

City of Chicago



Office of the City Clerk

Document Tracking Sheet

Meeting Date:

1/23/2019

Sponsor(s):

Cappleman (46)

Type:

Ordinance

Title:

Vacation of public alley(s) in area bounded by N Magnolia Ave, W Gunnison St, N Broadway and W Lawrence Ave

Committee(s) Assignment:

Committee on Transportation and Public Way

COMMERCIAL VACATION ORDINANCE

WHEREAS, the City of Chicago ("City") is a home rule unit of local government pursuant to Article VII, Section 6 (a) of the 1970 Constitution of the State of Illinois and, as such, may exercise any power and perform any function pertaining to its government and affairs; and

WHEREAS, the property at 4818-4820 N. Broadway is owned by 4818-4822 North Broadway Street LLC, an Illinois limited liability company; and

WHEREAS, the property at 4819-4821 North Magnolia Avenue is owned by UTA II LLC, a Delaware limited liability company ("Developer"); and

WHEREAS, 4818-4822 North Broadway Street LLC has quit claimed its interests in the subject alley to Developer, pursuant to a quitclaim deed recorded on January 16, 2019 as document 1901606050; and

WHEREAS, the Developer proposes to use the portion of the alley remnant to be vacated herein for loading and adjacent building upgrades; and

WHEREAS, the City Council of the City of Chicago, after due investigation and consideration, has determined that the nature and extent of the public use and the public interest to be subserved is such as to warrant the vacation of that portion of the public alley described in this ordinance; now therefore,

BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF CHICAGO:

SECTION 1.

VACATION OF THAT PART OF THE PUBLIC ALLEY LYING WEST OF AND ADJOINING LOT 5 AND EAST OF AND ADJOINING LOT 18 IN THE RESUBDIVISION OF BLOCK 1 (EXCEPT LOTS 1, 2 AND 3) IN RUFUS C. HALL'S ADDITION TO ARGYLE IN THE SOUTH HALF OF THE SOUTHWEST QUARTER OF SECTION 8, TOWNSHIP 40 NORTH, RANGE 14 EAST OF THE THIRD PRINCIPAL MERIDIAN, ACCORDING TO THE PLAT THEREOF, RECORDED JANUARY 16, 1891, PER DOCUMENT NUMBER 1408971, DESCRIBED AS FOLLOWS; BEGINNING AT THE SOUTHWEST CORNER OF LOT 5 AFORESAID, THENCE SOUTH 89 DEGREES, 56 MINUTES, 25 SECONDS WEST 16.00 FEET TO THE SOUTHEAST CORNER OF SAID LOT 18; THENCE NORTH 00 DEGREES 00 MINUTES, 40 SECONDS EAST ALONG THE EAST LINE OF LOT 18 AFORESAID 25.03 FEET TO THE NORTHEAST CORNER OF SAID LOT 18; THENCE NORTH 89 DEGREES, 56 MINUTES, 22 SECONDS EAST 16.00 FEET TO THE NORTHWEST CORNER OF SAID LOT 5; THENCE SOUTH 00 DEGREES, 00 MINUTES, 40 SECONDS WEST

ALONG THE WEST LINE OF LOT 5 AFORESAID 25.03 FEET TO THE SOUTHWEST CORNER OF SAID LOT 5 ALSO THE POINT OF BEGINNING, ALL IN COOK COUNTY, ILLINOIS SAID AREA OF PROPERTY BEING 400 SQ. FT. OR 0.0092 ACRES MORE OR LESS as shaded and legally described by the words "HEREBY VACATED" on the plat hereto attached as **Exhibit A**, which plat for greater clarity, is hereby made a part of this ordinance, be and the same is hereby vacated and closed, inasmuch as the same is no longer required for public use and the public interest will be subserved by such vacation.

SECTION 2. The City of Chicago hereby reserves for the benefit of Commonwealth Edison and AT&T/SBC, and their successors or assigns, a non-exclusive utility easement to operate, maintain, construct, replace and renew overhead wires, poles, and associated equipment and underground conduit, cables, and associated equipment for the transmission and distribution of electrical energy, telephonic and associated services under, over and along the alley herein vacated, with the right of ingress and egress. The grade of the vacated public way shall not be altered in a manner so as to interfere with the operation and maintenance of Commonwealth Edison and/or AT&T/SBC facilities. No construction, buildings, permanent structures or obstructions shall occur or be placed over the area herein vacated without express written release of easement by the involved utility(ies). Any future Developer-prompted relocation of facilities lying within the area being vacated will be accomplished by the involved utility, and be done at the expense of the Developer or its successors or assigns.

SECTION 3. The vacation herein provided for is made upon the express condition that within one hundred eighty (180) days after the passage of this ordinance, the Developer shall pay or cause to be paid to the City of Chicago as compensation for the benefits which will accrue to the owner of the property abutting said part of public alley hereby vacated the sum dollars (\$), which sum in the judgment of this body will be equal to such benefits.

SECTION 4. The vacation herein provided for are made upon the express condition that within one hundred eighty (180) days after the passage of this ordinance, the Developer shall file or cause to be filed for recordation with the Office of the Recorder of Deeds of Cook County, Illinois a certified copy of this ordinance, together with the associated full sized plats as approved by the Acting Superintendent of Maps and Plats.

SECTION 5. This ordinance shall take effect and be in force from and after its passage and publication. The vacation shall take effect and be in force from and after recording of the published ordinance and plat.

Vacation Approved:

Rebekah Scheinfeld Commissioner of Transportation

Approved as to Form and Legality

Deputy Corporation Counsel

Alderman, 46th Ward

EXHIBIT "A"

PLAT OF VACATION

LEGAL DESCRIPTION

THAT PART OF THE PUBLIC ALLEY LYING WEST OF AND ADJOINING LOT 5 AND EAST OF AND ADJOINING LOT 18 IN THE RESUBDIVISION OF BLOCK 1 (EXCEPT LOTS 1, 2 AND 3) IN RUFUS C. HALL'S ADDITION TO ARGYLE IN THE SOUTH HALF OF THE SOUTHWEST QUARTER OF SECTION 8, TOWNSHIP 40 NORTH, RANGE 14 EAST OF THE THIRD PRINCIPAL MERIDIAN, ACCORDING TO THE PLAT THEREOF, RECORDED JANUARY 16, 1891, PER DOCUMENT NUMBER 1408971, DESCRIBED AS FOLLOWS; BEGINNING AT THE SOUTHWEST CORNER OF LOT 5 AFORESAID, THENCE SOUTH 89 DEGREES, 56 MINUTES, 25 SECONDS WEST 16.00 FEET TO THE SOUTHEAST CORNER OF SAID LOT 18; THENCE NORTH 00 DEGREES 00 MINUTES, 40 SECONDS EAST ALONG THE EAST LINE OF LOT 18 AFORESAID 25.03 FEET TO THE NORTHEAST CORNER OF SAID LOT 18; THENCE NORTH 89 DEGREES, 56 MINUTES, 22 SECONDS EAST 16.00 FEET TO THE NORTHWEST CORNER OF SAID LOT 5; THENCE SOUTH 00 DEGREES, 00 MINUTES, 40 SECONDS WEST ALONG THE WEST LINE OF LOT 5 AFORESAID 25.03 FEET TO THE SOUTHWEST CORNER OF SAID LOT 5 ALSO THE POINT OF BEGINNING, ALL IN COOK COUNTY, ILLINOIS.

AREA OF PROPERTY = 400 SQ. FT. OR 0.0092 ACRES MORE OR LESS

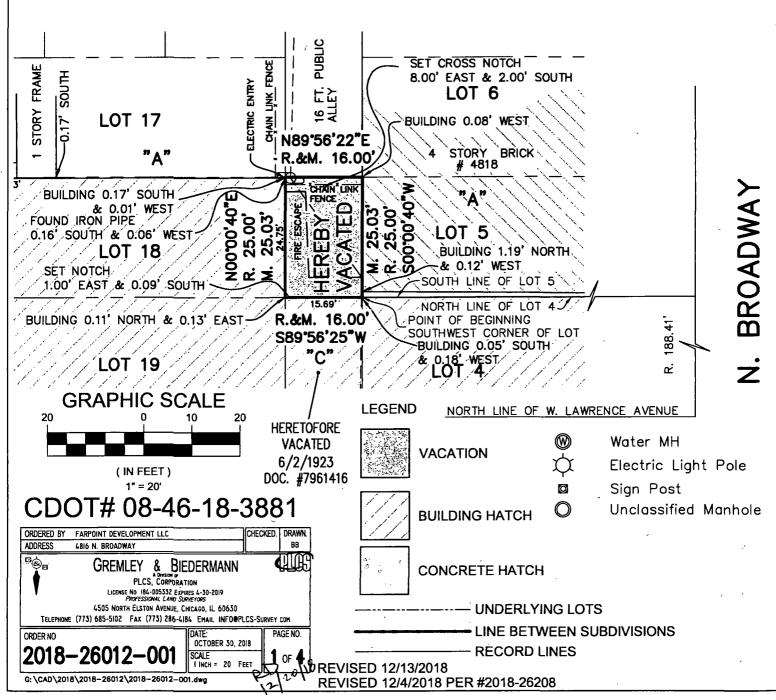


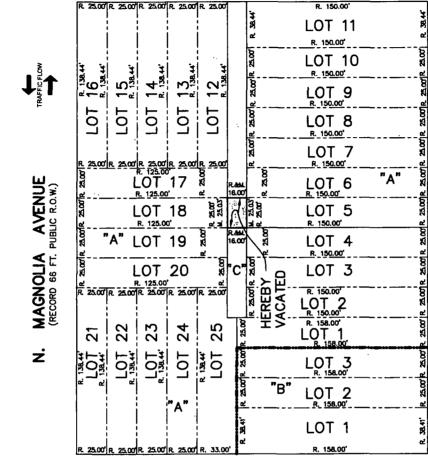


EXHIBIT "A"

PLAT OF VACATION





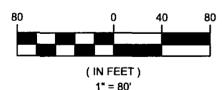


(RECORD 100 FT, PUBLIC R.O.W.

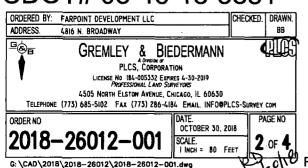
TRAFFIC FLOW

W. LAWRENCE AVENUE (RECORD 66 FT. PUBLIC R.O.W.)

GRAPHIC SCALE



CDOT# 08-46-18-3881



"A"

RE-SUB OF BLOCK 1, EXCEPT LOTS 1, 2 & 3 IN RUFUS C. HALLS ADDITION TO ARGYLE IN SOUTH HALF SOUTHWEST QUARTER SECTION 8-40-14

REC. JANUARY 16, 1891

DOC. #1408971

"R"

RUFUS C. HALLS ADDITION TO ARGYLE IN SOUTH HALF SOUTHWEST QUARTER SECTION 8-40-14

REC. OCTOBER 22, 1888

DOC. #1019778

"C"

VACATED BY ORDINANCE PASSED APRIL 5, 1923.

REC. JUNE 2, 1923

DOC. #7961416

REVISED 12/4/2018 PER #2018-26208

EXHIBIT "A" PLAT OF VACATION

SURVEYORS NOTES:

Field measurements completed on OCTOBER 15, 2018

THE ZONING CLASSIFICATION OF THE PROPERTY SHOWN HEREON IS B3-5 AS DELINEATED ON THE CITY OF CHICAGO, DEPARTMENT OF ZONING WEBSITE .

Note R. & M. denotes Record and Measured distances respectively.

Distances are marked in feet and decimal parts thereof. Compare all points BEFORE building by same and at once report any differences BEFORE damage is done.

For easements, building lines and other restrictions not shown on survey plat refer to your abstract, deed, contract, title policy and local building line regulations.

NO dimensions shall be assumed by scale measurement upon this plat.

Unless otherwise noted hereon the Bearing Basis, Elevation Datum and Coordinate Datum if used is ASSUMED.

COPYRIGHT GREMLEY & BIEDERMANN, INC. 2018 "All Rights Reserved"

CDOT# 08-46-18-3881

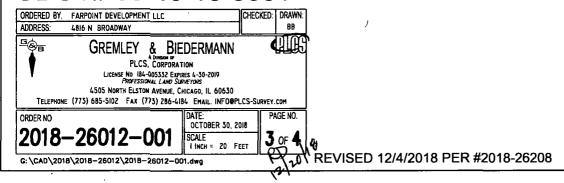
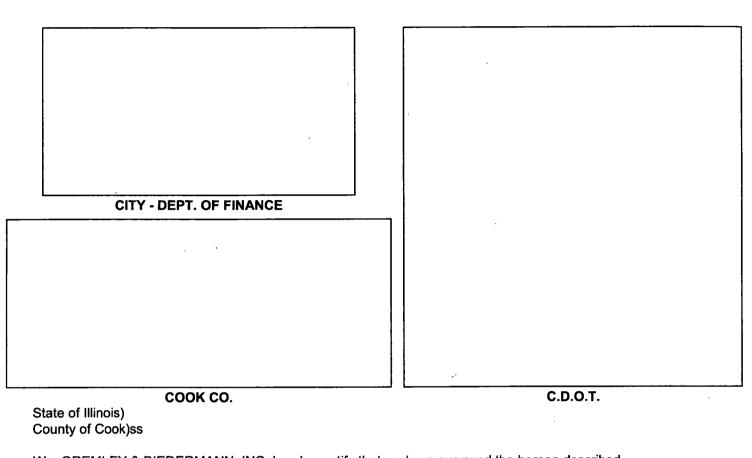


EXHIBIT "A"

PLAT OF VACATION



We, GREMLEY & BIEDERMANN, INC. hereby certify that we have surveyed the hereon described property and that the plat hereon drawn is a correct representation of said survey corrected to a temperature of 62° Fahrenheit.

Field measurements completed on OCTOBER 15, 2018.

Signed on <u>∫)ec. 14, 2018</u>

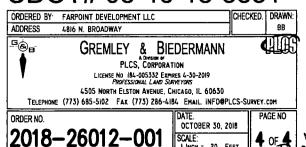
By: Pall A Biell

Professional Illinois Land Surveyor No. Z60Z

My license expires November 30, 2020

This professional service conforms to the current Illinois minimum standards for a boundary survey.

CDOT# 08-46-18-3881



G: \CAD\2018\2018-26012\2018-26012-001.dwg

SURVEY PREPARED FOR AND MAIL TO:

FARPOINT DEVELOPMENT LLC 120 N. RACINE AVENUE CHICAGO, IL 60607 PINS: 14-08-320-010 14-08-320-007

REVISED 12/4/2018 PER #2018-26208

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

Ver.2018-1

Uptown Theatre Development, LLC			•
Check ONE of the following three	e boxes:		
Indicate whether the Disclosing Par 1. [X] the Applicant OR	ty submittii	ng this EDS is:	
the contract, transaction or other und "Matter"), a direct or indirect interes	dertaking to st in excess	o which this EDS of 7.5% in the A	pplicant. State the Applicant's legal
OR 3. [] a legal entity with a direct State the legal name of the entity in	t or indirec	t right of control	of the Applicant (see Section II(B)(1))
B. Business address of the Disclosing	ng Party:	207 West Goeth	ne
.~		Chicago, IL 606	10
C. Telephone: 312-266-6262	_ Fax:		Email: jerrym@jamusa.com
D. Name of contact person:Jerry M	lickelson	÷	
E. Federal Employer Identification	No. (if you	have one):	
F. Brief description of the Matter to property, if applicable):	which this	S EDS pertains. (Include project number and location of
coning amendments, and (iv) right-of-wa			mark, and other City assistance, (ii) Class h rehabilitation of the Uptown Theatre
ted at 4816 North Broadway G. Which City agency or departmer	nt is request		partment of Planning and Development / licago Department of Transportation
If the Matter is a contract being hand complete the following:	dled by the	City's Departmen	nt of Procurement Services, please
<u>-</u>			

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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

 Indicate the nature of the Disclosing Parties Person Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership Limited partnership Trust 	rty: [X] Limited liability company [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No [] Other (please specify)		
2. For legal entities, the state (or foreign coun	try) of incorporation or organization, if applicable:		
Delaware			
3. For legal entities not organized in the State business in the State of Illinois as a foreign ent	of Illinois: Has the organization registered to do ity?		
[] No	[] Organized in Illinois		
B. IF THE DISCLOSING PARTY IS A LEGA	AL ENTITY:		
List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.			
NOTE: Each legal entity listed below must sub	omit an EDS on its own behalf.		
Name Uptown HM Investments, LLC	Title Anticipated Manager		
Farpoint Investments, LLC	Anticipated Manager		

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

Name See attached Exhibit A	Business Address	Percentage Interest in the Ap	oplicant
SECTION III OFFICIALS	INCOME OR COMPENSATION	N TO, OR OWNERSHIP BY, CITY	ELECTEI
	g Party provided any income or con preceding the date of this EDS?	npensation to any City elected official [] Yes	during the [X] No
	ng Party reasonably expect to provioring the 12-month period following	de any income or compensation to any the date of this EDS? [] Yes	City [X] No
•	of the above, please identify below tome or compensation:	he name(s) of such City elected officia	al(s) and
inquiry, any City Chapter 2-156 of [] Yes	elected official's spouse or domestic the Municipal Code of Chicago ("M [X] No	isclosing Party's knowledge after reason partner, have a financial interest (as office) in the Disclosing Party?	defined in

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

state "None."

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Name	Business Address	Percentage Interest in Applicant
Uptown Theatre	207 West Goethe	99% (anticipated direct ownership interest)
Foundation, Inc.	Chicago, IL 60610	interest)
Uptown Theatre	207 West Goethe	1% (anticipated direct ownership
Development, LLC	Chicago, IL 60610	interest)
Farpoint Investments, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
•	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Goodman Holdings, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
R. Stilp Holdings, LLC	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
	Wilmette, IL 60091	indirect interest)
Criffer Associates II C	2752 M/a a dhina A	[Interest to be determined]
Griffon Associates, LLC	2753 Woodbine Avenue Evanston, IL 60201	Less than 7.5% Interest (anticipated indirect interest)
	Evalision, 12 00201	[Interest to be determined]
Helfire, LLC	200 Estate Court	Less than 7.5% Interest (anticipated
, , , , , , , , , , , , , , , , , , , ,	Northbrook IL 60062	indirect interest)
		[Interest to be determined]
Scott Goodman	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Regina Stilp	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Wilmette, IL 60091	indirect interest)
		[Interest to be determined]
Patrick O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
Alicia O'Connor	2753 Woodbine Avenue	[Interest to be determined] Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
(All ilidividual)	EVALUATION, 1E 00201	[Interest to be determined]
Eric Helfand	200 Estate Court	Less than 7.5% Interest (anticipated
(An Individual)	Northbrook IL 60062	indirect interest)
		[Interest to be determined]
Uptown HM Investments,	207 West Goethe	Less than 7.5% Interest (anticipated
LĹC	Chicago, IL 60610	indirect interest)
		[interest to be determined]
Jerry Mickelson	207 West Goethe	Less than 7.5% Interest (anticipated
(An Individual)	Chicago, IL 60610	indirect interest)
		[Interest to be determined]

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
(Add shoots if negations)			
(Add sheets if necessary) [X] Check here if the Disc	•	y has not retained, nor expects to re	tain, any such persons or entities.
SECTION V CERTII	FICATION	· ·	
A. COURT-ORDERED	CHILD SU	PPORT COMPLIANCE	
	•	antial owners of business entities the support obligations throughout the	•
- · · · · · · · · · · · · · · · · · · ·	•	ectly owns 10% or more of the Disc tions by any Illinois court of compe	•
[]Yes []No [k]]	No person d	lirectly or indirectly owns 10% or m	nore of the Disclosing Party.
If "Yes," has the person e is the person in compliance		a court-approved agreement for pay agreement?	ment of all support owed and
[] Yes [] No			
B. FURTHER CERTIFIC	CATIONS		
Procurement Services.] I Party nor any Affiliated E performance of any public inspector general, or integ investigative, or other sim	n the 5-year intity [see decontract, to contract, to complications of the complete c	the Matter is a contract being handled period preceding the date of this Experiod preceding the date of this Experiod preceding the date of this Experiod preceding the services of an integrity monitor, ance consultant (i.e., an individual of designated by a public agency to help well as help the wonders reform the	DS, neither the Disclosing in connection with the independent private sector or entity with legal, auditing, lp the agency monitor the

- activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

	sing Party is unable to certify to any of the above statements in this Part B (Further e Disclosing Party must explain below:
	"the word "None," or no response appears on the lines above, it will be conclusively Disclosing Party certified to the above statements.
complete list of a month period pre	the Disclosing Party's knowledge after reasonable inquiry, the following is a ll current employees of the Disclosing Party who were, at any time during the 12-ceding the date of this EDS, an employee, or elected or appointed official, of the Cityne, indicate with "N/A" or "none").
complete list of a the 12-month per official, of the Cir made generally at the course of offic political contribut	the Disclosing Party's knowledge after reasonable inquiry, the following is a l gifts that the Disclosing Party has given or caused to be given, at any time during od preceding the execution date of this EDS, to an employee, or elected or appointed y of Chicago. For purposes of this statement, a "gift" does not include: (i) anything vailable to City employees or to the general public, or (ii) food or drink provided in cial City business and having a retail value of less than \$25 per recipient, or (iii) a ion otherwise duly reported as required by law (if none, indicate with "N/A" or y gift listed below, please also list the name of the City recipient.
	ION OF STATUS AS FINANCIAL INSTITUTION g Party certifies that the Disclosing Party (check one) [X] is not

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

a "financial institution" as defined in MCC Section 2-32-455(b).

"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-32		ecause it or any of its affiliates (as defined in n the meaning of MCC Chapter 2-32, explain
	the word "None," or no response a	ppears on the lines above, it will be
• •	ON REGARDING FINANCIAL II	
Any words or term	s defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.
after reasonable inc		ne best of the Disclosing Party's knowledge e of the City have a financial interest in his or ntity in the Matter?
[] Yes	[x] No	
•	ceked "Yes" to Item D(1), proceed to tems D(2) and D(3) and proceed to	o Items D(2) and D(3). If you checked "No" Part E.
official or employe other person or enti taxes or assessment "City Property Sale	e shall have a financial interest in hity in the purchase of any property is, or (iii) is sold by virtue of legal	dding, or otherwise permitted, no City elected is or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, en pursuant to the City's eminent domain e meaning of this Part D.
Does the Matter inv	volve a City Property Sale?	
[] Yes	[] No	
		nes and business addresses of the City officials by the nature of the financial interest:
Name	Business Address	Nature of Financial Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

E. CERTIFICATION REGARDING SERVERY ENGINEESS
Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profit from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.
2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, th Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.
A. CERTIFICATION REGARDING LOBBYING
1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	Applicant?			
[] Yes	[] No		1	
If "Yes," answer the three of	questions bel	ow:		
 Have you developed an federal regulations? (See 4 Yes 	,		on programs pursuant to applicable	3
<u> </u>	he Equal Em	•	ctor of the Office of Federal Contro ommission all reports due under th	
[]Yes	[] No	[] Reports not required	1	
3. Have you participated i equal opportunity clause?		us contracts or subcontrac	cts subject to the	
[] Yes	[] No			
If you checked "No" to que	stion (1) or (2) above, please provide	an explanation:	
			-	_

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Uptown Theatre Development, LLC
(Print or type exact legal name of Disclosing Party)
By: X
(Sign here)
Jerry Mickelson
(Print or type name of person signing)
Authorized Signatory
(Print or type title of person signing)
· · · · · · · · · · · · · · · · · · ·
Signed and sworn to before me on (date)
at <u>COOK</u> County, ILLINOIS (state).
caryrffousse
Notary Public
Commission expires: 01 04 (2022
•
}
CARYN R BUSSE Official Seal
Notary Public - State of Illinois

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

	• • •	and title of such person, (2) the name of the legal entity to and title of the elected city official or department head to
whom such person	has a familial relationship	, and (4) the precise nature of such familial relationship.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		t to MCC Section 2-92-416?
[] Yes	[x] No	
		ablicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
· · · · · · · · · · · · · · · · · · ·	offlaw or problen	entify below the name of each person or legal entity identified n landlord and the address of each building or buildings to which

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No
[X] $N/A - I$ am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disc		mis DDS. merad	o di o/di il applicasio.
Uptown Theatre Foundation,	Inc.		
Check ONE of the follow	ing three boxes:		
Indicate whether the Disclo 1. [X] the Applicant OR	osing Party submitting th	nis EDS is:	
the contract, transaction or	other undertaking to wheet interest in excess of 7	nich this EDS per 7.5% in the Appli	hin six months after City action on tains (referred to below as the cant. State the Applicant's legal
			ne Applicant (see Section II(B)(1)) s a right of control:
B. Business address of the	Disclosing Party: 20	07 West Goethe	
	<u>Ċ</u> ł	nicago, IL 60610	
C. Telephone: 312-266-626	62 Fax:	E	mail: jerrym@jamusa.com
D. Name of contact person	: Jerry Mickelson		
E. Federal Employer Ident	ification No. (if you hav	re one):	
F. Brief description of the property, if applicable):	Matter to which this ED	S pertains. (Incl	ude project number and location of
Applications for (i) tax increment L, (iii) zoning amendments, and located at 4816 North Broadwa	d (iv) right-of-way vacation	ng, Adopt-a-Landr , in connection wit	nark, and other City assistance, (ii) Class h rehabilitation of the Uptown Theatre
G. Which City agency or d	epartment is requesting	this EDS?Departr Chicago	nent of Planning and Development / Department of Transportation
complete the following:		•	Procurement Services, please
Specification #	an	d Contract #	
			.

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

 Indicate the nature of the Disclosing Pa Person Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership Limited partnership Trust 	[] Limited liability company [] Limited liability partnership [] Joint venture [X] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [X] No [] Other (please specify)
2. For legal entities, the state (or foreign cour	ntry) of incorporation or organization, if applicable:
Illinois	
3. For legal entities not organized in the State business in the State of Illinois as a foreign en	of Illinois: Has the organization registered to do tity?
[] Yes [] No	[x] Organized in Illinois
B. IF THE DISCLOSING PARTY IS A LEG	AL ENTITY:
the entity; (ii) for not-for-profit corporations are no such members, write "no members whice similar entities, the trustee, executor, adminis limited partnerships, limited liability comparts.	oplicable, of: (i) all executive officers and all directors of s, all members, if any, which are legal entities (if there ch are legal entities"); (iii) for trusts, estates or other trator, or similarly situated party; (iv) for general or anies, limited liability partnerships or joint ventures, ager or any other person or legal entity that directly or tof the Applicant.
NOTE: Each legal entity listed below must su	bmit an EDS on its own behalf.
Name Jerry Mickelson	Title Director
Scott Goodman	Director
Patrick O'Connor	Director

No members which are legal entities -

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

Name	Business Address ibit A - Ownership Interests in Uptow	Percentage In	iterest in the	Applicant
	ioit A - Ownership Interests in Optow	Theatre Owner, LLC		
SECTION III OFFICIALS	INCOME OR COMPENSATIO	ON TO, OR OWNERSH	пр ву, сіт	Y ELECTI
	ng Party provided any income or copreceding the date of this EDS?	ompensation to any City of	elected offici	al during the
	ing Party reasonably expect to pro- oring the 12-month period following	•		ny City [X] No
	of the above, please identify below ome or compensation:	the name(s) of such City	elected office	cial(s) and
inquiry, any City	ected official or, to the best of the lelected official's spouse or domesthe Municipal Code of Chicago ("	tic partner, have a financi	ial interest (a	

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Name	Business Address	Percentage Interest in Applicant
Uptown Theatre	207 West Goethe	99% (anticipated direct ownership
Foundation, Inc.	Chicago, IL 60610	interest)
Uptown Theatre	207 West Goethe	1% (anticipated direct ownership
Development, LLC	Chicago, IL 60610	interest)
		,
Farpoint Investments, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Goodman Holdings, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
R. Stilp Holdings, LLC	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
	Wilmette, IL 60091	indirect interest)
		[Interest to be determined]
Griffon Associates, LLC	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
•	Evanston, IL 60201	indirect interest)
		[Interest to be determined]
Helfire, LLC	200 Estate Court	Less than 7.5% Interest (anticipated
	Northbrook IL 60062	indirect interest)
		[Interest to be determined]
Scott Goodman	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Regina Stilp	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Wilmette, IL 60091	indirect interest)
		[Interest to be determined]
Patrick O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
		[Interest to be determined]
Alicia O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
		[Interest to be determined]
Eric Helfand	200 Estate Court	Less than 7.5% Interest (anticipated
(An Individual)	Northbrook IL 60062	indirect interest)
Linkson Like Incompany	207 Most Ocatha	[Interest to be determined]
Uptown HM Investments,	207 West Goethe	Less than 7.5% Interest (anticipated
LLC	Chicago, IL 60610	indirect interest)
Jerry Mickelson	207 West Goethe	[Interest to be determined] Less than 7.5% Interest (anticipated
(An Individual)	Chicago, IL 60610	indirect interest)
(All illusvidual)	Chicago, IL 000 10	[Interest to be determined]
		[mirerest to be determined]

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
			X.
(Add sheets if necessary)			
[X] Check here if the Disc	closing Party	has not retained, nor expects to re	tain, any such persons or entities.
SECTION V CERTIF	TICATION:	S	
A. COURT-ORDERED	CHILD SUI	PPORT COMPLIANCE	
		antial owners of business entities the support obligations throughout the	
	•	ectly owns 10% or more of the Disc tions by any Illinois court of compe	<u> </u>
[]Yes ; []No [x]]	No person d	irectly or indirectly owns 10% or m	ore of the Disclosing Party.
If "Yes," has the person en is the person in compliance		a court-approved agreement for pay agreement?	ment of all support owed and
[] Yes [] No	¥.		
B. FURTHER CERTIFIC	CATIONS		

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party:
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below: None
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). None
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. None
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

1. The Disclosing Party certifies that the Disclosing Party (check one) [] is [X] is not

a "financial institution" as defined in MCC Section 2-32-455(b).

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-32		because it or any of its affiliates (as defined in in the meaning of MCC Chapter 2-32, explain
	the word "None," or no response a med that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.
D. CERTIFICATI	ON REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS
Any words or term	s defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.
after reasonable inc		ne best of the Disclosing Party's knowledge e of the City have a financial interest in his or ntity in the Matter?
[] Yes	[x] No	
	cked "Yes" to Item D(1), proceed tems D(2) and D(3) and proceed to	to Items D(2) and D(3). If you checked "No" o Part E.
official or employe other person or enti taxes or assessment "City Property Sale	e shall have a financial interest in lity in the purchase of any property is, or (iii) is sold by virtue of legal	idding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, en pursuant to the City's eminent domain he meaning of this Part D.
Does the Matter inv	volve a City Property Sale?	
[] Yes	[] No	
		mes and business addresses of the City officials fy the nature of the financial interest:
Name	Business Address	Nature of Financial Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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ed by

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	Applicant?	
[] Yes	[] No	
If "Yes," answer the three of	questions bel	ow:
Have you developed an federal regulations? (See 4		ve on file affirmative action programs pursuant to applicable 60-2.)
<u> </u>	he Equal Em	ting Committee, the Director of the Office of Federal Contract aployment Opportunity Commission all reports due under the
[] Yes	[] No	[] Reports not required
3. Have you participated i equal opportunity clause?	n any previo	us contracts or subcontracts subject to the
[] Yes	[] No	
If you checked "No" to que	stion (1) or (2) above, please provide an explanation:

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SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Uptown Theatre Foundation, Inc.
(Print or type exact legal name of Disclosing Party)
By: (Sign here)
Jerry Mickelson
(Print or type name of person signing)
Director
(Print or type title of person signing)
Signed and sworn to before me on (date) $0i/5/2019$, at $0ook$ County, $1LLIN015$ (state).
Notary Public
Notary Public
Commission expires: $01/04/2022$
CARYN R BUSSE Official Seal Notary Public – State of Illinois My Commission Expires Jan 4. 2022

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes	[X] No	
which such persor	is connected; (3) the name	and title of such person, (2) the name of the legal entity to e and title of the elected city official or department head to , and (4) the precise nature of such familial relationship.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		10, is the Applicant or any Owner identified as a building code to MCC Section 2-92-416?
[] Yes	[x] No	
	• • •	blicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
• ' '	cofflaw or problem	entify below the name of each person or legal entity identified a landlord and the address of each building or buildings to which
		

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No
$\c N/A-I$ am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.
·

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

4,

A. Legal name of the Discle	osing Party submitt	ing this EDS. Inc	clude d/b/a/ if applicable:
Uptown Theatre Owner, LLC			
Check ONE of the following	ng three boxes:		,
the contract, transaction or of "Matter"), a direct or indirect name: OR	ently holding, or a other undertaking to t interest in excess	nticipated to hold which this EDS of 7.5% in the Ap	within six months after City action on pertains (referred to below as the oplicant. State the Applicant's legal
State the legal name of the e			
B. Business address of the I	Disclosing Party:	207 West Goeth	e
ı		Chicago, IL 6061	0
C. Telephone: 312-266-6262	! Fax:	····	Email: jerrym@jamusa.com
D. Name of contact person:	Jerry Mickelson	· · · · · · · · · · · · · · · · · · ·	_
E. Federal Employer Identif	ication No. (if you	have one): _	
F. Brief description of the M property, if applicable):	latter to which this	EDS pertains. (I	nclude project number and location of
	iv) right-of-way vaca		Landmark, and other City assistance, (ii) Class L with rehabilitation of the Uptown Theatre
G. Which City agency or de	partment is request		partment of Planning and Development / cago Department of Transportation
If the Matter is a contract be complete the following:	ing handled by the		at of Procurement Services, please
Specification #		and Contract # _	
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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of	of the Disclosing Part	ry:		
[] Person	_	[X] Limited liability company		
[] Publicly registered busi		[] Limited liability partnership		
[] Privately held business	corporation '	[] Joint venture		
[] Sole proprietorship		[] Not-for-profit corporation		
[] General partnership		(Is the not-for-profit corporation also a 501(c)(3))?		
[] Limited partnership		[] Yes [] No		
[] Trust		[] Other (please specify)		
2. For legal entities, the sta	ate (or foreign countr	ry) of incorporation or organization, if applicable:		
Delaware				
3. For legal entities not org business in the State of Illin	_	of Illinois: Has the organization registered to do ty?		
[X] Yes	[] No	[] Organized in Illinois		
B. IF THE DISCLOSING	PARTY IS A LEGA	L ENTITY:		
1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.				
NOTE: Each legal entity li	sted below must subr	mit an EDS on its own behalf.		
Name	_	Title		
Uptown Theatre Foundation, I	inc.	Anticipated Manager		

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

Name See attached Exhibit A.	Business Address	Percentage Interest in the	e Applicant
SECTION III INCO	OME OR COMPENSATION	N TO, OR OWNERSHIP BY, CI	TY ELECTE
_	y provided any income or conling the date of this EDS?	npensation to any City elected office [] Yes	cial during the [X] No
		de any income or compensation to the date of this EDS? [] Yes	any City [X] No
If "yes" to either of the describe such income o		he name(s) of such City elected of	ficial(s) and
inquiry, any City electe	d official's spouse or domestic	isclosing Party's knowledge after receptations partner, have a financial interest (ICC")) in the Disclosing Party?	
	below the name(s) of such Cithe financial interest(s).	ty elected official(s) and/or spouse	(s)/domestic

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Name	Business Address	Percentage Interest in Applicant
Uptown Theatre	207 West Goethe	99% (anticipated direct ownership
Foundation, Inc.	Chicago, IL 60610	interest)
Uptown Theatre	207 West Goethe	1% (anticipated direct ownership
Development, LLC	Chicago, IL 60610	interest)
Farpoint Investments, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Goodman Holdings, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
R. Stilp Holdings, LLC	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
	Wilmette, IL 60091	indirect interest)
-0.75	0750104	[Interest to be determined]
Griffon Associates, LLC	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated indirect interest)
	Evanston, IL 60201	[Interest to be determined]
Helfire, LLC	200 Estate Court	Less than 7.5% Interest (anticipated
Heilie, LLO	Northbrook IL 60062	indirect interest)
		[Interest to be determined]
Scott Goodman	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Regina Stilp		Less than 7.5% Interest (anticipated
(An Individual)	Wilmette, IL 60091	indirect interest)
		[Interest to be determined]
Patrick O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
Alicia O'Connor	2753 Woodbine Avenue	[Interest to be determined]
(An Individual)	Evanston, IL 60201	Less than 7.5% Interest (anticipated indirect interest)
(All Ilidividual)	Evalision, IE 00201	[Interest to be determined]
Eric Helfand	200 Estate Court	Less than 7.5% Interest (anticipated
(An Individual)	Northbrook IL 60062	indirect interest)
,	_	[Interest to be determined]
Uptown HM Investments,	207 West Goethe	Less than 7.5% Interest (anticipated
LLC	Chicago, IL 60610	indirect interest)
		[Interest to be determined]
Jerry Mickelson	207 West Goethe	Less than 7.5% Interest (anticipated
(An Individual)	Chicago, IL 60610	indirect interest)
:		[Interest to be determined]

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
See attached Exhibit B - So	chedule of Re	etained Parties	
,	· · · · · · · · · · · · · · · · · · ·		
(Add sheets if necessary)			
[] Check here if the Disc	closing Party	y has not retained, nor expects to re	tain, any such persons or entities.
SECTION V CERTII	FICATION	s	
A. COURT-ORDERED	CHILD SUI	PPORT COMPLIANCE	`
		antial owners of business entities the support obligations throughout the	• • • • • • • • • • • • • • • • • • •
· -	•	ectly owns 10% or more of the Disc tions by any Illinois court of compe	•
[]Yes [X]No []]	No person d	irectly or indirectly owns 10% or n	nore of the Disclosing Party.
If "Yes," has the person entire the person in compliance		a court-approved agreement for pay agreement?	ment of all support owed and
[] Yes [] No			

B. FURTHER CERTIFICATIONS

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

Exhibit B Retained Parties

Name	Business Address	Relationship to Disclosing Party	Fees
The Lamar Johnson Collaborative (Retained)	300 North Elizabeth Street Suite 200 Chicago, IL 60607	Architect	\$146,000 (est.)
Schuler Shook Inc. (Retained)	750 North Orleans Street #400 Chicago, IL 60654	Theater Consultant	\$44,000 (est.)
DLA Piper LLP (Retained)	444 West Lake Street Ste. 900 Chicago, IL 60606	Attorney	\$75,000 (est.)
11 Million Acres, LLC (Retained)	1164 W. Madison St., #229 Chicago, IL 60607	PACE Consultant	\$10,000 (est.)
MacRostie Historic Advisors (Retained)	53 West Jackson Blvd. Suite 1142 Chicago, IL 60604	Historic Consultant	\$45,000 (est.)
WJE (Retained)	10 South LaSalle Street Suite 2600 Chicago, IL 60603	Façade Consultant	\$48,000 (est.)
Gremley & Biedermann (Retained)	4505 N. Elston Ave. Chicago, IL 60630	Surveyor	\$6,000 (est.)
Forefront Structural Engineers (Retained)	228 S. Wabash Ave. Chicago, IL 60604	Structural Engineer	\$54,000 (est.)
WMA Consulting Engineers (Retained)	815 S. Wabash Ave. Chicago, IL 60605	MEPFP Engineers	\$65,000 (est.)
Plante Moran (Retained)	10 S. Riverside Plaza Chicago, IL 60606	Tax Counsel	\$18,000 (est.)

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

	1. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further ertifications), the Disclosing Party must explain below:				
	one				
	·				
	the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively resumed that the Disclosing Party certified to the above statements.				
cc m of	22. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").				
of of ma the po	S. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a simplete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed ficial, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything ade generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a solitical contribution otherwise duly reported as required by law (if none, indicate with "N/A" or one"). As to any gift listed below, please also list the name of the City recipient.				
C.	CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION				
1.	The Disclosing Party certifies that the Disclosing Party (check one) [] is [x] is not				
	a "financial institution" as defined in MCC Section 2-32-455(b).				
2.	If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:				
"ν	We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further				

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-32		pecause it or any of its affiliates (as defined in in the meaning of MCC Chapter 2-32, explain
	the word "None," or no response a med that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.
D. CERTIFICATION	ON REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS
Any words or term	s defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.
after reasonable inc		ne best of the Disclosing Party's knowledge e of the City have a financial interest in his or ntity in the Matter?
[] Yes	[x] No	
	cked "Yes" to Item D(1), proceed tems D(2) and D(3) and proceed to	to Items D(2) and D(3). If you checked "No" o Part E.
official or employe other person or enti taxes or assessment "City Property Sale	e shall have a financial interest in laty in the purchase of any property is, or (iii) is sold by virtue of legal	idding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, en pursuant to the City's eminent domain he meaning of this Part D.
Does the Matter inv	volve a City Property Sale?	
[] Yes	[] No	
_		mes and business addresses of the City officials fy the nature of the financial interest:
Name	Business Address	Nature of Financial Interest
		

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

E. CERTIFICATION REGARDING SLAVERT ERA BUSINESS
Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profit from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.
2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.
A. CERTIFICATION REGARDING LOBBYING
1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	Applicant?	
[] Yes	[] No	
If "Yes," answer the three	questions bel	low:
Have you developed at federal regulations? (See [] Yes		ve on file affirmative action programs pursuant to applicable 60-2.)
•	the Equal En	rting Committee, the Director of the Office of Federal Contract apployment Opportunity Commission all reports due under the
[] Yes	[] No	[] Reports not required
3. Have you participated i equal opportunity clause?	in any previo	ous contracts or subcontracts subject to the
[] Yes	[] No	
If you checked "No" to que	estion (1) or ((2) above, please provide an explanation:
<u> </u>		

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Uptown Theatre Owner, LLC
(Print or type exact legal name of Disclosing Party)
By: Jun and I de
(Sign/here)
Jerry Mickelson (Print or type name of person signing)
Authorized Signatory
(Print or type title of person signing)
Signed and sworn to before me on (date) 01 16 2019,
at Cook County, ILLINOIS (state).
at Cook County, ILL/NOIS (state). Carynellouse Notary Public
Notary Public
Commission expires: 01/04/2022

CARYN R BUSSE Official Seal Notary Public – State of Illinois My Commission Expires Jan 4. 2022

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes	[X] No				
which such person	lentify below (1) the name is connected; (3) the name has a familial relationsh	me and title of the	elected city offic	cial or department head	d to
		1			
	··				

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		10, is the Applicant or any Owner identified as a building code to MCC Section 2-92-416?
[] Yes	[x] No	
* *	• • •	blicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
•	cofflaw or problen	entify below the name of each person or legal entity identified a landlord and the address of each building or buildings to which
	······································	

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No
[X] $N/A - I$ am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.
·

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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A. Legal name of the Disclosing Party submitting	ng this EDS. Include d/b/a/ if applicable:
UTA II, LLC	No.
Check ONE of the following three boxes:	
the contract, transaction or other undertaking to was "Matter"), a direct or indirect interest in excess on name: OR	icipated to hold within six months after City action on which this EDS pertains (referred to below as the f 7.5% in the Applicant. State the Applicant's legal right of control of the Applicant (see Section II(B)(1))
	207 West Goethe
	Chicago, IL 60610
C. Telephone: <u>312-266-6262</u> Fax:	Email: jerrym@jamusa.com
D. Name of contact person: Jerry Mickelson	· · · · · · · · · · · · · · · · · · ·
E. Federal Employer Identification No. (if you h	ave one):
F. Brief description of the Matter to which this I property, if applicable):	EDS pertains. (Include project number and location of
(iii) zoning amendments, and (iv) right-of-way vacation located at 4816 North Broadway	ancing, Adopt-a-Landmark, and other City assistance, (ii) Class on, in connection with rehabilitation of the Uptown Theatre Department of Planning and Development / ng this EDS? Chicago Department of Transportation
If the Matter is a contract being handled by the C complete the following:	ity's Department of Procurement Services, please
Specification #	and Contract #

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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

 Indicate the nature of the Disclosing Particle Person Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership Limited partnership Trust 	rty: [X] Limited liability company [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No [] Other (please specify)
2. For legal entities, the state (or foreign coun Delaware	try) of incorporation or organization, if applicable:
Delawale	
3. For legal entities not organized in the State business in the State of Illinois as a foreign ent	of Illinois: Has the organization registered to do ity?
[] Yes [X] No	[] Organized in Illinois
B. IF THE DISCLOSING PARTY IS A LEGA	AL ENTITY:
the entity; (ii) for not-for-profit corporations are no such members, write "no members whice similar entities, the trustee, executor, administ limited partnerships, limited liability compa	plicable, of: (i) all executive officers and all directors of , all members, if any, which are legal entities (if there the are legal entities"); (iii) for trusts, estates or other trator, or similarly situated party; (iv) for general or inies, limited liability partnerships or joint ventures, ger or any other person or legal entity that directly or of the Applicant.
NOTE: Each legal entity listed below must sub	omit an EDS on its own behalf.
Name	Title
Jerry Mickelson	Manager
_Arny Granat	Manager
<u> </u>	

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name Jerry Mickelson	Business Address 207 West Goethe, Chicago, IL 60610	Percentage Interest in the Applicant 50%	
Arny Granat	207 West Goethe, Chicago, IL 60610	50%	
SECTION III I	NCOME OR COMPENSATION TO, O	OR OWNERSHIP BY, CITY ELECTED	
Has the Disclosing	Party provided any income or compensate receding the date of this EDS?	tion to any City elected official during the [] Yes [x] No	
	g Party reasonably expect to provide any ing the 12-month period following the da		
	the above, please identify below the name or compensation:	e(s) of such City elected official(s) and	
inquiry, any City el	ted official or, to the best of the Disclosin lected official's spouse or domestic partne ne Municipal Code of Chicago ("MCC")) [X] No	er, have a financial interest (as defined in	
	ntify below the name(s) of such City electribe the financial interest(s).	ted official(s) and/or spouse(s)/domestic	

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
(Add sheets if necessary)			
`		y has not retained, nor expects to ret	ain, any such persons or entities.
SECTION V CERTII	FICATION	S	r.
A. COURT-ORDERED	CHILD SUI	PPORT COMPLIANCE	N.
	•	antial owners of business entities the support obligations throughout the	•
• •	•	ectly owns 10% or more of the Disc tions by any Illinois court of compe	•
[]Yes [X]No []	No person d	irectly or indirectly owns 10% or m	ore of the Disclosing Party.
If "Yes," has the person e is the person in compliant		a court-approved agreement for pay agreement?	ment of all support owed and
[]Yes []No		:	
B. FURTHER CERTIFIC	CATIONS		
Procurement Services.] I	n the 5-year	the Matter is a contract being handle period preceding the date of this Electron in (5) below has engaged	DS, neither the Disclosing

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

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11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below: None
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). None
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION
 The Disclosing Party certifies that the Disclosing Party (check one) is [x] is not
a "financial institution" as defined in MCC Section 2-32-455(b).
2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-32		because it or any of its affiliates (as defined in in the meaning of MCC Chapter 2-32, explain
	the word "None," or no response a med that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.
D. CERTIFICATI	ON REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS
Any words or term	s defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.
after reasonable inc		he best of the Disclosing Party's knowledge e of the City have a financial interest in his or ntity in the Matter?
[] Yes	[x] No	
•	cked "Yes" to Item D(1), proceed tems D(2) and D(3) and proceed to	to Items D(2) and D(3). If you checked "No" o Part E.
official or employe other person or enti- taxes or assessment "City Property Sale	e shall have a financial interest in larty in the purchase of any property is, or (iii) is sold by virtue of legal	idding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, ten pursuant to the City's eminent domain he meaning of this Part D.
Does the Matter inv	volve a City Property Sale?	
[] Yes	[] No	
		mes and business addresses of the City officials fy the nature of the financial interest:
Name	Business Address	Nature of Financial Interest
_	Party further certifies that no prohy official or employee.	ibited financial interest in the Matter will be

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E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

1. List below the names of all persons or entities registered under the federal Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf Party with respect to the Matter: (Add sheets if necessary): (If no explanation appears or begins on the lines above, or if the letters "NA" or i appear, it will be conclusively presumed that the Disclosing Party means that NO registered under the Lobbying Disclosure Act of 1995, as amended, have made lobehalf of the Disclosing Party with respect to the Matter.)	f the word "None" persons or entities
Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf	f of the Disclosing
	Lobbying
A. CERTIFICATION REGARDING LOBBYING	
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTING. NOTE: If the Matter is federally funded, complete this Section VI. If the Matter federally funded, proceed to Section VII. For purposes of this Section VI, tax of the City and proceeds of debt obligations of the City are not federal funding.	itter is not
2. The Disclosing Party verifies that, as a result of conducting the search in Disclosing Party has found records of investments or profits from slavery or slav policies. The Disclosing Party verifies that the following constitutes full disclosure records, including the names of any and all slaves or slaveholders described in the	eholder insurance ure of all such
the Disclosing Party and any and all predecessor entities regarding records of inversion from slavery or slaveholder insurance policies during the slavery era (including i issued to slaveholders that provided coverage for damage to or injury or death of the Disclosing Party has found no such records.	restments or profits nsurance policies
$\frac{X}{A}$ 1. The Disclosing Party verifies that the Disclosing Party has searched any	

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	Applicant?	
[] Yes	[] No	
If "Yes," answer the three	questions belo	ow:
 Have you developed an federal regulations? (See 4) Yes 	•	re on file affirmative action programs pursuant to applicable 60-2.)
Compliance Programs, or tapplicable filing requireme	the Equal Ements?	ing Committee, the Director of the Office of Federal Contract ployment Opportunity Commission all reports due under the
[] Yes	[] No	[] Reports not required
3. Have you participated i equal opportunity clause?	n any previou	us contracts or subcontracts subject to the
[] Yes	[] No	
If you checked "No" to que	estion (1) or (2	2) above, please provide an explanation:
<u> </u>		

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SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

UTA II. LLC
(Print or type exact legal name of Disclosing Party)
By: July
(Sign here)
Jerry Micketson
(Print or type name of person signing)
• •
Manager
(Print or type title of person signing)
· · · · · · · · · · · · · · · · · · ·
Signed and sworn to before me on (date) $O(\sqrt{22/30/9})$
at <u>COOK</u> County, <u>ILLINOIS</u> (state).
carinchune
Notary Public
Commission expires: 01 /04/2022

CARYN R BUSSE Official Seal Notary Public – State of Illinois My Commission Expires Jan 4, 2022

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes	[X] No	
which such person	is connected; (3) the nam	ne and title of such person, (2) the name of the legal entity to me and title of the elected city official or department head to ip, and (4) the precise nature of such familial relationship.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		to MCC Section 2-92-416?
[] Yes	[x] No	
	• • •	blicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
	offlaw or problen	entify below the name of each person or legal entity identified a landlord and the address of each building or buildings to which

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No ·
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosi	ing Party submitting th	is EDS. Inc	lude d/b/a/ if applicable:
Uptown HM Investments, LLC			
Check ONE of the following	three boxes:		
Indicate whether the Disclosin 1. [] the Applicant OR	g Party submitting this	s EDS is:	
2. [X] a legal entity currer the contract, transaction or oth	ner undertaking to which interest in excess of 7.5	ch this EDS p 5% in the Ap	within six months after City action on pertains (referred to below as the plicant. State the Applicant's legal
			f the Applicant (see Section II(B)(1)) olds a right of control:
B. Business address of the Dis	sclosing Party: 207	West Goethe	
	<u>Chic</u>	ago, IL 60610)
C. Telephone: <u>312-266-6262</u>	Fax:		Email: _jerrym@jamusa.com
D. Name of contact person:	erry Mickelson		-
E. Federal Employer Identific	ation No. (if you have	one):	
F. Brief description of the Ma property, if applicable):	tter to which this EDS	pertains. (In	nclude project number and location of
	(iv) right-of-way vacatior	n, in connection	andmark, and other City assistance, (ii) Class on with rehabilitation of the Uptown Theatre
•			partment of Planning and Development / cago Department of Transportation
If the Matter is a contract being complete the following:	g handled by the City's	Department	of Procurement Services, please
Specification #	and	Contract # _	
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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [] Person [X] Limited liability company [] Limited liability partnership [] Publicly registered business corporation [] Privately held business corporation [] Joint venture [] Sole proprietorship [] Not-for-profit corporation [] General partnership (Is the not-for-profit corporation also a 501(c)(3))? [] Limited partnership [] Yes [] No [] Other (please specify) [] Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? [] Yes []No [x] Organized in Illinois B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. **NOTE**: Each legal entity listed below must submit an EDS on its own behalf. Title Name

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

Manager

Jerry Mickelson

NOTE: Each legal entity	listed below may be require	ed to submit an EDS on	its own beha	lf.
Name See attached Exhibit A.	Business Address	Percentage Ir	nterest in the	Applicant
SECTION III INCO OFFICIALS	ME OR COMPENSATION	N TO, OR OWNERSH	IIP BY, CIT	Y ELECTEI
Has the Disclosing Party 12-month period precedi	provided any income or conng the date of this EDS?	npensation to any City	elected official	al during the [X] No
	y reasonably expect to provi e 12-month period following	-		ny City [X] No
If "yes" to either of the aldescribe such income or	bove, please identify below t compensation:	he name(s) of such Cit	y elected offic	cial(s) and
inquiry, any City elected Chapter 2-156 of the Mu [] Yes	ficial or, to the best of the Dofficial's spouse or domestic nicipal Code of Chicago ("Monicipal No [X] No below the name(s) of such Cine financial interest(s).	c partner, have a finance (ICC")) in the Disclosing	ial interest (as g Party?	s defined in

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

state "None."

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Name	Business Address	Percentage Interest in Applicant
Uptown Theatre	207 West Goethe	99% (anticipated direct ownership
Foundation, Inc.	Chicago, IL 60610	interest)
Uptown Theatre	207 West Goethe	1% (anticipated direct ownership
Development, LLC	Chicago, IL 60610	interest)
Farpoint Investments, LLC	120 N. Racine Avenue Suite 200	Less than 7.5% Interest (anticipated indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Goodman Holdings, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200 Chicago, IL 60607	indirect interest) [Interest to be determined]
R. Stilp Holdings, LLC	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
	Wilmette, IL 60091	indirect interest)
Griffon Associates, LLC	2753 Woodbine Avenue	[Interest to be determined] Less than 7.5% Interest (anticipated
Gillon Associates, LLC	Evanston, IL 60201	indirect interest)
		[Interest to be determined]
Helfire, LLC	200 Estate Court	Less than 7.5% Interest (anticipated
	Northbrook IL 60062	indirect interest)
		[Interest to be determined]
Scott Goodman	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Regina Stilp	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Wilmette, IL 60091	indirect interest)
	0770 14/	[Interest to be determined]
Patrick O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest) [Interest to be determined]
Alicia O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
,	·	[Interest to be determined]
Eric Helfand	200 Estate Court	Less than 7.5% Interest (anticipated
(An Individual)	Northbrook IL 60062	indirect interest)
11.4	(007)4/	[Interest to be determined]
Uptown HM Investments,	207 West Goethe	Less than 7.5% Interest (anticipated
LLC	Chicago, IL 60610	indirect interest) [Interest to be determined]
Jerry Mickelson	207 West Goethe	Less than 7.5% Interest (anticipated
(An Individual)	Chicago, IL 60610	indirect interest)
,,		[Interest to be determined]

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
		1711 70	
(Add sheets if necessary)			
[X] Check here if the Disc	closing Party	has not retained, nor expects to ret	ain, any such persons or entities.
SECTION V CERTIF	FICATION	S	
A. COURT-ORDERED	CHILD SUI	PPORT COMPLIANCE	
	•	antial owners of business entities that support obligations throughout the	_
	•	ectly owns 10% or more of the Disc tions by any Illinois court of compe	
[]Yes [X]No []1	No person d	irectly or indirectly owns 10% or m	ore of the Disclosing Party.
If "Yes," has the person er is the person in compliance		agreement?	ment of all support owed and
[] Yes [] No			
B. FURTHER CERTIFIC	CATIONS		
Procurement Services.] In	n the 5-year	he Matter is a contract being handle period preceding the date of this El efinition in (5) below] has engaged,	OS, neither the Disclosing

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below: None	<u> </u>
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusive presumed that the Disclosing Party certified to the above statements.	– ∍ly
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the C of Chicago (if none, indicate with "N/A" or "none"). None	ity
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appoint official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anythin made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.	ed g
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION	- -

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

The Disclosing Party certifies that the Disclosing Party (check one)
 is [x] is not

- a "financial institution" as defined in MCC Section 2-32-455(b).
- 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-32		ecause it or any of its affiliates (as defined in n the meaning of MCC Chapter 2-32, explain
	" the word "None," or no response a med that the Disclosing Party certif	ppears on the lines above, it will be led to the above statements.
D. CERTIFICAT	ION REGARDING FINANCIAL II	NTEREST IN CITY BUSINESS
Any words or term	ns defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.
after reasonable in		he best of the Disclosing Party's knowledge to of the City have a financial interest in his or ntity in the Matter?
[] Yes	[X] No	
	ecked "Yes" to Item D(1), proceed to Items D(2) and D(3) and proceed to	o Items D(2) and D(3). If you checked "No" Part E.
official or employed other person or ent taxes or assessment "City Property Sal	ee shall have a financial interest in he tity in the purchase of any property ats, or (iii) is sold by virtue of legal	dding, or otherwise permitted, no City elected is or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, en pursuant to the City's eminent domain e meaning of this Part D.
Does the Matter in	volve a City Property Sale?	
[] Yes	[] No	
=	· -	nes and business addresses of the City officials fy the nature of the financial interest:
Name	Business Address	Nature of Financial Interest
		,
4 Th D' 1	D. 4 C41	1.14 . 1.69

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party th	e Applicant?	
[] Yes	[] No	
If "Yes," answer the three	questions be	elow:
Have you developed a federal regulations? (See [] Yes		ave on file affirmative action programs pursuant to applicable t 60-2.)
Compliance Programs, or applicable filing requirem	r the Equal En nents?	orting Committee, the Director of the Office of Federal Contract imployment Opportunity Commission all reports due under the
[] Yes	[] No	[] Reports not required
3. Have you participated equal opportunity clause?	~ -	ous contracts or subcontracts subject to the
[] Yes	[] No	
If you checked "No" to qu	uestion (1) or	(2) above, please provide an explanation:

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SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Uptown HM Investments LLC
(Print or type exact legal name of Disclosing Party)
By:
(Sign here)
Jerry Mickelson
(Print or type name of person signing)
Manager
(Print or type title of person signing)
Signed and sworn to before me on (date) $\frac{01/22/2019}{}$,
at <u>COOK</u> County, <u>ILLINUIS</u> (state).
Notary Public
Notary Public
•
) /
Commission expires: $01/04/302$
NA
CADANA
CARYN R BUSSE Official Seal
Notary Public State of Illinois
My Commission Expires Jan 4, 2022

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes	[X] No	
which such person	is connected; (3) the nan	ne and title of such person, (2) the name of the legal entity to me and title of the elected city official or department head to ip, and (4) the precise nature of such familial relationship.

× . ; 7 •

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		•	is the Applicant or any Owner identified as a building code MCC Section 2-92-416?
	[] Yes	[x] No	
the			cly traded on any exchange, is any officer or director of de scofflaw or problem landlord pursuant to MCC Section
	[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
as a	• • • • • • • • • • • • • • • • • • • •	or problem la	tify below the name of each person or legal entity identified andlord and the address of each building or buildings to which

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclo	sing Party submittinį	g this EDS. Include d/b/a/ if applicable:
Helfire, LLC		
Check ONE of the followin	g three boxes:	
the contract, transaction or of "Matter"), a direct or indirect name: Uptown Theatre Owne OR 3. [] a legal entity with	ently holding, or anti- ther undertaking to we interest in excess of or, LLC a direct or indirect r	cipated to hold within six months after City action on which this EDS pertains (referred to below as the 7.5% in the Applicant. State the Applicant's legal eight of control of the Applicant (see Section II(B)(1)) sclosing Party holds a right of control:
	<i>y</i>	
B. Business address of the D	isclosing Party: 2	00 Estate Court
	<u> </u>	lorthbrook IL 60062
C. Telephone: <u>312-971-0585</u>	Fax:	Email: ehelfand@farpointdev.com
D. Name of contact person:	Eric Helfand	·
E. Federal Employer Identifi	cation No. (if you ha	
property, if applicable): Applications for (i) tax incremer L, (iii) zoning amendments, and located at 4816 North Broadwa G. Which City agency or dep	nt financing, PACE fina I (iv) right-of-way vaca y partment is requesting	DS pertains. (Include project number and location of ancing, Adopt-a-Landmark, and other City assistance, (ii) Class tion, in connection with rehabilitation of the Uptown Theatre Department of Planning and Development / g this EDS? Chicago Department of Transportation ty's Department of Procurement Services, please
Specification #	a	nd Contract #
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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [] Person [X] Limited liability company [] Publicly registered business corporation [] Limited liability partnership Privately held business corporation [] Joint venture [] Not-for-profit corporation [] Sole proprietorship [] General partnership (Is the not-for-profit corporation also a 501(c)(3))? [] Limited partnership [] Yes []No [] Other (please specify) [] Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? [] Yes [x] Organized in Illinois [] No B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. **NOTE**: Each legal entity listed below must submit an EDS on its own behalf. Name Title Eric Helfand Manager

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

Name See attached Ex	Business Address hibit A - Schedule of Ownership Interes	Percentage Interest in the sts in Uptown Theatre Owner, LLC	e Applicant
SECTION III - OFFICIALS	INCOME OR COMPENSATIO	N TO, OR OWNERSHIP BY, CI	TY ELECTEI
	ing Party provided any income or cond preceding the date of this EDS?	mpensation to any City elected offi [] Yes	cial during the [X] No
	sing Party reasonably expect to prov during the 12-month period following	<u> </u>	any City [X] No
•	of the above, please identify below come or compensation:	the name(s) of such City elected of	ficial(s) and
inquiry, any City Chapter 2-156 o [] Yes If "yes," please	lected official or, to the best of the D y elected official's spouse or domesti of the Municipal Code of Chicago ("N [X] No identify below the name(s) of such C escribe the financial interest(s).	ic partner, have a financial interest (MCC")) in the Disclosing Party?	(as defined in

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

state "None."

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Name	Business Address	Percentage Interest in Applicant
Uptown Theatre Foundation, Inc.	207 West Goethe Chicago, IL 60610	99% (anticipated direct ownership interest)
Lintarum Thoptro	207 West Coaths	40/ /anticipated disease companying
Uptown Theatre Development, LLC	207 West Goethe Chicago, IL 60610	1% (anticipated direct ownership interest)
Farpoint Investments, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200 Chicago, IL 60607	indirect interest) [Interest to be determined]
Goodman Holdings, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200 Chicago, IL 60607	indirect interest) [Interest to be determined]
R. Stilp Holdings, LLC	930 Greenwood Avenue Wilmette, IL 60091	Less than 7.5% Interest (anticipated indirect interest)
		[Interest to be determined]
Griffon Associates, LLC	2753 Woodbine Avenue Evanston, IL 60201	Less than 7.5% Interest (anticipated indirect interest)
		[Interest to be determined]
Helfire, LLC	200 Estate Court Northbrook IL 60062	Less than 7.5% Interest (anticipated indirect interest)
		[Interest to be determined]
Scott Goodman	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Suite 200 Chicago, IL 60607	indirect interest) [Interest to be determined]
Regina Stilp	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Wilmette, IL 60091	indirect interest) [Interest to be determined]
Patrick O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
Aliaia OlConnos	2752 Mandhina Avenue	[Interest to be determined]
Alicia O'Connor (An Indivídual)	2753 Woodbine Avenue Evanston, IL 60201	Less than 7.5% Interest (anticipated indirect interest)
(a. mairidad)		[Interest to be determined]
Eric Helfand	200 Estate Court	Less than 7.5% Interest (anticipated
(An Individual)	Northbrook IL 60062	indirect interest) [Interest to be determined]
Uptown HM Investments,	207 West Goethe	Less than 7.5% Interest (anticipated
LLC	Chicago, IL 60610	indirect interest)
		[Interest to be determined]
Jerry Mickelson	207 West Goethe	Less than 7.5% Interest (anticipated
(An Individual)	Chicago, IL 60610	indirect interest)
		[Interest to be determined]

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
(Add sheets if necessary)	<u> </u>		
[x] Check here if the Disc	closing Party	y has not retained, nor expects to re	tain, any such persons or entities.
SECTION V CERTII	FICATION	S	
A. COURT-ORDERED	CHILD SUI	PPORT COMPLIANCE	•
		antial owners of business entities the support obligations throughout the	——————————————————————————————————————
• 1	•	ectly owns 10% or more of the Disc tions by any Illinois court of compe	
[] Yes [X] No []	No person d	irectly or indirectly owns 10% or m	nore of the Disclosing Party.
If "Yes," has the person e is the person in compliance		a court-approved agreement for pay agreement?	ment of all support owed and
[] Yes [] No			
B. FURTHER CERTIFIC	CATIONS		
Procurement Services.] I	n the 5-year	he Matter is a contract being handle period preceding the date of this E	DS, neither the Disclosing

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party:
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

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11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below: None
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). None
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. None
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION
 The Disclosing Party certifies that the Disclosing Party (check one) is [x] is not
a "financial institution" as defined in MCC Section 2-32-455(b).
2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:
"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-3		because it or any of its affiliates (as defined in in the meaning of MCC Chapter 2-32, explain
	"," the word "None," or no response umed that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.
D. CERTIFICAT	TON REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS
Any words or terr	ns defined in MCC Chapter 2-156 h	have the same meanings if used in this Part D.
after reasonable in		he best of the Disclosing Party's knowledge se of the City have a financial interest in his or entity in the Matter?
[] Yes	[x] No	
	necked "Yes" to Item D(1), proceed Items D(2) and D(3) and proceed t	to Items D(2) and D(3). If you checked "No" o Part E.
official or employ other person or en taxes or assessment "City Property Sa	ree shall have a financial interest in tity in the purchase of any property onts, or (iii) is sold by virtue of legal	bidding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, ten pursuant to the City's eminent domain the meaning of this Part D.
Does the Matter in	nvolve a City Property Sale?	
[] Yes	[] No	
		mes and business addresses of the City official fy the nature of the financial interest:
Name	Business Address	Nature of Financial Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X_1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.
2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.
A. CERTIFICATION REGARDING LOBBYING
1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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behalf of the Disclosing Party with respect to the Matter.)

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	e Applicant?	
[] Yes	[] No	•
If "Yes," answer the three	questions be	low:
 Have you developed a federal regulations? (See Yes 	=	ve on file affirmative action programs pursuant to applicable 60-2.)
Compliance Programs, or applicable filing requirem	the Equal Enents?	rting Committee, the Director of the Office of Federal Contract inployment Opportunity Commission all reports due under the [] Reports not required
	in any previo	ous contracts or subcontracts subject to the
If you checked "No" to qu	estion (1) or	(2) above, please provide an explanation:

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SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Helfire, LLC
(Print or type exact legal name of Disclosing Party)
By: Ear Hell
(Sign here)
Eric Helfand
(Print or type name of person signing)
Manager
(Print or type title of person signing)
11
Signed and sworn to before me on (date) $\bigcirc 1/8/2019$,
at Cove County, Thinks (state).
no la rée Welder
Notary Public

Official Seal Melanie Webber Notary Public State of Illinois My Commission Expires 04/17/2022

Commission expires: 04/17/2022

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes	[x] No		•		
which such person	is connected; (3) the	e name and title of	f the elected city of	the name of the legal official or departmen f such familial relatio	t head to
	\				

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		t to MCC Section 2-92-416?
[] Yes	[x] No	,
		ablicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
• ' '	scofflaw or problen	lentify below the name of each person or legal entity identified in landlord and the address of each building or buildings to which
		,

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclo	osing Party submitting the	is EDS. Include d/b/a/ if applicable:
Griffon Associates, LLC		
Check ONE of the following	ig three boxes:	
"Matter"), a direct or indirect name: Uptown Theatre Owner OR 3. [] a legal entity with	rently holding, or anticipa other undertaking to which the interest in excess of 7.5 er, LLC	ted to hold within six months after City action on h this EDS pertains (referred to below as the % in the Applicant. State the Applicant's legal of control of the Applicant (see Section II(B)(1)) sing Party holds a right of control:
B. Business address of the I	· -	Woodbine Ave. ston, IL 60201
C. Telephone: <u>312-971-0579</u>	Fax:	Email: poconnor@farpointdev.com
D. Name of contact person:	Patrick O'Connor	
E. Federal Employer Identif	ication No. (if you have	one):
property, if applicable): Applications for (i) tax increme L, (iii) zoning amendments, an located at 4816 North Broadwa G. Which City agency or de	nt financing, PACE financind (iv) right-of-way vacation ay partment is requesting the	pertains. (Include project number and location of ng, Adopt-a-Landmark, and other City assistance, (ii) Class in connection with rehabilitation of the Uptown Theatre Department of Planning and Development / is EDS? Chicago Department of Transportation
If the Matter is a contract being complete the following:	ing handled by the City's	Department of Procurement Services, please
Specification #	and (Contract #
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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [] Person [X] Limited liability company [] Publicly registered business corporation [] Limited liability partnership Privately held business corporation [] Joint venture [] Sole proprietorship [] Not-for-profit corporation [] General partnership (Is the not-for-profit corporation also a 501(c)(3))? [] Limited partnership [] Yes []No [] Trust [] Other (please specify) 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? [] Yes [] No [x] Organized in Illinois B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: 1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. NOTE: Each legal entity listed below must submit an EDS on its own behalf. Name Title Patrick O'Connor Manager Alicia O'Connor Manager

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

ity listed below may be require	ed to submit an EDS on	its own beha	alf.
ame Business Address Percentage Interest in the ee attached Exhibit A - Schedule of Ownership Interests in Uptown Theatre Owner, LLC			
		,	
OME OR COMPENSATION	N TO, OR OWNERSH	ПР ВŸ, CIT	Y ELECTEI
	npensation to any City of	elected offici	al during the [X] No
• • • • •	• •		ny City [X] No
· · · · · · · · · · · · · · · · · · ·	he name(s) of such City	v elected offic	cial(s) and
ed official's spouse or domestic funicipal Code of Chicago ("M [X] No y below the name(s) of such Ci	e partner, have a financi ICC")) in the Disclosing	ial interest (as g Party?	s defined in
	Business Address - Schedule of Ownership Interest OME OR COMPENSATION Ty provided any income or conteding the date of this EDS? arty reasonably expect to provide the 12-month period following the above, please identify below to compensation: official or, to the best of the Died official's spouse or domestic funicipal Code of Chicago ("Manicipal Code of Chicago	Business Address Percentage In Schedule of Ownership Interests in Uptown Theatre Ownership Interests in Upto	OME OR COMPENSATION TO, OR OWNERSHIP BY, CIT rty provided any income or compensation to any City elected officient elected of this EDS? [] Yes arty reasonably expect to provide any income or compensation to a the 12-month period following the date of this EDS? [] Yes reabove, please identify below the name(s) of such City elected officior compensation: official or, to the best of the Disclosing Party's knowledge after read official's spouse or domestic partner, have a financial interest (a funicipal Code of Chicago ("MCC")) in the Disclosing Party? [X] No y below the name(s) of such City elected official(s) and/or spouse(s)

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Name	Business Address	Percentage Interest in Applicant
Uptown Theatre	207 West Goethe	99% (anticipated direct ownership
Foundation, Inc.	Chicago, IL 60610	interest)
Uptown Theatre	207 West Goethe	1% (anticipated direct ownership
Development, LLC	Chicago, IL 60610	interest)
Farpoint Investments, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200 Chicago, IL 60607	indirect interest) [Interest to be determined]
Goodman Holdings, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200 Chicago, IL 60607	indirect interest) [Interest to be determined]
R. Stilp Holdings, LLC	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
•	Wilmette, IL 60091	indirect interest)
Griffon Associates, LLC	2753 Woodbine Avenue	[Interest to be determined] Less than 7.5% Interest (anticipated
Officer Addoduted, EEG	Evanston, IL 60201	indirect interest)
	·	[Interest to be determined]
Helfire, LLC	200 Estate Court	Less than 7.5% Interest (anticipated
	Northbrook IL 60062	indirect interest)
		[Interest to be determined]
Scott Goodman	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Regina Stilp	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Wilmette, IL 60091	indirect interest)
		[Interest to be determined]
Patrick O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest) [Interest to be determined]
Alicia O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
(// .		[Interest to be determined]
Eric Helfand	200 Estate Court	Less than 7.5% Interest (anticipated
(An Individual)	Northbrook IL 60062	indirect interest)
		[Interest to be determined]
Uptown HM Investments,	207 West Goethe	Less than 7.5% Interest (anticipated
LLC	Chicago, IL 60610	indirect interest)
Jorny Mickelson	207 West Goethe	[Interest to be determined]
Jerry Mickelson (An Individual)	Chicago, IL 60610	Less than 7.5% Interest (anticipated indirect interest)
(All Illuividual)	5.110ago, 12 000 10	[Interest to be determined]
		Improperson agreement

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
			· · ·
(Add sheets if necessary)			
[X] Check here if the Disc	closing Part	y has not retained, nor expects to re-	tain, any such persons or entities.
SECTION V CERTIF	EICATION	S	
A. COURT-ORDERED	CHILD SU	PPORT COMPLIANCE	
	,	antial owners of business entities the support obligations throughout the	•
	-	ectly owns 10% or more of the Disc tions by any Illinois court of compe	
[]Yes [X]No []]	No person d	lirectly or indirectly owns 10% or m	nore of the Disclosing Party.
If "Yes," has the person en is the person in compliance		a court-approved agreement for pay agreement?	ment of all support owed and
[] Yes	1 -		
B. FURTHER CERTIFIC	CATIONS		
Procurement Services.] In Party nor any Affiliated E performance of any public inspector general, or integ	n the 5-year entity [see dec contract, the crity compli	the Matter is a contract being handle period preceding the date of this Elefinition in (5) below] has engaged, the services of an integrity monitor, ance consultant (i.e., an individual of designated by a public agency to hele	DS, neither the Disclosing in connection with the independent private sector or entity with legal, auditing,

- investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:
None
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). None
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. None
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION
 The Disclosing Party certifies that the Disclosing Party (check one) is [x] is not
a "financial institution" as defined in MCC Section 2-32-455(b).
2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:
"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

) is a predatory lender wit	because it or any of its affiliates (as defined in hin the meaning of MCC Chapter 2-32, explain
		,
	•	appears on the lines above, it will be tified to the above statements.
D. CERTIFICATION RE	GARDING FINANCIAL	INTEREST IN CITY BUSINESS
Any words or terms define	ed in MCC Chapter 2-156	have the same meanings if used in this Part D.
	oes any official or employ	the best of the Disclosing Party's knowledge ree of the City have a financial interest in his or entity in the Matter?
[] Yes	[x] No	t
NOTE: If you checked "" to Item D(1), skip Items D		to Items D(2) and D(3). If you checked "No" to Part E.
official or employee shall other person or entity in the taxes or assessments, or (i "City Property Sale"). Co	have a financial interest in e purchase of any propert ii) is sold by virtue of lega mpensation for property ta	bidding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for I process at the suit of the City (collectively, ken pursuant to the City's eminent domain the meaning of this Part D.
Does the Matter involve a	City Property Sale?	
[] Yes	[] No	
		ames and business addresses of the City officials tify the nature of the financial interest:
Name	Business Address	Nature of Financial Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.
2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.
A. CERTIFICATION REGARDING LOBBYING
1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on

behalf of the Disclosing Party with respect to the Matter.)

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	Applicant?
[] Yes	[] No
If "Yes," answer the three	questions below:
 Have you developed an federal regulations? (See 4 Yes 	·
Compliance Programs, or tapplicable filing requirement	
[] ies	[] No [] Reports not required
3. Have you participated i equal opportunity clause?	n any previous contracts or subcontracts subject to the
[] Yes	[] No
If you checked "No" to que	stion (1) or (2) above, please provide an explanation:

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SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

۲	Griffon Associates, LLC
	(Print or type exact legal name of Disclosing Party)
	By: (Sign here)
	Patrick O'Conor (Print or type name of person signing)
	Manager
	(Print or type title of person signing)
	Signed and sworn to before me on (date) <u>Ol/21/2019</u> ,
	at Coox County, Tllinus (state).
(molani Webber
	Notary Public
	Commission expires: 04/17/2000
	Official Seal Melanie Webber Notary Public State of Illinois My Commission Expires 04/17/2022

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes	K J No		
which such person	is connected; (3) the name and title	of such person, (2) the name of the legal energy of the elected city official or department he the precise nature of such familial relations	ead to

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		to MCC Section 2-92-416?
[] Yes	[x] No	
* *	~ .	olicly traded on any exchange, is any officer or director of ode scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
• '	scofflaw or problem	entify below the name of each person or legal entity identified landlord and the address of each building or buildings to which

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.
· · · · · · · · · · · · · · · · · · ·
·

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

R. Stilp Holdings, LLC Check ONE of the following three boxes: Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR 2. k] a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: Uptown Theatre Owner, LLC OR 3. [] a legal entity with a direct or indirect right of control of the Applicant (see Section II(B)(1)) State the legal name of the entity in which the Disclosing Party holds a right of control: B. Business address of the Disclosing Party: 930 Greenwood Ave. Wilmette, IL 60091 C. Telephone: 312-971-0543 Fax: Email: rstilp@farpointdev.com D. Name of contact person: Regina Stilp
Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR 2. [k] a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: Uptown Theatre Owner, LLC OR 3. [] a legal entity with a direct or indirect right of control of the Applicant (see Section II(B)(1)) State the legal name of the entity in which the Disclosing Party holds a right of control: B. Business address of the Disclosing Party: 930 Greenwood Ave. Wilmette, IL 60091 C. Telephone: 312-971-0543 Fax: Email: rstilp@farpointdev.com
1. [] the Applicant OR 2. k] a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: Uptown Theatre Owner, LLC OR 3. [] a legal entity with a direct or indirect right of control of the Applicant (see Section II(B)(1)) State the legal name of the entity in which the Disclosing Party holds a right of control: B. Business address of the Disclosing Party: 930 Greenwood Ave. Wilmette, IL 60091 C. Telephone: 312-971-0543 Fax: Email: rstilp@farpointdev.com
C. Telephone: 312-971-0543 Fax: Email: rstilp@farpointdev.com
C. Telephone: 312-971-0543 Fax: Email: rstilp@farpointdev.com
D. Name of contact person: Regina Stilp
E. Federal Employer Identification No. (if you have one):
F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable): Applications for (i) tax increment financing, PACE financing, Adopt-a-Landmark, and other City assistance, (ii) Class L, (iii) zoning amendments, and (iv) right-of-way vacation, in connection with rehabilitation of the Uptown Theatre located at 4816 North Broadway Department of Planning and Development / G. Which City agency or department is requesting this EDS? Chicago Department of Transportation If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification # and Contract # Ver.2018-1 Page 1 of 15

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [] Person [X] Limited liability company [] Publicly registered business corporation [] Limited liability partnership Privately held business corporation [] Joint venture [] Sole proprietorship [] Not-for-profit corporation [] General partnership (Is the not-for-profit corporation also a 501(c)(3))? [] Limited partnership []Yes []No [] Other (please specify) [] Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? [] Yes []No [x] Organized in Illinois B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: 1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. **NOTE**: Each legal entity listed below must submit an EDS on its own behalf. Name Title Regina Stilp Manager

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

state "None."				
NOTE: Each le	egal entity listed below may be requ	uired to submit an EDS on	its own beha	lf.
Name See attached Ex	Business Address chibit A - Schedule of Ownership Inter	Percentage In rests in Uptown Theatre Own		Applicant
SECTION III OFFICIALS	INCOME OR COMPENSATI	ON TO, OR OWNERSH	IIP BY, CIT	Y ELECTED
	sing Party provided any income or or depreceding the date of this EDS?	compensation to any City of	elected officia	al during the [X] No
	osing Party reasonably expect to produring the 12-month period follow	•		ny City [X] No
	er of the above, please identify beloncome or compensation:	w the name(s) of such City	v elected offic	cial(s) and
inquiry, any Cit Chapter 2-156 c [] Yes If "yes," please	elected official or, to the best of the ty elected official's spouse or dome of the Municipal Code of Chicago ([X] No identify below the name(s) of such lescribe the financial interest(s).	estic partner, have a financi ("MCC")) in the Disclosing	al interest (as g Party?	defined in

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Uptown Theatre Foundation, Inc. Uptown Theatre Development, LLC Farpoint Investments, LLC Goodman Holdings, LLC 120 N. Racine Avenue Chicago, IL 60607 Chicago, IL 60607 Goodman Holdings, LLC 120 N. Racine Avenue Suite 200 Chicago, IL 60607 Goodman Holdings, LLC 120 N. Racine Avenue Suite 200 Chicago, IL 60607 Less than 7.5% Interest (anticipa indirect interest)
Uptown Theatre Development, LLC Chicago, IL 60610 Farpoint Investments, LLC 120 N. Racine Avenue Suite 200 Chicago, IL 60607 Goodman Holdings, LLC 120 N. Racine Avenue Suite 200 Less than 7.5% Interest (anticipa indirect interest to be determined by the suite 200 indirect interest to be determined by the suite 200 indirect interest (anticipa indirect interest 200 indirect 200 indire
Development, LLC Chicago, IL 60610 interest Farpoint Investments, LLC 120 N. Racine Avenue Suite 200 indirect interest Chicago, IL 60607 [Interest to be determined Suite 200 Suite 200 indirect interest to be determined Suite 200 Suite 200 indirect interest (anticipal Suite 200 indirect int
Development, LLC Chicago, IL 60610 interest Farpoint Investments, LLC 120 N. Racine Avenue Suite 200 indirect interest to be determin Goodman Holdings, LLC 120 N. Racine Avenue Suite 200 Less than 7.5% Interest to be determin Less than 7.5% Interest (anticipa indirect interest interest conditions)
Suite 200 indirect interest Chicago, IL 60607 [Interest to be determing Goodman Holdings, LLC 120 N. Racine Avenue Suite 200 Less than 7.5% Interest (anticipation indirect interest).
Suite 200 indirect interest Chicago, IL 60607 [Interest to be determing Goodman Holdings, LLC 120 N. Racine Avenue Less than 7.5% Interest (anticipa Suite 200 indirect interest)
Goodman Holdings, LLC 120 N. Racine Avenue Suite 200 [Interest to be determing to be determined
Goodman Holdings, LLC 120 N. Racine Avenue Less than 7.5% Interest (anticipa suite 200 indirect interest)
Suite 200 indirect interes
Chicago, IL 60607 [Interest to be determin
R. Stilp Holdings, LLC 930 Greenwood Avenue Less than 7.5% Interest (anticipa
Wilmette, IL 60091 indirect interes
[Interest to be determin
Griffon Associates, LLC 2753 Woodbine Avenue Less than 7.5% Interest (anticipa
Evanston, IL 60201 indirect interes
[Interest to be determin
Helfire, LLC 200 Estate Court Less than 7.5% Interest (anticipa
Northbrook IL 60062 indirect intere
[Interest to be determine
Scott Goodman 120 N. Racine Avenue Less than 7.5% Interest (anticipal
(An Individual) Suite 200 indirect interes
Chicago, IL 60607 [Interest to be determined
Regina Stilp 930 Greenwood Avenue Less than 7.5% Interest (anticipat
(An Individual) Wilmette, IL 60091 indirect intere
[Interest to be determine
Patrick O'Connor 2753 Woodbine Avenue Less than 7.5% Interest (anticipat
(An Individual) Evanston, IL 60201 indirect intere
[Interest to be determine
Alicia O'Connor 2753 Woodbine Avenue Less than 7.5% Interest (anticipat
(An Individual) Evanston, IL 60201 indirect intere
Eric Helfand 200 Estate Court Less than 7.5% Interest (anticipat
(An Individual) Northbrook IL 60062 indirect interest
[Interest to be determine
Uptown HM Investments, 207 West Goethe Less than 7.5% Interest (anticipat
LLC Chicago, IL 60610 indirect intere
[Interest to be determine
Jerry Mickelson 207 West Goethe Less than 7.5% Interest (anticipat
(An Individual) Chicago, IL 60610 indirect intere
[Interest to be determine

~		•	
Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
(
(Add sheets if necessary)	1		
[x] Check here if the Disc	closing Part	y has not retained, nor expects to re-	tain, any such persons or entities.
SECTION V CERTII	FICATION	S .	
A. COURT-ORDERED	CHILD SU	PPORT COMPLIANCE	
	•	antial owners of business entities the support obligations throughout the	
• •	•	ectly owns 10% or more of the Disc tions by any Illinois court of compe	-
[]Yes [X]No []	No person d	lirectly or indirectly owns 10% or m	ore of the Disclosing Party.
If "Yes," has the person e is the person in compliance		a court-approved agreement for pay agreement?	ment of all support owed and
[] Yes [] No		•	
B. FURTHER CERTIFIC	CATIONS		
Procurement Services.] I Party nor any Affiliated E performance of any publi	n the 5-year Entity [see december of the contract, the contract contract, the contract	the Matter is a contract being handle period preceding the date of this Elefinition in (5) below] has engaged, the services of an integrity monitor, ance consultant (i.e., an individual of	DS, neither the Disclosing in connection with the independent private sector

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they

can be considered for agency contracts in the future, or continue with a contract in progress).

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

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C	1. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further ertifications), the Disclosing Party must explain below:
_	
	the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively esumed that the Disclosing Party certified to the above statements.
co mo	2. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a simplete list of all current employees of the Disclosing Party who were, at any time during the 12-onth period preceding the date of this EDS, an employee, or elected or appointed official, of the City Chicago (if none, indicate with "N/A" or "none").
the off matthe po	To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a simplete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed ficial, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything add generally available to City employees or to the general public, or (ii) food or drink provided in a course of official City business and having a retail value of less than \$25 per recipient, or (iii) a colitical contribution otherwise duly reported as required by law (if none, indicate with "N/A" or one"). As to any gift listed below, please also list the name of the City recipient.
	CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION
	The Disclosing Party certifies that the Disclosing Party (check one) [] is [X] is not
	a "financial institution" as defined in MCC Section 2-32-455(b).
2.	If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

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"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-32		because it or any of its affiliates (as defined in in the meaning of MCC Chapter 2-32, explain
	" the word "None," or no response a med that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.
D. CERTIFICATI	ION REGARDING FINANCIAĹ I	NTEREST IN CITY BUSINESS
Any words or term	ns defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.
after reasonable in		he best of the Disclosing Party's knowledge e of the City have a financial interest in his or ntity in the Matter?
[] Yes	[X] No	,
	ecked "Yes" to Item D(1), proceed Items D(2) and D(3) and proceed to	to Items D(2) and D(3). If you checked "No" o Part E.
official or employed other person or ent taxes or assessment "City Property Sale	ee shall have a financial interest in latity in the purchase of any property its, or (iii) is sold by virtue of legal	idding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, ten pursuant to the City's eminent domain he meaning of this Part D.
Does the Matter in	volve a City Property Sale?	
[] Yes	[] No	
•	, , , . -	mes and business addresses of the City officials fy the nature of the financial interest:
Name	Business Address	Nature of Financial Interest
-	g Party further certifies that no proh ty official or employee.	ibited financial interest in the Matter will be

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E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X_1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.
2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
SECTION VI CERTIFICATIONS FOR FEDERALLI FUNDED MATTERS
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.
A. CERTIFICATION REGARDING LOBBYING
1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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behalf of the Disclosing Party with respect to the Matter.)

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	Applicant?	
[] Yes	[] No	
If "Yes," answer the three	questions belov	v:
Have you developed ar federal regulations? (See 4 [] Yes		on file affirmative action programs pursuant to applicable 9-2.)
•	he Equal Empl	ng Committee, the Director of the Office of Federal Contract loyment Opportunity Commission all reports due under the
[] Yes	[] No	[] Reports not required
equal opportunity clause?		contracts or subcontracts subject to the
[] Yes	[] No	
If you checked "No" to que	estion (1) or (2)	above, please provide an explanation:

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SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

R. Stilp Holdings, LLC
(Print or type exact legal name of Disclosing Party)
By: (Sign tere)
Regina Stilp
(Print or type name of person signing)
Manager
(Print or type title of person signing)
Signed and sworn to before me on (date) 01/18/2019,
at Cox County, Illinois (state).
melanei Webber
Notary Public
Commission expires: 04/17/2022

Official Seal
Metania Webber
Notary Public State of Illinois
My Commission Expires 04/17/2022

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes	[X] No	
which such person	is connected; (3) the name ar	nd title of such person, (2) the name of the legal entity and title of the elected city official or department head the the precise nature of such familial relationship.
		· · · · · · · · · · · · · · · · · · ·

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		10, is the Applicant or any Owner identified as a building code to MCC Section 2-92-416?
[] Yes	[x] No	•
		ablicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
• • • • • • • • • • • • • • • • • • • •	cofflaw or problem	lentify below the name of each person or legal entity identified in landlord and the address of each building or buildings to which

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes	
[] No	
[X] $N/A - I$ am not an Applicant that is a "contractor" as de	efined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by Me	CC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.	
	`

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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A. Legal name of the Disclosing Part	ty submitting this EDS. In	clude d/b/a	a/ if applicable:
Goodman Holdings, LLC			in the second
Check ONE of the following three	boxes:		
Indicate whether the Disclosing Party 1. [] the Applicant OR 2. [x] a legal entity currently hol the contract, transaction or other unde "Matter"), a direct or indirect interest name: Uptown Theatre Owner, LLC	ding, or anticipated to hole ertaking to which this EDS	s pertains (1	referred to below as the
OR 3. [] a legal entity with a direct State the legal name of the entity in w			
B. Business address of the Disclosing	g Party: 120 N. Racine A	Ave., Suite 2	200
	Chicago, IL 606	607	
C. Telephone: <u>312-778-6202</u>	Fax:	Email: _	jdavidson@farpointdev.com
D. Name of contact person: Jeff Davi	idson	_	
E. Federal Employer Identification N	Io. (if you have one):	–	
F. Brief description of the Matter to property, if applicable):	which this EDS pertains. ((Include pr	oject number and location of
Applications for (i) tax increment financin L, (iii) zoning amendments, and (iv) right located at 4816 North Broadway	t-of-way vacation, in connec	tion with ref	
G. Which City agency or department			
If the Matter is a contract being handl complete the following:	ed by the City's Departme	nt of Procu	rement Services, please
Specification #	and Contract #		

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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Par	rty:
[] Person	[X] Limited liability company
[] Publicly registered business corporation	[] Limited liability partnership
[] Privately held business corporation	[] Joint venture
[] Sole proprietorship	[] Not-for-profit corporation
[] General partnership [] Limited partnership	(Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No
Trust	[] Other (please specify)
[] Hust	[] Other (picase speedly)
2. For legal entities, the state (or foreign coun	try) of incorporation or organization, if applicable:
Illinois	
3. For legal entities not organized in the State business in the State of Illinois as a foreign ent	of Illinois: Has the organization registered to do ity?
[] Yes [] No	⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨
B. IF THE DISCLOSING PARTY IS A LEGA	AL ENTITY:
the entity; (ii) for not-for-profit corporations are no such members, write "no members whic similar entities, the trustee, executor, administ limited partnerships, limited liability compa	plicable, of: (i) all executive officers and all directors of s, all members, if any, which are legal entities (if there ch are legal entities"); (iii) for trusts, estates or other trator, or similarly situated party; (iv) for general or inies, limited liability partnerships or joint ventures, ger or any other person or legal entity that directly or of the Applicant.
NOTE: Each legal entity listed below must sub	omit an EDS on its own behalf.
NOTE. Each legal chirty listed below must sur	
Name	Title
.,,	Title Manager

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

state "None."				
NOTE: Each legal	entity listed below may be required	l to submit an EDS on	ı its own beha	ılf.
Name See attached Exhibi	Business Address it A - Schedule of Ownership Interests	•	nterest in the ner, LLC	Applicant
SECTION III II OFFICIALS	NCOME OR COMPENSATION	TO, OR OWNERSE	HIP BY, CIT	Y ELECTEI
_	Party provided any income or compreceding the date of this EDS?	pensation to any City	elected offici	al during the [X] No
	g Party reasonably expect to providing the 12-month period following t	•		ny City [X] No
•	the above, please identify below the or compensation:	e name(s) of such City	y elected offic	cial(s) and
inquiry, any City el	ted official or, to the best of the Dis lected official's spouse or domestic ne Municipal Code of Chicago ("MC [X] No	partner, have a financ	ial interest (a	
• • •	ntify below the name(s) of such Cityribe the financial interest(s).	y elected official(s) an	ıd/or spouse(s	s)/domestic
			``	

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Name	Business Address	Percentage Interest in Applicant
Uptown Theatre Foundation, Inc.	207 West Goethe Chicago, IL 60610	99% (anticipated direct ownership interest)
Uptown Theatre Development, LLC	207 West Goethe Chicago, IL 60610	1% (anticipated direct ownership interest)
Farpoint Investments, LLC	120 N. Racine Avenue Suite 200 Chicago, IL 60607	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Goodman Holdings, LLC	120 N. Racine Avenue Suite 200 Chicago, IL 60607	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
R. Stilp Holdings, LLC	930 Greenwood Avenue Wilmette, IL 60091	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Griffon Associates, LLC	2753 Woodbine Avenue Evanston, IL 60201	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Helfire, LLC	200 Estate Court Northbrook IL 60062	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Scott Goodman (An Individual)	120 N. Racine Avenue Suite 200 Chicago, IL 60607	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Regina Stilp (An Individual)	930 Greenwood Avenue Wilmette, IL 60091	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Patrick O'Connor (An Individual)	2753 Woodbine Avenue Evanston, IL 60201	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Alicia O'Connor (An Individual)	2753 Woodbine Avenue Evanston, IL 60201	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Eric Helfand (An Individual)	200 Estate Court Northbrook IL 60062	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
,Uptown HM Investments, LLC	207 West Goethe Chicago, IL 60610	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]
Jerry Mickelson (An Individual)	207 West Goethe Chicago, IL 60610	Less than 7.5% Interest (anticipated indirect interest) [Interest to be determined]

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.			
:			· · · · · · · · · · · · · · · · · · ·			
(Add sheets if necessary)						
[X] Check here if the Disc	losing Party	has not retained, nor expects to ret	ain, any such persons or entities.			
SECTION V CERTIFICATIONS						
A. COURT-ORDERED CHILD SUPPORT COMPLIANCE						
Under MCC Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.						
		ctly owns 10% or more of the Disc tions by any Illinois court of compe				
[]Yes [X]No []]	No person di	rectly or indirectly owns 10% or m	ore of the Disclosing Party.			
If "Yes," has the person en is the person in compliance		court-approved agreement for payagreement?	ment of all support owed and			
[]Yes []No			ş.			
B. FURTHER CERTIFIC	CATIONS					
Procurement Services.] In Party nor any Affiliated E performance of any public	n the 5-year intity [see decontract, the	he Matter is a contract being handle period preceding the date of this El efinition in (5) below] has engaged, he services of an integrity monitor, in ance consultant (i.e., an individual of	DS, neither the Disclosing in connection with the independent private sector			

- investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility-listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

C	11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below: None				
	the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively esumed that the Disclosing Party certified to the above statements				
12 co mo	presumed that the Disclosing Party certified to the above statements. 12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). None				
the of the po	To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a emplete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed ficial, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything ade generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a contribution otherwise duly reported as required by law (if none, indicate with "N/A" or one"). As to any gift listed below, please also list the name of the City recipient.				
C.	CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION				
1.	The Disclosing Party certifies that the Disclosing Party (check one) [] is [x] is not				
	a "financial institution" as defined in MCC Section 2-32-455(b).				
2.	If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:				
"V	We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further				

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in MCC Section 2-32-455(b)) is a predatory lender within the meaning of MCC Chapter 2-32, explain here (attach additional pages if necessary):			
	" the word "None," or no response a med that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.	
D. CERTIFICAT	ION REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS	
Any words or term	ns defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.	
after reasonable in		ne best of the Disclosing Party's knowledge e of the City have a financial interest in his or ntity in the Matter?	
[] Yes	[x] No		
_	ecked "Yes" to Item D(1), proceed Items D(2) and D(3) and proceed to	to Items D(2) and D(3). If you checked "No" o Part E.	
official or employed other person or ent taxes or assessment "City Property Sal	ee shall have a financial interest in latity in the purchase of any property its, or (iii) is sold by virtue of legal	idding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, en pursuant to the City's eminent domain he meaning of this Part D.	
Does the Matter in	volve a City Property Sale?		
[] Yes	[] No		
		nes and business addresses of the City officials fy the nature of the financial interest:	
Name	Business Address	Nature of Financial Interest	
-	g Party further certifies that no proh ty official or employee.	ibited financial interest in the Matter will be	

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E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of
the Disclosing Party and any and all predecessor entities regarding records of investments or profits
from slavery or slaveholder insurance policies during the slavery era (including insurance policies
issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and
the Disclosing Party has found no such records.

2. The Disclosing	Party verifies that, as a res	sult of conducting the s	earch in step (1) above, the
Disclosing Party has fo	ound records of investments	s or profits from slavery	or slaveholder insurance
policies. The Disclosin	ng Party verifies that the fol	llowing constitutes full	disclosure of all such
records, including the r	names of any and all slaves	or slaveholders describ	ed in those records:
	1		

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

behalf of the Disclosing Party with respect to the Matter.)

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosin Party with respect to the Matter: (Add sheets if necessary):		
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None"		
appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entitie		

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	Applicant?	•
[]Yes	[] No	
If "Yes," answer the three	questions bel	low:
Have you developed ar federal regulations? (See 4) [] Yes	•	ve on file affirmative action programs pursuant to applicable 60-2.)
•	the Equal Em	ting Committee, the Director of the Office of Federal Contract apployment Opportunity Commission all reports due under the
[] Yes		[] Reports not required
3. Have you participated i equal opportunity clause?[] Yes	in any previou	us contracts or subcontracts subject to the
If you checked "No" to que	estion (1) or ((2) above, please provide an explanation:
	· · · · · · · · · · · · · · · · · · ·	· · · · · · · · · · · · · · · · · · ·

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SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Goodman Holdings, LLC
(Print or type exact legal name of Disclosing Party)
By: (Sign bere)
Scott Goodman
(Print or type name of person signing)
Manager (Print or type title of person signing)
Signed and sworn to before me on (date) 01/18/2019
at Cook County, Illinois (state).
Molanie Webber Notary Public

Official Seal
Melanie Webber
Nutary Public State of Illinois
My Commission Expires 04/17/2022

Commission expires: 04/17/2023

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

onnected; (3) the name and tit	le of the elected city official or department he	ad to
	•	,
С	connected; (3) the name and tit	tify below (1) the name and title of such person, (2) the name of the legal enteronnected; (3) the name and title of the elected city official or department here is a familial relationship, and (4) the precise nature of such familial relationship.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		t to MCC Section 2-92-416?
[] Yes	[x] No	
	_ ,	ablicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
	offlaw or problen	entify below the name of each person or legal entity identified n landlord and the address of each building or buildings to which

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:			
Farpoint Investments, LLC			
Check ONE of the following thre	ee boxes:		
Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR 2. [X] a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: Uptown Theatre Owner, LLC			
OR 3. [] a legal entity with a direct or indirect right of control of the Applicant (see Section II(B)(1)) State the legal name of the entity in which the Disclosing Party holds a right of control:			
B. Business address of the Disclosing Party: 120 North Racine, Suite 200			
	Chicago, IL 60	0607	
C. Telephone: (312) 778-6202	Fax:	Email: jdavidson@farpointdev.com	
D. Name of contact person:Jeff	Davidson	·	
E. Federal Employer Identification	n No. (if you have one):		
F. Brief description of the Matter property, if applicable):	to which this EDS pertains.	(Include project number and location of	
		t-a-Landmark, and other City assistance, (ii) Class ation with rehabilitation of the Uptown Theatre	
-	ent is requesting this EDS?	Department of Planning and Development / Chicago Department of Transportation	
If the Matter is a contract being has complete the following:		nent of Procurement Services, please	
Specification #	and Contract	#	
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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature [] Person [] Publicly registered bus [] Privately held business [] Sole proprietorship [] General partnership [] Limited partnership [] Trust 2. For legal entities, the st	iness corporation corporation	[X] Limited liability company [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No [] Other (please specify) atry) of incorporation or organization, if applicable:
	· · · · · · · · · · · · · · · · · · ·	
For legal entities not or business in the State of Illi		of Illinois: Has the organization registered to do tity?
[] Yes	[] No	[x] Organized in Illinois
B. IF THE DISCLOSING	PARTY IS A LEG	AL ENTITY:
the entity; (ii) for not-for- are no such members, write similar entities, the trustee limited partnerships, limi	profit corporations c "no members whice, executor, administed liability compa ging member, mana	plicable, of: (i) all executive officers and all directors of s, all members, if any, which are legal entities (if there ch are legal entities"); (iii) for trusts, estates or other trator, or similarly situated party; (iv) for general or mies, limited liability partnerships or joint ventures, ager or any other person or legal entity that directly or to of the Applicant.
NOTE: Each legal entity li	sted below must sul	bmit an EDS on its own behalf.
Name Scott Goodman		Title Manager
Regina Stilp		Manager
Patrick O'Connor		Manager

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

Manager

NOTE: Each los	al antitu listad balass mas ba mansin	ed to submit on EDS on its our hol	half
NOTE: Each leg	al entity listed below may be require	ed to submit an EDS on its own bei	nair.
Name See attached Exh	Business Address ibit A.	Percentage Interest in the	e Applicant
· · · · · · · · · · · · · · · · · · ·			
SECTION III OFFICIALS	INCOME OR COMPENSATION	N TO, OR OWNERSHIP BY, CI	TY ELECTE
	g Party provided any income or cor preceding the date of this EDS?	mpensation to any City elected office [] Yes	cial during the [X] No
	ng Party reasonably expect to provi	-	any City [X] No
	of the above, please identify below tome or compensation:	the name(s) of such City elected of	ficial(s) and
	· · · · · · · · · · · · · · · · · · ·		
inquiry, any City	ected official or, to the best of the De elected official's spouse or domestic the Municipal Code of Chicago ("M [X] No	c partner, have a financial interest (
	entify below the name(s) of such Ci cribe the financial interest(s).	ty elected official(s) and/or spouse	(s)/domestic

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Exhibit A Schedule of Ownership Interests in Uptown Theatre Owner, LLC

Name	Business Address	Percentage Interest in Applicant
Uptown Theatre	207 West Goethe	99% (anticipated direct ownership
Foundation, Inc.	Chicago, IL 60610	interest)
Uptown Theatre	207 West Goethe	1% (anticipated direct ownership
Development, LLC	Chicago, IL 60610	interest)
Farpoint Investments, LLC	120 N. Racine Avenue Suite 200	Less than 7.5% Interest (anticipated indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Goodman Holdings, LLC	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
R. Stilp Holdings, LLC	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
	Wilmette, IL 60091	indirect interest)
		[Interest to be determined]
Griffon Associates, LLC	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
	Evanston, IL 60201	indirect interest)
Helfire, LLC	200 Estate Court	[Interest to be determined] Less than 7.5% Interest (anticipated
Heilie, LLC	Northbrook IL 60062	indirect interest)
	NOTHIDIOUR IE 00002	[Interest to be determined]
Scott Goodman	120 N. Racine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Suite 200	indirect interest)
	Chicago, IL 60607	[Interest to be determined]
Regina Stilp	930 Greenwood Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Wilmette, IL 60091	indirect interest)
		[Interest to be determined]
Patrick O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest)
-11: 010	0750.14	[Interest to be determined]
Alicia O'Connor	2753 Woodbine Avenue	Less than 7.5% Interest (anticipated
(An Individual)	Evanston, IL 60201	indirect interest) [Interest to be determined]
Eric Helfand	200 Estate Court	Less than 7.5% Interest (anticipated
(An Individual)	Northbrook IL 60062	indirect interest)
([Interest to be determined]
Uptown HM Investments,	207 West Goethe	Less than 7.5% Interest (anticipated
LĹC	Chicago, IL 60610	indirect interest)
	_ ·	[Interest to be determined]
Jerry Mickelson	207 West Goethe	Less than 7.5% Interest (anticipated
(An İndividual)	Chicago, IL 60610	indirect interest)
		[Interest to be determined]

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
(Add sheets if necessary)			1
[X] Check here if the Disc	closing Part	y has not retained, nor expects to re-	tain, any such persons or entities.
SECTION V CERTII	FICATION	S	
A. COURT-ORDERED	CHILD SU	PPORT COMPLIANCE	
		antial owners of business entities the support obligations throughout the	_
	•	ectly owns 10% or more of the Disc tions by any Illinois court of compe	
[]Yes [X]No []I	No person d	irectly or indirectly owns 10% or m	ore of the Disclosing Party.
If "Yes," has the person en is the person in compliance		a court-approved agreement for pay agreement?	ment of all support owed and
[] Yes			
B. FURTHER CERTIFIC	CATIONS		
Procurement Services.] In Party nor any Affiliated E performance of any public inspector general, or integ investigative, or other sim	n the 5-year ntity [see decontract, the crity complication of the contract, the complication of the complication of the complication of the contract of the co	the Matter is a contract being handled period preceding the date of this Electrication in (5) below] has engaged, the services of an integrity monitor, ance consultant (i.e., an individual of designated by a public agency to help as well as help the vendors reform the	DS, neither the Disclosing in connection with the independent private sector or entity with legal, auditing, p the agency monitor the

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

can be considered for agency contracts in the future, or continue with a contract in progress).

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default, and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such Ver.2018-1

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11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Fu Certifications), the Disclosing Party must explain below: None	irther
If the letters "NA," the word "None," or no response appears on the lines above, it will be conc presumed that the Disclosing Party certified to the above statements.	lusively
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the month period preceding the date of this EDS, an employee, or elected or appointed official, of of Chicago (if none, indicate with "N/A" or "none"). None	
	·
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time of the 12-month period preceding the execution date of this EDS, to an employee, or elected or ap official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) any made generally available to City employees or to the general public, or (ii) food or drink provide the course of official City business and having a retail value of less than \$25 per recipient, or (i political contribution otherwise duly reported as required by law (if none, indicate with "N/A" of "none"). As to any gift listed below, please also list the name of the City recipient. None	pointed ything led in ii) a
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITÚTION	
 The Disclosing Party certifies that the Disclosing Party (check one) is [X] is not 	·
a "financial institution" as defined in MCC Section 2-32-455(b).	
2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:	
"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We furth	ıer

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

	5(b)) is a predatory lender with	because it or any of its affiliates (as defined in nin the meaning of MCC Chapter 2-32, explain
	word "None," or no response that the Disclosing Party cert	appears on the lines above, it will be ified to the above statements.
D. CERTIFICATION	REGARDING FINANCIAL	INTEREST IN CITY BUSINESS
Any words or terms de	efined in MCC Chapter 2-156 l	nave the same meanings if used in this Part D.
after reasonable inquir		the best of the Disclosing Party's knowledge see of the City have a financial interest in his or entity in the Matter?
[] Yes	[x] No	
	d "Yes" to Item D(1), proceed is D(2) and D(3) and proceed t	to Items D(2) and D(3). If you checked "No" o Part E.
official or employee shother person or entity it axes or assessments, o "City Property Sale").	nall have a financial interest in in the purchase of any property or (iii) is sold by virtue of legal	bidding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, ken pursuant to the City's eminent domain he meaning of this Part D.
Does the Matter involv	e a City Property Sale?	
[] Yes	[] No	
		mes and business addresses of the City officials ify the nature of the financial interest:
Name	Business Address	Nature of Financial Interest
4. The Disclosing Par	· ·	nibited financial interest in the Matter will be

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E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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2. OZMINION I BOMBINO DENVERT ENGLEDOM (EDO
Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.
2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.
A. CERTIFICATION REGARDING LOBBYING
1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)
2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

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of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party t	he Applicant?	
[] Yes	[] No	
If "Yes," answer the three	e questions bel	low:
Have you developed federal regulations? (Se [] Yes		ve on file affirmative action programs pursuant to applicable 60-2.)
-	or the Equal Emments?	rting Committee, the Director of the Office of Federal Contract inployment Opportunity Commission all reports due under the
Have you participate equal opportunity clause [] Yes		ous contracts or subcontracts subject to the
If you checked "No" to c	uestion (1) or ((2) above, please provide an explanation:

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SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Farpoint Investments, LLC
(Print or type exact legal name of Disclosing Party)
Scot (Sign here) Scot (Print or type name of person signing)
(1 thit of type name of person signing)
Manager
(Print or type title of person signing)
Signed and sworn to before me on (date) January 16.2019,
at Cook County, Illinois (state).
m. o lanci Webber
Notary Public
•
Commission expires: 04/17/2002
Official Seal Melanie Webber Notary Public State of Illinois My Commission Expires 04/17/2022

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes	[x] No	
which such person	is connected; (3) the nan	ne and title of such person, (2) the name of the legal entity to ne and title of the elected city official or department head to ip, and (4) the precise nature of such familial relationship.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

		10, is the Applicant or any Owner identified as a building code to MCC Section 2-92-416?
[] Yes	[x] No	•
		ablicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[] Yes	[] No	[X] The Applicant is not publicly traded on any exchange.
• ' '	cofflaw or problen	entify below the name of each person or legal entity identified n landlord and the address of each building or buildings to which
·		<u> </u>

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (<u>www.amlegal.com</u>), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[] Yes
[] No
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.