

City of Chicago



O2018-165

Office of the City Clerk

Document Tracking Sheet

Meeting Date: 1/17/2018

Sponsor(s): Misc. Transmittal

Type: Ordinance

Title: Zoning Reclassification Map No. 9-G at 1615-1643 Howard

St - App No. 19500

Committee(s) Assignment: Committee on Zoning, Landmarks and Building Standards

| | 1 | | | |
|--|---|---|---|---|
| | | | | |
| | | | • | |
| | | | | |
| | | : | | |
| | | | | |
| | | | | |
| | | | | , |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

#19500 Intro Date JAN. 17,2018

<u>ORDINANCE</u>

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

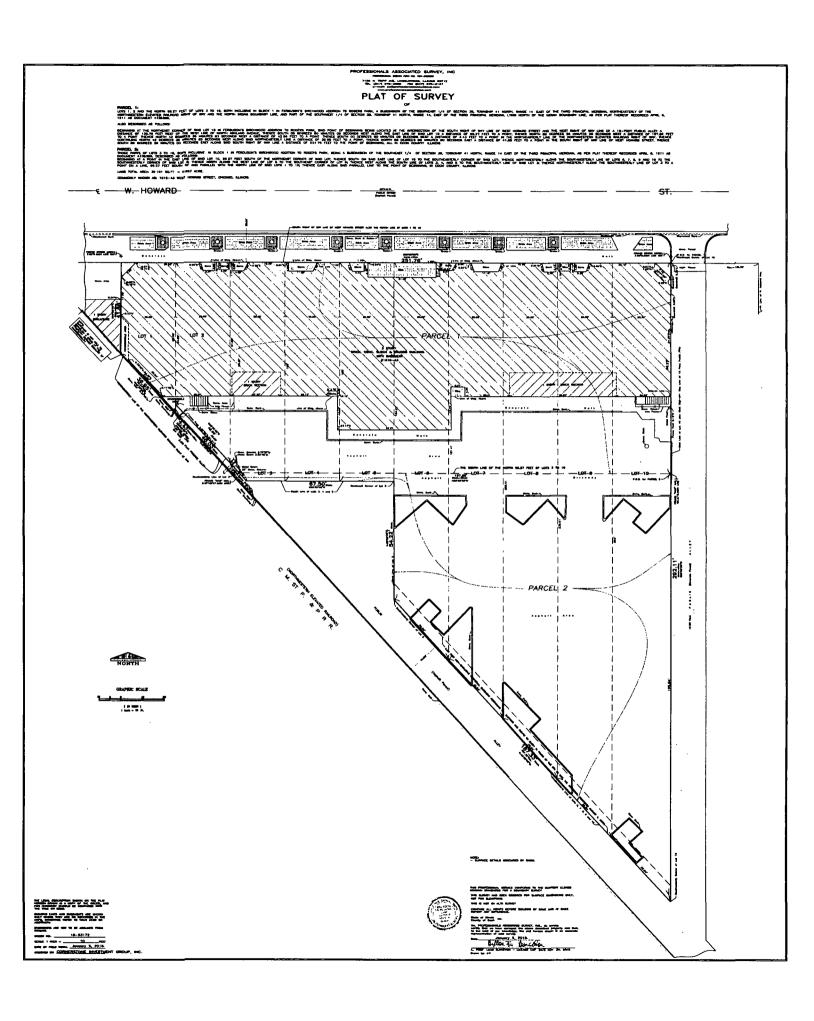
SECTION 1. Title 17, of the Municipal Code of Chicago, the Chicago Zoning Ordinance is hereby amended by changing all the B1-3 Neighborhood Shopping District symbols and indications as shown on Map No. 9-G in the area bounded by

West Howard Street; the alley first west of and parallel to North Ashland Street; the public alley running northwest and southeast and parallel to the Northwestern Elevated Railroad (C. M. St. P. & P.R.R.) right-of-way; the Northwestern Elevated Railroad (C. M. St. P. & P.R.R.) right-of-way; and a line beginning at a point located on said right-of-way, 251.76 feet west of and parallel to the alley first west of and parallel to North Ashland Street

to those of a B3-3 Community Shopping District, and a corresponding use district is hereby established in the area above described.

SECTION 2. This ordinance shall be in force and effect from and after its passage and due publication.

Common addresses of the property: 1615-1643 Howard Street, Chicago, IL 60626



BY USPS FIRST CLASS MAIL

CORNERSTONE INVESTMENT GROUP, INC. 6928 North Wayne Street, Suite 100 Chicago, Illinois 60626

January 8, 2018

Dear Neighbor,

On or about January 8, 2018, I, the undersigned will cause an application to be filed on behalf of the applicants listed below, to the City of Chicago, for a rezoning of the subject property described below from B1-3 Neighborhood Shopping District to B3-3 Community Shopping District.

PLEASE NOTE THE APPLICANTS ARE NOT SEEKING TO REZONE OR PURCHASE YOUR PROPERTY.

They are required to send this notice under applicable law (Section 17-13-0107 of the Chicago Zoning Ordinance) to persons listed in Cook County records as taxpayers or owners of a property within 250 feet, more or less, of the subject property.

Subject Property and Owners/Applicants:

The subject property has three parts. The following table lists each part's common addresses, current owner, and

corresponding applicant.

| Part | Addresses | Current Owner/Applicant |
|------------------------------------------------------------|----------------------------|---------------------------------------|
| Residential portion of the Howard Theater Building | 1625 West Howard Street | Howard Theater Limited Partnership |
| Commercial portion of the Howard Theater building | 1615-43 West Howard Street | CIG Howard Commercial, LLC |
| Surface parking area behind the Howard Theater Building | 1615-43 West Howard Street | Howard RD, LLC |

Cornerstone Investment Group, Inc. ("CIG") is the direct or indirect manager of each applicant. CIG's and each applicant's business address is 6928 North Wayne, Suite 100, Chicago, IL 60626. Danielle Meltzer Cassel (Vedder Price, 222 N. LaSalle Street, Suite 2600, Chicago, IL 60601, (312) 609-7962, documents-decomposition-left and additional contact person for the applications, along with myself.

<u>Current Zoning Districts</u>: B1-3 Neighborhood Shopping District.

<u>Proposed Zoning District</u>: B3-3 Community Shopping District.

Description of Subject Property and Nature, Scope and Purpose of Proposal:

The subject property is currently improved with surface parking (67 spaces) and a three-story building (approximately 52' in height) that has 40 residential units on the second and third floors, with approximately 14,500 square feet of commercial/retail space at ground level. No physical alterations to the subject property are planned at this time other than minor alterations of an existing, vacant ground-floor commercial storefront for a new General Restaurant (*i.e.*, a restaurant that may serve liquor at a separate bar area within the restaurant, in addition to table service). At this time, the specific new General Restaurant planned for that space is Salerno's Pizza and Restaurant, which presented its proposal at a December 6, 2017 community meeting convened by Alderman Moore and announced in his emailed newsletter on November 29, 2017. The purpose of this rezoning is to allow the property to have the broader range of commercial tenants, like a Salerno's General Restaurant, that are allowable with B3 District zoning classification but not B1. This type of rezoning would not allow the subject property to increase building size, building height or numbers of residential dwelling units.

Please do not hesitate to contact me or the applicants' attorney for additional information concerning the project, and thank you very much for your time and consideration.

Tey truly yours, CONNERSTONE INVESTMENT GROUP, INC.

dhnson, President

CORNERSTONE INVESTMENT GROUP, INC. 6928 NORTH WAYNE STREET, SUITE 100 CHICAGO, ILLINOIS 60626

January 8, 2018

Honorable Daniel Solis City of Chicago Chairman, Committee on Zoning, Landmarks and Building Standards 121 North LaSalle Street Chicago, Illinois 60602

Re: Application for Map Amendment 1615-43 West Howard Street

Dear Chairman Solis:

The undersigned, Jay Johnson, being first duly sworn on oath deposes and states the following:

The undersigned certifies that he has complied with the requirements of Section 17-13-0107 of the Chicago Zoning Ordinance, by sending written notice to such property owners who appear to be the owners of the property within the subject area not solely owned by the applicants, and to the owners of all property within 250 feet in each direction of the lot line of the subject property, exclusive of public roads, streets, alleys and other public ways. Said "written notice" was sent by First Class U.S. Mail, no more than 30 days before filing the application.

The undersigned certifies that the notice contained the addresses of the property sought to be rezoned; a statement of the intended uses of the property; the names and address of the applicants; the names and address of the owners; and a statement that the undersigned intended to file the application on behalf of the applicants for a change in zoning on approximately January 8, 2018.

The undersigned certifies that the applicants have made a bona fide effort to determine the addresses of the parties to be notified under Section 17-13-0107 of the Chicago Zoning Ordinance, and that the accompanying list of names and addresses of surrounding property owners within 250 feet of the subject site is a complete list containing the names and addresses of the people required to be served as provided by Property Insight, together with tax-exempt parcel information obtained from Cook County.

Very truly yours, CORNERSTONE INVESTMENT GROUP, INC.

Jay Johnson, President

Subscribed and Sworn to before me this 8th day of January, 2018.

druelle Meltyn Cassel
otary Public

"OFFICIAL SEAL"

OANIELLE MELTZER CASSEL

NOTARY PUBLIC, STATE OF ILLINOIS

My Commission Expires 02/01/2020

19500 Intro Date Jan. 17, 2018

CITY OF CHICAGO

APPLICATION FOR AN AMENDMENT TO THE CHICAGO ZONING ORDINANCE

| Ward Number that property is located in: 49 CIG Howard Commercial, LLC; Howard | rd Theater Limited Partnership: |
|--------------------------------------------------------------------------------|----------------------------------------------------|
| APPLICANT and Howard RD, LLC | , a |
| ADDRESS 6928 North Wayne Avenue, Suite 100 | CITY Chicago |
| STATE Illinois ZIP CODE 60626 | PHONE 312-602-6220 |
| EMAIL _ijohnson@cornerstonellc.com _ CONTACT PER | / |
| Is the applicant the owner of the property? YES | provide the following information |
| | tom the owner anowing the applicat |
| owner_ | |
| OWNERADDRESS | CITY |
| owner | CITY |
| OWNERADDRESS | CITYPHONE |
| proceed. OWNER ADDRESS STATEZIP CODE | CITYPHONESON |
| proceed. OWNER | CITYPHONESON |
| OWNER | CITYPHONESON |
| OWNER | CITYPHONESONlawyer as their representative for the |

| | ynthia Johnson; Taylor Johnson | on; and Morgan Johnson | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | |
| | | | · · · · · · · · · · · · · · · · · · · |
| On what date di | d the owner acquire legal title | CI | ward Theater LP 12/1/1998 G Howard Commercial, LLC 8/20/1 ward RD, LLC 5/15/2008 |
| Has the present No/Not applical | owner previously rezoned this | s property? If yes, when? | |
| Present Zoning | B1-3, Neighborhood District Shopping District. | Proposed Zoning District | B3-3, Community Shopping District |
| Lot size in squar | e feet (or dimensions) 39,10 | l square feet | · |
| Current Use of t | he property Commercial/Ret | ail, Residential, Surface Pa | arking |
| Reason for rezon | ning the propertyTo allow u | ises at the property in accor | rdance with |
| B3 District stan | dards, including, in particular | , General Restaurants. | + |
| | posed use of the property afte | square footage of any com | • |
| units; number of height of the pro The property is (approximately approximately laterations to the | posed building. (BE SPECIF currently improved with surfactors of the surfactors of t | ace parking (67 spaces) and dential units on the second cial/retail space at ground I time other than minor alter | and third floors, with evel. No physical |
| units; number of height of the property is (approximately approximately alterations to the commercial space) The Affordable Fa financial contrichange which, and Developments, ir | posed building. (BE SPECIF currently improved with surfa 52' in height) that has 40 resides 4,500 square feet of commerce property are planned at this | dential units on the second cial/retail space at ground l time other than minor alter ant. D) requires on-site affordab projects with ten or more the allowable floor area, of see attached fact sheet or visite in the second specific control of the second | and third floors, with evel. No physical rations of existing le housing units and/or units that receive a zonir r, for existing Planned risit |

| COUNTY OF COOK | | |
|--------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| STATE OF ILLINOIS | | • |
| Jay Johnson, not individually, but in the capacity noted below statements and the statements contained | , being first ed in the docume CIG HOWAI its Manager, | duly sworn on oath, states that all of the above ents submitted herewith are true and correct. RDCOMMERCIAL, LLC, by the President of Cornerstone Investment Group, Inc. |
| Subscribed and Sworn to before me the sthe day of January Audie Methy Cassel Notary Public | | "OFFICIAL SEAL" DANIELLE MELTZER CASSEL NOTARY PUBLIC, STATE OF ILLINOIS My Commission Expires 02/01/2020 |
| | For Office U | se Only |
| | | • |
| Date of Introduction: | | |
| File Number: | | |

Ward:

| COUNTY OF COOK STATE OF ILLINOIS | i |
|--------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Jay Johnson, not individually, but in the capacity noted below statements and the statements contained | , being first duly sworn on oath, states that all of the above in the documents submitted herewith are true and correct. HOWARD THEATER LIMITED PARTNERSHIP, by the Manager of its General Partner, Howard Theater, LLC Signature of Applicant |
| Subscribed and Sworn to before me this 5th day of January Notary Public | |
| | For Office Use Only |
| Date of Introduction: | |
| File Number: | |
| Ward: | · |

| STATE OF ILLINOIS | |
|--------------------------------------------------------------|----------------------------------------------------------------|
| STATE OF ILLINOIS | |
| Jay Johnson, not individually, but | |
| in the capacity noted below, | being first duly sworn on oath, states that all of the above |
| statements and the statements contained in t | ne documents submitted herewith are true and correct. |
| | HOWARD RD, LLC, by the President of its |
| | Manager, Cornerstone Investment Group, Inc. |
| | |
| | |
| | Signature of Applicant |
| Cultura 11 1 1 1 1 C 1 2 2 2 2 4 1 2 C 1 2 2 4 1 2 | |
| Subscribed and Sworn to before me this 5th day of January, 2 | 18 |
| day of, 2 | Z OF THUME SEAL 3 |
| 0 44 0 1 | DANIELLE MELTZER CASSEL NOTARY PUBLIC, STATE OF ILLINOIS ↑ |
| Namelle Meltyn Cassel | My Commission Expires 02/01/2020 |
| Notary Public | |
| y - mass | |
| | |
| Fo | r Office Use Only |
| | |
| Data of Lating durations | |
| Date of Introduction: | |
| File Number: | |
| | |

Ward:

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

| A. Legal name of the Disclo | sing Party submitt | ing this EDS. | Include d/b/ | /a/ if applicable: |
|---------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|------------------|---------------------------------------|--------------------------------------------------------|
| Howard Theater Limited Partnership | | | | |
| Check ONE of the followin | g three boxes: | | | |
| the contract, transaction or o "Matter"), a direct or indirec name: | ently holding, or a ther undertaking to | nticipated to h | old within si DS pertains | • |
| OR 3. a legal entity with State the legal name of the e | | _ | _ | oplicant (see Section II(B)(1)) ght of control: |
| B. Business address of the I | Disclosing Party: | 6928 North Wa | yne Avenue, Su | ite 100 |
| | | Chicago, Illinoi | is 60626 | |
| C. Telephone: 312-602-6220 | Fax: 312-6 | 02-6201 | Email: | jjohnson@cornerstonellc.com |
| D. Name of contact person: | Jay Johnson | | | |
| E. Federal Employer Identif | ication No. (if you | have one): | · · · · · · · · · · · · · · · · · · · | |
| F. Brief description of the M property, if applicable): Map Amendment for 1615-164 District to B3-3, Community S | 13 Howard Street, C | | | project number and location of , Neighborhood Shopping |
| G. Which City agency or de | partment is reques | ting this EDS? | ? Department of | Planning and Development |
| If the Matter is a contract be complete the following: | ing handled by the | City's Depart | ment of Proc | curement Services, please |
| Specification # | | _ and Contrac | et # | |
| Ver.2017-1 | Pa | ge 1 of 14 | | |

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 Privately held business corporation ☐ Joint venture Not-for-profit corporation Sole proprietorship (Is the not-for-profit corporation also a 501(c)(3))? General partnership ✓ Limited partnership ☐ Yes □No Other (please specify) Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? T Yes ✓ Organized in Illinois \square No B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. **NOTE**: Each legal entity listed below must submit an EDS on its own behalf. Name Title Howard Theater, LLC General Partner 2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf. **Business Address** Percentage Interest in the Applicant Name 99.99% Deadstream, LLC, 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 Howard Theater, LLC, 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 0.01% SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ✓ No ☐ Yes Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ✓ No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? ☐ Yes No No If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

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

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

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

state "None."

| 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. |
|----------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|
| Vedder Price, 222 North LaSalle | e Street, Chicag | go, Illinois 60601, Attorney | \$5000 Estimated |
| | | | |
| (Add sheets if necessary) | | | |
| Check here if the Disc | closing Part | y has not retained, nor expects to re | tain, any such persons or entities. |
| SECTION V CERTII | FICATION | S | |
| A. COURT-ORDERED | CHILD SU | PPORT COMPLIANCE | |
| | • | antial owners of business entities the support obligations throughout the | • |
| · - | • | ectly owns 10% or more of the Disc ations by any Illinois court of compe | _ · · · · · · · · · · · · · · · · · · · |
| ☐ Yes ☑ No ☐ | No person o | directly or indirectly owns 10% or n | nore of the Disclosing Party. |
| If "Yes," has the person e is the person in complian | | a court-approved agreement for pay agreement? | ment of all support owed and |
| Yes No | | | |
| B. FURTHER CERTIFIC | CATIONS | | |
| Procurement Services.] I | In the 5-year | the Matter is a contract being handl r period preceding the date of this E lefinition in (5) below] has engaged | DS, neither the Disclosing |

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

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

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

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

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

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Ver.2017-1

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

Page 9 of 14

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

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

| Is the Disclosing Party the | Applicant? | |
|---------------------------------------------------------------------------------|-------------------|---------------------------------------------------------------------------------------------------------------------------|
| Yes | ☐ No | |
| If "Yes," answer the three | questions belo | ow: |
| Have you developed a federal regulations? (See Yes | • | ve on file affirmative action programs pursuant to applicable 60-2.) |
| Compliance Programs, or applicable filing requirem | the Equal Ements? | ting Committee, the Director of the Office of Federal Contract aployment Opportunity Commission all reports due under the |
| Yes Yes | ∐ No | [] Reports not required |
| 3. Have you participated equal opportunity clause? | • • | us contracts or subcontracts subject to the |
| [] Yes | [] No | • |
| If you checked "No" to qu | estion (1) or (| (2) above, please provide an explanation: |
| | | |
| | | |

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

CERTIFICATION

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

| Howard Theater Limited Partnership | |
|-----------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|
| (Print or type exact legal name of Disclosing Party) By: | |
| (Sign here) | |
| Jay Johnson | |
| (Print or type name of person signing) | |
| Manager of its General Partner, Howard Theater, LLC | |
| (Print or type title of person signing) | |
| Signed and sworn to before me on (date) January 5, 2018 | 3 |
| at Cook County, Illinois (state). | |
| Notary Public | "OFFICIAL SEAL" MANIELLE MELTZER CASSEL MOTARY PUBLIC, STATE OF ILLINOIS My Commission Expires 02/01/2000 |
| Commission expires: 2/1/2020 | 2020 Julies UZ/U1/2020 S |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

| | | an elected city official or department head? | I |
|---------------------------------------|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| Yes | ▼ No | | |
| which such persor | is connected; (3) the name | e and title of such person, (2) the name of the legal ent e and title of the elected city official or department he p, and (4) the precise nature of such familial relationsh | ad to |
| · · · · · · · · · · · · · · · · · · · | | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

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

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

| A. Legal name of the Disclosi | ing Party submitt | ing this EDS. Inc | lude d/b/a/ if applicable: |
|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CIG Howard Commercial, LLC | | | |
| Check ONE of the following | three boxes: | | |
| the contract, transaction or oth "Matter"), a direct or indirect in name: OR | ntly holding, or ander undertaking to interest in excess a direct or indirect | nticipated to hold which this EDS p of 7.5% in the Ap | within six months after City action on pertains (referred to below as the oplicant. State the Applicant's legal of the Applicant (see Section II(B)(1)) olds a right of control: |
| B. Business address of the Di | sclosing Party: | 6928 North Wayne A | Avenue, Suite 100 |
| | | Chicago, Illinois 606 | 26 |
| C. Telephone: 312-602-6220 | Fax: 312-6 | 02-6201 | Email: jjohnson@cornerstonellc.com |
| D. Name of contact person: Ja | ay Johnson | | _ |
| E. Federal Employer Identific | cation No. (if you | have one) | · · · · · · · · · · · · · · · · · · · |
| property, if applicable): | Howard Street, Cl | - | om B1-3, Neighborhood Shopping |
| G. Which City agency or depart | artment is reques | ting this EDS? Dep | artment of Planning and Development |
| If the Matter is a contract bein complete the following: | g handled by the | City's Departmen | t of Procurement Services, please |
| Specification # | | _ and Contract # _ | |
| Ver.2017-1 | Pa | ge 1 of 14 | |

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: Person [7] 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 Thimited partnership | Yes □No Other (please specify) Trust 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? ✓ Yes No ☐ Organized in Illinois B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. **NOTE**: Each legal entity listed below must submit an EDS on its own behalf. Name Title Cornerstone Investment Group, Inc. Manager 2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including

Ver.2017-1

corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a

state "None." **NOTE**: Each legal entity listed below may be required to submit an EDS on its own behalf. Name **Business Address** Percentage Interest in the Applicant Deadstream, LLC, 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 100% SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ✓ No T Yes Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ✓ No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? Yes V No If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

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

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

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

| Name (indicate whether retained or anticipated to be retained) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (<u>indicate whether</u> <u>paid or estimated</u> .) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|----------------------------------------------------------------|---------------------|-------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| Vedder Price, 222 North LaSalle | Street, Chicag | o, Illinois 60601, Attorney | \$5000 Estimated |
| | | | |
| | | | |
| (Add sheets if necessary) | | | |
| Check here if the Disc | closing Party | y has not retained, nor expects to re- | tain, any such persons or entities. |
| SECTION V CERTIF | FICATION | S | |
| A. COURT-ORDERED | CHILD SUI | PPORT COMPLIANCE | |
| | • | antial owners of business entities th I support obligations throughout the | • |
| * - | • | ectly owns 10% or more of the Disc tions by any Illinois court of compe | • |
| ☐ Yes ✓ No ☐ 1 | No person d | irectly or indirectly owns 10% or m | ore of the Disclosing Party. |
| If "Yes," has the person en is the person in compliance | | a court-approved agreement for pay agreement? | ment of all support owed and |
| ☐ Yes ☐ No | | | |
| B. FURTHER CERTIFIC | CATIONS | | |
| | • | the Matter is a contract being handle period preceding the date of this E | • • |

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

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

Ver.2017-1 Page **5** of **14**

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

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

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

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

| <u> </u> | predatory lender w | ge because it or any of its affiliates (as defined in ithin the meaning of MCC Chapter 2-32, explain |
|----------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| If the letters "NA," the word "N conclusively presumed that the | · · · · · · · · · · · · · · · · · · · | se appears on the lines above, it will be extified to the above statements. |
| D. CERTIFICATION REGARI | DING FINANCIAI | L INTEREST IN CITY BUSINESS |
| Any words or terms defined in I | MCC Chapter 2-150 | 6 have the same meanings if used in this Part D. |
| | y official or emplo | o the best of the Disclosing Party's knowledge byce of the City have a financial interest in his or or entity in the Matter? |
| ☐ Yes ✓ 1 | No | |
| NOTE: If you checked "Yes" to Item D(1), skip Items D(2) ar | | ed to Items D(2) and D(3). If you checked "No" d to Part E. |
| official or employee shall have a other person or entity in the pure taxes or assessments, or (iii) is s | a financial interest in the financial interest in the chase of any proper old by virtue of legation for property | e bidding, or otherwise permitted, no City elected in his or her own name or in the name of any rty that (i) belongs to the City, or (ii) is sold for gal process at the suit of the City (collectively, taken pursuant to the City's eminent domain in the meaning of this Part D. |
| Does the Matter involve a City l | Property Sale? | |
| ☐ Yes ☐ 1 | No | ·. |
| • | <u>-</u> | names and business addresses of the City officials entify the nature of the financial interest: |
| Name Busi | ness Address | Nature of Financial Interest |
| | | |

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

| Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing I must disclose below or in an attachment to this EDS all information required by (2). Failur comply with these disclosure requirements may make any contract entered into with the Cit connection with the Matter voidable by the City. | e to |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| 1. The Disclosing Party verifies that the Disclosing Party has searched any and all receive Disclosing Party and any and all predecessor entities regarding records of investments of from slavery or slaveholder insurance policies during the slavery era (including insurance pissued to slaveholders that provided coverage for damage to or injury or death of their slave the Disclosing Party has found no such records. | or profits policies |
| 2. The Disclosing Party verifies that, as a result of conducting the search in step (1) at Disclosing Party has found records of investments or profits from slavery or slaveholder inspolicies. The Disclosing Party verifies that the following constitutes full disclosure of all strecords, including the names of any and all slaves or slaveholders described in those record | surance uch |
| 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 allow the City and proceeds of debt obligations of the City are not federal funding. | ated by |
| A. CERTIFICATION REGARDING LOBBYING | |
| 1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the DisParty 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 appear, it will be conclusively presumed that the Disclosing Party means that NO persons or registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying cobehalf of the Disclosing Party with respect to the Matter.) | r entities |
| 2. The Disclosing Party has not spent and will not expend any federally appropriated further any person or entity listed in paragraph A(1) above for his or her lobbying activities or to person or entity to influence or attempt to influence an officer or employee of any agency, a by applicable federal law, a member of Congress, an officer or employee of Congress, or ar Ver.2017-1 Page 9 of 14 | ay any as defined |

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

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

| Is the Disclosing Party the A | Applicant? |
|--------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| If "Yes," answer the three qu | uestions below: |
| 1. Have you developed and federal regulations? (See 41 | do you have on file affirmative action programs pursuant to applicable CFR Part 60-2.) No |
| • | Joint Reporting Committee, the Director of the Office of Federal Contracte Equal Employment Opportunity Commission all reports due under the ats? No [] Reports not required |
| equal opportunity clause? | any previous contracts or subcontracts subject to the [] No |
| If you checked "No" to ques | tion (1) or (2) above, please provide an explanation: |
| | |

Page 10 of 14

Ver.2017-1

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

CERTIFICATION

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

| CIG Howard Commercial, LLC | |
|--------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|
| (Print of type exact legal name of Disclosing Party) By: | |
| (k ign here) | |
| Jay Johnson | |
| (Print or type name of person signing) | |
| President of its Manager, Cornerstone Investment Group, Inc | . . |
| (Print or type title of person signing) | |
| Signed and sworn to before me on (date) January 5, 2018 at Cook County, Illinois (state). | , |
| Duille Melty Cassel Notary Public | "OFFICIAL SEAL" DANIELLE MELTZER CASSEL NOTARY PUBLIC, STATE OF ILLINOIS My Commission Expires 02/01/2020 |

Commission expires: 2/1/2020

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

| | | able Party" or any Spouse or Domestic Partner thereof n elected city official or department head? |
|-------------------|----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Yes Yes | ✓ No | |
| which such person | is connected; (3) the name | and title of such person, (2) the name of the legal entity to and title of the elected city official or department head to and (4) the precise nature of such familial relationship. |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| | | 10, is the Applicant or any Owner identified as a building code to MCC Section 2-92-416? |
|-------|-------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| Yes | ✓ No | |
| • • | • . | ablicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section |
| ☐ Yes | □No | |
| • , , | offlaw or probler | lentify below the name of each person or legal entity identified in landlord and the address of each building or buildings to which |
| | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

| A. Legal name of the Discle | osing Party submitti | ing this EDS. | Include d/b/a | / if applicable: |
|------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|----------------------------------------------------|--------------------------------------------------|-------------------------------------------------------------|
| Howard RD, LLC | | | | |
| Check ONE of the following | ng three boxes: | | | |
| the contract, transaction or on "Matter"), a direct or indirect name: OR | rently holding, or ar other undertaking to et interest in excess | nticipated to howhich this Electron of 7.5% in the | old within six DS pertains (re Applicant. Second | State the Applicant's legal Discont (see Section II(B)(1)) |
| | | | | |
| B. Business address of the l | Disclosing Party: | 6928 North Wa | yne Avenue, Suite | e 100 |
| , | | Chicago, Illinoi | s 60626 | |
| C. Telephone: 312-602-6220 | Fax: 312-6 | 02-6201 | Email: _ | jjohnson@cornerstonellc.com |
| D. Name of contact person: | Jay Johnson | | | |
| E. Federal Employer Identi | | have one) | |] |
| F. Brief description of the I property, if applicable): Map Amendment for 1615-164 District to B3-3, Community S | 13 Howard Street, Ch | | | oject number and location of |
| G. Which City agency or de | epartment is request | ing this EDS? | Department of P | lanning and Development |
| If the Matter is a contract be complete the following: | eing handled by the | City's Depart | ment of Procu | rement Services, please |
| Specification # | | and Contrac | t# | |
| Ver.2017-1 | | ge 1 of 14 | | |

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 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 T Yes □No Other (please specify) 7 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 Organized in Illinois B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. NOTE: Each legal entity listed below must submit an EDS on its own behalf. Name Title Cornerstone Investment Group, Inc. Manager 2. Please provide the following information concerning each person or legal entity having a direct or

indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a

corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

Ver.2017-1 Page **2** of **14**

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE**: Each legal entity listed below may be required to submit an EDS on its own behalf. Name **Business Address** Percentage Interest in the Applicant Platte Lake Holdings, LLC, 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 100% SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ✓ No ∃ Yes Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? **V** No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? Yes ✓ No If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(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 (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

| Name (indicate whether retained or anticipated to be retained) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (<u>indicate whether</u> <u>paid or estimated</u> .) NOTE: "hourly rate" or "t.b.d." is |
|-----------------------------------------------------------------------------------|---------------------|-------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| Vedder Price, 222 North LaSalle | Street, Chicag | o, Illinois 60601, Attorney | not an acceptable response. \$5000 Estimated |
| /A 11 1 / 'C | | | |
| (Add sheets if necessary) | | | |
| Check here if the Disc | losing Part | y has not retained, nor expects to re | tain, any such persons or entities. |
| SECTION V CERTIF | ICATION | s | |
| A. COURT-ORDERED | CHILD SUI | PPORT COMPLIANCE | |
| | • | antial owners of business entities th I support obligations throughout the | • |
| • • | • | ectly owns 10% or more of the Disc tions by any Illinois court of compe | <u> </u> |
| Yes No No person directly or indirectly owns 10% or more of the Disclosing Party. | | | |
| If "Yes," has the person ends is the person in compliance | | a court-approved agreement for pay agreement? | ment of all support owed and |
| Yes No | | | · |
| B. FURTHER CERTIFIC | CATIONS | | |

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

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

Ver.2017-1 Page 5 of 14

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

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

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

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

| Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party nust disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City. | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 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 assued 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 ecords, 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 ederally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding. | |
| A. CERTIFICATION REGARDING LOBBYING | |
| 1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): | |
| Ye a combantian account a basic and but the short and sh | |
| 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 egistered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on sehalf 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 party 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 employed rer.2017-1 Page 9 of 14 | |

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

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

| Is the Disclosing Party the | Applicant? |
|---------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Yes | □No |
| If "Yes," answer the three | uestions below: |
| 1. Have you developed an federal regulations? (See | d do you have on file affirmative action programs pursuant to applicable 1 CFR Part 60-2.) |
| | Joint Reporting Committee, the Director of the Office of Federal Contracthe Equal Employment Opportunity Commission all reports due under the nts? No [] Reports not required |
| 3. Have you participated i equal opportunity clause? [] Yes | n any previous contracts or subcontracts subject to the [] No |
| If you checked "No" to que | stion (1) or (2) above, please provide an explanation: |
| | |
| | |

Page 10 of 14

Ver.2017-1

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

CERTIFICATION

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

| Howard RD, LLC | |
|-------------------------------------------------|--------------------------------------------------------------------------------------------|
| (Print or type exact legal name of Disclosing | Party) |
| Ву: | |
| (Sign here) | |
| Jay Johnson | |
| (Print or type name of person signing) | <u> </u> |
| President of its Manager, Cornerstone Investmen | t Group, Inc. |
| (Print or type title of person signing) | |
| Signed and sworn to before me on (date) Janua | ary 5, 2018 , |
| at Cook County, Illinois | (state). |
| Motary Public Cassel | "OFFICIAL SEAT" |
| roday i dono | DANIELLE MELTZER CASSELS NOTARY PUBLIC, STATE OF ILLINOIS My Commission Expires 02/01/2020 |
| Commission expires: 2/1/2020 | 12020 |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

Yes

No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

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

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

| A. Legal name of the Disclo | sing Party submit | ting this EDS. | S. Include d/b/a/ if applicable: |
|-------------------------------------------------------------------------------------------------|--------------------------------------------|-----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| Deadstream, LLC | | | |
| Check ONE of the following | g three boxes: | | , |
| Indicate whether the Disclosi 1. the Applicant OR | ing Party submitti | ng this EDS is | is: |
| the contract, transaction or of "Matter"), a direct or indirect name: Howard Theater Limited Pa | ther undertaking to tinterest in excess | o which this E s of 7.5% in th | b hold within six months after City action on EDS pertains (referred to below as the the Applicant. State the Applicant's legal al, LLC |
| | | - | ontrol of the Applicant (see Section II(B)(1)) Party holds a right of control: |
| B. Business address of the D | Pisclosing Party: | | Wayne Avenue, Suite 100 |
| | | Chicago, Illino | nois 60626 |
| C. Telephone: <u>312-602-6220</u> | Fax: 312-0 | 602-6201 | Email: jjohnson@cornerstonellc.com |
| D. Name of contact person: | Jay Johnson | | |
| E. Federal Employer Identif | ication No. (if you | ı have one): | |
| property, if applicable): | | • | ins. (Include project number and location of |
| _ | | | 0626 from B1-3, Neighborhood Shopping |
| · | | | S? Department of Planning and Development |
| If the Matter is a contract bei complete the following: | ng handled by the | e City's Depar | artment of Procurement Services, please |
| Specification # | | _ and Contrac | ract # |
| | | | |

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 Privately held business corporation Joint venture Not-for-profit corporation Sole proprietorship (Is the not-for-profit corporation also a 501(c)(3))? General partnership Limited partnership ☐ Yes □No Other (please specify) 7 Trust 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? ☐ Yes **✓** No Organized in Illinois B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. **NOTE**: Each legal entity listed below must submit an EDS on its own behalf. Name Title Cornerstone Investment, Group, Inc. Manager 2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

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

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

| Name Cynthia Johnson, | Business Address 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 | Percentage Interest in the Applicar 61% | ıt |
|------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|--------|
| Taylor Johnson, 3 | 33 Ketterling Court, North Barrington, IL 60010 | 19.5% | |
| Morgan Johnson, | 33 Ketterling Court, North Barrington, IL 60010 | 19.5% | |
| SECTION III OFFICIALS | I INCOME OR COMPENSATION TO, O | R OWNERSHIP BY, CITY ELEC | CTED |
| | osing Party provided any income or compensation od preceding the date of this EDS? | on to any City elected official during Yes | |
| | losing Party reasonably expect to provide any including the 12-month period following the date | | No |
| • | er of the above, please identify below the name income or compensation: | e(s) of such City elected official(s) ar | nd |
| inquiry, any C Chapter 2-156 Yes If "yes," please | elected official or, to the best of the Disclosing city elected official's spouse or domestic partner of the Municipal Code of Chicago ("MCC")) in No e identify below the name(s) of such City elected describe the financial interest(s). | r, have a financial interest (as defined not the Disclosing Party? | i in |
| | | | |

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

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

| Name (indicate whether retained or anticipated to be retained) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|----------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| | | | |
| (Add sheets if necessary) | | | |
| Check here if the Disc | closing Part | y has not retained, nor expects to re | tain, any such persons or entities. |
| SECTION V CERTII | FICATION | S | |
| A. COURT-ORDERED | CHILD SU | PPORT COMPLIANCE | |
| | | antial owners of business entities the support obligations throughout the | · · · · · · · · · · · · · · · · · · · |
| | • | ectly owns 10% or more of the Disc ations by any Illinois court of compo | |
| Yes No | No person o | directly or indirectly owns 10% or n | nore of the Disclosing Party. |
| If "Yes," has the person e is the person in complian | | a court-approved agreement for pay agreement? | ment of all support owed and |
| Yes No | | | |
| B. FURTHER CERTIFI | CATIONS | | |

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

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

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

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

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

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

Ver.2017-1

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

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

| Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City. | | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|
| 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records. | | | | |
| 2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records: | | | | |
| SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS | | | | |
| NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding. | | | | |
| A. CERTIFICATION REGARDING LOBBYING | | | | |
| 1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): | | | | |
| | | | | |
| (If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.) | | | | |
| 2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2017-1 Page 9 of 14 | | | | |

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

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

| Is the Disclosing Party the | Applicant? | |
|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------|-------------------------------|
| Yes | □ No | |
| If "Yes," answer the three q | uestions below: | |
| Have you developed and federal regulations? (See 4 Yes | I do you have on file affirmative action pro I CFR Part 60-2.) No | ograms pursuant to applicable |
| Compliance Programs, or the applicable filing requirement | | |
| Yes | No [] Reports not required | |
| 3. Have you participated in equal opportunity clause?[] Yes | any previous contracts or subcontracts sul | bject to the |
| If you checked "No" to que | stion (1) or (2) above, please provide an ex | planation: |
| | | |

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

CERTIFICATION

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

| Deadstream, LLC | |
|--------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| (Print or type exact legal name of Disclosing l | Party) |
| By: | |
| (Sign here) | |
| Jay Johnson | |
| (Print or type name of person signing) | |
| President of its Manager, Cornerstone Investment | Group, Inc. |
| (Print or type title of person signing) | |
| Signed and sworn to before me on (date) Janua | ry 5, 2018 , |
| at Cook County, Illinois | (state). |
| Notary Public | **OFFICIAL SEAL" OANIELLE MELTZER CASSEL NOTARY PUBLIC, STATE OF ILLINOIS My Commission Expires 02/01/2020 |
| Commission expires: 2/1/2020 | Commence |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

| | e Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof ave a "familial relationship" with an elected city official or department head? |
|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ☐ Yes | ✓ No . |
| which such | please identify below (1) the name and title of such person, (2) the name of the legal entity to person is connected; (3) the name and title of the elected city official or department head to person has a familial relationship, and (4) the precise nature of such familial relationship. |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

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

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

| A. Legal name of the Disclosin | g Party submitt | ing this EDS. | Include d/b | /a/ if applicable: |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|-----------------------------------|-----------------------------|-------------------------------------------------|
| Platte Lake Holdings, LLC | | | | |
| Check ONE of the following t | hree boxes: | | | |
| Indicate whether the Disclosing 1. ☐ the Applicant OR 2. ☑ a legal entity current the contract, transaction or othe "Matter"), a direct or indirect in name: Howard RD, LLC OR | ly holding, or an | nticipated to ho which this ED | old within s OS pertains | • |
| 3. a legal entity with a constant the legal name of the entit | | | | oplicant (see Section II(B)(1)) ght of control: |
| B. Business address of the Disclosing Party: 6928 North Wayne Avenue, Sui | | | ite 100 | |
| | | Chicago, Illinois | 60626 | |
| C. Telephone: 312-602-6220 | Fax: 312-6 | 02-6201 | Email | jjohnson@cornerstonellc.com |
| D. Name of contact person: Jay | Johnson | | | |
| E. Federal Employer Identifica | tion No. (if you | have one):/ | | |
| F. Brief description of the Matt property, if applicable): Map Amendment for 1615-1643 H District to B3-3, Community Shop | loward Street, Cl | | (| |
| G. Which City agency or depar | tment is request | ting this EDS? | Department of | Planning and Development |
| If the Matter is a contract being complete the following: | handled by the | City's Departn | nent of Pro | curement Services, please |
| Specification # | | _ and Contract | # | |
| Ver.2017-1 | Pa | ge 1 of 14 | | |

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

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

state "None." **NOTE**: Each legal entity listed below may be required to submit an EDS on its own behalf. **Business Address** Percentage Interest in the Applicant Name Cynthia Johnson, 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? | Yes ✓ No Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ✓ No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? Yes **V** No If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

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

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

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

| Name (indicate whether Busin retained or anticipated Address to be retained) | | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| (Add sheets if necessary) | | |
| Check here if the Disclosing | Party has not retained, nor expects to | retain, any such persons or entities. |
| SECTION V CERTIFICAT | IONS | |
| A. COURT-ORDERED CHILD | SUPPORT COMPLIANCE | |
| | ubstantial owners of business entities child support obligations throughout the | - |
| · • | ndirectly owns 10% or more of the Di bligations by any Illinois court of com | <u> </u> |
| Yes No No pers | son directly or indirectly owns 10% or | more of the Disclosing Party. |
| If "Yes," has the person entered is the person in compliance with | into a court-approved agreement for pathat agreement? | ayment of all support owed and |
| Yes No | | |
| B. FURTHER CERTIFICATIO | NS | |
| Procurement Services.] In the 5 Party nor any Affiliated Entity [g performance of any public contrinspector general, or integrity co- investigative, or other similar sk | y if the Matter is a contract being hand-year period preceding the date of this see definition in (5) below] has engage act, the services of an integrity monito mpliance consultant (i.e., an individually, designated by a public agency to blors as well as help the vendors reform | EDS, neither the Disclosing ed, in connection with the r, independent private sector all or entity with legal, auditing, nelp the agency monitor the |

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

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

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

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

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

| contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications. |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below: |
| If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements. |
| 12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). |
| 13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. |
| C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION 1. The Disclosing Party certifies that the Disclosing Party (check one) |
| a "financial institution" as defined in MCC Section 2-32-455(b). |
| 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges: |
| "We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City." |

Ver.2017-1

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

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Ver.2017-1

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

Page 9 of 14

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

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

| Is the Disclosing Party the | Applicant? |
|-------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Yes | No |
| If "Yes," answer the three | questions below: |
| Have you developed as federal regulations? (See Yes | nd do you have on file affirmative action programs pursuant to applicable 41 CFR Part 60-2.) No |
| | e Joint Reporting Committee, the Director of the Office of Federal Contract the Equal Employment Opportunity Commission all reports due under the ents? No [] Reports not required |
| 3. Have you participated equal opportunity clause? [] Yes | in any previous contracts or subcontracts subject to the [] No |
| If you checked "No" to que | estion (1) or (2) above, please provide an explanation: |
| | |

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

• . : .

CERTIFICATION

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

| Platte Lake Holdings, LLC | |
|----------------------------------------------------|-----------------------------------------|
| (Print on type exact legal name of Disclosing By: | Party) |
| (Sign here) | |
| Jay Johnson | |
| (Print or type name of person signing) | |
| President of its Manager, Cornerstone Investmen | t Group, Inc. |
| (Print or type title of person signing) | |
| Signed and sworn to before me on (date) Janu | ary 5, 2018 , |
| at Cook County, Illinois | (state). |
| Motary Public Cassel | "OFFICIAL SEAL" DANIELLE MELTZER CASSEL |
| Commission expires: 2/1/2020 | My Commission Expires 02/01/2020 |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

| | osing Party or any "Applicable Party" or any Spouse or I amilial relationship" with an elected city official or depa | |
|-------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| Yes | ✓ No | |
| which such persor | lentify below (1) the name and title of such person, (2) the is connected; (3) the name and title of the elected city of has a familial relationship, and (4) the precise nature of | fficial or department head to |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| | | 10, is the Applicant or any Owner identified as a building code to MCC Section 2-92-416? |
|-------|-------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| ☐ Yes | ✓ No | |
| | • • • | ablicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section |
| Yes | □No | ✓ The Applicant is not publicly traded on any exchange. |
| • , , | offlaw or problen | entify below the name of each person or legal entity identified n landlord and the address of each building or buildings to which |
| | · | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

| A. Legal name of the Disclo | sing Party submitt | ing this EDS. | Include d/b/a/ if applica | ble: |
|---------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|-----------------------------------------------|--------------------------------------------------------|------------------|
| Howard Theater, LLC | | | | |
| Check ONE of the following | g three boxes: | | | |
| Indicate whether the Disclos 1. the Applicant OR 2. a legal entity curr the contract, transaction or o "Matter"), a direct or indirec name: OR | ently holding, or a ther undertaking to | nticipated to he which this EI of 7.5% in the | old within six months af DS pertains (referred to l | below as the |
| 3. a legal entity with State the legal name of the e Howard Theater Limited Partnership | ntity in which the | _ | • • | ` ' ' ' ' ' |
| B. Business address of the Γ | Disclosing Party: | 6928 North Way | ync Avenue, Suite 100 | <u> </u> |
| | | Chicago, Illinois | s 60626 | |
| C. Telephone: <u>312-602-6220</u> | Fax: 312-6 | 602-6201 | Email:jjohnson@co | rnerstonellc.com |
| D. Name of contact person: | Jay Johnson | | | |
| E. Federal Employer Identif | ication No. (if you | have one): | | |
| F. Brief description of the N property, if applicable): Map Amendment for 1615-164 District to B3-3, Community St | 3 Howard Street, Ch | | | |
| G. Which City agency or de | | ting this EDS? | Department of Planning and D | evelopment |
| If the Matter is a contract be complete the following: | ing handled by the | City's Departr | ment of Procurement Ser | rvices, please |
| Specification # | | _ and Contract | t # | |
| Ver.2017-1 | Pa | ge 1 of 14 | | |

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 Thimited partnership ☐ Yes No Other (please specify) 7 Trust 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? **V** No Organized in Illinois ☐ Yes B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. NOTE: Each legal entity listed below must submit an EDS on its own behalf. Name : Title Cornerstone Investment Group, Inc. Manager 2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

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

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

| Name Cynthia Johnson | Business Address 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 | Percentage Interest in the Applicant 81% |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|
| Jay Johnson | 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 | 19% |
| SECTION II OFFICIALS | I INCOME OR COMPENSATION TO, O | R OWNERSHIP BY, CITY ELECTED |
| | osing Party provided any income or compensation of this EDS? | on to any City elected official during the Yes No |
| | closing Party reasonably expect to provide any ir al during the 12-month period following the date | • |
| | ner of the above, please identify below the name income or compensation: | (s) of such City elected official(s) and |
| inquiry, any C | y elected official or, to the best of the Disclosing City elected official's spouse or domestic partner of the Municipal Code of Chicago ("MCC")) in | , have a financial interest (as defined in |
| • | se identify below the name(s) of such City elected describe the financial interest(s). | ed official(s) and/or spouse(s)/domestic |
| | | |

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

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

| Name (indicate whether retained or anticipated to be retained) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|----------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| | | | |
| (Add sheets if necessary) | | | |
| Check here if the Disc | closing Part | y has not retained, nor expects to re | tain, any such persons or entities. |
| SECTION V CERTII | FICATION | IS | |
| A. COURT-ORDERED | CHILD SU | PPORT COMPLIANCE | |
| | • | antial owners of business entities the support obligations throughout the | • |
| <i>y</i> 1 | • | ectly owns 10% or more of the Disc ations by any Illinois court of compe | • |
| Yes No | No person o | directly or indirectly owns 10% or n | nore of the Disclosing Party. |
| If "Yes," has the person e is the person in compliant | | a court-approved agreement for pay agreement? | ment of all support owed and |
| ☐ Yes ☐ No | | | |
| B. FURTHER CERTIFIC | CATIONS | | · |
| 1 [This paragraph 1 app | lies only if | the Matter is a contract being handl | ed by the City's Department of |

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

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

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

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

Ver.2017-1

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

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

| 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. |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS |
| Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D. |
| 1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter? |
| ☐ Yes ✓ No |
| NOTE: If you checked "Yes" to Item D(1), proceed to Items D(2) and D(3). If you checked "No" to Item D(1), skip Items D(2) and D(3) and proceed to Part E. |
| 2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D. |
| Does the Matter involve a City Property Sale? |
| ☐ Yes ☐ No |
| 3. If you checked "Yes" to Item $D(1)$, provide the names and business addresses of the City officials or employees having such financial interest and identify the nature of the financial interest: |
| Name Business Address Nature of Financial Interest |
| |

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Ver.2017-1

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

Page **9** of **14**

| | | | | · | |
|--|----------|---|--------|----|--|
| | | | • | | |
| | | | | | |
| | | | | | |
| | | | | ·. | |
| | | | | | |
| | | | | • | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | ! | | | |
| | | | | | |
| | | | | | |
| | x | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | i ! | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | , | | | |
| | | | : | | |
| | | : | , | | |
| | | | | | |
| | | | ÷ | | |

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

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

| Is the Disclosing Party the | Applicant? |
|--------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ☐ Yes | □ No . |
| If "Yes," answer the three | questions below: |
| 1. Have you developed as federal regulations? (See | nd do you have on file affirmative action programs pursuant to applicable 41 CFR Part 60-2.) |
| • | e Joint Reporting Committee, the Director of the Office of Federal Contract the Equal Employment Opportunity Commission all reports due under the ents? No [] Reports not required |
| 3. Have you participated equal opportunity clause?[] Yes | in any previous contracts or subcontracts subject to the [] No |
| If you checked "No" to que | estion (1) or (2) above, please provide an explanation: |
| | |
| | • |

| | | | · | | |
|---|-------|-----|-------------|--|--|
| | | | | | |
| | | | | | |
| | | | | | |
| | 1 | | | | |
| | | | | | |
| | · · · | : | | | |
| | | | .: | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | · | | | |
| | | | 1 . | | |
| | | | i i | | |
| | | | | | |
| | | | ! ! ! | | |
| • | | | ; | | |
| | | · · | · · ! | | |
| | | • | İ | | |

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

| · | ! |
|---------------------------------------|-----|
| | |
| | |
| • | |
| | |
| | • : |
| · · · · · · · · · · · · · · · · · · · | |
| | 1 |
| · | |
| | |
| | |
| | |
| | |
| | • |
| | |
| | |
| | |
| : | |
| | |
| | |
| | · |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

CERTIFICATION

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

| Howard Theater, LLC | |
|------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (Print or type exact legal name of Disclosing Party) By: | |
| (Sign here) | |
| Jay Johnson | |
| (Print or type name of person signing) | |
| President of its Manager, Cornerstone Investment Group, In | ıc. |
| (Print or type title of person signing) | |
| Signed and sworn to before me on (date) January 5, 2018 | , |
| at Cook County, Illinois (state). | |
| Quielle Meltyn Cassel | S "OFFICIAL SEAL" |
| Notary Public | DANIELLE MELTZER CASSELS NOTARY PUBLIC, SYATE OF ILLINOIS NOTARY PUBLIC, SYATE OF ILLINO |
| Commission expires: 2/1/2020 | |

| | 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 |
|--|---------------------------------------|
| | |

. |

.

i

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

Yes

No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

| | | : | | | |
|---|---|---------|---|---|---|
| | | | | | |
| | | İ | | | |
| | | | | | |
| | | i | | | |
| | | | | | |
| | | 1 | | | |
| | | i : | | | |
| | | ! | | | |
| | | | | | |
| ÷ | | | | | |
| | | : | | | |
| | | | | | |
| | | | | • | |
| | | : | | | |
| | | i I | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | ! | | | |
| | | | | • | |
| | | | | | |
| | | | | | |
| | • | • | | | |
| | | | | | |
| | | • | | | |
| | | | | | |
| | | | | | |
| | | į | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | į | | | |
| | | | | | |
| | | | | | |
| | | ļ | | | |
| | | : | | | |
| | | • | | | |
| | | | | | |
| | | | | | • |
| | | | | | |
| | | | | | |
| | | · ·! | | | |
| | | i | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | ! | • | | |
| | | | | | |
| | | | | | |
| | | | | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| | | | , is the Applicant or any Owner identified as a building code o MCC Section 2-92-416? |
|-----|-------------|----------------|------------------------------------------------------------------------------------------------------------------------------|
| | Yes | ✓ No | · |
| the | • • • • • • | • • | icly traded on any exchange, is any officer or director of de scofflaw or problem landlord pursuant to MCC Section |
| | Yes | □No | The Applicant is not publicly traded on any exchange. |
| as | | v or problem l | tify below the name of each person or legal entity identified andlord and the address of each building or buildings to which |
| | | | |

| | | | 1 | ¹ } | | |
|---|--|---|----------------|----------------|--|------------|
| | | | : | ř . | | |
| • | | | | | | • |
| | | | . : | | | 7 . 36. |
| | | | . | | | |
| | | • | j | | | |
| | | | | | | |
| | | | į | | | |
| | | | | | | |
| | | | | | | |
| | | | . : | | | |
| | | | ! | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | • |
| | | | ; | | | |
| | | | ! | | | |
| | | | : | | | |
| | | | : | | | |
| | | | | | | |
| | | | | | | |
| | | • | | | | |
| | | | | | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

Ver.2017-1

| A. Legal name of the Disclosing Party submitting | ng this EDS. Include d/b/a/ if applicable: |
|------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Cornerstone Investment Group, Inc. | |
| Check ONE of the following three boxes: | |
| Indicate whether the Disclosing Party submitting 1. OR | g this EDS is: |
| the contract, transaction or other undertaking to "Matter"), a direct or indirect interest in excess aname: | ticipated to hold within six months after City action on which this EDS pertains (referred to below as the of 7.5% in the Applicant. State the Applicant's legal |
| OR 3. a legal entity with a direct or indirect State the legal name of the entity in which the D Howard Theater Limited Partnership; Howard RD, LLC, CIG | |
| B. Business address of the Disclosing Party: | 6928 North Wayne Avenue, Suite 100 |
| | Chicago, Illinois 60626 |
| C. Telephone: 312-602-6220 Fax: 312-60 | 2-6201 Email: jjohnson@cornerstonellc.com |
| D. Name of contact person: Jay Johnson | |
| E. Federal Employer Identification No. (if you | have one): |
| property, if applicable): | EDS pertains. (Include project number and location o icago, IL 60626 from B1-3, Neighborhood Shopping |
| G. Which City agency or department is requesti | ing this EDS? Department of Planning and Development |
| If the Matter is a contract being handled by the complete the following: | City's Department of Procurement Services, please |
| Specification # | and Contract # |
| | |

Page 1 of 14

| • | • |
|---------|--------|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | i |
| | |
| | |
| | |
| · | |
| | |
| | |
| | |
| , · · · | |
| | į I |
| | i |
| | |
| | |
| | İ |
| | |
| | |
| | |
| | |

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 Privately held business corporation ☐ Joint venture Sole proprietorship Not-for-profit corporation General partnership (Is the not-for-profit corporation also a 501(c)(3))? Limited partnership ☐ Yes □No Other (please specify) Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? ☐ Yes No Organized in Illinois B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of 1. the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. **NOTE**: Each legal entity listed below must submit an EDS on its own behalf. Title Name President Jay Johnson 2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a

corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

| · . |
|---------------------------------------|
| |
| |
| · · · · · · · · · · · · · · · · · · · |

state "None." **NOTE**: Each legal entity listed below may be required to submit an EDS on its own behalf. Name **Business Address** Percentage Interest in the Applicant Jay Johnson, 6928 North Wayne Avenue, Suite 100, Chicago, IL 60626 SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ✓ No ☐ Yes Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? Yes ✓ No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? Yes **V** No If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

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

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

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

| · | |
|---|--------|
| | |
| | |
| | |
| • | |
| | |
| | |
| | |
| | |
| | |
| | |
| | i r |
| | |
| • | |
| | į |
| | i : |
| | |
| | |
| | |
| | i |
| | |
| | |
| | |
| | |
| | |
| | |
| • | |
| | į |
| | 1 |
| | ! : |
| | į |
| | |

| Name (indicate whether retained or anticipated to be retained) | Business Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.) | Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. |
|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| | | | |
| (Add sheets if necessary) | | 1 | |
| Check here if the Disc | closing Part | y has not retained, nor expects to re | tain, any such persons or entities. |
| SECTION V CERTIF | EICATION | S | |
| A. COURT-ORDERED | CHILD SU | PPORT COMPLIANCE | |
| | | antial owners of business entities th d support obligations throughout the | • |
| • 1 | • | ectly owns 10% or more of the Disc ations by any Illinois court of compe | <u> </u> |
| Yes No | No person o | lirectly or indirectly owns 10% or n | nore of the Disclosing Party. |
| If "Yes," has the person e is the person in compliance | | a court-approved agreement for pay agreement? | ment of all support owed and |
| ☐ Yes ☐ No | | | |
| B. FURTHER CERTIFIC | CATIONS | | |
| Procurement Services.] I Party nor any Affiliated E performance of any publi inspector general, or integinvestigative, or other sin | n the 5-year Entity [see of c contract, the grity complianilar skills, of | the Matter is a contract being handler period preceding the date of this Elefinition in (5) below] has engaged the services of an integrity monitor, hance consultant (i.e., an individual designated by a public agency to he as well as help the vendors reform t | DS, neither the Disclosing, in connection with the independent private sector or entity with legal, auditing, lp the agency monitor the |

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

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

| | | · • |
|---|----------|--------|
| : | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | i İ | |
| | <u>.</u> | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | : : | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | · | |
| | | |
| | | |

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

| | i |
|---|-------|
| | |
| | |
| | |
| | : |
| | ! |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| • | |
| | |
| | |
| | |
| | i |
| | |
| | 1 |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

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

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

| | | , | |
|--|---|---|--|
| | | | |
| | | | |
| | | | |
| | ļ | | |
| | | | |

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

| | | | : | | |
|---|---|--------|--------|---|--|
| • | | | į | | |
| | | | | , | |
| | | i | | , | |
| | | i : | 1 | | |
| | | | ! | | |
| | | | İ | | |
| | | | i | | |
| | | | i | | |
| | | | 1 | | |
| | | | : | | |
| | | | ļ | | |
| | | | İ | · | |
| | | | | | |
| | | | | | |
| | | | ĺ | | |
| | | | ! | | |
| | | | İ | | |
| | | | i | | |
| | | | : | | |
| | | | : : | | |
| | | | : | | |
| | | | ! | | |
| | | | İ | , | |
| | | | 1 | | |
| | | | | | |
| | | | 1 | | |
| | | • | | | |
| | | | | | |
| | | | i | | |
| | | • | | | |
| | | | ! | | |
| | | | i | | |
| | | | l . | | |
| | | | i | | |
| | | | | | |
| | | | | | |
| | | • | 1 | | |
| | | | • | | |
| | | | | | |
| | | | 1 | | |
| | | | ĺ | | |
| | | | | | |
| | | | 1 | | |
| | | | 1 | | |
| | | | | | |
| | | | | | |
| | • | | ! | | |

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

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

| derally 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. CERTIFICATION REGARDING LOBBYING 1. List below the names of all persons or entities registered under the federal Lobbying isclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing arty with respect to the Matter: (Add sheets if necessary): f no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| derally 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. CERTIFICATION REGARDING LOBBYING 1. List below the names of all persons or entities registered under the federal Lobbying isclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing |
| derally 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. CERTIFICATION REGARDING LOBBYING 1. List below the names of all persons or entities registered under the federal Lobbying isclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing |
| ederally 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. |
| derally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by |
| OTE: If the Matter is federally funded, complete this Section VI. If the Matter is not |
| ECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS |
| |
| 2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the isclosing Party has found records of investments or profits from slavery or slaveholder insurance olicies. The Disclosing Party verifies that the following constitutes full disclosure of all such ecords, including the names of any and all slaves or slaveholders described in those records: |
| 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 sued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records. |
| |

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

Page 9 of 14

Ver.2017-1

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

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

| Is the Disclosing Party the App | blicant? |
|---------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ☐ Yes | No . |
| If "Yes," answer the three ques | tions below: |
| federal regulations? (See 41 C | you have on file affirmative action programs pursuant to applicable FR Part 60-2.) No |
| Compliance Programs, or the E applicable filing requirements? | nt Reporting Committee, the Director of the Office of Federal Contract Equal Employment Opportunity Commission all reports due under the No [] Reports not required |
| equal opportunity clause? | ny previous contracts or subcontracts subject to the No |
| If you checked "No" to questio | n (1) or (2) above, please provide an explanation: |
| | |

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

CERTIFICATION

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

| Cornerstone Investment Group, Inc. | |
|-----------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|
| (Print of type exact legal name of Disclosing Party) By: | |
| (Sign here) | |
| Jay Johnson | |
| (Print or type name of person signing) | |
| President | |
| (Print or type title of person signing) | |
| Signed and sworn to before me on (date) January 5, 2018 | 3 |
| at Cook County, Illinois (state). | |
| Notary Public | "OFFICIAL SEAL" DANIELLE MELTZER CASSEL NOTARY PUBLIC, STATE OF ILLINOIS My Commission Expires 02/01/2020 |
| Commission expires: 2/1/2020 | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

| | ng Party or any "Applicable Party" or any Spouse or Domestic Partner thereof Ilial relationship" with an elected city official or department head? | • |
|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| Yes | ✓ No | |
| which such person | cify below (1) the name and title of such person, (2) the name of the legal enti- connected; (3) the name and title of the elected city official or department has a familial relationship, and (4) the precise nature of such familial relationsh | ad to |
| | | |

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| | | 10, is the Applicant or any Owner identified as a building code to MCC Section 2-92-416? |
|-----------------------------------------|-------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| ☐ Yes | ✓ No | |
| • • | | ablicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section |
| Yes | □No | The Applicant is not publicly traded on any exchange. |
| • • • • • • • • • • • • • • • • • • • • | offlaw or problen | entify below the name of each person or legal entity identified n landlord and the address of each building or buildings to which |
| | | |