

City of Chicago



R2015-405

Office of the City Clerk

Document Tracking Sheet

Meeting Date:

5/20/2015

Sponsor(s):

Munoz (22)

Type:

Resolution

Title:

Support of Class 6(b) tax incentive for property at 3535 W

31st St

Committee(s) Assignment:

Committee on Economic, Capital and Technology

Development

Flource

RESOLUTION FOR RENEWAL OF CLASS 6(B) REAL ESTATE TAX INCENTIVE FOR THE BENEFIT OF MRC POLYMERS, INC, AN ILLINOIS CORPORATION, AND REAL ESTATE LOCATED GENERALLY AT 3535 WEST 31ST STREET IN CHICAGO, ILLINOIS PURSUANT TO COOK COUNTY, ILLINOIS REAL PROPERTY ASSESSMENT CLASSIFICATION ORDINANCE

WHEREAS, the Cook County Board of Commissioners has enacted the Cook County Real Property Assessment Classification Ordinance, as amended from time to time (the "Ordinance"), which provides for, among other things, real estate tax incentives to property owners who build, rehabilitate, enhance and occupy property which is located within Cook County and which is used primarily for industrial purposes; and

WHEREAS, the City of Chicago (the "City"), consistent with the Ordinance, wishes to induce industry to locate, expand and remain in the City by supporting financial incentives in the form of property tax relief; and

WHEREAS, on August 30, 2000 the City Council of the City enacted a resolution supporting and consenting to the Class 6(b) classification by the Office of the Assessor of Cook County (the "Assessor") of certain property located generally at 3501 West 31st Street, Chicago, Illinois (the "Original Property") owned by MRC Polymers, Inc., an Illinois corporation (the "Applicant"); and

WHEREAS, the Assessor granted the Class 6(b) tax incentive in connection with the Subject Property in 2003; and

WHEREAS, the Applicant filed an application for renewal of the Class 6(b) classification with the Assessor of Cook County (the "Assessor") on October 13, 2013, pursuant to the Ordinance; and

WHEREAS, the Applicant is the owner of certain real estate located generally at 3535 West 31st Street, Chicago, Illinois 60623, as further described on <u>Exhibit A</u> hereto (the "**Subject Property**"), which Subject Property represents a portion of the Original Property; and

WHEREAS, Plastic Reclamation Partners, LLC, a Delaware limited liability company, is the lessee of the Subject Property, shares common ownership with the Applicant, and is a co-applicant for renewal of Class 6(b) classification; and

WHEREAS, it is the responsibility of the Assessor to determine that an application for a Class 6(b) classification or renewal of a Class 6(b) classification is eligible pursuant to the Ordinance; and

WHEREAS, the Ordinance requires that, in connection with the filing of a Class 6(b) renewal application with the Assessor, an applicant must obtain from the municipality in which such real estate is located a resolution expressly stating that the municipality has determined that the industrial use of the property is necessary and beneficial to the local economy and that the municipality supports and consents to the renewal of the Class 6(b) classification; now therefore,

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

SECTION 1: That the City determines that the industrial use of the Subject Property is necessary and beneficial to the local economy in which the Subject Property is located.

SECTION 2: That the City supports and consents to the renewal of the Class 6(b) classification with respect to the Subject Property.

SECTION 3: That the Clerk of the City of Chicago is authorized to and shall send a certified copy of this resolution to the Office of the Cook County Assessor, Room 312, County Building, Chicago, Illinois 60602 and a certified copy of this resolution may be included with the Class 6(b) renewal application filed with the Assessor by the Applicant, as applicant, in accordance with the Ordinance.

SECTION 4: That this resolution shall be effective immediately upon its passage and approval.

Honorable Ricardo Munoz Alderman, 22nd Ward

EXHIBIT A

Legal Description of Subject Property:

That part of the east half (except the west 30 feet thereof) of the west half of the northeast quarter of Section 35, Township 39 North, Range 13 East of the Third Principal Meridian, lying south of the south line of 31st Street and north of the north line of Atchison, Topeka and Santa Fe Railroad Company (also known as the Illinois Northern Railroad) west of the west line of South Homan Avenue extended, in Cook County, Illinois.

Parcel 1:

The west 333 feet of that part of the west half of the west half of the northeast quarter of Section 35, Township 39 North, Range 13 East of the Third Principal Meridian, lying north of that portion conveyed to the Chicago and Grand Trunk Railroad Company by deed recorded as Document Number 293080 (the right-of-way conveyed by said deed now commonly known as that of Illinois Northern Railway) (except that part thereof dedicated for South Central Park Avenue, by instrument recorded June 4, 1875 as Document Number 32096 and also except the north 33 feet thereof) in Cook County, Illinois.

Parcel 2:

The west half of the west half of the northeast quarter of Section 35, Township 39 North, Range 13 East of the Third Principal Meridian, lying south of the north 33 feet thereof and north of the northerly line of the right-of-way conveyed to the Chicago and Grand Trunk Railroad Company by deed recorded as Document Number 293080 (right-of-way conveyed by said deed now commonly known as that of the Illinois Northern Railway) except the west 333 feet of that part of the west half of the west half of the northeast quarter of Section 35, Township 39 North, Range 13 East of the Third Principal Meridian, lying north of that portion conveyed to the Chicago and Grand Trunk Railroad Company by deed recorded as Document 293080 (the right-of-way conveyed by said deed now commonly known as that of Illinois Northern Railway) and except that part thereof dedicated for South Central Park Avenue, by instrument recorded June 4, 1875 as Document Number 32096, in Cook County, Illinois.

Permanent Real Estate Tax Index Numbers (PINS) for the Subject Property:

16-35-200-001

16-35-200-002

16-35-200-007

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: |
|--|
| MRC Polymers, Inc. |
| Check ONE of the following three boxes: |
| Indicate whether the Disclosing Party submitting this EDS is: 1. [x] 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: 3535 W. 31st Street |
| Chicago, Illinois 60623 |
| C. Telephone: 773 890-5520 Fax: 815 221-6415 Email: bsola@mrcpolymers.com |
| D. Name of contact person: Mr. Robert Sola |
| 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): |
| 6B Tax Incentive Renewal 3535 W 31st Street |
| G. Which City agency or department is requesting this EDS? Department of Planning and Development |
| If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following: |
| Specification # N/A and Contract # |

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [] Person [] Limited liability company [] Limited liability partnership [] Publicly registered business corporation M Privately held business corporation [] Joint venture [] Sole proprietorship [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] General partnership [] Limited partnership []Yes []No [] Trust [] Other (please specify) 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? []Yes [] No [] 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. Title Name President and CEO and Director Paul Binks Chairman of the Board and Director Dean Eberhardt Brian A. Andersen 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,

CFO

Robert Sola _____

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 |
| Dean Eberhardt | 3535 W. 31st Street, Chicago, 60623 | 58.6% |
| Paul Eberhardt | 3535 W. 31st Street, Chicago, 60623 | 13.42% |
| David Lawson | 3307 S. Lawnsdale Ave., Chicago, 60 | 0623 9.54% |
| | • | |

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

[] Yes [X] No

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

N/A

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) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|--|-------------------------------|---|--|
| | | | |
| (Add sheets if necessar | ry) | | |
| [X] Check here if the Disc | losing. Party h | as not retained, nor expects to retain | , any such persons or entities. |
| SECTION V CERTIF | CICATIONS | | |
| A. COURT-ORDERED | CHILD SUPP | ORT COMPLIANCE | |
| - | | -415, substantial owners of business th their child support obligations thr | |
| | • | tly owns 10% or more of the Disclos ons by any Illinois court of competer | _ , |
| [] Yes [X] N | | 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 paymegreement? | ent of all support owed and |
| [] Yes [] N | o | | |
| B. FURTHER CERTIFIC | CATIONS | | |
| consult for defined terms submitting this EDS is the | (e.g., "doing Applicant ar | 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 controlling person is controlling person. | if the Disclosing Party nen 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 th | he Disclosing Party | y is unable to certi | ify to any of the a | bove statements in | this Part B (Furt | her |
|-------------|---------------------|----------------------|---------------------|--------------------|-------------------|-----|
| Certificati | ons), the Disclosin | g Party must expl | ain below: | | | |
| N/A | 1_ | | | | | |
| | | | | | | |
| | | | | | | |
| | _ | | | | | |
| | | | | | | |
| | | | | | | |

| 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"). N/A | | |
| | | |
| 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. N/A | | |
| | | |
| C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION | | |
| 1. The Disclosing Party certifies that the Disclosing Party (check one) | | |
| [] is [x] is not | | |
| a "financial institution" as defined in 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): N/A | | |
| 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

| - | · • | appears on the lines above, it will be ified to the above statements. | | | |
|--|--|--|--|--|--|
| D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS | | | | | |
| Any words or terms that a meanings when used in th | | 6 of the Municipal Code have the same | | | |
| | | Municipal Code: Does any official or employee name or in the name of any other person or | | | |
| NOTE: If you checked " Item D.1., proceed to Part | " | to Items D.2. and D.3. If you checked "No" to | | | |
| elected official or employ any other person or entity for taxes or assessments, o "City Property Sale"). Co | ee shall have a financial in in the purchase of any proportion (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. | | | |
| Does the Matter involve a | City Property Sale? | | | | |
| []Yes | [] No | | | | |
| <u>-</u> | _ | e names and business addresses of the City ify the nature of such interest: | | | |
| Name N/A | Business Address | Nature of Interest | | | |
| | | | | | |
| 4. The Disclosing Pa be acquired by any City of | | prohibited financial interest in the Matter will | | | |
| E. CERTIFICATION RE | GARDING SLAVERY ER | A BUSINESS | | | |

Page 8 of 13

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. | | | | |
|--|--|--|--|--|
| _X_1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records. | | | | |
| 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records: N/A | | | | |
| | | | | |
| 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): N/A | | | | |
| | | | | |
| (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 | | | | |

comply with these disclosure requirements may make any contract entered into with the City in

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".
- 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 I | Party the Applicant? | |
|--------------------------------|---|--|
| [] Yes | [] No | |
| If "Yes," answer t | he three questions belov | w: |
| - | leveloped and do you has? (See 41 CFR Part 60 | ave on file affirmative action programs pursuant to applicable 0-2.) |
| [] Yes | [] No | |
| Contract Complia | • | orting Committee, the Director of the Office of Federal qual Employment Opportunity Commission all reports due |
| 3. Have you pequal opportunity | • • • • | ous contracts or subcontracts subject to the |
| [] Yes | [] No | |
| If you checked "N | o" to question 1. or 2. a | 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.

| MRC Polymers, Inc. | <u> </u> |
|---|--------------------------------------|
| (Print or type name of Disclosing Party) | |
| By: All | |
| (Sign here) | · |
| Robert Sola | |
| (Print or type name of person signing) | |
| CFO | |
| (Print or type title of person signing) | |
| Signal and assessment by forms and are (data) 4-1 | 0-15 |
| | |
| at COOK County, TC (state). | OFFICIAL SEAL SEAL SCOULERN MEARRELL |
| Cille m. Fairele Notary | NOTADY DISEASE OF ATE OF HE BACKS |
| 10/3/17 | `` |
| Commission expires: | |

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 | [x] No | |
|----------------------|------------------------------------|---|
| such person is conne | cted; (3) the name and title of th | of such person, (2) the name of the legal entity to which e elected city official or department head to whom such nature of such familial relationship. |
| N/A | | |
| | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| 1. | building code scofflaw or problem I Code? | | - |
|----|---|-----------------------|--------------------|
| | [] Yes | [X] No | |
| 2. | If the Applicant is a legal entity public the Applicant identified as a buildin 2-92-416 of the Municipal Code? | | |
| | [] Yes | [] No | [X] Not Applicable |
| 3. | If yes to (1) or (2) above, please ide identified as a building code scoffla buildings to which the pertinent cod | w or problem landlord | |
| | • | | |

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATIONS MADE IN THIS APPENDIX B ARE SUBJECT TO THE CERTIFICATION MADE UNDER PENALTY OF PERJURY ON PAGE 12 OF THE ASSOCIATED EDS.

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: |
|---|
| Plastic Reclamation Partners, LLC |
| Check ONE of the following three boxes: |
| Indicate whether the Disclosing Party submitting this EDS is: 1. [X] 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: |
| C. Telephone: 773-635-1050 Fax: 773-377-8655 Email: DEberhardt@prprecycling.com |
| D. Name of contact person: Dean Eberhardt |
| 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): |
| 6B Tax Incentive Renewal 3535W 31st Street |
| G. Which City agency or department is requesting this EDS? <u>Department of Planning and Development</u> |
| 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 1. Indicate the nature of the Disclosing Party: [] Person [X] Limited liability company [] Limited liability partnership [] Publicly registered business corporation [] Privately held business corporation [] Joint venture [] Sole proprietorship [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] General partnership [] Limited partnership [] Yes []No [] Trust [] Other (please specify) 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Delaware 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? []N/A [X] Yes []No 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 Title _____Chief Executive Officer Dean Eberhardt John Hartwell Chief Operating Officer

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 | 9 |
|--------------------------------------|--|--|----------|
| Plastic Reclama | tion Partners Holdings, LLC_ 99 Rive | r Road, Cos Cob, CT06807 100% | |
| | | <u> </u> | |
| SECTION III I | BUSINESS RELATIONSHIPS W | TITH CITY ELECTED OFFICIALS | |
| | ing Party had a "business relationsh ty elected official in the 12 months | hip," as defined in Chapter 2-156 of the Mobelore the date this EDS is signed? | unicipal |
| [] Yes | [x] No | | |
| If yes, please identrelationship(s): | tify 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 whether retained or anticipated to be retained) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|--|---------------------|--|--|
| | | | |
| (Add sheets if necessary) | | | |
| [X] Check here if the Disc | losing Party h | as not retained, nor expects to retain | n, any such persons or entities |
| SECTION V CERTII | FICATIONS | | |
| A. COURT-ORDERED | CHILD SUP | PORT COMPLIANCE | |
| - | | -415, substantial owners of business th their child support obligations thr | |
| | | tly owns 10% or more of the Disclorons by any Illinois court of compete | |
| [] Yes [X] N | | To person directly or indirectly owns sclosing Party. | 10% or more of the |
| If "Yes," has the person of is the person in compliant | | court-approved agreement for paym greement? | ent of all support owed and |
| []Yes []N | o | | |
| B. FURTHER CERTIFI | CATIONS | | |
| consult for defined terms | (e.g., "doing | apter 1-23, Article I ("Article I")(wh business") and legal requirements), | if the Disclosing Party |

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: |
| N/A |
| |
| |
| |
| |
| |

| 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"). N/A | | | | | |
| | | | | | |
| 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 th 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. N/A | | | | | |
| | | | | | |
| C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION | | | | | |
| 1. The Disclosing Party certifies that the Disclosing Party (check one) | | | | | |
| [] is [X] is not | | | | | |
| a "financial institution" as defined in 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): N/A | | | | | |
| | | | | | |

| • | word "None," or no response a that the Disclosing Party certif | appears on the lines above, it will be fied to the above statements. |
|---|--|--|
| D. CERTIFICATION | REGARDING INTEREST IN | CITY BUSINESS |
| Any words or terms that meanings when used in | _ | of the Municipal Code have the same |
| | cial interest in his or her own | Nunicipal Code: Does any official or employee name or in the name of any other person or |
| [] i es | [<u>x</u>] No | |
| NOTE: If you checked Item D.1., proceed to Pa | · • | to Items D.2. and D.3. If you checked "No" to |
| elected official or empl any other person or enti- for taxes or assessments "City Property Sale"). | oyee shall have a financial inte ity in the purchase of any prop s, 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 involve | e a City Property Sale? | |
| [] Yes | [] No | |
| <u>-</u> | Yes" to Item D.1., provide the naving such interest and identi- | names and business addresses of the City fy the nature of such interest: |
| Name N/A | Business Address | Nature of Interest |
| | | |
| | | |
| 4. The Disclosing be acquired by any City | - | prohibited financial interest in the Matter will |

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. |
|---|
| \underline{x} 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records. |
| 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records: |
| |
| SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS |
| NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding. |
| A. CERTIFICATION REGARDING LOBBYING |
| 1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): N/A |
| • |
| (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 b 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.

- 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 Par | ty the Applicant? |
|---------------------------------------|---|
| []Yes | []No |
| If "Yes," answer the | three questions below: |
| • | eloped and do you have on file affirmative action programs pursuant to applicable (See 41 CFR Part 60-2.) |
| [] Yes | [] No |
| • | d with the Joint Reporting Committee, the Director of the Office of Federal Programs, or the Equal Employment Opportunity Commission all reports due filing requirements? |
| []Yes | [] No |
| 3. Have you par equal opportunity cla | ticipated in any previous contracts or subcontracts subject to the nuse? |
| []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.

- 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:

- 1 I Des Obedoeing Party is an definquent in the papinent of any two administration the the other individual control of the other individual control defination in a second of the case of
- is In the Preclasing Party is the Applicant, the Directant, Party and the Applicant Feature, and so we was not pertuit the W.S. E.P. I. on the Seat of the state of the Manufacture to ago, any finally limited by the U.S. E.P. I. on the Seat of the state of the Manufacture of the
- The Disclosing Pany is the Applicant, the Disclosing from will observe from the continuence continuence to the disclosing Pany is the Applicant, the Disclosing from the Mater continuence continuence to the bid on the P.2. above and will not, without the proceeding of the City, use my such continuence therefore that does not provide such certification. A list of Disclosing Pany has certain to believe has not provided or cannot provide such in their castification.

NOTE: If he Diedosing Barry common confly as to my of the name in F.A. I a or F.A. there is a confly as to my of the name in F.A. I a or F.A. there is a confly as to my of the name in F.A. I are F.A. there is a confly as to my of the name in F.A. I are F.A. there is a confly as to my of the name in F.A. I are F.A. there is a confly as to my of the name in F.A. I are F.A. there is a confly as to my of the name in F.A. I are F.A. there is a confly as to my of the name in F.A. I are F.A. there is a confly as the name in F.A. I are F.A. there is a confly as the name in F.A. I are F.A. there is a confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. I are F.A. the confly as the name in F.A. the name in F.A. the confly as the name in F.A. the na

CERTIFICATION

There peoples of perjugs the person signing belows (II) extreme that he have a construct in the EDS and Appendix A (Al applicable) on behalf of the Disclosing Pany, and the construction and statements contained in this EDS and Appendix A (Al applicable) we have and compiled as of the disc fundated in the City.

Phylic Brehmenthon Barner Mic.

(Perm or byse w mood Disclosing Purp)

Phy _

्रिकाम विकास के मही

There of he for a some of from to a ste out of

Giffeld Executive Officer

(भागा का एक एक १००० वर्ग क्या किए । जा का

description of course of the contraction of the con

Comm

(3)11(3)).

Rokers Gable.

GO USER MINEY

Chied Carroll Bulletin Control

THE FROM WHAT WITHE

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 | [X] No | |
|----------------------|--------------------------------------|---|
| such person is conne | ected; (3) the name and title of the | of such person, (2) the name of the legal entity to which e elected city official or department head to whom such nature of such familial relationship. |
| | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| l. | | | e Applicant or any Owner identified as a to Section 2-92-416 of the Municipal | |
|----|--|---------|---|--|
| | [] Yes | [X] No | | |
| 2. | If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code? | | | |
| | [] Yes | [] No | [X] Not Applicable | |
| 3. | If yes to (1) or (2) above, please identify below the name of the person or legal entity identified as a building code scofflaw or problem landlord and the address of the building of buildings to which the pertinent code violations apply. | | | |
| | | | | |

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATIONS MADE IN THIS APPENDIX B ARE SUBJECT TO THE CERTIFICATION MADE UNDER PENALTY OF PERJURY ON PAGE 12 OF THE ASSOCIATED EDS.

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: |
|--|
| Plastic Reclamation Partners Holdings, LLC |
| Check ONE of the following three boxes: |
| Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR |
| 2. [X] 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: Plastic Reclamation Partners, LLC |
| 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: C/O Pegasus Capital Advisors |
| B. Business address of the Disclosing Party: 99 River Road |
| Cos Cob, CT 06807 |
| C. Telephone: 203 869 4400 Fax: 203 869 6940 Email: mSlivka@pcalp.com D. Name of contact person: Max Slivka |
| 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): |
| 6B Tax Incentive Renewal, 3535 W 31st Street |
| G. Which City agency or department is requesting this EDS? Department of Planning and Development |
| If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following: |
| Specification # N/A and Contract # |

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

| | • |
|---|--|
| Indicate the nature of the Disclosing Pa Person Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership Limited partnership Trust | [] Limited liability company [] Limited liability partnership [] Joint venture [] 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 | country) of incorporation or organization, if applicable: |
| Delaware | |
| 3. For legal entities not organized in the S business in the State of Illinois as a foreign en | state of Illinois: Has the organization registered to do tity? |
| [] Yes [X] No | [] N/A |
| B. IF THE DISCLOSING PARTY IS A LEG | AL ENTITY: |
| NOTE: For not-for-profit corporations, also li there are no such members, write "no member the legal titlcholder(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 s." For trusts, estates or other similar entities, list below I 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 |
| Dean Eberhardt | Managing Member |
| | |
| | |
| | |

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 | Dusiness Aud | 1688 | refeemage interest in the | |
|-------------------------|-------------------------|-----------------------|---|--------------|
| | | | Disclosing Party | |
| PP V (AIV) MRH, LI | C C/O Pegasus Ca | <u>pital Advisors</u> | 99 River Road, Cos Cob, DE 06807 | 51.5% |
| Material Recovery Ho | ldings, LLC 3535 | W 31st Street | , Chicago, IL 60623 | 46.7% |
| | | | | |
| | | | | _ |
| | | | | |
| SECTION III BU | SINESS RELATIO | NSHIPS W | ITH CITY ELECTED OFFICIAL | Sن |
| | | | | |
| | • | | ip," as defined in Chapter 2-156 of the | he Municipal |
| Code, with any City | elected official in the | 2 12 months b | perfore the date this EDS is signed? | |
| []Yes | [x] No | | | |
| [] 103 | M NO | | | |
| If yes, please identify | below the name(s) | of such City of | elected official(s) and describe such | |
| relationship(s): | | | | |
| | | | | |
| | | <u>i</u> | | |
| | | | - | |

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) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fces (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|--|---------------------|---|--|
| | | | · · · · · · · · · · · · · · · · · · · |
| (Add sheets if necessary) | | | |
| [k] Check here if the Disc | losing Party h | as not retained, nor expects to retain | a, any such persons or entities |
| SECTION V CERTIF | CICATIONS | | |
| A. COURT-ORDERED | CHILD SUPF | 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 competer | |
| [] Yes [X] N | | To person directly or indirectly owns sclosing Party. | 10% or more of the |
| If "Yes," has the person c is the person in compliance | | court-approved agreement for paymegreement? | ent of all support owed and |
| []Yes []N | o | | |
| B. FURTHER CERTIFIC | CATIONS | | |
| | • | apter 1-23, Article I ("Article I")(wh business") and legal requirements), i | |

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 incligibility 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 | ng Party is unable to certify | y to any of the above sta | tements in this | Part B (Further |
|-------------------------|-------------------------------|---------------------------|-----------------|-----------------|
| Certifications), the Di | sclosing Party must explai | in below: | | |
| _N/A | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| 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"). N/A |
| |
| 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. N/A |
| |
| C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION |
| 1. The Disclosing Party certifies that the Disclosing Party (check one) |
| [] is [X] is not |
| a "financial institution" as defined in 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 |
|---|---|---|
| | ked "Yes" to Item D.1., provide the cees having such interest and identi | e names and business addresses of the City fy the nature of such interest: |
| [] Yes | [] No | |
| Does the Matter in | volve a City Property Sale? | |
| elected official or any other person of for taxes or assessi "City Property Sale | employee shall have a financial into r entity in the purchase of any prop ments, 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 erry 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 powerning 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 | Aunicipal Code: Does any official or employee name or in the name of any other person or |
| Any words or term meanings when us | _ | of the Municipal Code have the same |
| D. CERTIFICATI | ON REGARDING INTEREST IN | CITY BUSINESS |
| | med that the Disclosing Party certi | |
| If the letters "NA." | the word "None," or no response a | annears 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. |
|--|
| X_1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records. |
| 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records: N/A |
| |
| 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.I. 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.

- 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 I | Party the Applicant? | |
|--|--|--|
| [] Yes | [] No | |
| If "Yes," answer to | he three questions belo | w: |
| • | eveloped and do you has? (See 41 CFR Part 60 | ave on file affirmative action programs pursuant to applicab 0-2.) |
| Contract Complian | • | orting Committee, the Director of the Office of Federal qual Employment Opportunity Commission all reports due |
| 3. Have you p equal opportunity [] Yes | • • • • | ious contracts or subcontracts subject to the |
| If you checked "N | o" to question 1. or 2. a | 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, not 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.

| Plastic Reclamation Partners Holdings, LLC (Print or type name of Disclosing Party) | | |
|---|-----------------------------|---|
| Ву: | | |
| (Sign here) Dean Eberhardt | _ | |
| (Print or type name of person signing) | | |
| Managing Member (Print or type title of person signing) | _ | |
| Signed and sworn to before me on (date) at County, Ilinois | <u>5/13/15</u> _(state). | |
| Elaine Iniffi | _ Notary Public. | |
| Commission expires: 9/5/18 | | ELAINE GRIFFIN OFFICIAL SEAL Notary Public, State of Illinois My Commission Expires |
| | Page 12 of 13 | September 05, 2018 |

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?

| [X] No | |
|------------------------------------|---|
| ted; (3) the name and title of the | e of such person, (2) the name of the legal entity to which the elected city official or department head to whom such a nature of such familial relationship. |
| | |
| | ify below (1) the name and title ted; (3) the name and title of th |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| Ι. | Pursuant to Municipal Code Section building code scofflaw or problem l Code? | - | • |
|----|--|-----------------------|--------------------|
| | [] Yes | [X] No | |
| 2. | If the Applicant is a legal entity pub the Applicant identified as a buildin 2-92-416 of the Municipal Code? | • | ~ · |
| | [] Yes | [] No | [X] Not Applicable |
| 3. | If yes to (1) or (2) above, please ide identified as a building code scoffla buildings to which the pertinent code | w or problem landlord | |
| | | | |

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATIONS MADE IN THIS APPENDIX B ARE SUBJECT TO THE CERTIFICATION MADE UNDER PENALTY OF PERJURY ON PAGE 12 OF THE ASSOCIATED EDS.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

| A. Legal name of the Disclosing Party submitti | ng this EDS. Include d/b/a/ if applicable: |
|--|---|
| Material Recovery Holdings, LLC | |
| Check ONE of the following three boxes: | · |
| Indicate whether the Disclosing Party submitting 1. [] the Applicant | g this EDS is: |
| OR | |
| , | ct interest in the Applicant. State the legal name of the olds an interest: Plastic Reclamation Partners, LLC |
| 3. [] a legal entity with a right of control (so which the Disclosing Party holds a ri | ee Section II.B.1.) State the legal name of the entity in control: |
| B. Business address of the Disclosing Party: | 3535 W. 31st Street |
| | Chicago, Illinoios 60623 |
| C. Telephone: <u>773-890-5520</u> Fax: <u>773-3</u> | 77-8655 Email: bsola@mrcpolymers.com |
| D. Name of contact person: Bob Sola | |
| E. Federal Employer Identification No. (if you h | ave one): |
| F. Brief description of contract, transaction or o which this EDS pertains. (Include project numb | ther undertaking (referred to below as the "Matter") to er and location of property, if applicable): |
| 6B Tax Incentive Renewal 3535 W. 3 | 1st Sreet |
| G. Which City agency or department is requesti | ng this EDS? Department of Planning and Development |
| If the Matter is a contract being handled by the complete the following: | e City's Department of Procurement Services, please |
| Specification #N/A | and Contract # |
| | |

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [] Person [] Limited liability company [x] Limited liability partnership [] Publicly registered business corporation Privately held business corporation [] Joint venture [] Sole proprietorship [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] General partnership [] Limited partnership [] Yes [] No [] Trust [] Other (please specify) 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinios 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 []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 Title Managing Partner _Robert Sola

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 | | rcentage Interest in sclosing Party | n the |
|---------------------|--|-------------------|-------------------------------------|---------------|
| See page 3a attach | ed hereto. | | | |
| | | | • | -1 |
| | · · · · · · · · · · · · · · · · · · · | | | |
| | | 1 | | |
| | ing Party had a "business relation ty elected official in the 12 mon | • | | |
| []Yes | [X] No | ing polotic the t | | |
| If ves, please iden | ify below the name(s) of such (| City elected off | icial(s) and describ | c 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.

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

2.

| Name | Business Address | Percentage Interest in the Disclosing Party |
|------------------------|---------------------------------|---|
| Dean Eberhardt Trust * | 3535 W. 31 st Street | 35.33% |
| Dean Eberhardt | 3535 W. 31 st Street | 18.10% |
| David Lawson | 3307 S. Lawndale | 7.06% |
| Paul D. Eberhardt | 3535 W. 31st Street | 9.94% |
| David Eberhardt | 3535 W. 31 st Street | 15.07% |
| Robert Sola | 3307 S. Lawndale | <7.5% |

^{*}Dean Eberhardt is the sole beneficiary of the Dean Eberhardt Trust

| Name (indicate whether retained or anticipated to be retained) | r Busiņess Address | Relationship to (subcontractor, a lobbyist, etc.) | Disclosing Party attorney, | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|--|--|---|--|---|
| | · · · · · · · · · · · · · · · · · · · | | | |
| | | · · · · · · · · · · · · · · · · · · · | Control of the Contro | |
| | · · · · · · · · · · · · · · · · · · · | | | |
| | | | <u> </u> | |
| (Add sheets if necessary | y) | | | |
| | • | | | |
| [X] Check here if the Di | sclosing Party ha | is not retained, no | r expects to retain | , any such persons or entities |
| SECTION V CERT | TELC L'ELONG | | : | |
| SECTION V CERT | IFICATIONS | | | • |
| A. COURT-ORDEREI | CHILD SUPP | ORT COMPLIAN | ICE | |
| | _ | | | |
| · · · · | | , , | ٠. | entities that contract with |
| the City must remain in | compliance with | h their child suppo | ort obligations thr | oughout the contract's term. |
| Has any person who dirarrearage on any child s | • | | • | sing Party been declared in nt jurisdiction? |
| [] Yes [x] | | o person directly c sclosing Party. | or indirectly owns | 10% or more of the |
| If "Yes," has the person is the person in complia | | | reement for paym | ent of all support owed and |
| [] Yes [] | No | | | |
| B. FURTHER CERTIF | FICATIONS | | | |
| consult for defined term submitting this EDS is | ns (e.g., "doing b the Applicant an | ousiness") and lega d is doing busines | al requirements), is with the City, th | |

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
 - c. 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: | |
| | |
| | |
| | - |
| | - |
| · | |

| | IA," the word "None," or no response appears on the lines above, it will be conclusivel the Disclosing Party certified to the above statements. |
|--|--|
| complete list of month period p of the City of C | pest of the Disclosing Party's knowledge after reasonable inquiry, the following is a fall current employees of the Disclosing Party who were, at any time during the 12-preceding the execution date of this EDS, an employee, or elected or appointed official, Chicago (if none, indicate with "N/A" or "none"). |
| N/A | |
| | |
| complete list of 12-month period official, of the made generally course of offici with "N/A" or | cest of the Disclosing Party's knowledge after reasonable inquiry, the following is a fall gifts that the Disclosing Party has given or caused to be given, at any time during to dispreceding the execution date of this EDS, to an employee, or elected or appointed City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything available to City employees or to the general public, or (ii) food or drink provided in the last City business and having a retail value of less than \$20 per recipient (if none, indication of the City recipient. |
| | |
| | |
| C. CERTIFICA | ATION OF STATUS AS FINANCIAL INSTITUTION |
| 1. The Disc | closing Party certifies that the Disclosing Party (check one) |
| [| [x] is not |
| a "financial ins | titution" as defined in Section 2-32-455(b) of the Municipal Code. |
| 2. If the Di | isclosing Party IS a financial institution, then the Disclosing Party pledges: |
| Code. We furth | d will not become a predatory lender as defined in Chapter 2-32 of the Municipal her pledge that none of our affiliates is, and none of them will become, a predatory ed in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory ning an affiliate of a predatory lender may result in the loss of the privilege of doing the City." |
| Section 2-32-45 2-32 of the Mu | ng Party is unable to make this pledge because it or any of its affiliates (as defined in 55(b) of the Municipal Code) is a predatory lender within the meaning of Chapter unicipal Code, explain here (attach additional pages if necessary): |

| | | | | | - · · · · |
|--|--|--|--|--|----------------------|
| | the word "None," or no respon ned that the Disclosing Party co | | • | | |
| D. CERTIFICATIO | N REGARDING INTEREST | IN CITY BUSIN | ESS | | |
| Any words or terms meanings when used | that are defined in Chapter 2- I in this Part D. | 156 of the Municip | pal Code hav | e the same | |
| | e with Section 2-156-110 of the nancial interest in his or her over | _ | | | |
| [] Yes | [x] No | | | · - • · | |
| Item D.1., proceed t 2. Unless sold pelected official or er any other person or | ked "Yes" to Item D.1., process of E. oursuant to a process of compenployee shall have a financial entity in the purchase of any pents, or (iii) is sold by virtue of | titive bidding, or o interest in his or h roperty that (i) bel | otherwise per ier own name ongs to the C | mitted, no Good on the name of the contract of | ity ne of sold |
| "City Property Sale" |). Compensation for property financial interest within the n | taken pursuant to | the City's em | | |
| Does the Matter inv | olve a City Property Sale? | * | | | |
| []Yes | [] No | | | | |
| | ed "Yes" to Item D.1., provide es having such interest and ide | | | | t y |
| Name N/A | Business Address | Natur | e of Interest | | <u> </u> |

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. |
|---|
| X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records. |
| 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records: |
| |
| |
| |
| SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS |
| NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding. |
| A. CERTIFICATION REGARDING LOBBYING |
| 1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): N/A |
| · · · · · · · · · · · · · · · · · · · |
| (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. |

comply with these disclosure requirements may make any contract entered into with the City in

- 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.

| negotiations. | | | | |
|--|--|---|-----------------------|----------|
| Is the Disclosing P | arty the Applicant? | , | * | |
| [] Yes | [] No | | . 1 | |
| If "Yes," answer th | ic three questions below | 1.0 9 | | |
| | eveloped and do you hav ? (See 41 CFR Part 60- [] No | ve on file affirmative action page.) | ograms pursuant to ap | plicable |
| Contract Complian under the applicable | ce Programs, or the Equ e filing requirements? | ting Committee, the Director al Employment Opportunity (| | |
| [] Yes | [] No | | | |
| 3. Have you pa | | us contracts or subcontracts s | ubject to the | |
| []Yes | [] No | | | |
| If you checked "No | o" to question 1. or 2. ab | ove, please provide an explar | pation: | |
| | | | | |
| | | | | |

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.

| (Print or type name of Disclosing Party) | | |
|---|--|---|
| By: MM | To the second se | |
| (Sign here) | | |
| Robert Sola | <u></u> | |
| (Print or type name of person signing) | . · | |
| Managing Member (Print or type title of person signing) | | |
| (Film of type time of person signing) | | |
| Signed and sworn to before me on (date) | 4-17-15 | , |
| at <u>cook</u> county, <u>L</u> | (state). | (************************************* |
| Calle M. Farrele | Notary Public. | OFFICIAL SEAL COLLEEN M FARRELL |
| Commission expires: 10/3/17 | <u></u> - | NOTARY PUBLIC - STATE OF ILLINOIS MY COMMISSION EXPIRES:10/03/17 |
| | | |

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, nicce 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. I.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 | [X] No | |
|-----------------------|-------------------------------------|--|
| such person is connec | eted; (3) the name and title of the | e of such person, (2) the name of the legal entity to which he elected city official or department head to whom such e nature of such familial relationship. |
| | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| 1. | | | pplicant or any Owner identified as a Section 2-92-416 of the Municipal | |
|----|--|----------|--|--|
| | [] Yes | [x] No | • | |
| 2. | If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code? | | | |
| | [] Yes | [] No | [X] Not Applicable | |
| 3. | If yes to (1) or (2) above, please identify below the name of the person or legal entity identified as a building code scofflaw or problem landlord and the address of the building of buildings to which the pertinent code violations apply. | | | |
| | | <u> </u> | | |

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATIONS MADE IN THIS APPENDIX B ARE SUBJECT TO THE CERTIFICATION MADE UNDER PENALTY OF PERJURY ON PAGE 12 OF THE ASSOCIATED EDS.

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: |
|--|
| PP V (AIV) MRH, LLC |
| Check ONE of the following three boxes: |
| Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR 2. [X] 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: Plastic Reclamation Partners, LLC 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: C/O Pegasus Capital Advisors B. Business address of the Disclosing Party: 99 River Road |
| B. Business address of the Disclosing Party: 99 River Road Cos Cob, CT 06807 |
| C. Telephone: 203 869 4400 Fax: 203 869 6940 Email: mSlivka@pcalp.com D. Name of contact person: Max Slivka 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): |
| 6B Tax Incentive Renewal 3535 W. 31st Street |
| G. Which City agency or department is requesting this EDS? <u>Department of Planning and Development</u> |
| 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

| Indicate the nature of the Disclosing Page 1 Person Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership Limited partnership Trust | [X] Limited liability company [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No [] Other (please specify) |
|---|---|
| 2. For legal entities, the state (or foreign of | country) of incorporation or organization, if applicable: |
| Delaware | |
| 3. For legal entities not organized in the Stusiness in the State of Illinois as a foreign en | State of Illinois: Has the organization registered to do utity? [] N/A |
| () Tes (X) Tes | []TVA |
| B. IF THE DISCLOSING PARTY IS A LEG | GAL ENTITY: |
| NOTE: For not-for-profit corporations, also lethere 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 nar | all executive officers and all directors of the entity. ist below all members, if any, which are legal entities. If rs." For trusts, estates or other similar entities, list below d partnership, limited liability company, limited liability me and title of each general partner, managing member, atrols the day-to-day management of the Disclosing Party. abmit an EDS on its own behalf. |
| Name | Title |
| Name Daniel Stencel | Chief Financial Officer |
| Pegasus Partners V, LP * | |
| • | |
| Pegasus Partners V, LP is an institutional investigation of the Partners V is contractually restricted from disc | stment Fund that pools nmerous limited partners. Pegasus closing its limited partners. |

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

| | C/O Pegasus Captital Advisors | Disclosing Party |
|--|--|---|
| Pegasus Partners V, LP * | 99 River Road, Cos Cob, CT 06807 | 100% |
| *Pegasus Partners V, LP i partners. Pegasus Partn | is an institutional investment fund that ers V is contractually restricted from d | pools investments from numerous limited isclosing its limited partners. |
| | VESS RELATIONSHIPS WITH (| |
| - | • | defined in Chapter 2-156 of the Municipal |
| Code, with any City elec | ted official in the 12 months before | the date this EDS is signed? |
| [] Yes | [x] No | |
| If yes, please identify be relationship(s): | low the name(s) of such City elected | d official(s) and describe such |
| N/A | | |
| | | |
| | | |

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) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|--|--|---|---|
| | | | |
| (Add sheets if necessary) | | | |
| [X] Check here if the Disc | closing Party h | as not retained, nor expects to retain | i, any such persons or entities |
| SECTION V CERTI | FICATIONS | | |
| A. COURT-ORDERED | CHILD SUPF | PORT COMPLIANCE | |
| - | | -415, substantial owners of business th their child support obligations thr | |
| · - | - | tly owns 10% or more of the Disclos ons by any Illinois court of competer | |
| []Yes [X] N | | o person directly or indirectly owns sclosing Party. | 10% or more of the |
| If "Yes," has the person is the person in complian | | court-approved agreement for paymegreement? | ent of all support owed and |
| [] Yes [] N | lo | | |
| B. FURTHER CERTIFI | CATIONS | | |
| consult for defined terms submitting this EDS is th certifies as follows: (i) no | (e.g., "doing le Applicant are ither the Applicant are | apter 1-23, Article I ("Article I")(wh business") and legal requirements), in and is doing business with the City, the licant nor any controlling person is content to the convicted 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 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: |
|--|
| N/A |
| |
| |
| |

| 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 offici of the City of Chicago (if none, indicate with "N/A" or "none"). N/A | al, |
| 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 durin 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) anythi made generally available to City employees or to the general public, or (ii) food or drink provided i course of official City business and having a retail value of less than \$20 per recipient (if none, indiwith "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A | ng n th |
| C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION | |
| 1. The Disclosing Party certifies that the Disclosing Party (check one) | |
| [] is [X] is not | |
| a "financial institution" as defined in 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): N/A | |

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

| | the word "None," or no response a med that the Disclosing Party certi | appears on the lines above, it will be fied to the above statements. |
|---|--|---|
| D. CERTIFICATION | ON REGARDING INTEREST IN | CITY BUSINESS |
| Any words or terms meanings when use | | of the Municipal Code have the same |
| of the City have a fentity in the Matter | inancial interest in his or her own? | Aunicipal Code: Does any official or employee name or in the name of any other person or |
| []Yes | [X] No | |
| NOTE: If you che Item D.1., proceed | · • | to Items D.2. and D.3. If you checked "No" to |
| elected official or e any other person or for taxes or assessn "City Property Sale | mployee shall have a financial into 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 gal 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 inv | volve a City Property Sale? | |
| [] Yes | [] No | |
| • | ed "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: |
| Name N/A | Business Address | Nature of Interest |
| | | *************************************** |
| | | |
| | | |

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

| x 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records. | | | |
|---|--|--|--|
| 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records: N/A | | | |
| 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. | | | |

comply with these disclosure requirements may make any contract entered into with the City in

connection with the Matter voidable by the City.

- 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.

| 2 . | |
|--|---|
| Is the Disclosing Party | the Applicant? |
| []Yes | [] No |
| If "Yes," answer the thr | ree questions below: |
| 1. Have you develo federal regulations? (Se | ped and do you have on file affirmative action programs pursuant to applicable see 41 CFR Part 60-2.) |
| [] Yes | [] No |
| | rith the Joint Reporting Committee, the Director of the Office of Federal rograms, or the Equal Employment Opportunity Commission all reports due ng requirements? [] No |
| 3. Have you participequal opportunity clause | pated in any previous contracts or subcontracts subject to the |
| [] Yes | [] No |
| If you checked "No" to | question 1. or 2. above, please provide an explanation: |
| | |

SECTION VII - ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIËS, 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

PP V (AIV) MRH, LLC

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.

Beneficially Owned By:

Pegasus Partners V, L.P.

By: Pegasus Investors V, L.P.,
 Its Managing Member

By: Pegasus Investors V (GP), L.L.C.,
 Its General Partner

By: Name: Daniel Stencel
 Title: Chief Financial Officer

Signed and sworn to before me on (date) May 4 2015

at New Yorld County, NY (state).

Tolk V Dolan Notary Public.

Commission expires: April 6, 2019

JOHN P. DOLAN
Notary Public, State of New York
Registration #01D06322374
Qualified In Queens County
Commission Expires April 6, 2019

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?

fv1 No

I l Yes

| () | ואן ייי | |
|-----------------------|-------------------------------------|---|
| such person is connec | cted; (3) the name and title of the | of such person, (2) the name of the legal entity to which elected city official or department head to whom such nature of such familial relationship. |
| N/A | | |
| | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| 1. | building code scofflaw or problem l. Code? | | |
|----|--|-------------------------|--------------------|
| | [] Yes | [x] No | |
| 2. | If the Applicant is a legal entity publ the Applicant identified as a building 2-92-416 of the Municipal Code? | | |
| | [] Yes | [] No | [X] Not Applicable |
| 3. | If yes to (1) or (2) above, please identified as a building code scofflar buildings to which the pertinent cod | w or problem landlord a | |
| | | | |

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATIONS MADE IN THIS APPENDIX B ARE SUBJECT TO THE CERTIFICATION MADE UNDER PENALTY OF PERJURY ON PAGE 12 OF THE ASSOCIATED EDS.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

| A. Legal name of the Disclosing Party submitti | ng this EDS. Include d/b/a/ if applicable: |
|--|---|
| Dean Eberhardt Trust | |
| Check ONE of the following three boxes: | |
| Applicant in which the Disclosing Party h OR | ect interest in the Applicant. State the legal name of the olds an interest: <u>plastic Reclamation Partners, LLC</u> |
| which the Disclosing Party holds a right of e | ce Section II.B.1.) State the legal name of the entity in control: |
| B. Business address of the Disclosing Party: | 3535 W, 31st Street |
| "= -" | Chicago, IL 60623 |
| C. Telephone: Fax: | Email: |
| D. Name of contact person: Dean Eberhardt | |
| E. Federal Employer Identification No. (if you l | have one): |
| F. Brief description of contract, transaction or of which this EDS pertains. (Include project numbers) | other undertaking (referred to below as the "Matter") to ber and location of property, if applicable): |
| 6B Tax Incentive Renewal 3131 W. 31st St | reet |
| G. Which City agency or department is request | ing this EDS? Department of Planning and Development |
| If the Matter is a contract being handled by to complete the following: | he City's Department of Procurement Services, please |
| Specification # N/A | and Contract # |

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party: [] Person [] Limited liability company [] Publicly registered business corporation [] Limited liability partnership [] Privately held business corporation [] Joint venture [] Sole proprietorship [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] General partnership [] Limited partnership []Yes [] No [] Other (please specify) [X] Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? [] Yes [] N/A [] No 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 Title Dean Eberhardt Trustee

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 | Dusiliess Address | retechage interest in the |
|---|----------------------------------|--|
| | | Disclosing Party |
| Dean Eberhardt | 3535 W. 21st Street | 100% |
| | | |
| | | |
| | | |
| | | |
| SECTION III BU | JSINESS RELATIONSHIPS W | ITH CITY ELECTED OFFICIALS |
| | ~ · | nip," as defined in Chapter 2-156 of the Municipal before the date this EDS is signed? |
| [] Yes | [X] No | |
| If yes, please identif relationship(s): | y below the name(s) of such City | clected 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 whether retained or anticipated to be retained) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|--|------------------------------------|---|--|
| | | | |
| (Add sheets if necessary | /) | | |
| [X] Check here if the Dis | sclosing Party h | as not retained, nor expects to retain | a, any such persons or entities |
| SECTION V CERT | IFICATIONS | | |
| A. COURT-ORDERED | CHILD SUPE | PORT COMPLIANCE | |
| - | | 2-415, 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 [X] | | To person directly or indirectly owns sclosing Party. | 10% or more of the |
| If "Yes," has the person is the person in complia | | court-approved agreement for paym greement? | ent of all support owed and |
| []Yes [] | No | | |
| B. FURTHER CERTIF | CICATIONS | | |
| consult for defined term submitting this EDS is t | s (e.g., "doing he Applicant ar | apter 1-23, Article I ("Article I")(wh business") and legal requirements), and is doing business with the City, the licant nor any controlling person is o | if the Disclosing Party nen the Disclosing Party |

Page 4 of 13

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: |
| N/A |
| |
| |
| |
| |

| | the word "None," or no response a ned that the Disclosing Party certi | appears on the lines above, it will be fied to the above statements. |
|---|--|--|
| D. CERTIFICATIO | ON REGARDING INTEREST IN | CITY BUSINESS |
| Any words or terms meanings when use | - | of the Municipal Code have the same |
| | nancial 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 che Item D.1., proceed | · - | to Items D.2. and D.3. If you checked "No" to |
| elected official or e any other person or for taxes or assessm "City Property Sale | mployee shall have a financial into entity in the purchase of any prop tents, 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, seen pursuant to the City's eminent domain power ning of this Part D. |
| Does the Matter inv | olve a City Property Sale? | |
| [] Yes | [] No | |
| = | ed "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: |
| Name N/A | Business Address | Nature of Interest |
| | | ······································ |

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by 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. |
|---|
| X_1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records. |
| 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records: |
| |
| SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS |
| NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding. |
| A. CERTIFICATION REGARDING LOBBYING |
| 1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): N/A |
| |
| 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.) |

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".
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

| Is the Disclosing Party th | e Applicant? |
|---|--|
| []Yes | [] No |
| If "Yes," answer the thre | e questions below: |
| 1. Have you develop federal regulations? (See | ed and do you have on file affirmative action programs pursuant to applicable 41 CFR Part 60-2.) |
| [] Yes | [] No |
| • | th the Joint Reporting Committee, the Director of the Office of Federal grams, or the Equal Employment Opportunity Commission all reports due g requirements? [] No |
| 3. Have you participate equal opportunity clause? | ated in any previous contracts or subcontracts subject to the |
| [] Yes | [] No |
| If you checked "No" to q | uestion 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.

| Dem Ebernard Rust | |
|--|--------------------------------|
| (Print or type name of Disclosing Party) | |
| By: | |
| (Sign here) | |
| Dean Eberhardt | |
| (Print or type name of person signing) | |
| Trustee (Print or type title of person signing) | |
| | |
| Signed and sworn to before me on (date) MAY 14, 2015, | |
| at DUPAGE County, ILLINOIS (state). | OFFICIAL SEAL |
| Carula andresen Nowry Public. | CARYL L ANDERSEN |
| Commission expires: 12 7 2015 | MY COMMISSION EXPIRES:12/07/15 |
| The second secon | |

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, nicce 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?

F 3 3 7

| [] Yes | [X] No | |
|-----------------------|-------------------------------------|---|
| such person is connec | cted; (3) the name and title of the | of such person, (2) the name of the legal entity to which e elected city official or department head to whom such nature of such familial relationship. |
| | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| 1. | Pursuant to Municipal Code Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code? | | |
|----|---|--------|--------------------|
| | [] Yes | [X] No | |
| 2. | If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code? | | |
| | [] Yes | [] No | [X] Not Applicable |
| 3. | f yes to (1) or (2) above, please identify below the name of the person or legal entity dentified as a building code scofflaw or problem landlord and the address of the building couldings to which the pertinent code violations apply. | | |
| - | | | |

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATIONS MADE IN THIS APPENDIX B ARE SUBJECT TO THE CERTIFICATION MADE UNDER PENALTY OF PERJURY ON PAGE 12 OF THE ASSOCIATED EDS.