

# Office of the Chicago City Clerk



O2012-579

# Office of the City Clerk

# City Council Document Tracking Sheet

**Meeting Date:** 

1/18/2012

Sponsor(s):

Burke, Edward M. (14)

Type:

Ordinance

Title:

Amendment of Loan Agreement with Borinquen Bella L.P.

Committee(s) Assignment:

Committee on Finance



# CHICAGO January 18, 2012

# To the President and Members of the City Council:

**4**.

# Your Committee on Finance having had under consideration

An ordinance authorizing the Department of Housing and Economic Development to enter into and execute an Amended Loan Agreement with Borinquen Bella L.P.

Amount of Loan not to exceed: \$3,900,000

Alderman Burke abstains from voting pursuant to Rule 14.

Respectfully submitted

Chairman



# DEPARTMENT OF HOUSING AND ECONOMIC DEVELOPMENT CITY OF CHICAGO

January 12, 2012

# TO THE HONORABLE CHAIRMAN, EDWARD M. BURKE AND MEMBERS OF THE COMMITTEE ON FINANCE OF THE CITY COUNCIL

### Ladies and Gentlemen:

I transmit herewith an ordinance amending a previously approved redevelopment agreement with Borinquen Bella LP. This amendment will allow the City to add BMO Harris Bank as the senior lender for the Borinquen Bella affordable housing development.

Your favorable consideration of this ordinance will be appreciated.

Very truly yours

Andrew J. Mooney Commissioner

### **AMENDATORY ORDINANCE**

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

WHEREAS, the City Council of the City adopted an ordinance on November 2, 2011 (the "Original Ordinance") which was published in the Journal of the Proceedings of the City Council of the City for such date at pages 9656-9662 thereof, authorizing, among other things, the City to provide certain financing to Borinquen Bella Limited Partnership, an Illinois limited partnership, in connection with the rehabilitation of certain Property (as defined in the Original Ordinance); and

WHEREAS, the Original Ordinance inadvertently omitted mention of certain senior lender financing which is anticipated to be provided in connection with the Project (as defined in the Original Ordinance); now, therefore,

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

**Section 1.** <u>Incorporation of Recitals.</u> The recitals contained in the preambles to this Amendatory Ordinance are hereby incorporated into this Amendatory Ordinance by this reference.

**Section 2.** Amendment. The Original Ordinance is hereby amended by adding certain language by underline to Exhibit A, as follows:

#### **"EXHIBIT A**

BORROWER: Borinquen Bella Limited Partnership, an Illinois limited partnership, of which Borinquen Bella Development Corporation, an Illinois corporation, is the sole general partner, and which, in turn, is owned by Latin United Community Housing Association, an Illinois not-for-profit corporation, and others to be hereafter selected as the limited partners

PROJECT: Rehabilitation of four buildings located at 1414 North Washtenaw, 1318 N. Rockwell (aka 2601 W. Evergreen), 1456 N. Rockwell and 1451 N. Washtenaw, in Chicago, Illinois (the "Property") and of approximately 47 dwelling units contained therein as one-, two-, and three-bedroom units for low- and moderate-income families

LOAN Source: Multi-Family Program Funds

Amount: Not to exceed \$3,900,000

Term: Not to exceed 32 years, or another term acceptable

to the Authorized Officer

Interest: Zero percent per annum, or another interest rate

acceptable to the Authorized Officer

Security:

Non-recourse loan; a mortgage on the Property (the "City Mortgage"); and/or such other security acceptable to the Authorized Officer

To be derived from the syndication of approximately \$850,000 in LIHTC allocation

ADDITIONAL	<u>1.</u>	Amount:	Not to exceed \$5,000,000 (the "Bridge	
			<u>Loan")</u>	
FINANCING:		Term:	Not to exceed 36 months, or another term	
			acceptable to the Authorized Officer	
		Source:	BMO Harris Bank, or another entity	
			acceptable to the Authorized Officer	
		Interest:	Prime rate plus 1.00% per annum, or	
			another interest rate or rates acceptable to	
			the Authorized Officer	
		Security:	A mortgage that is senior to the City	
			Mortgage, and/or such other security	
			acceptable to the Authorized Officer	
	<u>2.</u> 4.	Amount:	Not to exceed \$560,685	
	<u>=-</u> ···	Term:	Not to exceed 32 years	
	•	Source:	Illinois Housing Development Authority, or	
			another entity acceptable to the Authorized	
			Officer	
		Interest:	A fixed rate of 5.3 percent per annum, or	
			another interest rate or rates acceptable to	
			the Authorized Officer	
		Security:	A mortgage that is junior to the City	
		-	Mortgage, and/or such other security	
		•	acceptable to the Authorized Officer	
	32	Low-Income Housing Tay Credit ("LIHTC")		
	<u> </u>	Low-income floasing fax credit ( Liffic )		
		Proceeds:	Approximately \$7,334,766, all or a portion of	
			which may be paid in on a delayed basis	
			and all or a portion of which may be used to	
1			such term is defined above)	
	<u>3.2.</u>		Housing Tax Credit ("LIHTC")  Approximately \$7,334,766, all or a portion of which may be paid in on a delayed basis and all or a portion of which may be used to retire all or a portion of the Bridge Loan (as	

Section 3. <u>Remainder Unamended.</u> Except as amended hereby, the Original Ordinance remains in full force and effect

by the City"

Source:

Section 4. <u>Inconsistent Provisions; Separability</u>. To the extent that any ordinance, resolution, rule, order or provision of the Municipal Code, or part thereof, is in conflict with the provisions of this Amendatory Ordinance, the provisions of this Amendatory Ordinance

shall control. If any section, paragraph, clause or provision of this Amendatory Ordinance shall be held invalid, the invalidity of such section, paragraph, clause or provision shall not affect any of the other provisions of this Amendatory Ordinance.

**Section 5.** Effective Date. This Amendatory Ordinance shall be effective as of the date of its passage and approval.

# 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:
Boringven Bella Limited Partnership
Check ONE of the following three boxes:
Indicate whether the Disclosing Party submitting this EDS is:  1. M the Applicant  OR
2. [] a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest:  OR
3. [] a legal entity with a right of control (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: 3541 H. Novth Ave.  Chicago, L. 60047
C. Telephone: 773-276-5338Fax: 773-176-5358 Email: jbrivera @ lucha.org
D. Name of contact person: Juan B. Rivera
E. Federal Employer Identification No. (if you have one):
F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):
Rehabilitation of Boiningues Bella; 1318 N. Rockwell, 1456 N. Reclavell 1451 N. Hachteraw, 1414 N. Hashteraw  G. Which City agency or department is requesting this EDS? Dept. of Housing and Economic Davels present  If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification # and Contract #

# SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY	Y
<ol> <li>Indicate the nature of the Disclosing Pa</li> <li>Person</li> <li>Publicly registered business corporation</li> <li>Privately held business corporation</li> <li>Sole proprietorship</li> <li>General partnership</li> <li>Limited partnership</li> <li>Trust</li> </ol>	[] 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)
Minois	country) of incorporation or organization, if applicable:
business in the State of Illinois as a foreign en	state of Illinois: Has the organization registered to do tity?
[] Yes [] No	X N/A
B. IF THE DISCLOSING PARTY IS A LEG	AL ENTITY:
NOTE: For not-for-profit corporations, also little are no such members, write "no member the legal titleholder(s).  If the entity is a general partnership, limited partnership or joint venture, list below the name	all executive officers and all directors of the entity. ist below all members, if any, which are legal entities. If is." For trusts, estates or other similar entities, list below if partnership, limited liability company, limited liability are and title of each general partner, managing member, itrols the day-to-day management of the Disclosing Party abmit an EDS on its own behalf.
Name Borunguren Bella Development	Carporation General Partner

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. 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: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in th	e
		Disclosing Party	Ne
Latin United C	community Housing Assoc.	3541 H. North Ale.	<del>***99.99</del> %
	1 7	Chicago, 11 60647	
* His autic	pated that at closur	g, NEF Draiginmen	+ Componation
("NEFAC")	as homined i will aca	11 99. 99. 49% in	Livest Theireal
MEFAC WILL	assian its interest in in another investment for USINESS RELATIONSHIPS WI	the Applicant to a	low-income
SECTION HI - B	USINESS RELATIONSHIPS WI	TH CITY ELECTED OFFIC	IALS Inc. Jan affili.
Has the Disclosi	ng Party had a "business relationship	o." as defined in Chapter 2-156	of the Municipal
	elected official in the 12 months be		
[]Yes	₩ ио		
If yes, please identi relationship(s):	fy below the name(s) of such City e	lected official(s) and describe so	uch

# SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, 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 payroli.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

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.
See attached			not an acceptable response.
(Add sheets if necessary)			
[] Check here if the Disc	losing Party h	as not retained, nor expects to retain	, any such persons or entities
SECTION V CERTIF	TICATIONS		
A. COURT-ORDERED	CHILD SUPP	PORT COMPLIANCE	
<del>_</del>		-415, substantial owners of business th their child support obligations thre	
<del>-</del> -	<u>-</u>	tly owns 10% or more of the Disclos ons by any Illinois court of competer	
[] Yes [] N	<i>-</i>	o person directly or indirectly owns sclosing Party.	10% or more of the
If "Yes," has the person e is the person in compliance		court-approved agreement for paymers	ent of all support owed and
[]Yes []N	o		
B. FURTHER CERTIFIC	CATIONS		
1 Durguent to Munic	inal Cada Ch	onton 1 22 Article I ("Article I")/wh	iah tha Annliaant shauld

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person 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 Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

- 2. 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, within a five-year period preceding 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 clause B.2.b. of this Section V;
  - d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
  - e. have not, within a five-year period preceding 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.
  - 3. The certifications in subparts 3, 4 and 5 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 five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five 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 a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosing Party, 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.
- 5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. 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:					

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.
8. 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 execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").
9. 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 \$20 per recipient (if none, indicate with "N/A" or "none"). 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 M is not
a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
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 Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. 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 Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

f 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.					
D. CERTIFICATI	ON REGARDING INTEREST IN	CITY BUSINESS			
Any words or term meanings when us	<del>-</del>	of the Municipal Code have the same			
	financial interest in his or her own	Municipal Code: Does any official or employee name or in the name of any other person or			
NOTE: If you ch Item D.1., proceed	· •	to Items D.2. and D.3. If you checked "No" to			
elected official or any other person of for taxes or assess "City Property Sal	employee shall have a financial into r entity in the purchase of any prop ments, or (iii) is sold by virtue of le	we bidding, or otherwise permitted, no City erest in his or her own name or in the name of erty that (i) belongs to the City, or (ii) is sold egal process at the suit of the City (collectively, ten pursuant to the City's eminent domain power ning of this Part D.			
Does the Matter in	volve a City Property Sale?				
[]Yes	M No				
•	ked "Yes" to Item D.1., provide the yees having such interest and identi	e names and business addresses of the City fy the nature of such interest:			
Name	Business Address	Nature of Interest			
4. The Disclo	osing Party further certifies that no 1	prohibited financial interest in the Matter will			
	y City official or employee.				
E. CERTIFICATI	ON REGARDING SLAVERY ERA	A 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 paragraph 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.
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 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 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 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".
- ıу

form and substance to paragrap subcontract and the Disclosing	s the Applicant, the Disclosing Party must obtain certifications equal in ohs A.1. through A.4. above from all subcontractors before it awards any Party must maintain all such subcontractors' certifications for the t make such certifications promptly available to the City upon request.
B. CERTIFICATION REGAR	DING EQUAL EMPLOYMENT OPPORTUNITY
<del>-</del>	d, federal regulations require the Applicant and all proposed llowing information with their bids or in writing at the outset of
Is the Disclosing Party the App	licant?
¥ Yes []	No
If "Yes," answer the three ques	stions below:
1. Have you developed and federal regulations? (See 41 C) Yes	·
•	
3. Have you participated in equal opportunity clause?	any previous contracts or subcontracts subject to the
[] Yes M	No
If you checked "No" to question	on 1. or 2. above, please provide an explanation:

# SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

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 and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances 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 the applicable ordinances.

- 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 transactions with the City. 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 on this EDS and any attachments to this EDS may be made available to the public 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 Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

- F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party 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 F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

#### CERTIFICATION

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

Boninguen Bella Limited Tartuar	hijo	
(Print or type name of Disclosing Party). By JUHA, sole shaveholder of Borre	ven Bella Developmen	of Corporation,
(Print or type name of Disclosing Party).  By 144 Sole shareholder of Borrow  By: (Sign here)	Bella Lunited Par	ntnarohip
Juan B. Rivera	·	
(Print or type name of person signing)		
Authorized Representative (Print or type title of person signing)		
Signed and sworn to before me on (date) / County, Minor (star		
7	.yruono. ≝ Mos	FICIAL SEAL"
Commission expires: 3/21/2014.	My Commis	Public, State of Illinois ssion Expires 3/21/2014

# 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 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code 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 percent 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?

5 A ST.

f 137.0

[ ] Yes	<b>IX</b> ) 140		
such person is conne	cted; (3) the name and title of the	e of such person, (2) the name of the legal entity to white elected city official or department head to whom such a nature of such familial relationship.	

# SECTION IV: DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

			Relationship to Disclosing	Fees/GC Total
Name	Retained	Business Address	Party	Contract
		734 N. Milwaukee Ave, Chicago, IL 60	0642-	
Landon Bone Baker	Yes	5939	Architects	\$249,280
		9550 W. Higgins Rd., Suite 200,		
McShane Construction Co.	No	Rosemont, IL 60018	General Contractor	\$4,968,705

# 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:
Boringuen Bella Development Corporation
Check ONE of the following three boxes:
Indicate whether the Disclosing Party submitting this EDS is:  1. [] the Applicant OR
2. M a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Bournage Bella Limited OR
3. [] a legal entity with a right of control (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: 3541 H. Novth Ave.  Chicago, IL 60647
C. Telephone: 773-276-5338 Fax: 773-276-5358 Email: jbrivera @ lucha.org
D. Name of contact person: Juan B. Rivera
E. Federal Employer Identification No. (if you have one):
F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):
Rehabilitation of Bounques Bella; 1318 N. Rockwell, 1456 N. Rockwell 1451 N. Washtenaw, 1414 N. Washtenaw  G. Which City agency or department is requesting this EDS? Dept. of Housing and Economic Development
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification # and Contract #

#### SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

# A. NATURE OF THE DISCLOSING PARTY

<ol> <li>Indicate the nature of the Disclosing Pa</li> <li>Person</li> <li>Publicly registered business corporation</li> <li>Privately held business corporation</li> <li>Sole proprietorship</li> <li>General partnership</li> <li>Limited partnership</li> <li>Trust</li> </ol>	rty:  [] 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 c	ountry) of incorporation or organization, if applicable:
Mineis	
3. For legal entities not organized in the S business in the State of Illinois as a foreign en	tate of Illinois: Has the organization registered to do tity?
[] Yes [] No	Ŋ N/A
B. IF THE DISCLOSING PARTY IS A LEG	AL ENTITY:
NOTE: For not-for-profit corporations, also list there are no such members, write "no members the legal titleholder(s).  If the entity is a general partnership, limited partnership or joint venture, list below the name	Il executive officers and all directors of the entity. st below all members, if any, which are legal entities. If s." For trusts, estates or other similar entities, list below partnership, limited liability company, limited liability ne and title of each general partner, managing member, trols the day-to-day management of the Disclosing Party. bmit an EDS on its own behalf.
Name	Title
Madalua Trada - Radiausa	- President Vice-President
Madeline Troche-Rodriguez Vone Garcia	Theadurer
Juan B. Rivera	Secretary

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. 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: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the	
		Disclosing Party	
Latin United	Community Housing Acco	c. 3591 H. North Au	100%
-	/	Chicago IL 60647	
		Chicago, is dell	
SECTION III I	BUSINESS RELATIONSHIPS W	ITH CITY ELECTED OFFICIALS	<b>;</b>
Has the Dission	ing Porty had a "business relationsh	in " on defined in Chanter 2 156 efth.	- Marriain al
	ty elected official in the 12 months by	ip," as defined in Chapter 2-156 of the	s Municipai
Code, with any Ch	ty elected official in the 12 months t	before the date this EDS is signed:	
[]Yes	<b>™</b> No		
[]	y		
• • •	tify below the name(s) of such City of	elected official(s) and describe such	
relationship(s):			
	-		

#### SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, 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.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

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)	er Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is
None			not an acceptable response.
(Add sheets if necessar	ry)		
Check here if the D	isclosing Party h	as not retained, nor expects to retain	a, any such persons or entities.
SECTION V CERT	TIFICATIONS		
A. COURT-ORDERE	D CHILD SUPP	ORT COMPLIANCE	
		-415, substantial owners of business h their child support obligations thr	
		ly owns 10% or more of the Disclosons by any Illinois court of competer	
[] Yes []	,	o person directly or indirectly owns sclosing Party.	10% or more of the
If "Yes," has the person is the person in compli		court-approved agreement for payme reement?	ent of all support owed and
[]Yes []	No		
B. FURTHER CERTI	FICATIONS		
consult for defined terr	ns (e.g., "doing b	pter 1-23, Article I ("Article I")(whousiness") and legal requirements), id is doing business with the City, th	f the Disclosing Party

consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person 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 Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

- 2. 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, within a five-year period preceding 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 clause B.2.b. of this Section V;
  - d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
  - e. have not, within a five-year period preceding 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.
  - 3. The certifications in subparts 3, 4 and 5 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 five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five 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 a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosing Party, 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.
- 5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. 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:					

presumed that the Disclosing Party certified to the above statements.
8. 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 execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").
9. 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 \$20 per recipient (if none, indicate with "N/A" or "none"). 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 M is not
a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
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 Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. 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 Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively

Name		
	Business Address	Nature of Interest
•	cked "Yes" to Item D.1., provide the oyees having such interest and ident	e names and business addresses of the City tify the nature of such interest:
[] Yes	M No	
Does the Matter	involve a City Property Sale?	
elected official o any other person for taxes or asses "City Property Sa	r employee shall have a financial in or entity in the purchase of any pro- sments, or (iii) is sold by virtue of l	ive bidding, or otherwise permitted, no City terest in his or her own name or in the name of perty that (i) belongs to the City, or (ii) is sold egal process at the suit of the City (collectively, ken pursuant to the City's eminent domain power aning of this Part D.
NOTE: If you contemporate Item D.1., proceed	· •	to Items D.2. and D.3. If you checked "No" to
	a financial interest in his or her own	name or in the name of any other person or
1. In accorda	ance with Section 2-156-110 of the	Municipal Code: Does any official or employee
-	ms that are defined in Chapter 2-15 used in this Part D.	6 of the Municipal Code have the same
D. CERTIFICAT	ΓΙΟΝ REGARDING INTEREST IN	N CITY BUSINESS
	numed that the Disclosing Party cert	• •
If the letters "NA	" the word "None " or no reconce	appears on the lines above, it will be

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 paragraph 2. Failure to

connection with the Matter voidable by the City.					
1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of he 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 ssued to slaveholders that provided coverage for damage to or injury or death of their slaves), and he 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 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 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					

applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a

federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew,

member of Congress, in connection with the award of any federally funded contract, making any

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".
- 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

<del>-</del>	nded, federal regulations require the Applicant and all proposed e following information with their bids or in writing at the outset of
Is the Disclosing Party the	Applicant?
[]Yes	M No
If "Yes," answer the three of	questions below:
<ol> <li>Have you developed federal regulations? (See 4</li> <li>Yes</li> </ol>	and do you have on file affirmative action programs pursuant to applicable 1 CFR Part 60-2.) [] No
_	the Joint Reporting Committee, the Director of the Office of Federal ams, or the Equal Employment Opportunity Commission all reports due requirements?
[]Yes	[] No
3. Have you participate equal opportunity clause?	d in 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:

# SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

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 and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances 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 the applicable ordinances.

- 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 transactions with the City. 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 on this EDS and any attachments to this EDS may be made available to the public 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 Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

- F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party 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 F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

#### **CERTIFICATION**

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

1	•	
Boning pen Bella Development (Print or type name of Disclosing Party)	Carponation	
(Print or type name of Disclosing Party)	(	
By: (Sign here)	<del></del>	
Juan B. Rivera		
(Print or type name of person signing)	_	
Secretary (Print or type title of person signing)	_	
Signed and sworn to before me on (date)atCoukCounty,sllmass	1/4/2012 (state).	,
Moses Abanjoni	Notary Public.	"OFFICIAL SEAL"
Commission expires: $3/\partial I/\partial OI$	·	Moses Abayorni Notary Public, State of Illinois My Commission Expires 3/21/2014
	Page 12 of 13	

# 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 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code 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 percent 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	No No		
such person is conne	cted; (3) the name and title of th	e of such person, (2) the name of the legal entity to whe elected city official or department head to whom see nature of such familial relationship.	

# 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:
Latin United Community Housing Association
Check ONE of the following three boxes:
Indicate whether the Disclosing Party submitting this EDS is:  1. [] the Applicant  OR  2. Man local active holding a direct or indicate interest in the Applicant. State the local name of the
2. M a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Boringuest Bella Lunited  OR
3. [] a legal entity with a right of control (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: 3541 H. North Ave.
Chicago, 1- 60647
C. Telephone: 773-276-5338 Fax: 773-276-5358 Email: jbnivera @ ludra.org
D. Name of contact person: Ulan B. Rivers
E. Federal Employer Identification No. (if you have one):
F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):
Rehabilitation of Brainquen Bella: 1318 N. Rockwell, 1756 N. Rockwell 1751 N. Washtenaw, 1914 N. Hashtenaw  G. Which City agency or department is requesting this EDS? Dept. of Hovering and Economic Development
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification # and Contract #

# SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

# A. NATURE OF THE DISCLOSING PARTY

<ol> <li>Indicate the nature of the Disclosing Pare</li> <li>Person</li> <li>Publicly registered business corporation</li> <li>Privately held business corporation</li> <li>Sole proprietorship</li> <li>General partnership</li> <li>Limited partnership</li> <li>Trust</li> </ol>	[] Limited liability company [] Limited liability partnership [] Joint venture  M Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))?  M Yes [] No [] Other (please specify)			
2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:				
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	M/N/A			
B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:				
1. List below the full names and titles of all executive officers and all directors of the entity.  NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).  If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.  NOTE: Each legal entity listed below must submit an EDS on its own behalf.				
Name Daniel Lopez	Title			
Madeline Troche-Radingue Vose Garcia	2 Vice-President Theasurer			
Juan B. Rivena	Executive Director			

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. 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: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

The second section of the state of

Name	Business Address	Percentage interest in the
None		Disclosing Party
SECTION III ~ I	BUSINESS RELATIONSHIPS W	ITH CITY ELECTED OFFICIALS
	<del>-</del> -	nip," as defined in Chapter 2-156 of the Municipal before the date this EDS is signed?
[] Yes	M No	
If yes, please ident relationship(s):	ify below the name(s) of such City	elected official(s) and describe such

### SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, 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.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

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 wheth retained or anticipated to be retained)	d 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 necessar	iry)		
[] Check here if the I	Disclosing Party ha	as not retained, nor expects to retain	, any such persons or entities.
SECTION V CER	TIFICATIONS		
A. COURT-ORDER	ED CHILD SUPP	ORT COMPLIANCE	
<del>-</del>		415, substantial owners of business h their child support obligations thro	
	-	ly owns 10% or more of the Disclosons by any Illinois court of competer	•
[ ] Yes [		o person directly or indirectly owns sclosing Party.	10% or more of the
If "Yes," has the pers is the person in comp		court-approved agreement for paymer reement?	ent of all support owed and
[] Yes [	] No		
B. FURTHER CERT	TIFICATIONS		

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I") (which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person 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 Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

- 2. 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, within a five-year period preceding 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 clause B.2.b. of this Section V;
  - d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
  - e. have not, within a five-year period preceding 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.
  - 3. The certifications in subparts 3, 4 and 5 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 five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five 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 a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosing Party, 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.
- 5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. 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:				

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.
8. 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 execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").
9. 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 \$20 per recipient (if none, indicate with "N/A" or "none"). 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 Mis not
a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
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 Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. 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 Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

Name	Business Address	Nature of Interest
	ted "Yes" to Item D.1., provide the ees having such interest and identi	names and business addresses of the City fy the nature of such interest:
[] Yes	<b>⋈</b> No	
Does the Matter in	volve a City Property Sale?	
elected official or e any other person or for taxes or assess "City Property Sale	employee shall have a financial into r entity in the purchase of any prop nents, or (iii) is sold by virtue of le	we bidding, or otherwise permitted, no City erest in his or her own name or in the name of erty that (i) belongs to the City, or (ii) is sold egal process at the suit of the City (collectively ten pursuant to the City's eminent domain powning of this Part D.
NOTE: If you che Item D.1., proceed		to Items D.2. and D.3. If you checked "No" to
	financial interest in his or her own	Nunicipal Code: Does any official or employed name or in the name of any other person or
meanings when use	<del>-</del>	of the Municipal Code have the same
Any words or term		
	ON REGARDING INTEREST IN	CITY BUSINESS
D. CERTIFICATI	med that the Disclosing Party certi-	

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 paragraph 2. Failure to

connection with the Matte	er voidable by the City.
the Disclosing Party and a from slavery or slaveholds	arty verifies that the Disclosing Party has searched any and all records of any and all predecessor entities regarding records of investments or profits or insurance policies during the slavery era (including insurance policies to provided coverage for damage to or injury or death of their slaves), and ound no such records.
Disclosing Party has found policies. The Disclosing l	arty verifies that, as a result of conducting the search in step 1 above, the d records of investments or profits from slavery or slaveholder insurance Party verifies that the following constitutes full disclosure of all such less of any and all slaves or slaveholders described in those records:
NOTE: If the Matter is f funded, proceed to Section	FICATIONS FOR FEDERALLY FUNDED MATTERS  Tederally funded, complete this Section VI. If the Matter is not federally on VII. For purposes of this Section VI, tax credits allocated by the City gations of the City are not federal funding.
A. CERTIFICATION RE	GARDING LOBBYING
	nes of all persons or entities registered under the federal Lobbying ho have made lobbying contacts on behalf of the Disclosing Party with d sheets if necessary):
appear, it will be conclusi	or begins on the lines above, or if the letters "NA" or if the word "None" vely presumed that the Disclosing Party means that NO persons or entities ying Disclosure Act of 1995 have made lobbying contacts on behalf of the pect to the Matter.)

applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a

federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew,

member of Congress, in connection with the award of any federally funded contract, making any

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".
- 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 war atom to automit the fall autom in fa-

negotiations.	the following information with their bids or in writing at the outset of
Is the Disclosing Party th	ne Applicant?
[] Yes	M No
If "Yes," answer the thre	e questions below:
1. Have you develop federal regulations? (See	ped and do you have on file affirmative action programs pursuant to applicable e 41 CFR Part 60-2.)
[] Yes	[] No
· ·	th the Joint Reporting Committee, the Director of the Office of Federal ograms, or the Equal Employment Opportunity Commission all reports due ag requirements?  [] No
3. Have you particip equal opportunity clause	ated in any previous contracts or subcontracts subject to the?
[] Yes	[ ] No
If you checked "No" to q	question 1. or 2. above, please provide an explanation:

# SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

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 and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at <a href="https://www.cityofchicago.org/Ethics">www.cityofchicago.org/Ethics</a>, 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 the applicable ordinances.

- 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 transactions with the City. 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 on this EDS and any attachments to this EDS may be made available to the public 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 Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

- F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party 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 F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

#### CERTIFICATION

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

Latin United Community How (Print of type name of Disclosing Party)	using Associa	ation
Be Jean B. Chier		
(Sign here)		
(Print or type name of person signing)	<del></del>	
(Print or type title of person signing)	_	
Signed and sworn to before me on (date) _ at County,	1/4/2015 (state).	,
Moses Abenzam	Notary Public.	•
Commission expires: $3/21/2014$	•	"OFFICIAL SEAL"  Moses Abayomi Notary Public, State of Illinois
,	Page 12 of 13	My Commission Expires 3/21/2014

# 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 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code 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 percent 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	₩ No	
such person is conne	cted; (3) the name and title of the	te of such person, (2) the name of the legal entity to which the elected city official or department head to whom such the nature of such familial relationship.

### SECTION IV: DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

			Relationship to Disclosing	Fees/GC Total
Name	Retained	Business Address	Party	Contract
Pioneer Engineering and		700 N. Sacramento Blvd. Suite 101,	Environmental Site	
Environmental Services	Yes	Chicago, IL 60612	Assessment	\$4,000
Vogt, Williams & Bowen Research	Yes	869 W. Goodale, Columbus, OH, 43212	Market Study	\$5,200
		400 S. Peoria, Suite 2100, Chicago, IL		
Natalie P. Voorhees Center	Yes	60607	Market Study	\$7,500
		707 Lake Cook Road, Suite 110, Deerfield,		
Howard B. Richter and Associates	Yes	IL 60015	Appraisal	\$8,700
Architectural Consulting Group, Inc	Yes	230 N. Hicks Place, Palatine, IL, 60067	Physical Needs Assessment	\$4,700
M M Surveying Company, Inc	Yes	5812 W. Higgins Ave, Chicago, IL, 60630	Survey	\$3,900
		2930 S. Michigan Ave Suite 104, Chicago,		
Haran & Associates	Yes	IL, 60616	Accounting	\$4,750
		4711 W. Golf Road, Ste. 200, Skokie, IL		
FLS Group, LLC	Yes	60076	Accounting	\$34,000
		20 S. Clark Street, 29th Floor, Chicago IL		
Kubasiak, Fylstra, Thorpe & Rotunno	Yes	60603	Legal	\$50,000

### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

## SECTION I -- GENERAL INFORMATION

<u> </u>	•	osing Party súbmi	_	clude d/b/a/i	f applicable:	•
NEF	Assigna	ixt Corp	pration	<del></del>		
Check ON	E of the followi	ng three boxes:				`
î. [] tl	hether the Disclo ne Applicant R	sińg Party submitt	ing this EDS is:			
Appl	legal entity hold. icant in which the R	ing a direct or indi e Disclosing Party	rect interest in the holds an interest;	Borwaii	State the legal in Aella Mitted Part	
" ."		a right of control arty holds a right o				
		Disclosing Party:	Chuago,	Mexica	0 60606	<u> </u>
C. Telephi	one: <u>312-360-1</u>	7400 Fax: 3/2	2-441-0484	Email: <u>//</u>	TANAGAN NEFINO	C.ORG
,D. Name (	or contact person.	THomAS				
which this Rehabili	EDS pertains. (I	ract, transaction of nelude project nui Boxiguese	nber and location	of property, i	f applicable): !1318 M.	Cockwell
1456	N. Kockive	11, 145/4	. Washteno	w, 141	4 M. Whi	Henry
G. Which	City agency or de	epartment is reque	sting this EDS?	lept of o	Housing	axel
	atter is a contracte, the following:	t being handled by	the City's Depart	ment of Proc	urement Service	es, please
Specific	ation #		and Contrac	t #		
It closex	A NEF ass	ignment Co	rporation	(NEFAC	), as non	inie,
il acqui	in a 99.9	ignment lo 9 % limite	d poetners.	hip este	rest in b	applicant.
Ver. 01-01	.12 , NEFAC L	vill assign redit inv	Page 1 of 13	t in the	applicati	to to a low
EME LO LIMITA	livestice	itedit inv	in applicate	of Mation	cel Equite	Jund, Sxc

# SECTION IL DISCLOSURE OF OWNERSHIP INTÉRESTS

A. NATURE OF THE DISCLOSING PAR	ÇTY'
1. Indicate the nature of the Disclosing [ ] Person [ ] Publicly registered business corporation [ ] Privately held business corporation [ ] Sole proprietorship [ ] General partnership [ ] Limited partnership [ ] Trust	[] Limited liability company
IlliNois	n country) of incorporation or organization, if applicable:  e State of Illinois: Has the organization registered to do entity?
[],Yes []'No.	N/A
B. IF THE DISCLOSING PARTY IS A LI	EĞAL EÑTITY:
NOTE: For not for-profit corporations, also there are no such members, write "no members the legal titleholder(s).  If the entity is a general partnership, limit partnership or joint venture, list below the members to the second seco	of all executive officers and all directors of the entity, of list below all members, if any, which are legal entities. If pers." For trusts, estates or other similar entities, list below ted partnership, limited liability company, limited liability name and title of each general partner, managing member, ontrols the day-to-day management of the Disclosing Party, submit an EDS on its own behalf:
Name SEE ATTACHED	Titlě:
· · · · · · · · · · · · · · · · · · ·	

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including-ownership) in excess of 7.5% of the Disclosing Party. 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: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Percentage Interest in the

Business Address

Name

National &	quity find exc.	Sole Volum Member
120 South	Riverside Place	
15th floor		
Chicago &	Clusoes 60606	
0		
SECTION III I	Busiņess relationship:	S WITH CITY ELECTED OFFICIALS
		onship," as defined in Chapter 2-156 of the Municipa oths: before the date this EDS is signed?
[] Yes	No	
If yes, please ident relationship(s):	ify below the name(s) of such (	City elected official(s) and describe such
	· · · · · · · · · · · · · · · · · · ·	
-	-	

### SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, 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.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative of administrative action.

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 wheth retained or anticipated to be retained)		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 necess	ary).		:
Check here if the I	Diśclośing Party/h	as not retained, nor expects to retain	ı; any such persons or entities
SECTION V CER	TIFICATIONS	`	
A COURT-ORDER	ED CHILD SUPP	PORT COMPLIANCE.	
· -		-415, substantial owners of business th their child support obligations thr	
		tly owns 10% or more of the Disclosons by any Illinois court of compete	
[ ] Yes [	]Nö MN Di	o person directly or indirectly owns sclosing Party.	10%'or'more'of the
If "Yes," has the pers		court-approved agreement for paym greement?	ent of all support owed and
[·] Yes [	] No		
B. FURTHER CERT	IFICATIONS		
consult for defined ter submitting this EDS i certifies as follows: (i	rṃs (e.g., "doing] s the Applicant ar ) neither the Appl	apter 1-23, Article I ("Article I") (who business") and legal requirements), and is doing business with the City, the licant nor any controlling person is corrected of, or placed under	if the Disclosing Party nen the Disclosing Party currently indicted or charged

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 of 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 Article Lapplies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

- 2. 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, within a five-year period preceding 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. arcinot 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 clause B.2.b. of this Section V;
  - d, have not, within a five-year period preceding the date of this EDS; had one or more public transactions (federal, state or local) terminated for cause or default; and
  - e. have not, within a five-year period preceding 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.
  - 3. The certifications in subparts 3, 4 and 5 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 five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five 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 a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosing Party; 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.
- 75. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury of the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters: 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

fications), the I	Jisclosing .	r arty must ex	.piam.eciow:			
NA					•	770
<del></del>			<u>.</u>	,	5 -	· · · · · · · · · · · · · · · · · · ·
<del></del>						<del></del>

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.
8. 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 execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").
9. 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 \$20 per recipient (if none, indicate with "N/A") or "none"). 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 is not
à "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
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 Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. 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 Section-2-32-455(b) of the Municipal Gode) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

<del></del>		
If the letters "NA, conclusively presu	"the word "None," or no response a med that the Disclosing Party certif	ppears on the lines above; it will be field to the above statements.
D. CERTIFICAT	ION REGARDING INTEREST IN	CITY BUSINESS
Any words or term meanings when us		of the Municipal Code have the same
_	financial interest in his or her own i	Iunicipal Code: Does any official or employee name or in the name of any other person or
NOTE: If you ch Item D.1., proceed		o Items D.2. and D.3. If you checked "No" to
elected official or any other person of for taxes or assess "City Property Sal	employee shall have a financial inter- r entity in the purchase of any proper ments, or (iii) is sold by virtue of le	rest in his of her own name or in the name of erty that (i) belongs to the City; or (ii) is sold gal process at the suit of the City (collectively, on pursuant to the City's eminent domain power ning of this Part D.
Does the Matter in	volve a City Property Sale?	
[] Yes	No	
	ked "Yes" to Item D.T., provide the yees having such interest and identify	names and business addresses of the City by the nature of such interest:
Name .	Business Address	Nature of Interest:
NA		

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 paragraph 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.
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 leabove, 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:
Not applicable
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 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 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 of employee 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 imparagraphs 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".
- 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:
If "Yes," answer the three questions below:
1. Have you developed and do you have on file affirmative action programs pursuant to applicab federal regulations? (See 41 CFR Part 60-2.)  [] Yes  [] No
2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?
[] Yes [] No
3. Have-you participated in any previous contracts or subcontracts subject to the equal opportunity clause?
[] Yes [] No
If you checked "No" to question 1, or 2, above, please provide an explanation:

# SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

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 and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code; impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances 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 the applicable ordinances.

- G. 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 transactions with the City. 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 on this EDS and any attachments to this EDS may be made available to the public 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 Article 1 of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

- F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes:
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party 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 F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

#### CERTIFICATION

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

NEF assignment Corporation
(Print or type name of Disclosing Party)
By:
(Sign here)
TETER HARKSON
(Print or type name of person signing)
SENIOR VICE PRESIDENT
(Print or type title of person signing)

Notary Public

Commission expires: 4/39 BO/5

OFFICIAL SEAL
RENEÉ B MURDOCK
Notary Public - State of Illinois
My Commission Expires Apr 29, 2015

### 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 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code 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 percent 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	⋈ No			
such person is connect	fy below (1) the name and tied; (3) the name and title of elationship, and (4) the prec	f the elected city officia	al or department he	
None				

# Exhibit A NEF ASSIGNMENT CORPORATION LIST OF OFFICERS, DIRECTORS AND MEMBERS: CHICAGO ECONOMIC DISCLOSURE STATEMENT

Names and Addresses.	Titlė:
Directors:	
Peter Harrison 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Director
Karen Przypyszny 120 South Riverside Pläza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Director
Howard Sereda: 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Director
Officers:	
Joseph S. Hagan 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	President and Chief Executive Officer
Kevin D. Boes 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908	Senior Vice President
Alex-Deńja 120 South Riverside Plàza, 15 <sup>th</sup> Floor Chicago, 1L 60606-3908	Senior Vice President and Chief Financial Officer
Thomas Flanagan 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, IL 60606-3908	Vice President and Secretary
Peter Harrison 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, IL 60606-3908	Senior Vice President
Karen Przypyszny 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior Vice President
Judy Schneider 120.South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior Vice President
Gregory Schuler 120 South Riverside Plaza, 15th Floor Chicago, Illinois 60606-3908	Senior Vice President and Assistant Secretary
Howard Sereda 120 South Riverside Élaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior Vice President
Mark Siranovic 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior: Vice President
Member:	
National Equity Fund, Inc. 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Sole Voting Member

## CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

# SECTION I -- GENERAL INFORMATION

	eck ONE of the following three boxes:
Inc	icate whether the Disclosing Party submitting this EDS is:  1. [] the Applicant  OR
	2. A legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Brungue Bella.  OR
,	3. [] a legal entity with a right of control (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 South Ruseraide Plaza, 15th Floor Chicago, Allinois 60606
C.	Telephone: 312-360-0400 Fax: 312-441-0484 Email: TFLANAGAN CO
D.	Name of contact person: THOMAS FLANAGAN NEFINC. ORG
<b>E</b> : 1	Federal Employer Identification No. (if you have one):
wh	Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to ich this EDS pertains. (Include project number and location of property, if applicable):  abilitation of Borigues Sella located at 1318 M. Rockwell
14	56 n. Rockwell, 1451 n. Washtenow, 1414 n. Washtenow
G.	Which City agency or department is requesting this EDS? Lept of Housing and
	f the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
t L uir	losing, NEF Assignment Corporation (NEFAC), as nomines we ea 99.99% limited perturbility interest in the Applicant
rea	Page 1 of 13 fter, NEFAC will assign to interest in the applicant to a low housing tax credit investment fund managed by NEF Commun nexts. Inc., an affection, & National Equitional Vac

## SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS:

### A. NATURE OF THE DISCLOSING PARTY

1. Indicate the	nature of the Disclosing Pa	arty:	
[ ] Person'		[] Limited liability company	
	red business corporation	[j] Limited liability partnership	
	usiness corporation	[] Joint venture	
[] Sole proprietors		Not-for-profit corporation	
[] General partner	<del>-</del>	(Is the not-for-profit corporation also a 501(c	)(3))?
[] Limited partner	ship,	Yes [1] No	
[ ] Trust		[]. Other (please specify).	
3. For legal en	J titles not organized in the S	country) of incorporation or organization, if apploantry) of incorporation or organization, if apploantry) of incorporation or organization fegistered to	
business in the Stat	teiof Illinois,as a fóreign en	itity?	
[]Yes	[] No	M'N/A	
B. IF THE DISCL	OSING PARTY'IS A LEG	AL'ENTITY:	
NOTE: For not-for there are no such in the legal titleholder If the entity is a	r-profit corporations, also lembers, write "no member r(s). general partnership, limited	all executive officers and all directors of the enti- ist below all members; if any, which are legal en- es." For trusts, estates or other similar entities, li- d partnership, limited liability company, limited and title of each general partner, managing m	stitics. If st below liability
manager of any oth	er person or entity that con	trols the day-to-day management of the Disclosi bmit an EDS on its own behalf.	
Name See	Attached	Title,	
			<del></del>
		-	•

2: Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party: 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: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Percentage Interest in the

Business Address

Name

•	- ' - ' - '	
National &	quity Friend Ixc.	Disclosing Party
120 South	Riverside Plian	Colle Downg " Cenare C
15d floor		-
Chicago V	Mexico 60606	
<i>O:</i> -		
SECTION III	BUSINESS RELATIONSHIPS	WITH CITY ELECTED OFFICIALS
		ship," as defined in Chapter 2-156 of the Municipal s before the date this EDS is signed?
[ ] Yes	Жñо	
If yes, please iden relationship(s):	tify below the name(s) of such Cit	y elected official(s) and describe such
——————————————————————————————————————		
	•	•

# SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, aftorney, lobbyist, 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.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

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 wheth retained or anticipated to be retained)		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 necess	arý)	<del></del>	
Check here, if the I	Disclosing Party l	nas not retained, nor expects to retain	i, any-such persons for entities
SECŢION V CER	TIFICATIONS	· ·	
A. COURT-ORDER	ED CĤILD SUPI	PORT COMPLIANCE	
, <u> </u>		2-415, substantial owners of business the their child support obligations thr	
	• •	tly owns 10% or more of the Disclosions by any Illinois court of compete	•
[·] Yes [		No person directly or indirectly owns isolosing Party.	10%, or more of the
If "Yes," has the pers		court-approved agreement for paym greement?	ent of all support owed and
[ ] Yeş, [	] No		
B. FURTHER CERT	IFICATIONS		
consult for defined ter submitting this EDS i certifies as follows: (i with, or has admitted criminal offense involu- perjury, dishonesty or	rms:(e.g., "doing s the Applicant a ) neither the App guilt of for has ev lving actual, atter deceit against an	apter 1-23, Article I ("Article I") (who business") and legal requirements), and is doing business with the City, the licant nor any controlling person is ever been convicted of, or placed under the property of the City or a conficer or employee of the City or ages that compliance with Article I is	if the Disclosing Party nen the Disclosing Party currently indicted or charged er supervision for, any ery, theft, fraud, forgery, any sister agency; and (ii) the

doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes; in certifications 2 and 3 below.

- 2. 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;
  - have not, within a five-year period preceding 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 clause B.2.b. of this Section V;
  - d: have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
  - e: have not, within a five-year period preceding 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.
  - 3. The certifications in subparts 3, 4 and 5 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 Affiliated, but the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- 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 as or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance):
- 4. Neither the Disclosing Party, 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.
- 5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Burgau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List; the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the	Disclosing Part	y is unable to	certify to a	ny of the al	bove state	ments; in-	this Part B	(Further
Certification	s), the Disclosir	ig Party must	explain bel	ow:				
				*	•			
NA		***************************************					· · · · · · · · · · · · · · · · · · ·	
·			<u>-</u>		······································	¥		
				W. H				·
						7	,	

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: 8. 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 12month period preceding the execution date of this EDS; an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"): 9. 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 \$20 per recipient (if none, indicate with "N/A" or "none"). 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) Mis not [ ] is a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code. 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 Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. 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 Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

	<u>, şiş.</u>	
	ne word "None," or no response a ed that the Disclosing Party certif	ppears on the lines above, it will be lied to the above statements.
D. CERTIFICATIO	N REGARDING INTEREST IN	CITY BUSINESS
Any words or terms meanings when used	_	of the Municipal Code have the same
		unicipal Code: Does any official or employees amegor in the name of any other person or
[ ] res	N <sub>140</sub>	
NOTE: If you check Item D.A., proceed to		o.Items.D.2.:and D.3. If you checked "No" to
elected official or em any other person or e for taxes or assessme "City Property Sale")	ployee shall have a financial intentity in the purchase of any property, or (iii) is sold by virtue of leg	e bidding, or otherwise permitted, no City rest in his or her own name or in the name of crty that (i) belongs to the City, or (ii) is sold gal process at the suit of the City (collectively, en pursuant to the City's eminent domain power ling of this Part D.
Does the Matter invo	lve a City Property Sale?	
[] Yes	∭No.	·
	d "Yes" to Item D.1., provide the s having such interest and identif	names and business addresses of the City y the nature of such interest:
Name .	Business Address	Nature of Interest
NA	*	

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 BUSINÉSS

Please check either I. 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 paragraph 2. Failure to

connection with the Matter voidable by the City.
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 saued 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:
Not Applicable
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 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 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 inviperson 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 of a nember 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.  Page 9 of 13

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" 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 If "Yes," answer the three questions below: 1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.) [] Yes [.] No 2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports duc under the applicable filing requirements? []Yes []No 3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause? []Yes [] No If you checked "No" to question 1. or 2. above, please provide an explanation:

# SECTION VII - ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

. .

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract of 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 and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at <a href="https://www.cityofchicago.org/Ethics">www.cityofchicago.org/Ethics</a>, 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 the applicable ordinances.

- 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 transactions with the City. 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 on this EDS and any attachments to this EDS may be made available to the public 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 Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

- F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine; fee, tax-or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party 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 F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1. F.2. or F.3. above, an explanatory statement must be attached to this EDS.

#### **CERTIFICATION**

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

NEF Community Investments Inc.
(Print or type name of Disclosing Party)
Ву:
(Sign heré)
YETER HARRISON
(Print or type name of person signing)
SENIOR VICE PRESIDENT
(Print or type title of person signing)

Signed and sworn to before me on (date) knussy. 4, 2012, at County, Clunter (state).

Defel 1. J. 11.1. Ugoc Notary Publi

Commission expires: 4/29/2015

RENEE B MURDOCK

Notary Public - State of Illinois
My Commission Expires Apr 25

#### 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 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code 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 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 percent 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	[ ] No			
such person is conne	tify below (1) the name and title cted; (3) the name and title of the relationship, and (4) the precise	he elected city officia	l or department head to who	
Pot	Applicable -	udirect	interest	

# Exhibit A NEF Community Investments, Inc. LIST OF OFFICERS, DIRECTORS AND MEMBERS CHIGAGO ECONOMIC DISCLOSURE STATEMENT

Names And Addresses	Title
Directors:	
Joseph S. Hagan 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Director
Mike Mantle 49 Red Cedar Court Danville, CA 94506	Director -
Howard Sereda 120 South Riverside Plaza, 15th Floor Chicago, Illinois 60606-3908	Director
Officers:	
Joseph, S. Hagan 120 South Riverside Plaza, 15th Floor Chicago, Illinois 60606-3908	President and Chief Executive Officer
Kevin D. Boes 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Sénior Vice President
Alex Denja 120 South Riverside Plază, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior Vice President, Treasurer and Chief Financial Officer
Tom Flanagan 120 South Riverside Plaza; 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Vice President and Secretary
Peter Harrison 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior Vice President
Karen Przypyszny 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior Vice President
Judy Schneider 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908'	Senior Vice President
Gregory Schuler 120 South Riverside Plaza, 15th Floor Chicago, Illinois 60606-3908	Senior Vice, President, and Assistant Secretary
Howard Sereda 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior Vice President
Mark Siranovic 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Senior Vice President
Member:	
National Equity Fund, Inc. 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, Illinois 60606-3908	Sole Voting Member

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/if applicable:

### SECTION I -- GENERAL INFORMATION

iticate whether the Disclosing Party submitting this EDS is:  1. [] the Applicant OR  2. M a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest. An interest Minimus Mellar OR  3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control.  Business address of the Disclosing Party.  **PROSPATH REVEALED FLANAGES FLANA		ollowing three boxes:		•
1. [] the Applicant OR 2. Ma legal entity holding a direct or indirect interest in the Applicant. State the legal name of th Applicant in which the Disclosing Party holds an interest. In ruggies Bellan OR 3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:  Business address of the Disclosing Party. Loud Lawrage, Milkola College Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:  Business address of the Disclosing Party. Loud Lawrage College Section II.B.1.) State the legal name of the entity in which the Disclosing Party. Loud Lawrage College Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:  Business address of the Disclosing Party. Louds Lawrage College C	ndicate whether the	Disclosing Party submitting	this EDS is:	
Applicant in which the Disclosing Party holds an interest: An inquire Bella OR  3. [] a legal entity with a right of control (see Section II.B.I.) State the legal name of the entity in which the Disclosing Party holds a right of control:  Business address of the Disclosing Party:  B		nt	· · · ·	·
3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:  Business address of the Disclosing Party: 120 South Reverside Plaga, 15th Relation Goldolo  Telephone: 32-360-0400 Fax: 32-441-0484 Email: TFLANAGAN C  Name of contact person: Thomas Flanagan  Federal Employer Identification. No. (if you have one):  Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to ich this EDS pertains: (Include project number and location of property, if applicable):  [Abilitation of Beriques Sella Located at 138 M. Rockust 156 M. Rockust 1451 M. Washiens.  Which City agency or department is requesting this EDS: Left by Housing and which City agency or department is requesting this EDS: Left by Housing and fif the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:  Specification #  and Contract #  Plosing NEF Assignment Lorporation (NEFAC), as nominated and Contract #  Plosing NEF Assignment Lorporation (NEFAC), as nominated and 99.9% Limited purposessing interest in the Applicant	2. Applicant in w			vique Bella
Telephone: 32-360-0400 Fax: 312-441-0484 Email: TFLANAGAN C Name of contact person: THOMAS FLANAGAN  Federal Employer Identification No. (if you have one):  Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to ich this EDS pertains: (Include project number and location of property, if applicable):  All Hockwell, 1451 N. Washenaw 1414 N. Washenaw  Which City agency or department is requesting this EDS? Lept by Housing and  If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:  Specification #		· · · · · · · · · · · · · · · · · · ·		
Telephone: 32-360-0400 Fax: 312-441-0484 Email: TFLANAGAN C Name of contact person: THOMAS FLANAGAN  Federal Employer Identification No. (if you have one):  Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to ich this EDS pertains: (Include project number and location of property, if applicable):  All Hockwell, 1451 N. Washenaw 1414 N. Washenaw  Which City agency or department is requesting this EDS? Lept by Housing and  If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:  Specification #	. Business address	of the Disclosing Party: 🍃	120 South Ru	verside Plaza, 154.
Federal Employer Identification No. (if you have one):  Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to ich this EDS pertains: (Include project number and location of property, if applicable):  Sublitation of Rosigues Bella Located at : 1318 M. Rockust  156 M. Rockustl, 1451M. Washknow, 1414 M. Washkens  Which City agency or department is requesting this EDS? Left by Housing and  If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:  Specification #			0	
Federal Employer Identification No. (if you have one):  Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to ich this EDS pertains: (Include project number and location of property, if applicable):  Sublitation of Rosigues Bella Located at : 1318 M. Rockust  156 M. Rockustl, 1451M. Washknow, 1414 M. Washkens  Which City agency or department is requesting this EDS? Left by Housing and  If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:  Specification #	Telephone: <u>32-</u>	360-0400 Fax: <u>312-</u>	441-0484 En	nail: TFLANAGAN C
Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to ich this EDS pertains: (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of property, if applicable):  (Include project number and location of project number and	. Name of contact	erson: THomas FL	LANAGAN	NEFINC.ORG
ich this EDS pertains: (Include project number and location of property, if applicable):  Sabilitation of Borigues Bella Located at 1318 M. Rockwell  56 N. Rockwell, 1451 M. Washbenow, 1414 M. Washbeno  Which City agency or department is requesting this EDS? Lept of Housing and  Economic Severage and  Economic Severage and  for the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:  Specification # and Contract #  Plosing, NEF Assignment Corporation (NEFAC), as nonunclessed aggregate partnership interest in the Applicant	. Federal Employer	ldentification No. (if you h	ave one):	
Which City agency or department is requesting this EDS? Lept by Housing and Elonomic Stevens and Elonomic Stevens and Elonomic Stevens and Elonomic Stevens please complete the following:  Specification #	Brief description of	f contract, transaction or of	her undertaking (refe	rred to below as the "Matter") to
Which City agency or department is requesting this EDS? Left of Housing and Economic Services, please complete the following:  Specification #	hobilitation	of Borigues Se	lla located	at: 1318 M. KOCKWE
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:  Specification # and Contract #	456 n. Rou	RWELL, 145/1.	Washenow,	1414 N. Wash Lense
Specification # and Contract #  Closury, NEF assignment Corporation (NEFAC), as nominee  Lea 99.99.% limited partnership interest in the applicant	. Which City agenc	y or department is requestir	ng this EDS? Leat	of Housing and
closing, NEF assignment Corporation (NEFAC), as nomineed	If the Matter is a complete the follo	intract being handled by the ving:	e City's Department	of Procurement Services, please
losing, NEF assignment Corporation (NEFAC), as nomineed	Specification.#		and Contract #	
	closing, NE	F assignment le	rporación (1 reskip interest	NEFAC), as nominees
free, while were assisted as street out the ofference is a				
housing tax credit investment fund managed by NEF Co.	after, NEFA	C WWW WOOLNES LOS	MULLINGSTI PIL	

#### SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS.

A. NATURE OF THE DISCLOSING PARTY

	- 3	
1. Indicate the nature of [ ] Person [ ] Publicly registered busing [ ] Privately held business of [ ] Sole proprietorship [ ] General partnership [ ] Limited partnership [ ] Trust	ess corporation	[] Limited liability company [] Limited liability partnership [] Joint venture    Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] Other (please specify)
Illinois	organized in the St	ountry) of incorporation or organization, if applicable:  ate of Illinois: Has the organization registered to do
[]Yeş [	] No	MNA
B. IF THE DISCLOSING P	ĄRŢY,IS Ą ĽEGA	AL ENTITY:
NOTE: For not-for-profit co there are no such members, we the legal titleholder(s). If the entity is a general partnership or joint venture, manager or any other person	rporations, also lis vrite "no members artnership, limited list below the ham for entity that contr	l executive officers; and all directors of the entity.  t below all members, if any, which are legal entities. If  For trusts, estates or other similar entities, list below  partnership, limited liability company, limited liability  e and title of each general partner, managing member,  fols the day-to-day management of the Disclosing Party,  mit an EDS on its own behalf.
Name SEE AT	HACHED.	Title
	·	<u> </u>

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. 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: Pursuant to Section 2-154-030 of the Municipal Code of Chicago, ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name:	Business Address	Percentage Interest in the
LISC		Disclosing/Party
501 5	eventh avenue	Sole Voting Menches
new yo	RR NY 10018	
SECTION III	BUSINESS RELATIONSHIPS WI	TH CITY ELECTED OFFICIALS
	sing Party had a "business relationshi ity elected official in the 12 months b	p <sub>s</sub> " as defined in Chapter 2-156 of the Municipal efore the date this EDS is signed?
[ˈ] Yess	MNo	

#### SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

If yes, please identify below the name(s) of such City elected official(s) and describe such

relationship(s):

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, 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.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself: "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

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)	,	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 necessar	ry)		
Check here if the D	isclosing Party h	as not retained, nor expects to retain	1,,any such persons or entities
SECTION V CERT	ri <u>é</u> jčations		
A. COURT-ORDERE	D CHILD SUPF	PORT COMPLIANCE	
		2-4.15, substantial owners of business th their child support obligations thr	
		tly owns 10% or more of the Disclosons by any Illinois court of compete	
[]'Yes, []		No person directly or indirectly owns sclosing Party.	10% or more of the
If "Yes;" has the perso is the person in compli		court-approved agreement for paym greement?	ent of all support owed and
[`]`Yes [`]	] No		
B. FURTHER CERTI	FICATIONS		
consult for defined terr submitting this EDS is certifies as follows: (i) with, or has admitted g	ms (e.g., "doing ) the Applicant ar neither the Appl quilt of, or has ev	apter 1-23, Article I ("Article I") (wh business") and legal requirements), id is doing business with the City; th licant nor any controlling person is of ier been convicted of, or placed unden the property of commit bribes	if the Disclosing Party nen the Disclosing Party currently indicted or charged er supervision for, any

perjury, dishonesty or deceit against an officer or employee of the City of 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 Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

- 2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section III.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, within a five-year period preceding 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 clause B.2:b. of this Section V;
  - d. have not, within a five-year period preceding the date of this EDS; had one or more public transactions (federal, state or local) terminated for cause or default; and
  - have not, within a five-year period preceding 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 Gity or by the federal government, any state, or any other unit of local government.
  - 3. The certifications in subparts 3, 4 and 5 concern:
  - the Disclosing Party;
  - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party inconnection 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 five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five 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 as or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosing Party, 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.
- 5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Univerified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is una Certifications), the Disclosing Party	•	above statements in	this Part-B (Further
N/A			
	i		

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.
8. 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 execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none; indicate with "N/A" or "none").
9. 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 \$20 per recipient (if none, indicate with "N/A" or "none"). 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
a "financial instituțion" as defined in Section 2-32-455(b) of the Municipal Code.
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 Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. 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 Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

<del></del>	· · · · · · · · · · · · · · · · · · ·	
	A," the word "None;" or no response sumed that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.
D. CERTIFICA	TION REGARDING INTEREST IN	CITY BUSINESS
	rms that are defined in Chapter 2-156 used in this Part D.	5 of the Municipal Code have the same
	a financial interest in his or her own	Municipal Code: Does any official or employee name or in the name of any other person or
NOTE: If you of Item D.1., proce		to Items.D.2. and D.3. If you checked "No" to
elected official of any other person for taxes or asse "City Property S	or employee shall have a financial int or entity in the purchase of any prop ssments, or (iii) is sold by virtue of le	ve bidding, or otherwise permitted, no City erest in his or her own name or in the name of perty that (i) belongs to the City, or (ii) is sold egal process at the suit of the City (collectively, ken pursuant to the City's eminent domain power uning of this Part D.
Does the Matter	involve a City Property Sale?	
[]Yes	<b>N</b> o	
•	ecked "Yes" to Item D.1, provide the oyees having such interest and identified	e names and business addresses of the City ify the nature of such interest:
Name	Business Address	Nature, of Interest
NA		

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 paragraph 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.
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 I 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:
Not applicable
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 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 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 of 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.

	y will submit an updated certification at the end of each calendar quarter in entithat materially affects the accuracy of the statements and information set at A.2. above.
501(c)(4) of the Internal R	cy certifies that either: (i) it is not an organization described in section evenue Code of 1986; or (ii) it is an organization described in section evenue Code of 1986 but has not engaged and will not engage in "Lobbying"
form and substance to para subcontract and the Disclo	rty is the Applicant, the Disclosing Party must obtain certifications equal in graphs A.1. through A.4. above from all subcontractors before it awards any sing Party must maintain all such subcontractors! certifications for the must make such certifications promptly available to the City upon request.
B: GERTIFICATION REG	GARDING EQUAL EMPLOYMENT OPPORTUNITY
	anded, federal regulations require the Applicant and all proposed as following information with their bids or in writing at the outset of
Is the Disclosing Party the	Applicant?
[,] Yes	XNo,
If "Yes," answer the three	questions below:
1. Have you developed federal regulations? (See 2	i and do you have on file affirmative action programs pursuant to applicable II CFR Part 60-2.)
	the Joint Reporting Committee, the Director of the Office of Federal rams, or the Equal Employment Opportunity Commission all reports due requirements? [1] No
3. Have you participate equal opportunity clause?	ed in any previous contracts or subcontracts subject to the
[]Yes	[.] No
	F1

### SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

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 and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at <a href="https://www.cityofchicago.org/Ethics">www.cityofchicago.org/Ethics</a>, 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 the applicable ordinances.

- 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 reseined 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 transactions with the City. 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 on this EDS and any attachments to this EDS may be made available to the public 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 Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party-represents and warrants that:

- E.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party 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 F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F/2. or F/3. above, an explanatory statement must be attached to this EDS.

#### CERTIFICATION

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

Tational Equity Fund, Ixc	
(Print or type name of Disclosing Party)	
Ву:	
(Sign here)	
PETER HORRISON	
(Print or type name of person signing)	
Service Vice PRESIDENT	
(Print or type-title of person signing)	
· · · · · · · · · · · · · · · · · · ·	
signed and sworn to before me on (date) January 4, 2012 at County, Junta (state).	3
Level & Murget Notary Public.	OFFICIAL SEAL
	RENEE B MURDOCK Notary Public - State of Ulinois
Commission expires: 4/29/20/5.	My Commission Expires Apr 29, 2015
, ,	

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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 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code 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 of any city department head as spouse or domesticpartner 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 percent 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?

ch person is connec	eted; (3) the name an	nd title of the elected city	on, (2) the name of the lega official or department head	
son has a familial	relationship, and (4)	) the precise nature of suc	h tamilial relationship.	
	<u></u>		et interes	<del></del>

# Exhibit A NATIONAL EQUITY FUND, INC: LIST OF OFFICERS, DIRECTORS AND MEMBERS CHICAGO ECONOMIC DISCLOSURE STATEMENT

Näme	Title
Directors:	
Larry Dale Newman and Associates, Inc. 1801. California Street Denver, CO 80202	Chairman
Michael Rubinger Local Initiative Support Corporation 501 Seventh Avenue, 7th Floor New York, NY 10018	Vice Chairperson
Zachary M. Boyers US Bancorp Community Development Corp. 1307 Washington Avenue Suite 300 St. Louis, MO 63101	Director
Andrew Ditton Citibank Community Development Citibank NA One Court Square, 45 <sup>th</sup> Floor, Zone 11 New York, NY 10022	Director
Helen L. Dunlap Independent Housing Consultant 104 East 32 <sup>nd</sup> Street Chicago, IL 60616	Director
Printice L. Gary Carleton Residential Properties 5485 Belt Line Road Dallas, TX 75254	Dîrector
Joseph S. Hagan National Equity Fund, Inc. 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, IL 60606:	Director
Tobin Levy Local Initiatives Support Corporation 501 Seventh Avenue, 7th Floor New York, New York 10018	Director
Mike Mantle 49 Red Cedar Court Danville, CA 94506	Director
Michael C. May Freddie Mac 8100 Jones Branch Drive, Mail Stop – B4M McLean, VA 22102	Director

John Mealey Coachélla Valley Housing Coalition 43701 Morries, Suite G Indio, CA 92201  Herbert E. Morse 241 Perkins Street, Cästle il Jamaica Plain, MA 02130  Elizabeth Pugh Local Initiative Support Corporation 501 Seventh Avenue, 7th Floor New York, NY 10018  Edward J. Sigler Chase Community Development Real Estate One Chase Square, NY3-T081 Rochester, New York 14643 Sindy Spiyak Bank of America, Merrill Lynch 333 South Hope Street, 11th Floor Los Angeles, California 90071  Officers:  Joseph S. Hagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Kevin D. Boes National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Alex Dehja National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Alex Dehja National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Thomas Flamagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Thomas Flamagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Thomas Flamagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Thomas Flamagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Thomas Flamagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Thomas Flamagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Thomas Flamagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 Thomas Flamagan National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor Chicago, IL 60606-3908 The Harrison National Equity Fund, Inc. 120 South Riverside Plaza, 15th Floor
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120 South Riverside Plaza, 15 <sup>th</sup> Floor   Chicago, IL 60606-3908   Senior Vice President
Chicago, IL 60606-3908  Kevin D. Boes National Equity Fund, Inc. 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, IL 60606-3908  Alexi Denja National Equity Fund, Inc. 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, IL 60606-3908  Thomas Flanagán National Equity Fund, Inc. 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, IL 60606-3908  Thomas Flanagán National Equity Fund, Inc. 120 South Riverside Plaza, 15 <sup>th</sup> Floor Chicago, IL 60606-3908  Peter Harrison National Equity Fund, Inc. Senior Vice President Senior Vice President
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