contractor has the integrity to justify the award of public dollars and the capacity to perform the requirements of this Contract fully. In connection herewith, to the extent that the Agencies may make certain determinations with respect to Contractor responsibility, wherein the Agencies determine whether it has reasonable assurances that a Contractor is responsible, is an important part of the procurement process, promoting fairness in contracting, mitigating contract issues, and protecting the Contractor and the Agencies against failed contracts. In making such a responsibility determination, the Agencies shall evaluate the Contractor's responsibility with respect to four factors: (a) financial and organizational capacity; (ii) legal authority to do business in New York State; (c) integrity; and (iv) previous performance.

26. SUSPENSION OF WORK (for Non-Responsibility). The Agencies reserve the right to suspend any or all activities under this Contract, at any time, when the Agency discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Agencies issue a written notice authorizing a resumption of performance under the Contract.

27. Termination (for Non-Responsibility). Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate Agency staff, the Contract may be terminated by the Agencies at the Contractor's expense where the Contractor is determined by the Agencies to be non-responsible. In such event, the Agencies may complete the contractual requirements in any manner they deem advisable and pursue available legal or equitable remedies for breach.

28. **Iran Divestment Act.** By entering into this Agreement, Contractor certifies in accordance with State Finance Law §165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at: http://www.ogs ny.gov/about/regs/docs/ListofEntities.pdf

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the Agency.

During the term of the Contract, should the Agency receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the Agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the Agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The Agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

APPENDIX III

DIVERSITY FORMS

APPENDIX III

DIVERSITY FORMS

SECTION 1 : HUD

Contract and Subcontract Activity

U.S. Department of Housing and Urban Development

OMB Approval No.: 2535-0117 (exp. 1/31/2013)

Public Reporting Burden for this collection of information is estimated to average .50 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information is voluntary. HUD may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number.

Executive Order 12421 dated July 14, 1983, directs the Minority Business Development Plans shall be developed by each Federal Agency and that these annual plans shall establish minority business development objectives. The information is used by HUD to monitor and evaluate MBE activities against the total program activity and the designated minority business enterprise (MBE) goals. The Department requires the information to provide guidance and oversight for programs for the development of minority business enterprise concerning Minority Business Development. If the information is not collected HUD would not be able to establish meaningful MBE goals nor evaluate MBE performance against these goals.
While no assurances of confidentiality is pledged to respondents, HUD generally discloses this data only in response to a Freedom of Information request.

Privacy Act Notice - The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, United States Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. It will not be disclosed or released outside the United States Department of Housing and Urban Development without your consent, except as required or permitted by law.

1. Grantee/Project Owner/Developer/Sponsor/Builder/Agency	Check if PHA ☐ IHA ☐	2. Location (City, State, ZIP Code)	
3a. Name of Contact Person	3b. Phone Number (Including Area Code)	4. Reporting Period ☐ Oct. 1 - Sept. 30 (Annual-FY)	5. Program Code (Not applicable for CPD programs.) See explanation of codes at bottom of page. Use a separate sheet for each program code.	6. Date Submitted to Field Office

Grant/Project Number or HUD Case Number or other identification of property, subdivision, dwelling unit, etc. 7a.	Amount of Contract or Subcontract 7b.	Type of Trade Code (See below) 7c.	Contractor or Subcontractor Business Racial/Ethnic Code (See below) 7d.	Woman Owned Business (Yes or No) 7e.	Prime Contractor Identification (ID) Number 7f.	Sec. 3 7g.	Subcontractor Identification (ID) Number 7h.	Sec. 3 7i.	Contractor/Subcontractor Name and Address 7j. Name	Street	City	State	Zip Code

CPD:
1 = New Construction
2 = Education/Training
3 = Other

7c: Type of Trade Codes:
Housing/Public Housing:
1 = New Construction
2 = Substantial Rehab.
3 = Repair
4 = Service
5 = Project Mangt.
6 = Professional
7 = Tenant Services
8 = Education/Training
9 = Arch./Engrg. Appraisal
0 = Other

7d: Racial/Ethnic Codes:
1 = White Americans
2 = Black Americans
3 = Native Americans
4 = Hispanic Americans
5 = Asian/Pacific Americans
6 = Hasidic Jews

5: Program Codes
(Complete for Housing and Public and Indian Housing programs only)
1 = All insured, including Section 8
2 = Flexible Subsidy
3 = Section 8 Noninsured, Non-HFDA
4 = Insured (Management
5 = Asian/Pacific Americans
5 = Section 202
6 = HUD-Held (Management)
7 = Public/Indian Housing

This report is to be completed by grantees, developers, sponsors, builders, agencies, and/or project owners for reporting contract and subcontract activities of $10,000 or more under the following programs: Community Development Block Grants (entitlement and small cities); Urban Development Action Grants; Housing Development Grants; Multifamily Insured and Noninsured; Public and Indian Housing Authorities; and contracts entered into by recipients of CDBG rehabilitation assistance.

Contracts/subcontracts of less than $10,000 need be reported only if such contracts represent a significant portion of your total contracting activity. Include only contracts executed during this reporting period.

This form has been modified to capture Section 3 contract data in columns 7g and 7i. Section 3 requires that the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs shall, to the greatest extent feasible, be directed toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. Recipients using this form to report Section 3 contract data must also use Part I of form HUD-60002 to report employment and training opportunities data. Form HUD-2516 is to be completed for public and Indian housing and most community development programs. Form HUD-60002 is to be completed by all other HUD programs including State administered community development programs covered under Section 3.

A Section 3 contractor/subcontractor is a business concern that provides economic opportunities to low- and very low-income residents of the metropolitan area (or nonmetropolitan county), including a business concern that is 51 percent or more owned by low- or very low-income residents; employs a substantial number of low- or very low-income residents; or provides subcontracting or business development opportunities to businesses owned by low- or very low-income residents. Low- and very low-income residents include participants in Youthbuild programs established under Subtitle D of Title IV of the Cranston-Gonzalez National Affordable Housing Act.

The terms “low-income persons” and “very low-income persons” have the same meanings given the terms in section 3(b)(2) of the United States Housing Act of 1937. Low-income persons mean families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary’s findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low-income families. Very low-income persons means low-income families (including single persons) whose incomes do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary’s findings that such variations are necessary because of unusually high or low family incomes.

Submit two (2) copies of this report to your local HUD Office within ten (10) days after the end of the reporting period you checked in item 4 on the front.

Complete item 7h. only once for each contractor/subcontractor on each semi-annual report.

Enter the prime contractor's ID in item 7f. for all contracts and subcontracts. Include only contracts executed during this reporting period. PHAs/IHAs are to report all contracts/subcontracts.

Community Development Programs

1. Grantee: Enter the name of the unit of government submitting this report.

3. Contact Person: Enter name and phone of person responsible for maintaining and submitting contract/subcontract data.

7a. Grant Number: Enter the HUD Community Development Block Grant Identification Number (with dashes). For example: B-32-MC-25-0034. For Entitlement Programs and Small City multi-year comprehensive programs, enter the latest approved grant number.

7b. Amount of Contract/Subcontract: Enter the dollar amount rounded to the nearest dollar. If subcontractor ID number is provided in 7f, the dollar figure would be for the subcontract only and not for the prime contract.

7c. Type of Trade: Enter the numeric codes which best indicates the contractor's/subcontractor's service. If subcontractor ID number is provided in 7f., the type of trade code would be for the subcontractor only and not for the prime contractor. The "other" category includes supply, professional services and all other activities except construction and education/training activities.

7d. Business Racial/Ethnic/Gender Code: Enter the numeric code which indicates the racial/ethnic /gender character of the owner(s) and controller(s) of 51% of the business. When 51% or more is not owned and controlled by any single racial/ethnic/gender category, enter the code which seems most appropriate. If the subcontractor ID number is provided, the code would apply to the subcontractor and not to the prime contractor.

7e. Woman Owned Business: Enter Yes or No.

7f. Contractor Identification (ID) Number: Enter the Employer (IRS) Number of the Prime Contractor as the unique identifier for prime recipient of HUD funds. Note that the Employer (IRS) Number must be provided for each contract/subcontract awarded.

7g. Section 3 Contractor: Enter Yes or No.

7h. Subcontractor Identification (ID) Number: Enter the Employer (IRS) Number of the subcontractor as the unique identifier for each subcontract awarded from HUD funds. When the subcontractor ID Number is provided, the respective Prime Contractor ID Number must also be provided.

7i. Section 3 Contractor: Enter Yes or No.

7j. Contractor/Subcontractor Name and Address: Enter this information for each firm receiving contract/subcontract activity only one time on each report for each firm.

Multifamily Housing Programs

1. Grantee/Project Owner: Enter the name of the unit of government, agency or mortgagor entity submitting this report.

3. Contact Person: Same as item 3 under CPD Programs.

4. Reporting Period: Check only one period.

5. Program Code: Enter the appropriate program code.

7a. Grant/Project Number: Enter the HUD Project Number or Housing Development Grant or number assigned.

7b. Amount of Contract/Subcontract: Same as item 7b. under CPD Programs.

7c. Type of Trade: Same as item 7c. under CPD Programs.

7d. Business Racial/Ethnic/Gender Code: Same as item 7d. under CPD Programs.

7e. Woman Owned Business: Enter Yes or No.

7f. Contractor Identification (ID) Number: Same as item 7f. under CPD Programs.

7g. Section 3 Contractor: Enter Yes or No.

7h. Subcontractor Identification (ID) Number: Same as item 7h. under CPD Programs.

7i. Section 3 Contractor: Enter Yes or No.

7j. Contractor/Subcontractor Name and Address: Same as item 7j. under CPD Programs.

Public Housing and Indian Housing Programs

PHAs/IHAs are to report all contracts/subcontracts. Include only contracts executed during this reporting period.

1. Project Owner: Enter the name of the unit of government, agency or mortgagor entity submitting this report. Check box as appropriate.

3. Contact Person: Same as item 3 under CPD Programs.

4. Reporting Period: Check only one period.

5. Program Code: Enter the appropriate program code.

7a. Grant/Project Number: Enter the HUD Project Number or Housing Development Grant or number assigned.

7b. Amount of Contract/Subcontract: Same as item 7b. under CPD Programs.

7c. Type of Trade: Same as item 7c. under CPD Programs.

7d. Business Racial/Ethnic/Gender Code: Same as item 7d. under CPD Programs.

7e. Woman Owned Business: Enter Yes or No.

7f. Contractor Identification (ID) Number: Same as item 7f. under CPD Programs.

7g. Section 3 Contractor: Enter Yes or No.

7h. Subcontractor Identification (ID) Number: Same as item 7h. under CPD Programs.

7i. Section 3 Contractor: Enter Yes or No.

7j. Contractor/Subcontractor Name and Address: Same as item 7j. under CPD Programs.

Section 3 Summary Report

Economic Opportunities for
Low – and Very Low-Income Persons

U.S. Department of Housing
and Urban Development
Office of Fair Housing
And Equal Opportunity

OMB Approval No: 2529-0043
(exp. 11/30/2010)

HUD Field Office:

Section back of page for Public Reporting Burden statement

1. Recipient Name & Address: (street, city, state, zip) Lipsky Building Construction Inc. 814 Montauk Highway Bayport, NY 11705	2. Federal Identification: (grant no.) [redacted]	3. Total Amount of Award:
	4. Contact Person [redacted]	5. Phone: (Include area code) [redacted]
	6. Length of Grant:	7. Reporting Period:
8. Date Report Submitted:	9. Program Code: (Use separate sheet for each program code)	10. Program Name: RFQ #201603_047

Part I: Employment and Training (** Columns B, C and F are mandatory fields. Include New Hires in E &F)

A Job Category	B Number of New Hires	C Number of New Hires that are Sec. 3 Residents	D % of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents	E % of Total Staff Hours for Section 3 Employees and Trainees	F Number of Section 3 Trainees
Professionals					
Technicians					
Office/Clerical		T B D			
Construction by Trade (List) Trade					
Trade					
Trade					
Trade					
Trade					
Other (List)					
Total					

* Program Codes
1 = Flexible Subsidy
2 = Section 202/811

3 = Public/Indian Housing
A = Development,
B = Operation
C = Modernization

4 = Homeless Assistance
5 = HOME
6 = HOME State Administered
7 = CDBG Entitlement

8 = CDBG State Administered
9 = Other CD Programs
10 = Other Housing Programs

form HUD 60002 (6/2001)
Ref 24 CFR 135

Part II: Contracts Awarded

1. Construction Contracts:

A. Total dollar amount of all contracts awarded on the project	$
B. Total dollar amount of contracts awarded to Section 3 businesses	$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving contracts	

2. Non-Construction Contracts:

A. Total dollar amount all non-construction contracts awarded on the project/activity	$
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving non-construction contracts	

Part III: Summary

Indicate the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low-and very low-income persons, particularly those who are recipients of government assistance for housing. (Check all that apply.)

_____ Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.

_____ Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.

_____ Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.

_____ Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.

_____ Other; describe below.

Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very-low income persons, particularly those who are recipients of government assistance housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.

Form HUD-60002, **Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons**.

Instructions: This form is to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and very low-income persons under Section 3 of the Housing and Urban Development Act of 1968. The Section 3 regulations apply to any **public and Indian Housing programs** that receive: (1) development assistance pursuant to Section 5 of the U.S. Housing Act of 1937; (2) operating assistance pursuant to Section 9 of the U.S. Housing Act of 1937; or (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937 and to **recipients of housing and community development assistance in excess of $200,000** expended for: (1) housing rehabilitation (including reduction and abatement of lead-based paint hazards); (2) housing construction; or (3) other public construction projects; and to **contracts and subcontracts in excess of $100,000** awarded in connection with the Section-3-covered activity.

Form HUD-60002 has three parts which are to be completed for all programs covered by Section 3. Part I relates to **employment and training**, The recipient has the option to determine numerical employment/training goals either on the basis of the number of hours worked by new hires (columns B, D, E and F) or the number of new hires utilized on the Section 3 covered project (columns B, C and F). Part II of the form relates to **contracting**, and Part III summarizes recipients' **efforts** to comply with Section 3.

Recipients or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and very low-income persons.* A recipient of Section 3 covered assistance shall submit two copies of this report to the local HUD Field Office. Where the program providing assistance requires an annual performance report, this Section 3 report is to be submitted at the same time the program performance report is submitted. Where an annual performance report is not required, this Section 3 report is to be submitted by January 10 and, if the project ends before December 31, within 10 days of project completion. **Only Prime Recipients are required to report to HUD. The report must include accomplishments of all recipients and their Section 3 covered contractors and subcontractors.**

HUD Field Office: Enter the Field Office name forwarding the Section 3 report.

1. Recipient: Enter the name and address of the recipient submitting this report.
2. Federal Identification: Enter the number that appears on the award form (with dashes). The award may be a grant, cooperative agreement or contract.
3. Dollar Amount of Award: Enter the dollar amount, rounded to the nearest dollar, received by the recipient.

4 & 5. Contact Person/Phone: Enter the name and telephone number of the person with knowledge of the award and the recipient's implementation of Section 3.

6. Reporting Period: Indicate the time period (months and year) this report covers.
7. Date Report Submitted: Enter the appropriate date.
8. Program Code: Enter the appropriate program code as listed at the bottom of the page.
9. Program Name:Enter the name of the HUD Program corresponding with the "Program Code" in number 8.

Part I: Employment and Training Opportunities

Column A: Contains various job categories. Professionals are defined as people who have special knowledge of an occupation (i.e., supervisors, architects, surveyors, planners, and computer programmers). For construction positions, list each trade and provide data in columns B through F for each trade where persons were employed. The category of "Other" includes occupations such as service workers.

Column B: Enter the number of new hires for each category of workers identified in **Column A** in connection with this award. New Hire refers to a person who is not on the contractor's or recipient's payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

Column C: Enter the number of Section 3 new hires for each category of workers identified in **Column A** in connection with this award. Section 3 new hire refers to a Section 3 resident who is not on the contractor's or recipient's payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

Column D: Enter the percentage of all the staff hours of new hires (Section 3 residents) in connection with this award.

Column E: Enter the percentage of the total staff hours worked for Section 3 employees and trainees (including new hires) connected with this award. Include staff hours for part-time and full-time positions.

Column F: Enter the number of Section 3 residents that were employed and trained in connection with this award.

Part II: Contract Opportunities

Block 1: Construction Contracts

Item A: Enter the total dollar amount of all contacts awarded on the project/program.

Item B: Enter the total dollar amount of contracts connected with this project/program that were awarded to Section 3 businesses.

Item C: Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

Item D: Enter the number of Section 3 businesses receiving awards.

Block 2: Non-Construction Contracts

Item A: Enter the total dollar amount of all contacts awarded on the project/program.

Item B: Enter the total dollar amount of contracts connected with this project awarded to Section 3 businesses.

Item C: Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

Item D: Enter the number of Section 3 businesses receiving awards.

Part III: Summary of Efforts - Self-explanatory

Submit two (2) copies of this report to the to the HUD Field Office of Fair Housing and Equal Opportunity, Program Operations and Compliance Center Director, at the same time the performance report is submitted to the program office. For those programs where such a report is not required, the Section 3 report is submitted by January 10. Include only contracts executed during the reporting period specified in item 8. PHAs/HAs are to report all contracts/subcontracts.

* The terms "low-income persons" and "very low-income persons" have the same meanings given the terms in section 3(b)(2) of the United States Housing Act of 1937. **Low-income persons** mean families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary's findings such that variations are necessary because of prevailing levels of construction costs or unusually high- or low-income families. **Very low-income persons** mean low-income families (including single persons) whose incomes do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.

Semi-Annual Labor Standards Enforcement Report - Local Contracting Agencies (HUD Programs)	U.S. Department of Housing and Urban Development Office of Labor Relations	**HUD FORM 4710** OMB Approval Number 2501-0019 (Exp. 09/30/2013)

Agency Name:	Agency Type: [e.g., CDBG, PHA, TDHE/IHA]	State:	LR2000 Agency ID #: (HUD Use Only)
Period Covered: Check One and Enter Year(s)			
☐ **Period 1**: October 1, _____ to March 31, _____	☐ **Period 2**: April 1, _____ to September 30, _____		
Agency Contact Person:	Agency Contact Phone/E-mail:		

PART I - CONTRACTING ACTIVITY*

Pertains ONLY to projects awarded during the reporting period.

1. Number of prime contracts subject to the Davis-Bacon and Related Acts (DBRA) and/or the Contract Work Hours and Safety Standards Act (CWHSSA) awarded this period
   Note: Do not include contracts included in previous semi-annual reports

2. Total dollar amount of prime contracts reported in item 1 above **$**

3. List for each contract awarded this period:

Project Name/Number	Contract Amount	Wage Decision Number	Wage Decision Lock-In Date
EXAMPLE: **"Boy's Club Renovation # CD54005-65"**	**"$0,000,000.00"**	**"FL040001/Mod 3, 6/25/04, Building"**	**"07/02/04 bid open date" ◀ Lock**

*Use additional pages if necessary

WHAT IS THE LOCK-IN DATE? For contracts entered into pursuant to competitive bidding procedures, the bid opening date "locks-in" the wage decision **provided** that the contract is awarded within 90 days. If the contract is awarded more than 90 days after bid opening, the contract award date 'locks-in' the wage decision. For contracts, purchase orders or other agreements for which there is no bid opening or award date, use the construction start date as the lock-in date. However, for projects receiving assistance under Section 8 of the U.S. Housing Act of 1937 or contracts involving a *project* wage determination, the lock-in rules may vary from above. See Department of Labor Regulations, 29 CFR, Part 1, Section 1.6 and/or HUD Handbook 1344.1, or consult the HUD Labor Relations staff.

WHAT IT ISN'T: Do not use the wage decision publication date, unless that happens to correspond to one of the trigger events described above.

If you are not sure about any of this, please feel free to contact the Labor Relations staff in your state or region.

Semi-Annual Labor Standards Enforcement Report - Local Contracting Agencies (HUD Programs)	U.S. Department of Housing and Urban Development Office of Labor Relations	HUD FORM 4710 OMB Approval Number 2501-0019 (Exp. 09/30/2013)

Agency Name:	Agency Type: [e.g., CDBG, PHA, TDHE/IHA]	State:	LR2000 Agency ID #: (HUD Use Only)
Period Covered: Check One and Enter Year(s)			
☐ **Period 1**: October 1, _____ to March 31, _____	☐ **Period 2**: April 1, _____ to September 30, _____		
Agency Contact Person:	Agency Contact Phone/E-mail:		

PART II - ENFORCEMENT ACTIVITY*

Pertains to all projects, not just contract(s) awarded during the reporting period.

4. Number of employers against whom **complaints** were received (list employers and projects involved below): ☐

Employer	Project(s)

5. (a) Number of cases (employers) referred to HUD Labor Relations for investigation or §5.11 hearing (list referrals below): ☐

   (b) Number of cases (employers) referred to the Department of Labor (DOL) for investigation or §5.11 hearing (list referrals below): ☐

Employer	Project	HUD or DOL	Invest. Or Hearing

6. (a) **Number of workers for whom wage restitution was collected/disbursed:** ☐
   Report only once; if you previously reported workers for whom restitution was collected, do not report the same workers when funds are disbursed. Include workers to whom restitution was paid directly by the employer.

   (b) **Total amount of straight time wage restitution collected/disbursed during this period:** $
   Report only once; if you report funds collected, do not report the disbursement. Include restitution amounts paid directly by the employer as reported on correction certified payrolls.

   (c) **Total amount of CWHHSA overtime wage restitution collected/disbursed during this period:** $
   Report only once; if you report funds collected, do not report the disbursement. Include restitution amounts paid directly by the employer as reported on correction certified payrolls.

   (d) **Total amount of liquidated damages collected:** $

* Use additional pages if necessary

Semi-Annual Labor Standards Enforcement Report - Local Contracting Agencies (HUD Programs)	U.S. Department of Housing and Urban Development Office of Labor Relations	HUD FORM 4710i OMB Approval Number 2501-0019 (Exp. 09/30/2013)

Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the collection of information. The information is considered non-sensitive and does not require special protection. This information is required to obtain benefits. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

All Federal agencies administering programs subject to Davis-Bacon wage provisions are required by Department of Labor (DOL) regulations (29 CFR Part 5, Section 5.7(b)) to submit a report of all new covered contracts/projects and all enforcement activities each six months. In order for HUD to comply with this requirement, it must collect contract and enforcement information from local agencies that administer HUD-assisted programs subject to Davis-Bacon requirements. HUD requests that local agencies complete and submit a Semi-annual Enforcement Report each six months.

Local agencies and HUD must retain a copy of the Semi-annual Enforcement Report in its files.

Please follow these instructions while compiling the ***Semi-Annual Labor Standards Enforcement Report for Local Contracting Agencies (HUD Programs) (form HUD-4710).***

Introduction

Department of Labor (DOL) Regulations 29 CFR §5.7(b) require Federal agencies administering programs subject to Davis-Bacon and Related Act (DBRA) and Contract Work Hours and Safety Standards Act (CWHSSA) labor standards to furnish a Semi-Annual Labor Standards Enforcement Report to the Administrator of the Wage and Hour Division. Some HUD programs are administered by state and local agencies for labor standards compliance. HUD must collect information from such agencies in order to capture enforcement activities for all HUD programs in its reports to DOL.

Reporting Periods: **Period 1 October 1 through March 31**
Period 2 April 1 through September 30

Report Format: Each agency report consists of two parts:

Part I concerns contracting activity for work awarded during the reporting period;
Part II concerns enforcement activity for all contracts, regardless of the award date.

The HUD Labor Relations staff for your area will send a courtesy reminder shortly before the due date about preparing the report and will remind you of the date your report is due. However, you should maintain accurate records throughout the year of relevant contract information so that you can submit the report timely.

Definitions and Guidance

Part I - Contracting Activity - This part concerns only contracts that were ***awarded*** during this period. *Do not* include contracts that were awarded prior to this period even though the contracts may still be underway. *Do* include work subject to purchase order or other form of agreement, even if there is no formal contract award.

Item 1. Enter the total number of prime contracts subject to DBRA/CWHSSA ***awarded*** during this period. Track contracts by award or start of construction - **do not** track by bid opening date. Public Housing Authorities (PHAs), Tribally-designated Housing Entities (TDHEs)/Indian Housing Authorities (IHAs): Include force account work that is subject to DBRA/CWHSSA.

Item 2. Enter the total dollar amount of the contracts and/or PHA/TDHE/IHA force account work reported in Item1.

Item 3. List each project/contract name, brief descriptive information, number or unique identifier, dollar amount, the wage decision and modification number in the contract, bid opening date, contract award date, and construction start date. Identify which milestone date triggered the wage decision "lock-in" (bid opening date, contract award date or start of construction date, as appropriate). If the project was not subject to sealed bids, indicate "NA" for bid opening date and proceed to identify the other dates.

Part II - Enforcement Activity - This part concerns *all* enforcement activity no matter when the contract was awarded or construction began.

Item 4. Enter the number of **employers** (contractors, subcontractors, lower-tier subcontractors) against whom complaints were received during the report period. List the names of the employers against whom complaints were received and the projects involved.

Item 5. Enter the number of employers that were referred to HUD Labor Relations or DOL staff for investigations, for hearings on appeal and/or debarment hearings. List the employer, project, and agency (HUD or DOL) to which the case was referred, and the reason for referral - investigation, appeal hearing (DOL Regulations 29 CFR Part 5, Section §5.11) and/or debarment (DOL Regulations 29 CFR Part 5, Section §5.12) hearing.

Item 6. Enter information relative to wage restitution that was **collected and/or disbursed** during the report period. This includes restitution disbursed by the agency; restitution reported on certified payroll correction reports, amounts collected but not disbursed because workers could not be found. Report straight time wage restitution separate from Contract Work Hours and Safety Standards Act (CWHSSA) overtime wage restitution. Also list liquidated damages collected for CWHSSA overtime violations.

APPENDIX III

DIVERSITY FORMS SECTION 2:

HTFC

PARTICIPATION BY MINORITY GROUP MEMBERS AND WOMEN REQUIREMENTS AND PROCEDURES FOR CONTRACTS WITH HOUSING TRUST FUND CORPORATION

I. General Provisions

A. The Corporation is required to implement the provisions of New York State ("State") Executive Law Article 15-A and 5 NYCRR Parts 142-144 ("MWBE Regulations") for all State contracts as defined therein, with a value (1) in excess of $25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of $100,000 for real property renovations and construction.

B. Contractor agrees, in addition to any other nondiscrimination provision of the Contract and at no additional cost to the Housing Trust Fund Corporation ("Corporation"), to fully comply and cooperate with the Corporation in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women ("EEO") and contracting opportunities for certified minority and women-owned business enterprises ("MWBEs"). Contractor's demonstration of "good faith efforts" pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") or other applicable federal, State or local laws.

C. Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of Contract, leading to the withholding of funds or such other actions, liquidated damages pursuant to section VII of this Appendix III or enforcement proceedings as allowed by the Contract.

II. Contract Goals

A. For purposes of this procurement, the Corporation hereby establishes an overall goal of 30% for Minority and Women-Owned Business Enterprises ("MWBE") participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs).

B. For purposes of providing meaningful participation by MWBEs on this Contract and achieving the Contract Goals established in section III-A, Contractor should reference the directory of New York State Certified MBWEs found at the following internet address: http://www.empire.state.ny.us/MWBE/directorySearch.html .

Additionally, Contractor is encouraged to contact the Division of Minority and Woman Business Development ((518) 292-5250; (212) 803-2414; or (716) 846-8200) to discuss additional methods of maximizing participation by MWBEs on this Contract.

C. Where MWBE goals have been established herein, pursuant to 5 NYCRR §142.8, Contractor must document "good faith efforts" to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of this Contract. In accordance with section 316-a of Article 15-A and 5 NYCRR §142.13, the Contractor acknowledges that if Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such a finding constitutes a breach of Contract and the Contractor shall be liable to the Corporation for liquidated or other appropriate damages, as set forth herein.

III. Equal Employment Opportunity (EEO)

A. Contractor agrees to be bound by the provisions of Article 15-A and the MWBE Regulations promulgated by the Division of Minority and Women's Business Development of the Department of Economic Development (the "Division"). If any of these terms or provisions conflict with applicable law or regulations, such laws and regulations shall supersede these requirements.

B. Contractor shall comply with the following provisions of Article 15-A:

1. Contractor and Subcontractors shall undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, EEO shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
2. The Contractor shall submit an EEO policy statement (Form PROC-8) to the Corporation within seventy two (72) hours after the date of the notice by Corporation to award the Contract to the Contractor.
3. If Contractor or Subcontractor does not have an existing EEO policy statement, the Corporation may provide the Contractor or Subcontractor a model statement (see Form PROC-4 – Minority and Women-Owned Business Enterprises Equal Employment Opportunity Policy Statement).
4. The Contractor's EEO policy statement shall include the following language:
   a. The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.
   b. The Contractor shall state in all solicitations or advertisements for employees that, in the performance of the Contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
   c. The Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national

origin, sex age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein.

d. The Contractor will include the provisions of sections (a) through (c) of this subsection and paragraph "E" of this section, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with this Contract.

C. Form PROC-1- Staffing Plan

To ensure compliance with this section, the Contractor shall submit a staffing plan to document the composition of the proposed workforce to be utilized in the performance of this Contract by the specified categories listed, including ethnic background, gender, and Federal occupational categories. Contractors shall complete the Staffing plan form and submit it as part of their bid or proposal or within a reasonable time, but no later than the time of award of the Contract.

D. Form PROC-5 - Workforce Employment Utilization Report ("Workforce Report")

1. Once a Contract has been awarded and during the term of Contract, Contractor is responsible for updating and providing notice to the Corporation of any changes to the previously submitted Staffing Plan. This information is to be submitted on a quarterly basis during the term of the Contract to report the actual workforce utilized in the performance of the Contract by the specified categories listed including ethnic background, gender, and Federal occupational categories. The Workforce Report must be submitted to report this information.
   Reports should be submitted by email to: MWBE_EEOCreports@stormrecovery.ny.gov.
2. Separate forms shall be completed by Contractor and any subcontractor performing work on the Contract.
3. In limited instances, Contractor may not be able to separate out the workforce utilized in the performance of the Contract from Contractor's and/or subcontractor's total workforce. When a separation can be made, Contractor shall submit the Workforce Report and indicate that the information provided related to the actual workforce utilized on the subject Contract. When the workforce to be utilized on the Contract cannot be separated out from Contractor's and/or subcontractor's total workforce, Contractor shall submit the Workforce Report and indicate that the information provided is Contractor's total workforce during the subject time frame, not limited to work specifically under the Contract.

D. Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

IV. MWBE Utilization Plan

A. The Contractor represents and warrants that Contractor has submitted an MWBE Utilization Plan (Form PROC-2) either prior to, or at the time of, the execution of this Contract.

B. Contractor agrees to use such MWBE Utilization Plan for the performance of MWBEs on this Contract pursuant to the prescribed MWBE goals set forth in section III-A of this Appendix III.

C. Contractor further agrees that a failure to submit and/or use such MWBE Utilization Plan shall constitute a material breach of the terms of this Contract. Upon the occurrence of such a material breach, the Corporation shall be entitled to any remedy provided herein, including but not limited to, a finding of Contractor non-responsiveness.

V. Waivers

A. For Waiver Requests Contractor should use Form PROC-3 – Waiver Request.

B. If the Contractor, after making good faith efforts, is unable to comply with MWBE goals, the Contractor may submit a Request for Waiver documenting good faith efforts by the Contractor to meet such goals. If the documentation included with the waiver request is complete, the Corporation shall evaluate the request and issue a written notice of acceptance or denial within twenty (20) days of receipt.

C. If the Corporation, upon review of the Utilization Plan and updated Compliance Reports determines that Contractor is failing or refusing to comply with the Contract goals and no waiver has been issued in regards to such non-compliance, the Corporation may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of MWBE Contract Goals.

VI. Quarterly MWBE Contractor Compliance Report

Contractor is required to submit a Quarterly MWBE Contractor Compliance Report (Form PROC-6) to the Corporation by the 10th day following each end of quarter (i.e., March 31st, June 30th, September 30th, and December 31st) over the term of the Contract documenting the progress made towards achievement of the MWBE goals of the Contract.
Reports should be submitted by email to: MWBE_EEOCreports@stormrecovery.ny.gov.

VII. Liquidated Damages - MWBE Participation

A. Where the Corporation determines that Contractor is not in compliance with the requirements of this Contract and Contractor refuses to comply with such requirements, or if Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals, Contractor shall be obligated to pay to the Corporation liquidated damages.

B. Such liquidated damages shall be calculated as an amount equaling the difference between:
   1. All sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and
   2. All sums actually paid to MWBEs for work performed or materials supplied under the Contract.

C. In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by the Agency, Contractor shall pay such liquidated damages to the Corporation within sixty (60) days after they are assessed by the Corporation unless prior to the expiration of such sixtieth (60th) day, the Contractor has filed a complaint with the Director of the Division of Minority and Woman Business Development
pursuant to subdivision 8 of section 313 of the Executive Law in which event the liquidated damages shall be payable if Director renders a decision in favor of the Corporation.

ALL FORMS ARE ATTACHED BELOW

OTDA – 4934.1 ELW (Rev. 7/13)

EQUAL EMPLOYMENT OPPORTUNITY
STAFFING PLAN
Submit with Bid or Proposal – Instructions on page 2

Solicitation/Program Name: RFQ #201603_047	Report includes: ☒ Work force to be utilized on this contract ☐ Contractor/Subcontractor's total work force
Offeror's Name: Lipsky Building Construction Inc.	Reporting Entity: ☒ Contractor ☐ Subcontractor Subcontractor's name_____
Offeror's Address: 814 Montauk Highway, Bayport, NY 11705	

Enter the total number of employees for each classification in each of the EEO-Job Categories identified

EEO-Job Category	Total Work force	Work force by Gender: Total Male (M)	Total Female (F)	Work force by Race/Ethnic Identification: White (M)	White (F)	Black (M)	Black (F)	Hispanic (M)	Hispanic (F)	Asian (M)	Asian (F)	Native American (M)	Native American (F)	Disabled (M)	Disabled (F)	Veteran (M)	Veteran (F)
Officials/Administrators	3	3		3													
Professionals																	
Technicians																	
Service Maintenance Workers																	
Office/Clerical	6	6		6													
Skilled Craft Workers	10	10		1				9									
Paraprofessionals																	
Protective Service Workers																	
Totals																	

PREPARED BY (Signature): [redacted]	TELEPHONE NO.: [redacted] EMAIL ADDRESS:	DATE: 6/20/16
NAME AND TITLE OF PREPA[redacted] Barry Lipsky, President	SUBMIT COMPLETED WITH BID OR PROPOSAL	

M/WBE UTILIZATION PLAN

INSTRUCTIONS: This form must be submitted with any bid, proposal, or proposed negotiated contract or within a reasonable time thereafter, but prior to contract award. This Utilization Plan must contain a detailed description of the supplies and/or services to be provided by each certified Minority and Women-owned Business Enterprise (M/WBE) under the contract. Attach additional sheets if necessary.

Offeror's Name: Lipsky Building Construction Inc.

Address: 814 Montauk Highway

City, State, Zip Code: Bayport, NY 11705

Region/Location of Work: Nassau and Suffolk Counties (New York)

Federal Identification Number: [redacted]

Solicitation Number: RFQ #201603_047

Telephone Number: [redacted]

M/WBE Goals in the Contract: MBE 15% WBE 15 %

1. Certified M/WBE Subcontractors/Suppliers Name, Address, Email Address, Telephone No.	2. Classification	3. Federal ID No.	4. Detailed Description of Work (Attach additional sheets, if necessary)	5. Dollar Value of Subcontracts / Supplies/Services and intended performance dates of each component of the contract.
A. TBD	NYS ESD CERTIFIED ☐ MBE ☐ WBE			
B. TBD	NYS ESD CERTIFIED ☐ MBE ☐ WBE			

6. IF UNABLE TO FULLY MEET THE MBE AND WBE GOALS SET FORTH IN THE CONTRACT, OFFEROR MUST SUBMIT A REQUEST FOR WAIVER FORM (PROC-5).

PREPARED and APPROVED BY: Barry Lipsky

NAME AND TITLE OF PREPARER (Print or Type): Barry Lipsky, President

Signature: [redacted]
Authorized Signature

DATE: June 20, 2016

TELEPHONE NO: [redacted]

EMAIL ADDRESS:

SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND POSSIBLE TERMINATION OF YOUR CONTRACT.

FOR AGENCY USE ONLY

REVIEWED BY:	DATE:

UTILIZATION PLAN APPROVED: ☐ YES ☐ NO Date:

Contract No:

Contract Award Date:

Estimated Date of Completion:

Amount Obligated Under the Contract:

NOTICE OF DEFICIENCY ISSUED: ☐ YES ☐ NO
Date:_____

NOTICE OF ACCEPTANCE ISSUED: ☐ YES ☐ NO
Date:_____

REQUEST FOR WAIVER FORM

INSTRUCTIONS: SEE PAGE 2 OF THIS ATTACHMENT FOR REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS.	
Offeror/Contractor Name:	**Federal Identification No.:**
Address:	**Solicitation/Contract No.:**
City, State, Zip Code:	**M/WBE Goals: MBE % WBE %**

By submitting this form and the required information, the offeror/contractor certifies that every Good Faith Effort has been taken to promote M/WBE participation pursuant to the M/WBE requirements set forth under the contract.

Contractor is requesting a:

1. ☐ MBE Waiver – A waiver of the MBE Goal for this procurement is requested. ☐ Total ☐ Partial

2. ☐ WBE Waiver – A waiver of the WBE Goal for this procurement is requested. ☐ Total ☐ Partial

3. ☐ Waiver Pending ESD Certification – (Check here if subcontractors or suppliers of Contractor are not certified M/WBE, but an application for certification has been filed with Empire State Development.) Date of such filing with Empire State Development:_____

PREPARED BY (Signature): SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR/CONTRACTOR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A AND 5 NYCRR PART 143. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR TERMINATION OF THE CONTRACT.	**Date:**	
Name and Title of Preparer (Printed or Typed):	**Telephone Number:**	**Email Address:**
Submit with the bid or proposal or if submitting after award, submit to the MWBE Program Unit: New York State Governor's Office of Storm Recovery 25 Beaver Street, 5th Floor New York, NY 10004 Email to: MWBE_EEOCreports@stormrecovery.ny.gov	********** **FOR AGENCY USE ONLY** **********	
	REVIEWED BY:	**DATE:**
	Waiver Granted: ☐ YES MBE: ☐ WBE: ☐ **☐ Total Waiver ☐ Partial Waiver** **☐ ESD Certification Waiver ☐ *Conditional** **☐ Notice of Deficiency Issued _____** ***Comments:**	

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

When completing the Request for Waiver Form please check all boxes that apply. To be considered, the Request for Waiver Form must be accompanied by documentation for items 1 – 11, as listed below. If box # 3 has been checked above, please see item 11. Copies of the following information and all relevant supporting documentation must be submitted along with the request:

1. A statement setting forth your basis for requesting a partial or total waiver.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses made by certified M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Offeror/Contractor, and the M/WBEs undertaken for purposes of complying with the certified M/WBE participation goals.
9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.
10. Provide the name, title, address, telephone number, and email address of offeror/contractor's representative authorized to discuss and negotiate this waiver request.
11. Copy of notice of application receipt issued by Empire State Development (ESD).

Note:

Unless a Total Waiver has been granted, Offeror/Contractor will be required to submit all reports and documents pursuant to the provisions set forth in the Contract, as deemed appropriate by the contracting entity, to determine M/WBE compliance.

MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

M/WBE AND EEO POLICY STATEMENT

I, Lipsky Building Construction Inc the (awardee/contractor) Contractor agree to adopt the following policies with respect to the project being developed or services rendered for (name agency/ies or project location) Housing Trust Fund Corporation

MWBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

(1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/W BE contractor associations.
(2) Request a list of State-certified M/WBEs from Agency(ies) and solicit bids from them directly.
(3) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.
(4) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
(5) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/W BE contract participation goals.
(6) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts.
(b)This organization shall state in all solicitation or advertisements for employees that in the performance of the State contract all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex disability or marital status.
(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized representative for a statement that it will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of this organization's obligations herein.
(d) Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.
(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract.

Agreed to this 20th d[redacted] 2016

By [redacted]

Print Barry Lipsky [redacted] itle President

Barry Lipsky is designated as the Minority Business Enterprise Liaison

He/she is responsible for administering the Minority and Women-Owned Business Enterprises-Equal Employment Opportunity (M/WBE-EEO) program.

M/WBE Contract Goals

30% Minority and Women's Business Enterprise Participation

15% Minority Business Enterprise Participation

15% Women's Business Enterprise Participation

EEO Contract Goals

____% Minority Labor Force Participation

____% Female Labor Force Participation

WORKFORCE EMPLOYMENT UTILIZATION

Contract No.:	**Reporting Entity:** □ Contractor □ Subcontractor	**Reporting Period:** □ January 1, 20____- March 31, 20____ □ April 1, 20____- June 30, 20____ □ July 1, 20____- September 30, 20____ □ October 1, 20____- December 31, 20____
Contractor's Name: **Contractor's Address:**		**Report includes:** □ Work force to be utilized on this contract □ Contractor/Subcontractor's total work force

Enter the total number of employees in each classification in each of the EEO-Job Categories identified.

EEO-Job Category	Total Work force	Work force by Gender		Work force by Race/Ethnic Identification													
		Male (M)	Female (F)	White (M)	White (F)	Black (M)	Black (F)	Hispanic (M)	Hispanic (F)	Asian (M)	Asian (F)	Native American (M)	Native American (F)	**Disabled (M)**	**Disabled (F)**	**Veteran (M)**	**Veteran (F)**
Officials/Administrators																	
Professionals																	
Technicians																	
Sales Workers																	
Office/Clerical																	
Craft Workers																	
Laborers																	
Service Workers																	
Temporary /Apprentices																	
Totals																	

PREPARED BY (Signature):	**TELEPHONE NO.:** **EMAIL ADDRESS:**	**DATE:**
NAME AND TITLE OF PREPARER (Print or Type):	**Submit completed form to:** **NYS Governor's Office of Storm Recovery,** **25 Beaver Street, 5th Floor, New York, NY 10004, or** **MWBE_EEOCreports@stormrecovery.ny.gov**	

General Instructions: The work force utilization is to be submitted on a quarterly basis during the life of the contract to report the actual work force utilized in the performance of the contract broken down by the specified categories. When the work force utilized in the performance of the contract can be separated out from the contractor's and/or subcontractor's total work force, the contractor and/or subcontractor shall submit a Utilization Report of the work force utilized on the contract. When the work force to be utilized on the contract cannot be separated out from the contractor's and/or subcontractor's total work force, information on the total work force shall be included in the Utilization Report. Utilization reports are to be completed for the quarters ended 3/31, 6/30, 9/30 and 12/31 and submitted to the M/WBE Program Management Unit within 15 days of the end of each quarter. If there are no changes to the work force utilized on the contract during the reporting period, the contractor can submit a copy of the previously submitted report indicating no change with the date and reporting period updated.

Instructions for completing:

1. Enter the number of the contract that this report applies to along with the name and address of the Contractor preparing the report.
2. Check off the appropriate box to indicate if the entity completing the report is the contractor or a subcontractor.
3. Check off the box that corresponds to the reporting period for this report.
4. Check off the appropriate box to indicate if the work force being reported is just for the contract or the Contractor's total work force.
5. Enter the total work force by EEO job category.
6. Break down the total work force by gender and enter under the heading 'Work force by Gender'
7. Break down the total work force by race/ethnic background and enter under the heading 'Work force by Race/Ethnic Identification'. Contact the M/WBE Program Management Unit at (518) 474-5513 if you have any questions.
8. Enter information on any disabled or veteran employees included in the work force under the appropriate heading.
9. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in the designated boxes.

RACE/ETHNIC IDENTIFICATION

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group. The race/ethnic categories for this survey are:

WHITE (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

BLACK a person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.

HISPANIC a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

ASIAN & PACIFIC ISLANDER a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.

NATIVE INDIAN (NATIVE AMERICAN/ALASKAN NATIVE) a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

OTHER CATEGORIES

- DISABLED INDIVIDUAL — any person who:
  - has a physical or mental impairment that substantially limits one or more major life activity(ies)
  - has a record of such an impairment; or
  - is regarded as having such an impairment.
- VIETNAM ERA VETERAN — a veteran who served at any time between and including January 1, 1963 and May 7, 1975.
- GENDER — Male or Female

Failure to submit this form will result in non-compliance

Is this a final report? Check one.
Yes_____No _____

M/WBE Quarterly Report
of
NYS AGENCY/AGENCIES Contract No._____Project No. _____

The following information indicates the payment amounts made by the grantee/contractor to the NYS Certified M/WBE subcontractor on this project. The payments as shown are in compliance with contract documents for the above reference project.

Contractor's Name and Address	**Federal ID#**	**Goals/Dollar Amount** **MBE___% = $_____** **WBE___% = $_____**	**Contract Type:** **Paid to Contractor this Quarter:** **Total Paid to Contractor to Date:**
	Project Completion Date	**Work Location**	**Reporting Period:** ☐ **1st Quarter (4/1-6/30)** ☐ **3rd Quarter (10/1-12/31)** ☐ **2nd Quarter (7/1-9/30)** ☐ **4th Quarter (1/1-3/31)**

M/WBE Subcontractor/Vendor	**Product Code***	**Work Status this Report**	**Total Subcontractor Contract Amount**		**Payments this Quarter**		**Previous Payments**		**Total Payments Made to Date**	
			MBE	**WBE**	**MBE**	**WBE**	**MBE**	**WBE**	**MBE**	**WBE**
Name: Fed ID#:		☐Active ☐Inactive ☐Complete								
Name: Fed ID#:		☐Active ☐Inactive ☐Complete								
Name: Fed ID#:		☐Active ☐Inactive ☐Complete								
Name: Fed ID#:		☐Active ☐Inactive ☐Complete								
		Total:								

*See Next Page for Product Codes

Date:_____**Name:**_____**Title:**_____**Signature:** _____

PROC-6 (revised 2/2012)

Use the following codes in the Product Code column to indicate the category of work for which the M/WBE was utilized:

PRODUCT CODE KEY:

A	Agriculture/Landscaping (e.g., all forms of landscaping services)
B	Mining (e.g., Geological Investigation)
C	Construction
C15	Building Construction – General Contractors
C16	Heavy Construction (e.g., highway, pipe laying)
C17	Special Trade Contractors (e.g., plumbing, heating, electrical, carpentry)
D	Manufacturing (production of goods)
E	Transportation, Communication and Sanitary Services (e.g., Delivery services, warehousing, broadcasting and cable systems)
F/G	Wholesale/Retail Goods (e.g., gravel, hospital supplies and equipment, food stores, computer stores, office supplies)
G52	Construction Materials (e.g., lumber, paint, lawn supplies)
H	Financial, Insurance and Real Estate Services
I	Services
I73	Business Services (e.g., copying, advertising, secretarial, janitorial, rental services of equipment, computer programming, security services)
I81	Legal Services
I82	Educational Services (e.g., AIDS education, automobile safety, tutoring, public speaking)
I83	Social Services (e.g., counselors, vocational training, child care)
I87	Engineering, architectural, accounting, research, management and related services

New York State
Homes & Community Renewal
www.nyshcr.org

EEOC Statement
of the
New York State Housing Finance Agency,
State of New York Mortgage Agency,
New York State Affordable Housing Corporation,
State of New York Municipal Bond Bank Agency,
Tobacco Settlement Financing Corporation and
Housing Trust Fund Corporation
(individually, "Agency" and collectively, "Agencies")

It is the goal of the Agencies to ensure compliance with the federal Equal Employment Opportunity Act of 1972, as amended. Respondents with fifteen (15) or more employees responding to this solicitation, must submit a statement disclosing whether the Respondent is currently operating under or negotiating, or has at some time in the last five (5) years operated under or negotiated, a conciliation agreement with the Equal Employment Opportunity Commission ("EEOC"); has been, at some time in the last five (5) years, or is currently the subject of a civil action brought against it by the EEOC; has been, at some time in the last five (5) years, or is currently the subject of an action brought against it by the EEOC for permanent, temporary or preliminary relief; has operated, at some time in the last five (5) years, or is currently operating under an order of a court to take affirmative action as a result of a civil action brought against it by EEOC.

Please answer the above question either in the affirmative or negative.

____NO____ Respond YES or NO

If YES, provide explanation:

_____

_____

_____

_____

Responden[redacted]

6/20/16
Date of Respondent's Signature

Barry Lipsky, President

Print Name of Respondent

F:\Legal\S-Contract\Forms and Related Information\MWBE FORMS & Boilerplate Language\PROC-8 - EEOC Statement_FINAL.docx

HOUSING TRUST FUND CORPORATION
38-40 STATE STREET, ALBANY, NEW YORK 12207

APPENDIX IV

CONSTRUCTION REQUIREMENTS AND PROCEDURES FOR CONTRACTS WITH

HOUSING TRUST FUND CORPORATION

New York State
Homes & Community Renewal
Office of Fair Housing and Equal Opportunity
Web Site: www nyshcr.org

CUMULATIVE PAYMENT STATEMENT
(Instructions on Reverse Side)

Contractors Name and Address:	**Federal ID #**	**Goals**		**Reporting Period**	
		MBE %	WBE %	**Quarter**	**Year**
	SHARS/Project #	**Work Location**			

Name of Firm and Address (*List All Firms*)	**Type of Service Provided** *(Select only one)*	**NYS Certified** MBE	WBE	**Payment This period**	**Contract Amount**
Federal ID#	☐ • Construction ☐ • Supplier ☐ • Consultant Service ☐ • Service/Commodity ☐ • Section 3	☐	☐	**No Payment** ☐	
Federal ID#	☐ • Construction ☐ • Supplier ☐ • Consultant Service ☐ • Service/Commodity ☐ • Section 3	☐	☐	**No Payment** ☐	
Federal ID#	☐ • Construction ☐ • Supplier ☐ • Consultant Service ☐ • Service/Commodity ☐ • Section 3	☐	☐	**No Payment** ☐	
Federal ID#	☐ • Construction ☐ • Supplier ☐ • Consultant Service ☐ • Service/Commodity ☐ • Section 3	☐	☐	**No Payment** ☐	

Signature of Company Official | Print Name of Company Official | Date

ADM-123 (rev. 3/12)

Failure to submit this form will result in non-compliance

INSTRUCTIONS FOR FILING CUMULATIVE PAYMENT STATEMENT

This document pertains to **HCR funding only:** The form is to be completed and signed by the Company Official and submitted **by the 10th of each quarter.** The form must include **ALL** (**e.g. MBE, WBE and non-M/WBE**) subcontractors or suppliers assigned to this contract. The Affirmation of Income Payments to MBE/WBE (ADM-146) must accompany this form for each MBE/WBE firm who has received payment.

Quarter	Reporting Period	Due Date
1st	April 1 – June 30	July 10
2nd	July 1- September 30	October 10
3rd	October 1 - December 31	January 10
4th	January 1 – March 31	April 10

Contractor's Name & Address: Indicate name, address, city, state and zip code.

Contractor's Federal ID #: If Federal ID # not assigned, provide Social Security # of the owner.

Goals: Indicate HCR's assigned MBE and WBE participation goals.

Reporting Period: Indicate reported month and year.

SHARS/Project #: Indicate HCR's SHARS #/Project #.

Subcontractor or Supplier Name & Address Indicate the name, address, city, state and zip code.

Federal ID #: If Federal ID # not assigned, provide Social Security # of the owner.

Description of Work: Check the box that best describes the work performed. (CHECK ONE BOX ONLY)

NYS Certified Indicate if MBE or WBE. (CHECK ONE BOX ONLY) Only firms certified by NYS will be counted towards goals

Payments This Period: Indicate amount paid to each subcontractors or suppliers this reporting period.

NOTE: IF THERE WAS NO PAYMENT THIS PERIOD, PLEASE CHECK THE BOX.

Contract Amount: Indicate total contract amounts or purchase agreement(s) for each subcontractor or supplier.

New York State
Homes & Community Renewal
Office of Fair Housing and Equal Opportunity
Web Site: www.nyshcr.org

Affirmation of Income Payments to MBE/WBE

Each MBE and WBE FIRM must sign and submit this form to the Contractor. The Contractor/Vendor must submit this form to the Office of Fair Housing and Equal Opportunity by the ***10th of each Quarter****.*

CONTRACTOR

1. Name and Address of Contractor	2. SHARS/Project #
	3. Reporting Period
Federal ID #	Quarter | Year

M/WBE FIRM

1. Name and Address	2. Date contract started:
	3. New York State Certified (Check One)
Federal ID #	☐ MBE ☐ WBE

4. Type of Service Provider (Check one box only)
☐ Construction ☐ Supplier ☐ Consultant Service ☐ Service/Commodity

5.Summary of Payments

a. Total MBE/WBE contract amount $ _____

b. MBE/WBE payment received for this reporting period $ _____

c. Total MBE/WBE payments received as of this reporting period $ _____

Signature of MBE/WBE	Print Name of MBE/WBE	Date
Signature of Contractor	Print Name of Contractor	Date

Failure to submit this form will result in non-compliance.

ADM-146 (rev. 12/10)

New York State
Homes and Community Renewal
Office of Fair Housing and Equal Opportunity
Website: www.nyshcr.org

MONTHLY EMPLOYMENT UTILIZATION REPORT

(Instructions on Next Page)

Project Name:			**Reporting Period:**	From: To:	
Contractor/ Firm Name:			**Address:**		
Federal ID/SS#:		**SHARS #:**		**Location of Work:**	
Labor Amount:	$	**Construction Start Date:**		**Percent of Job Complete:**	

	TOTAL NUMBER OF EMPLOYEES FOR THIS REPORTING PERIOD											
Job or Trade Category	**Total Number of Employees**		**Black or African American**		**Hispanic or Latino**		**Native Hawaiian or Other Pacific Islander**		**Native American or Alaskan Native**		**Asian**	
	M	**F**	**M**	**F**	**M**	**F**	**M**	**F**	**M**	**F**	**M**	**F**
Professionals												
Technicians												
Office/Clerical												
Construction Trade - List Each												
Grand Totals												

Company Official's Name:_____ Title: _____

Company Official's Signature:_____ Date: _____

Telephone Number:_____ Fax Number: _____

NOTE: Failure to submit this form will result in non-compliance.

INSTRUCTIONS FOR FILING MONTHLY EMPLOYMENT UTILIZATION REPORT

The Monthly Employment Utilization Report (ADM-136) is to be completed and signed by the contractor or subcontractor and ***submitted by the 10th of each quarter*** for the duration of this contract. This report covers all hourly workers, including foremen, supervisors or crew chiefs, journey workers and apprentices or trainees working on the project. Professionals, technicians and office clerical field office staff working on the contract should also be reported.

Name of Project:	Indicate the Name of Assigned Project
Reporting Period:	Indicate reported month and year.
Contractor or Subcontractor Name:	Indicate name, address, city and zip code.
Federal ID Number:	If Federal ID # not assigned, provide Social Security # of the owner.
Labor Amount:	Indicate dollar amount allocated for labor on the Detailed Estimate.
SHARS Number:	Indicate HCR assigned SHARS #.
Location of Work:	Indicate county where project is located.
Contract Start Date:	Indicate date construction actually began.
Percent of Job Complete:	Indicate the estimated percentage of job completed.
Job or Trade Category:	Indicate the total number of employees for the field office staff, including supervisory personnel and administrative staff at the job site. Indicate the number of employees for each construction trade.
Total Number of Employees:	Indicate the total number of ***all*** employees, regardless of ethnicity, under each trade category for all males (M) and all females (F). ***Note: These two columns include the number of employees for the entire workforce.***
Total Number of Employees Minority & Females:	Indicate the total number of employees for each minority group member(s) under each trade category for all minority males (M) and all females (F). ***Note: These columns include only the minority workforce.***
Grand Totals:	Total of columns under each trade category for all males (M) and all females (F).

The company official's name, title and telephone number should be printed or typed at the bottom of the form.

APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

PLEASE RETAIN THIS DOCUMENT
FOR FUTURE REFERENCE.

January 2014

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STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds $50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds $10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed $85,000 (State Finance Law Section 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of $50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of

any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds $5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of $25,000.00,

whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of $100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of $100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over $25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

13. <u>CONFLICTING TERMS</u>. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. <u>GOVERNING LAW</u>. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. <u>LATE PAYMENT</u>. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. <u>NO ARBITRATION</u>. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. <u>SERVICE OF PROCESS</u>. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. <u>PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS</u>. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
email: opa@esd ny.gov

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, NY 10017
212-803-2414
email: mwbecertification@esd.ny.gov
https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than $1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW. If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded

the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING. To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.
To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

26. **IRAN DIVESTMENT ACT**. By entering into this Agreement, Contractor certifies in accordance with State Finance Law §165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at:
http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

New York State
Housing Trust Fund Corporation

ACH/DIRECT DEPOSIT AUTHORIZATION

NOTE: Please type or clearly print all requested information

PART 1: Payee Identification

Payee Name	Payee Type		
LIPSKY BUILDING CONSTRUCTION INC	☒ Owner ☐ Property Manager/Agent		
Payee Email Address [redacted]	Payee Phone Number (with area code) [redacted]	Type ☒ Work ☐ Home	
Street Address	City	State	Zip Code
814 MONTAUK HWY	BAYPORT	NY	11705

WARNING: Federal law prohibits HTFC from processing international ACH transactions (IAT). If any payment to you from HTFC will result in an IAT under the National Automated Clearing House Association's operating rules or if you are unsure if the rules apply to you, **DO NOT COMPLETE THIS FORM.**

Please initial in the box to the right to indicate you have read the above warning. [redacted]
If you fail to initial here, direct deposit will not be approved.

PART 2: Financial Institution Information

[redacted]

PART 3: Authorization

I authorize HTFC to deposit payments by electronic funds transfer (ACH) into the above referenced account. I acknowledge that if I fail to provide complete and accurate information on this authorization form, processing of this form and payments may be delayed.

This authorization will [redacted] notice to terminate is received.

Authorized Signatory	Title	Date
[redacted]	President	9/20/16

Form **W-9**
(Rev. December 2014)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

Print or type
See Specific Instructions on page 2.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.
Lipsky Building Construction, Inc.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification; check only one of the following seven boxes:
☐ Individual/sole proprietor or single-member LLC ☑ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate
☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶
Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner.
☐ Other (see instructions) ▶

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):
Exempt payee code (if any)
Exemption from FATCA reporting code (if any)
(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.)
814 Montauk Highway

Requester's name and address (optional)
Housing Trust Fund Corporation
25 Beaver St
New York, NY 10004

6 City, state, and ZIP code
Bayport, NY 11705

7 List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number
☐☐☐ - ☐☐ - ☐☐☐☐

or

Employer identification number
[redacted]

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here | **Signature of U.S. person ▶** [redacted] **Date ▶** 9/20/16

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at *www.irs.gov/fw9*.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding?* on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of $50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a $500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note. ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)

2—The United States or any of its agencies or instrumentalities

3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

4—A foreign government or any of its political subdivisions, agencies, or instrumentalities

5—A corporation

6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession

7—A futures commission merchant registered with the Commodity Futures Trading Commission

8—A real estate investment trust

9—An entity registered at all times during the tax year under the Investment Company Act of 1940

10—A common trust fund operated by a bank under section 584(a)

11—A financial institution

12—A middleman known in the investment community as a nominee or custodian

13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over $600 required to be reported and direct sales over $5,000[1]	Generally, exempt payees 1 through 5[2]
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

[1] See Form 1099-MISC, Miscellaneous Income, and its instructions.

[2] However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note. You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on this page), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at *www.ssa.gov*. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at *www.irs.gov/businesses* and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: *A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.*

Part II. Certification

To establish to the withholding agent that you are a U.S. p[illegible], or resident alien, sign Form W-9. You may be requested to sign by the withh[illegible]g a[illegible]ent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown [illegible]art I should sign (when required). In the case of a disregarded entity, the pe[illegible] identified on line 1 must sign. Exempt payees, see *Exempt payee code* earlier.

Signature requirements. Complete the certification as ind[illegible]ed in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts op[illegible]ed **before 1984 and broker accounts considered active during 1983.** You [illegible]ust give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange acc[illegible]nts **opened after 1983 and broker accounts considered inactive during 1[illegible]** You must sign the certification or backup withholding will apply. If you are su[illegible] to backup withholding and you are merely providing your correct TIN [illegible]e requester, you must cross out item 2 in the certification before signing th[illegible].

3. Real estate transactions. You must sign the certifica[illegible]. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, b[illegible] do not have to sign the certification unless you have been notified that you ha[illegible]eviously given an incorrect TIN. "Other payments" include payments made i[illegible] course of the requester's trade or business for rents, royalties, goods ([illegible] than bills for merchandise), medical and health care services (including [illegible]ments to corporations), payments to a nonemployee for services, pa[illegible]nts made in settlement of payment card and third party network transa[illegible]s, payments to certain fishing boat crew members and fishermen, and gro[illegible] proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or aban[illegible]ment of **secured property, cancellation of debt, qualified tuition** progra[illegible]mer[illegible] **(under section 529), IRA, Coverdell ESA, Archer MSA or** HSA [illegible] buy[illegible]ns **or distributions, and pension distributions.** You must give [illegible]orr[illegible] TIN, but you do not have to sign the certification.

What Name and Number To Give the R[illegible]uester

For this type of account:	Give n[illegible] and SSN of:
1. Individual	The individua[illegible]
2. Two or more individuals (joint account)	The actual ow[illegible] the account or, if combined f[illegible], the first individual on [illegible] account[1]
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor[2]
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-tr[illegible]
b. So-called trust account that is not a legal or valid trust under state law	The actual ov[illegible]
5. Sole proprietorship or disregarded entity owned by an individual	The owner[3]
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor[4]
For this type of account:	**Give n[illegible] and TIN of:**
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity[4]
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corpora[illegible]
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organiza[illegible]
11. Partnership or multi-member LLC	The partners[illegible]
12. A broker or registered nominee	The broker or [illegible]nee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public en[illegible]
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

[1] List first and circle the name of the person whose number you fu[illegible] If on [illegible] e person on a joint account has an SSN, that person's number must be furnish[illegible]

[2] Circle the minor's name and furnish the minor's SSN.

[3] You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

[4] List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 2.

***Note.** Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to *phishing@irs.gov*. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: *spam@uce.gov* or contact them at *www.ftc.gov/idtheft* or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.