



Office of the City Clerk

City Hall
121 N. LaSalle St.
Room 107
Chicago, IL 60602
www.chicityclerk.com

Legislation Details (With Text)

File #: O2011-2212
Type: Ordinance
Status: Passed
File created: 3/9/2011
In control: City Council
Final action: 3/9/2011
Title: Fifth amendment to redevelopment agreement with Wilson Yard Development I LLC regarding increase in maximum interest rate on notes
Sponsors: Burke, Edward M.
Indexes: Redevelopment Agreements
Attachments: 1. O2011-2212.pdf

Date	Ver.	Action By	Action	Result
3/21/2011	1	Office of the Mayor	Signed by Mayor	
3/9/2011	1	City Council	Passed	Pass
3/4/2011	1	Committee on Finance		

CHICAGO March 9.2011

To the President and Members of the City Council:

Your Committee on Finance having had under consideration

An ordinance authorizing the Commissioner of the Department of Housing and Economic Development to enter into and execute the Fifth Amendment to the Redevelopment Agreement with Wilson Yard Development I, LLC.

Having had the same under advisement, begs leave to report and recommend that your Honorable Body pass the proposed

Ordinance Transmitted Herewith

This recommendation was concurred in by_(a viva voce vote of members of the committee with_dissenting vote(s).

Respectfully submitted

(sign

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Chairman

ORDINANCE AMENDING FOURTH AMENDMENT AUTHORIZING ORDINANCE

V WHEREAS, as a home rule unit of government under Section 6(a), Article VII of the 1970 Constitution of the State of Illinois, the City of Chicago (the "City") has the power to .regulate for the protection of the public health, safety, morals and welfare of its inhabitants, and pursuant thereto, has the power to encourage private development in order to enhance the local tax base, create employment opportunities and to enter into contractual agreements with private parties in order to achieve these goals; and

WHEREAS, the City is authorized under the provisions of the Tax Increment Allocation Redevelopment Act, 65 ILCS 5/11-74.4-1 et seq., as amended from time to time (the "Act"), to finance projects that eradicate blighted conditions through the use of tax increment allocation financing for redevelopment projects; and

WHEREAS, pursuant to an ordinance adopted by the City Council (the "City Council") of the City on June 27, 2001, a certain redevelopment plan and project (the "Original Plan" for the Wilson Yard Redevelopment

Project Area (the "Area") was approved pursuant to the Act; and
WHEREAS, pursuant to an ordinance adopted by the City Council on June 27, 2001, the Area was designated as a redevelopment project area pursuant to the Act; and
WHEREAS, pursuant to an ordinance adopted by the City Council on June 27, 2001, tax increment allocation financing was adopted pursuant to the Act as a means of financing certain / Area redevelopment project costs (as defined in the Act) incurred pursuant to the Original Plan; and
WHEREAS, in accordance with the provisions of the Act, and pursuant to ordinances adopted (a) on November 18, 2009 and published at pages 74053-74131 of the Journal of such date, and (b) on February 10, 2010 and published at pages 83890-83990 of the Journal of such date, the City Council amended the Original Plan (the Plan, as amended, the "Plan"); and
WHEREAS, pursuant to an ordinance ("TIF Redevelopment Agreement Ordinance") adopted by the City Council on September 14, 2005 and published at pages 54740 - 54918 of the Journal of the Proceedings of the City Council (the "Journal"), the City entered into that certain Wilson Yard Redevelopment Project Area Redevelopment Agreement dated as of November 30, 2005 and recorded on December 20, 2005 as Document Number 0535403030 in the Office of the Cook County Recorder of Deeds (as amended by the amendments defined below, the "Agreement") with Wilson Yard Development I LLC, an Illinois limited liability company (the "Master Developer"), Wilson Yard Partners, LP, an Illinois limited partnership (the "LIHTC Developer"), Wilson Yard Development Corporation, an Illinois corporation (the "LIHTC General Partner"), Wilson Yard Senior Housing, L.P., an Illinois limited partnership (the "Senior Developer"), and Wilson Yard Senior Development Corporation, an Illinois corporation (the "Senior Developer General Partner" and together with the Master Developer, the LIHTC Developer, the LIHTC General Partner, the Senior Developer and the Senior Developer General Partner, the "Developers"); and
WHEREAS, pursuant to an ordinance adopted by the City Council on May 23, 2007 and published at pages 566 - 630 of the Journal, the City entered, into that First Amendment to the

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"Wilson Yard Redevelopment Project Area Redevelopment Agreement dated as of June 1, 2007 (the "First Amendment") with the Developers; and
WHEREAS, pursuant to an ordinance adopted by the City Council on April 9, 2008 and published at pages 24049 - 24108 of the Journal, the City was authorized to enter into that Second Amendment to the Wilson Yard Redevelopment Project Area Redevelopment Agreement dated as of October 1, 2008 (the "Second Amendment") with the Developers; and
WHEREAS, pursuant to an ordinance adopted by the City Council on October 8, 2008 and published at pages 39163 - 39196 of the Journal, the City was authorized to enter into that Third Amendment to the Wilson Yard Redevelopment Project Area Redevelopment Agreement dated as of October 10, 2008 (the "Third Amendment") with the Developers; and
WHEREAS, pursuant to an ordinance adopted by the City Council on November 3, 2010 and published at pages 103060 - 103087 of the Journal ("Fourth Amendment Authorizing Ordinance"), the City was authorized to enter into that Fourth Amendment to the Wilson Yard Redevelopment Project Area Redevelopment Agreement (the "Fourth Amendment") with the Developers; and
WHEREAS, subsequent to the adoption of the Fourth Amendment Authorizing Ordinance, market conditions have resulted in a need to increase the maximum interest rate authorized on the notes to be issued pursuant to the Fourth Amendment; and

WHEREAS, such aforementioned changes require amendments to certain provisions of the Fourth Amendment Authorizing Ordinance; now therefore,

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

SECTION 1. The above recitals are incorporated herein and made a part hereof. All undefined capitalized terms used herein have the meanings ascribed to them in the Fourth Amendment Authorizing Ordinance.

SECTION 2. All references in the Fourth Amendment Authorizing Ordinance, including Exhibits attached thereto, to a maximum annual interest rate of 6.75% for the City Notes Refunded are hereby changed to 7.5%, and references to the City Notes Refunded maturing on May 1, 2025 are hereby changed to read on or before May 1, 2025. The City Notes Refunded may be sold at a discount or premium not in excess of 5% as determined by the Comptroller or Chief Financial Officer as described in Section 3 of this ordinance.

SECTION 3. The Comptroller or Chief Financial Officer are hereby authorized and directed to establish the

rates of interest, serial maturities, sinking fund schedules, initial discount or premium at which the City Notes Refunded are to be sold and such other terms of the City Notes Refunded not inconsistent with the parameters set forth in this ordinance as are deemed necessary for the issue and sale of the City Notes Refunded, and to approve such additional revisions to the Fourth Amendment as are required by the City's bond counsel to enable such counsel to render an unqualified opinion on the tax exempt status of interest on the City Notes Refunded which are issued as Tax Exempt Obligations.

SECTION 4. If any provision of this ordinance shall be held to be invalid or

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: .Wilson Yard Development I, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 305
Chicago, Illinois 60642

C. Telephone: 312-337-5339 Fax: 312-337-4592 Email: peterholsten@holstenchicago.com <mailto:peterholsten@holstenchicago.com>

D. Name of contact person: Peter Holsten

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement

G. Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # ___ and Contract # ___

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

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SECTION I -- GENERAL INFORMATION

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AV Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: .Wilson Yard Development I, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _ _

OR

3. ☐ a legal entity with a right of control (see Section II. B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 305
Chicago, Illinois 60642

C. Telephone: 312-337-5339 Fax: 312-337-4592 Email: peterholsten@holstenchicago.com <mailto:peterholsten@holstenchicago.com>

D. Name of contact person: Peter Holsten_

E. Federal Employer Identification No. (if you have one): 75-3178947_

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement ',

G. Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # __ and Contract # _

Ver. 09-01-10

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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party:

Person Limited liability company '

Publicly registered business corporation ☐ Limited liability partnership

Privately held business corporation ☐ Joint venture

Sole proprietorship , ☐ Not-for-profit corporation

General partnership (Is the not-for-profit corporation also a 501(c)(3))? Limited partnership ☐ Yes ☐ No

Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title Peter Holsten Managing Member

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the Disclosing Party

Pe'cer Holsten ■ 1333 N Kingsbury, Suite 305, Chicago 60642 • 79%

John Mullen 430 N Michigan Avenue, Ste 600, Chicago 60611 21%

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

☐ Yes ☒ No

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

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

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

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE:
to be retained) lobbyist, etc.) "hourly rate" or "t.b.d." is
not an acceptable response.

Applegate and Thorne-Thorsen, 322 South Green St., Chicago, Attorney \$7,000 (estimated)
(Add sheets if necessary)

[] Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☒ No . ☐ No person directly or indirectly owns 10% or more of the
Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No • '

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, - then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.I. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

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e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.



6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1\ The Disclosing Party certifies that the Disclosing Party (check one)

☐ is . gq is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same ¹ meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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., proceed to Part E.

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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

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3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest: ■-

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

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SECTION VI » CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A: -CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

None

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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 [x]

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

Yes [] No [x]

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements? Yes [] No [x]

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause? Yes [] No [x]

If you checked "No" to question 1. or 2. above, please provide an explanation: The requirement does not apply as the disclosing party is an LLC and has no employees.

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable

ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies, at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted \ in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F. 1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

Page 11 of 13

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

CERTIFICATION

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

(Sign here)

Peter Holsten

(Print or type name of person signing)

Managing Member

(Print or type title of person signing)

Signed and sworn to before me on (date) at Cook County, Illinois

J2JM.

(state).

Commission expires:

Notary Public.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

☐ Yes ☒ No

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A; Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: Wilson Yard Partners, L.P.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 305
Chicago, Illinois 60642

C. Telephone: 312-337-5339 Fax: 312-337-4592 Email: peterholsten@holstenchicago.com

D. Name of contact person: Peter Holsten

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement

G. Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the

following:

Specification #_ and Contract #_

Ver. 09-01-10

Page 1 of 13

**CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
SECTION I -- GENERAL INFORMATION**

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

fiison Yard Partners, L.P.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _ . ____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _ . ____

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 305_

D. Name of contact person: Peter Holsten_

E. Federal Employer Identification No. (if you have one): 86-1124804_

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement

G. Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

. Specification # ' _ and Contract # _
Chicago, Illinois 60642 '

C. Telephone: 312-337-5339

Fax: 312-337-4592

Email: peterholsten@holstenchicago.com

Ver. 09-01-10

Page 1 of 13

(

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

☐ Person ☐

☐ Publicly registered business corporation ☐

☒ privately held business corporation ☐

☐ sole proprietorship ☐

☐ partnership (Is

☒ Limited Liability Partnership

☐ Trust ☐

Limited liability company Limited liability partnership Joint venture

Not-for-profit corporation

the not-for-profit corporation also a 501(c)(3)?

☐ Yes ☐ No Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable Illinois

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

/

☐ Yes ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

Wilson Yard Development Corporation General Partner

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

Page 2 of 13

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

; Disclosing Party

V -j yon Yard Development Corporation, General Partner 1333 North Kingsbury, Ste. 305 Chicago 0.01% AjI SOr*Tax
Credit 45, LLC, Administrative Limited Partner, 21600 Oxnard St, Woodland Hills, CA 91367 0.01%
OenerX

Allia.;. . Credit Fund 45-C, Ltd., Investor Limited Partner, 21600 Oxnard, Woodland Hills, CA 91367 99.98%
-, :. * < > ' -- : --

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

☐ Yes ☒ No

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

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. "Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Page 3 of 13

Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether
retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE:

to be retained) lobbyist, etc.) "hourly rate" or "t.b.d." is

. not an acceptable response.

(Add sheets if necessary)

[X] Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

[J]Yes [^ No [] No person directly or indirectly owns 10% or more of the

Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1 -23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

Page 4 of 13

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;

b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;

d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management; ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to

- bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or ^
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, > agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense, of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

Page 6 of 13

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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

■ I. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is [X] is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

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 INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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., proceed to Part E.

Page 7 of 13

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 interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

Page 8 of 13

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: . (Add sheets if necessary):
None.

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

JX] Yes [] No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations?

(See 41 CFR Part 60-2.)

[1 Yes [X] No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

[] Yes , [x] No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

[JYes [x]J No

If you checked "No" to question 1. or 2. above, please provide an explanation:

The requirement does not apply as the disclosing party has no employees. ,

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. the information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1 -23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and

will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.
Page 11 of 13

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

CERTIFICATION

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

Wilson Yard Partners, L.P. (Print or type name of Disclosing Party)

By: WilsoiVvYard Development Corporation, it's General Partner

(Sign here) Peter Holsten

(Print or type name of person signing) President

(Print or type title of person signing)

Signed and sworn to before me on (date) at rnnv_ County, n i i m i r (state).

By:

!

OFFICIAL SEAL LAURA SAX Notary Public - State of Illinois My Commission Expires Oec 29, 2013

*

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT ^ APPENDIX A FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes [X] No

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: • • Wilson Yard Development Corporation

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Partners, LP__

OR⁵

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: __

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 3 05__
Chicago, Illinois 60642__

C. Telephone: 312-337-5339 Fax: 312-337-4592 Email: peterholsten@holstenchicago.com <mailto:peterholsten@holstenchicago.com>

D. Name of contact person: Peter Holsten

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement

G. Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #__ and Contract #__

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: Wilson Yard Development Corporation C

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Partners, LP__

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: '

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 3 05__
Chicago, Illinois 60642__

C. Telephone: 312-337-5339 Fax: 312-337-4592 Email: peterholsten@holstenchicago.com <mailto:peterholsten@holstenchicago.com>

D. Name of contact person: Peter Holsten

E. Federal Employer Identification No. (if you have one): 86-1124800__

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement <'

G. Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #__ and Contract #__

Ver. 09-01-10

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A..NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

☐ Person ☐ Limited liability company

☐ Publicly registered business corporation ☐ Limited liability partnership
☒ Privately held business corporation ☐ Joint venture
☐ Sole proprietorship ☐ Not-for-profit corporation
☐ General partnership (Is the not-for-profit corporation also a 501(c)(3))? ☐ Limited partnership ☐ Yes ☐ No
☐ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois

3. For legal entities not organized in the State of Illinois: Has the organization registered to do-business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

Peter Holsten President, Secretary, Treasurer, Director

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party

Peter Holsten 1333 N. Kingsbury, Ste. 305, Chicago, IL 60622 100%

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

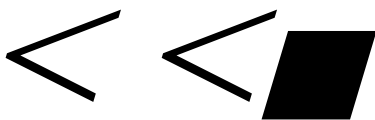
☐ Yes ☒ No

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

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The

Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.



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

person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE:
to be retained) lobbyist, etc.) "hourly rate" or "t.b.d." is
not an acceptable response.

(Add sheets if necessary)

[X] Check here, if the Disclosing Party has not retained, nor expects to, retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

[J]Yes [No] [] No person directly or indirectly owns 10% or more of the Disclosing Party.

Ⓐ If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement? []Yes []No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B. 1. of this ED S:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with:
 - obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern: /

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");

, • any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;

• any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.



6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is ☒ is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the

Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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., proceed to Part E.

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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 interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
------	------------------	--------------------

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

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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

It List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to

influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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 and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with

the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

(Sign here)

Peter Holsten

(Print or type name of person signing)

President

(Print or type title of person signing)

Signed and sworn to before me on (date) Oct 11 at Cook County, Illinois (state).

Commission expires:

Notary Public.

OFFICIAL SEAL " LAURA SAX Notary Public • State of Illinois My Commission Expires Dec 29, 2013

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

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

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

☐ Yes ☒ No

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.

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CITY OF CHICAGO ' ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: Wilson Yard Senior Housing, LP
Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: __

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: __

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 3 05_
Chicago, Illinois 60642_

C. Telephone: 312-337-5339_Fax: 312-337-4592_Email: peterholsten@holstenchicago.com

D. Name of contact person: ^{Peter} Holsten_

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement

G. Which City agency Or department is requesting this EDS? ^{De}Partm^{ent} of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #_ and Contract #_

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: Wilson Yard Senior Housing, LP
Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _;

OR

3. ☐ a legal entity with a right of control (see Section II.13.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 3 05_
Chicago, Illinois 60642_

C. Telephone: 312-337-5339 Fax: 312-337-4592 Email: peterholsten@holstenchicago.com <mailto:peterholsten@holstenchicago.com>

D. Name of contact person: Peter Holsten_

E. Federal Employer Identification No. (if you have one): 35-2259003_

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement

G. Which City agency Or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is. a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #_ and Contract #_

Ver. 09-01-10

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A." NATURE OF THE DISCLOSING PARTY 1'. Indicate the nature of the Disclosing Party:

☐ Person ☐

☐ Publicly registered business corporation ☐

☐ Privately held business corporation ☐

☐ Sole proprietorship ☐

☐ General partnership (Is

K) Limited partnership

☐ Trust ☐

Limited liability company Limited liability partnership Joint venture

Not-for-profit corporation

the not-for-profit corporation also a 501(c)(3))?

☐ Yes ☐ No Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable Illinois

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

Wilson Yard Senior Development Corporation General Partner

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

Page 2 of 13

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the
Disclosing Party

Wilson Yard Senior Development Corporation 1333 North Kingsbury, Ste 305' 0.01%

ueneral Partner Chicago, Illinois b0b22
Alliant Tax Credit 45, LLC 21600 Oxnard St., Suite 1200 0.01%
Administrative Limited Partner Woodland Hills, CA 91367
Alliant Tax Credit Fund 45-D, Ltd. 21600 Oxnard St., Suite 1200 99.98%
Investor Limited Partner. Woodland Hills, CA 91367

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

☐ Yes ☒ No

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

/

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. "Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business retained or anticipated Address to be retained)

Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)

Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.

(Add sheets if necessary)

☒ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V--CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

No ☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any

transactions by any federal, state or local unit of government;

b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;

d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;

b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or

c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or

d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is ☒ is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

[J] Yes [X] 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., proceed to Part E.

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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 interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
------	------------------	--------------------

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

E. CERTIFICATION REGARDING SLAVERY-ERA BUSINESS

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

☒ 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:

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SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)
2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.
3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.
4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".
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.

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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 and do you have on file affirmative action programs pursuant to applicable federal regulations?
(See 41 CFR Part 60-2.)

☐ Yes ☒ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☒ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☒ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

The requirement does not apply as the disclosing party is a limited partnership and has not employees .;_.

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics

<<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages. ,

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this, EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS. /

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

Wilson Yard Senior Housing, LP_

(Print or type name of Disclosing Party)

By: Wilson Yard Senior Development Corporation, its General Partner

(Sign here)

Peter Holsten_

(Print or type name of person signing)

President_

(Print or type title of person signing)

By:

Signed and sworn to before me on (date)

Notary Public.
' OFFICIAL SfcAL '

« LAURA SAX

i Notary Public - State of Illinois

My Commission Expires Dec 29,2013 ,

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes [X] No

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: Wilson Yard Senior Development Corporation

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. [] the Applicant

OR

2. [X] a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP

OR

3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: __

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 305_

Chicago, Illinois 60642_

C. Telephone: 312-337-5339 _Fax: 312-337-4592 Email: peterholsten@holstenchicago.com <mailto:peterholsten@holstenchicago.com>

D. Name of contact person: Peter Holsten_

E. Federal Employer Identification No. (if you have one): JffBB1-1_m^g_

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS

pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement

G. Which City agency Or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #__ and Contract #__

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: Wilson Yard Senior Development Corporation

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP

OR

3. ☐ a legal entity with a right of control (see Section II. B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: __

B. Business address of the Disclosing Party: 1333 North Kingsbury, Suite 3 05

Chicago, Illinois 60642

C. Telephone: 312-337-5339 Fax: 312-337-4592 Email: peterholsten@holstenchicago.com <mailto:peterholsten@holstenchicago.com>

D. Name of contact person: Peter Holsten

E. Federal Employer Identification No. (if you have one): 61-1490136

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

4th Amendment to the Wilson Yard Redevelopment Agreement

G: Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #__ and Contract #__;

Ver. 09-01-10 . Page 1 of 13

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

☐ General partnership (Is the not-for-profit corporation also a 501(c)(3))? ☐ Limited partnership ☐ Yes ☐ No

☐ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Illinois

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes' ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an

EDS on its own behalf.

Name Title

Peter Holsten President, Secretary, Treasurer
Director

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation,, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage interest in the

Disclosing Party

Peter Holsten 1333 North Kingsbury, Suite 305 Chicago, Illinois 100%

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

☐ Yes ☒ No

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

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. "Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE:

to be retained) lobbyist, etc.) "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 -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☒ No ☐ No person directly or indirectly owns 10% or more of the
Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☒ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person

is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B. 1. of this EDS:

- a. " are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:
"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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., proceed to Part E.

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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? ¹

☐ Yes ☒ No

3. If you checked "Yes" to Item D.L, provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest: .

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

may make any contract entered into with the City in connection with the Matter voidable by the City.

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

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

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SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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 and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☒ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☒ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☒ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

Wilson Yard Senior Development Corporation

(Print or type name of Disclosing Party)

(Sign here) Peter Holsten

(Print or type name of person signing) President

(Print or type title of person signing)

Signed and sworn to before me on (date) J^{at} /> fnnk o County, ti l -inn-i h (state).

CUAAA

Commission expires:

OFFICIAL SEAL LAURA SAX Notary Public - State of Illinois My Commission Expires Dec 29, 2013

Notary Public.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer 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.fi <http://II.fi>. 1 .a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

☐ Yes ☒ No

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Alliant Tax Credit Fund 45-D, Ltd.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. _

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _

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

☐ General partnership (Is the not-for-profit corporation also a 501(c)(3))?

Limited partnership ☐ Yes ☐ No

☐ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Florida

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s). If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

Alliant Capital, Ltd. General Partner

FNBC Leasing Corporation Limited Partner

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party

Alliant Capital, Ltd. 340 Royal Poinciana Way # 305, Palm Beach, FL 33480 0.0,1 % (GP)

FNBC Leasing Corporation 99.99% (LP)

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

N/A

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely

through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.,.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business retained or anticipated Address to be retained)

Relationship to Disclosing Party Fees (indicate whether (subcontractor, attorney, paid or estimated.)

NOTE:

lobbyist, etc.) "hourly rate" or "t.b.d." is

not an acceptable response.

N/A

N/A

N/A

N/A

(Add sheets if necessary)

^^Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

No ☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party . submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;

b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to

obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;

d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3., The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. . bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to , bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or ■-
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the

Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below.

N/A

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1.. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is a financial institution

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

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 proceed to Part E.

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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?

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
------	------------------	--------------------

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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:

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SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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 JC^{No}

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No~

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

i

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS. .

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

A\ia> T<?t Credit fj>A H-O/LtJ. (Print or type name of Disclosing Party)

Brian Goldberg

(Print or type name of person signing) President

(Print or type title of person signing)

Signed and sworn to before me on (date) 'T'g.WvuQ.'O ~£Q^ I__,

at ^cfc kv^Wi/J fabuAty/ 0A\ jq\\vIQ, (state). /

Notary Public.

Commis/ion expires:

LLARDO Y 1767159 * California |

ANA PAZ GALLARDO Commission # Notary Public - California | Los Angeles County

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the

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

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

☐ Yes ☒ No

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT SECTION I - GENERAL INFORMATION

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

Alliant Tax Credit Fund 45-C, Ltd.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Partners, LP. ■

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

„ „ . * , ^ . , . ^ **340 Royal Poinciana Way, Suite 305**

B. Business address of the Disclosing Party: _____

Palm Beach, Florida 33480

~ rr , ^ (818)668-6800* (818) 668-2828 ^ brian.goldberg@alliantcapital.com <mailto:brian.goldberg@alliantcapital.com>C.

Telephone: ^ ' _ Fax: j _ _ Email: _____

Brian Goldberg

D. Name of contact person:

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Family Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

„ „ **N/A** „ „ **N/A**

Specification # _____ and Contract # _____

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT SECTION I - GENERAL INFORMATION

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

Alliant Tax Credit Fund 45-C, Ltd.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Partners, LP: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

^, ^, , . „ 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: ☐ _____

Palm Beach, Florida 33480

^ ^, t (818)668-6800 ^ (818)668-2828^ . bnan.goldberg@alliantcapital.com <mailto:bnan.goldberg@alliantcapital.com>

C. Telephone: x ' _Fax: j _Email: _

^, T Brian Goldberg

D. Name of contact person: _____

E. Federal Employer Identification No. (if you have one): ^® 3539309

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Family Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

_____, „ N/A • ^ u N/A

Specification # _ _ and Contract # _

Ver. 09-01-10

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

☐ Person ☐ Limited liability company

☐ Publicly registered business corporation ☐ Limited liability partnership

☐ Privately held business corporation ☐ Joint venture

☐ Sole proprietorship ☐ Not-for-profit corporation

☐ General partnership (Is the not-for-profit corporation also a 501(c)(3))? »a Limited partnership ☐ Yes ☐ No

☐ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Florida

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?

^

[JYes M^{No} []N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below, the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

Alliant Capital, Ltd. General Partner ,
FNBC Leasing Corporation Limited Partner

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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r
interest of a member or manager in a limited liability company j or interest of a beneficiary of a trust, estate of other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party

Alliant Capital, Ltd. 340 Royal Poinciana Way # 305, Palm Beach, FL 33480 0.01% (GP)
FNBC Leasing Corporation 99.99% (LP)

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether or anticipated)	Business Address	Relationship to Disclosing Party	Fees (indicate whether retained or anticipated)
--	------------------	----------------------------------	---

(subcontractor, attorney, paid or estimated.) NOTE: lobbyist, etc.) "hourly rate" or "t.b.d." is

not an acceptable response.

N/A . N/A N/A N/A

(Add sheets if necessary)

Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrears on any child support obligations by any Illinois court of competent jurisdiction?

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I") (which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of

another person or entity; '

- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code!

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below: N/A

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) [] is ☐ is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

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

presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

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., proceed to Part E. -

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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?

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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:

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SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

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

the Matter.) . c

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above. .

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part.60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes • ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2. If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

By: _____ (Print or type name of Disclosing Party) By: Alliant Capital Ltd. GP

By: _____

(Sign here)

Brian Goldberg

(Print or type name of person signing)

President N

(Print or type title of person signing)

Signed and sworn to before me on (date) "g^lav^CK^ % xQU

'Pty, roly^Nua (state).' - ^

Notary Public.

Commission

expires: _ ^ | "]zoK

ANA PAZ GALLARDO f

Commission # 1767159 I

| Notary Public • California I

, Los Angeles County ~

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CITY OF CHICAGO , ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:

340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party:

Palm Beach, Florida 33480

(561)833-5795 (561)833-3684 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: Fax: Email:

^ ^ T „ Brian Goldberg

D. Name of contact person:

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing for Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? '

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

„„. . N/A N/A Specification # and Contract # :

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:

340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party:

Palm Beach, Florida 33480

(561) 833-5795 (561) 833-3684 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: Fax: Email:

Brian Goldberg

D. Name of contact person:

E. Federal Employer Identification No. (if you have one): ®^ 0773626

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing for Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? :

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

N/A N/A

Specification #__ and Contract #__

Ver. 09-01-10

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SECTION II » DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

☐ Person ☐ Limited liability company

☐ Publicly registered business corporation ☐ Limited liability partnership

☐ Privately held business corporation ☐ Joint venture

☐ Sole proprietorship ☐ Not-for-profit corporation

☐ General partnership (Is the not-for-profit corporation also a 501(c)(3))? ☐ Limited partnership ☐ Yes ☐ No

☐ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Florida

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s). If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

Alliant, Inc. General Partner

The Alliant Company, LLC Limited Partner

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Business Address Percentage Interest in the

Disclosing Party

21600 Oxnard Street, Suite 1200, Woodland Hills, CA 91367 1%(GP) The Alliant Company, LLC 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 99% (LP)

Name " Alliant, Inc.

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

■ , k

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

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

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether or anticipated)	Business Address	Relationship to Disclosing Party	Fees (indicate whether retained or anticipated)
NOTE: (subcontractor, attorney, paid or estimated.)			
to be retained) lobbyist, etc.) "hourly rate" or "t.b.d." is not an acceptable response.			

N/A

(Add sheets if necessary)

Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I/applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in

Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or,
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or

being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

Page 6 of 13

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.

C CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is ^{^j^}is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

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., proceed to Part E.

Page 7 of 13

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?

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by

any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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:

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SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

None

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement. *

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A. 1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible, rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter. 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-

020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2. If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

(Print or type name of Disclosing Party)

Brian Goldberg

(Print or type name of person signing)

President

(Print or type title of person signing)

Notary Public.

Commission expires: ^UI 2o||

ANA PAZ GALLARDO Commission # 1767159

|bf?>"\$|g\$|P Notary Public - California |

Los Angeles County rvyComm.t3(ptesSep11,2011

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT i AND AFFIDAVIT

SECTION I GENERAL INFORMATION

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

Alliant, Inc.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. _

OR

3. ☐ a legal entity with a right of control (see Section II. B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _

„ „ . ruT.-, - ^ 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: _____

Palm Beach, Florida 33480

(818)668-6800 (818)668-2828 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: _ Fax: _ Email: _

„ XT „ ■ 4 **Shawn Horwitz**

D. Name of contact person: _____

E. Federal Employer Identification No. (if you have one)

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # N/A _ and Contract # ^/A _

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Alliant, Inc.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. ____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: ____

., . **340 Royal Poinciana Way, Suite 305**

B. Business address of the Disclosing Party: ____

Palm Beach, Florida 33480

(818)668-6800 (818)668-2828 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: Fax: Email: ____

^ **Shawn Horwitz**

D. Name of contact person: ■

E. Federal Employer Identification No. (if you have one): ®^ 0773621

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? ____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # ^/A_ and Contract # N/A_

Ver. 09-01-10 Page 1 of 13

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

☐ Person ☐

☐ Publicly registered business corporation ☐

Privately held business corporation ☐

☐ Sole proprietorship ☐

☐ General partnership (Is ☐ Limited partnership

☐ Trust ☐

Limited liability company Limited liability partnership Joint venture

Not-for-profit corporation

the not-for-profit corporation also a 501(c)(3)?

☐ Yes ☐ No

Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable Florida

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 M^{No} ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. . NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Title

Director/Chairman of the Board

Shawn Horwitz Director/Chief Executive Officer

Scott Kotick Director/Executive Vice President

James Jenkins Director/Vice President/Treasurer/Secretary

Brian Goldberg President

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

Name Sidney Kohl

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party

Sidney Kohl 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 50%

Shawn Horwitz 21600 Oxnard Street, Suite 1200, Woodland Hills, CA 91367 25%

Scott Kotick 21600 Oxnard Street, Suite 1200, Woodland Hills, CA 91367 25%

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

N/A

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business retained or anticipated Address to be retained)

N/A -

Relationship to Disclosing Party Fees (indicate whether (subcontractor, attorney, paid or estimated.)

NOTE:

lobbyist, etc.) "hourly rate" or "t.b.d." is not an acceptable response.

N/A

N/A

N/A

(Add sheets if necessary)

^Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☐

☐ No person directly or indirectly owns 10% or more of the Disclosing Party,

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

- 1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g.; "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily 'excluded from any transactions by any federal, state or local unit of government;

b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;

d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:, f

- 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").

, Page 5 of 13

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is ^{not} a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We

further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter. 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements. .

D." CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

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., proceed to Part E.

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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?

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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:

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SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded,

proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☒ No ■

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question. 1. or 2. above, please provide an explanation:

SECTION VII ~ ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement,

City assistance, or other City action, and are material inducements to, the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and

statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

Alliant, Inc.

(Print or type name of Disclosing Party)

Shawn Horwitz

(Print or type name of person, signing) CEO

(Print or type title of person signing)

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer 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 TLB. 1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

☐ Yes ☒ No

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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

The Alliant Company, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. _

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

" . ^ * , x.. , • „ 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: _____

Palm Beach, Florida 33480

„+ t , (818)668-6800 ^ (818)668-0000 ^ .shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: ^ ' _ Fax: ^ ' _ Email: _____

^ xT . Shawn Horwitz

D. Name of contact person: _____

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # N/A _and Contract # N/A _

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I- GENERAL INFORMATION

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

The Alliant Company, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. _

(OR

3. ☐ a legal entity with a right of control (see Section II. B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

" . ^ c , ^ . , . „ 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: _____

Palm Beach, Florida 33480

t (818)668-6800 ^ (818)668-0000 ^ .shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: ^ ' _ Fax: ^ ' _ Email: _____

^ xT Shawn Horwitz

D. Name of contact person: _____

E. Federal Employer Identification No. (if you have one): ^® 5983661

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the

following:

Specification # ^/A_ and Contract # N/A_

Ver. 09-01-10

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party:

Person Limited liability company

Publicly registered business corporation ☐ Limited liability partnership

Privately held business corporation ☐ Joint venture

Sole proprietorship ☐ Not-for-profit corporation

General partnership (Is the not-for-profit corporation also a 501(c)(3))? Limited partnership ☐ Yes ☐ No

Trust ☐ Other (please specify)

-i

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Florida

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ^No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

Alliant, Inc. Managing Member

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from "any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party

Alliant, Inc. 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 1 % (Managing Member)

Palm Drive Associates, LLC 23449 Palm Drive, Calabasas, CA 91302 24.75% (Non-Managing Member)

344 Columbia Associates, LLC 5150 Garret Court, Calabasas, CA 91302 24.75% (Non-Managing Member)

SAK Housing, LLC 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 49.50% (Non-Managing Member)

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed? ¹

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

N/A

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

(

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

accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business retained or anticipated Address to be retained)

Relationship to Disclosing Party Fees (indicate whether (subcontractor, attorney, paid or estimated.)

NOTE:

lobbyist, etc.) "hourly rate" or "t.b.d." is not an acceptable response.

N/A

N/A

N/A

N/A

(Add sheets if necessary)

^^Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under MunicipalCode Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☒ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

V.

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. - are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Page 5 of 13

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party, to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or

being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below: ^J

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ^{is} not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

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., proceed to Part E.

Page 7 of 13

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?

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E..CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

*_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:

{
Page 8 of 13

SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☒ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code

(imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

The Alliant Company, LLC

(Print or type name of Disclosing Party)

Shawn Horwitz

(Print or type name of person signing)

CEO

(Print or type title of person signing)

Signed and sworn to before me on at W iWeWoy /7/Ppujity,jCa\l

8, "zau

Notary Public.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic

partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt Or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

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

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, L.P.

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:

340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: . .

Palm Beach, Florida 33480

(561)833-5795 (561)833-3684 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: _ Fax: _ Email: _

^ ^ T „ **Shawn Horwitz**

D. Name of contact person: _

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

_ • „ . N/A N/A

Specification # _ and Contract # _

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing ,LP__

OR

3. ☐ a legal entity with a right of control (see Section II. B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: __

„ ” . „ , 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: __

Palm Beach, Florida 33480

(561)833-5795 (561)833-3684 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: __ Fax: __ Email: __

Shawn Horwitz

D. Name of contact person: __

20-5847098

E. Federal Employer Identification No. (if you have one): __

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? __

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

N/A N/A

Specification # . . . and Contract # __

Ver. 09-01-10

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party:

Person ☒ Limited liability company

Publicly registered business corporation ☐ Limited liability partnership

Privately held business corporation ☐ Joint venture

Sole proprietorship ☐ Not-for-profit corporation

General partnership (Is the not-for-profit corporation also a 501(c)(3))? Limited partnership ☐ Yes ☐ No

Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Florida

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?

[J]Yes [☒]No [J]N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-

for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s). If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, ' manager-or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title Esko Properties, Inc. Managing Member

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party

SAK Housing, Inc. 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 50% (Non-Managing Member)

Esko Properties, Inc. 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 20% (Managing Member)

The Robert Kohl Family Trust c/o Pentacorp, Inc - 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 15% (Non-Managing Member)

The Lawrence Kohl Family Trust c/o Pentacorp, Inc - 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 1 5% (Non-Managing Member)

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

☐ Yes ☒ No

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

N/A

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE:

to be retained) lobbyist, etc.) "hourly rate" or "t.b.d." is not an acceptable response.

N/A N/A N/A N/A

(Add sheets if necessary)

(gj Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☐ No ☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily 'excluded from any transactions by any federal, state or local unit of government;
- b. -have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. . are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation:
 - . interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;

• any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

Page 6 of 13

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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

[JYes [*]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., proceed to Part E.

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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?

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

IK 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:

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SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

None \

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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 and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No .

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. with the applicable ordinances.

The Disclosing Party must comply fully

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), "at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

V

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2. If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

SAK Housing, LLC

(Print or type name of Disclosing Party)

By: Esko Properties* Inc., its managing member

By:

(Sign here)' James C.Jenkins

(Print or type name of person signing)

(Print or type title of person signing)

Signed and sworn to before me on (date)

4 Mjm-&Mk County, ^%r^^&^ (state).

-^^M^i^ ^, Notary Public f3li^^ Commission expires: ^3d?9i/j30/^L commission * op^

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

[] Yes ' M 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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Esko, Inc. (f/k/a Esko Properties, Inc)

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. [] the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. _

OR

3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _

„ . . . , . ^ . . ^ 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: _____

Palm Beach, Florida 33480

T1, (561)833-5795 c (561) 833-3684 c ijenkins@eskopb.com

<mailto:ijenkins@eskopb.com>

C. Telephone: v ' Fax: J; ' Email: _____

^ XT A 4 James Jenkins

D. Name of contact person: _____

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

c -r * N/A u N/A

Specification # _____ and Contract # _____

Ver. 09-01-10 Page 1 of 13

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Esko, Inc. (f/k/a Esko Properties, Inc)

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR,

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. _____

OR

3. ☐ a legal entity with a right of control (see Section II. B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

., . „ **340 Royal Poinciana Way, Suite 305**

B. Business address of the Disclosing Party:

Palm Beach, Florida 33480

_. (561)833-5795 _ (561) 833-3684 n , jjenkins@eskopb.com

<mailto:jjenkins@eskopb.com>

C. Telephone: x ' Fax: j ' Email: _____

^ XT _ James Jenkins

D. Name of contact person: _____

65-0129883

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the

following:

c -r ■ u N/A ii N/A

Specification # ___ and Contract # ___

Ver. 09-01-10

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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

☐ Person ☐ Limited liability company

☐ Publicly registered business corporation ☐ Limited liability partnership

Privately held business corporation ☐ Joint venture

☐ Sole proprietorship ☐ Not-for-profit corporation

☐ <. General partnership (Is the not-for-profit corporation also a 501(c)(3))? ☐ Limited partnership ☐ Yes ☐ No

No

☐ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Florida

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☒ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s). If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title Sidney A. Kohl President

James C. Jenkins Vice President / Treasurer

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name- Business Address Percentage Interest in the

Disclosing Party

Sidney Kohl Living Trust 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 Sole Shareholder

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

N/A

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to

retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business retained or anticipated Address to be retained)

Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)

Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.

N/A

N/A

N/A

N/A

(Add sheets if necessary)

^^Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I") (which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a

violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;

d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied

Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

Page 6 of 13

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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is [^]is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

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., proceed to Part E.

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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?

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
------	------------------	--------------------

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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:

Page 8 of 13

SECTION VI -

- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal

regulations? (See 41 CFR Part 60-2.) [] Yes [] No

. 2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements? [] Yes [] No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?
[] Yes [] No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List

System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

(Print or type name of Disclosing Party)

(Print or type name of person signing)

Vice President / Treasurer

(Print or type title of person signing)

Signed and sworn to before me on (date) &hj&^t! &tJtLJ/ri \$&i/jh County, f^lonvtn^ (state).

V^fci^^Cy^y- otaty Public.

Commission expires: tstdl^h

MOIRA MAUOY-BERTRAND £W*\$W\ Notary Public - State di Florida My Comm. Expires Mar 24.2014 Commission # OD 974386

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer 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 TLB.l.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

SAK Housing, Inc

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. hCJ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP_

OR ⁰

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _

„ „..... 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: _

Palm Beach, Florida 33480

(561)833-5795 (561)833-3684 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: _ Fax: _ Email: _

Shawn Horwitz

D. Name of contact person: _

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

¹ Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

n • ^{N/A} N/A

Specification # _ and Contract # _

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Housing, Inc

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. hcj a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP_

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:___

340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: _

Palm Beach, Florida 33480

(561)833-5795 (561)833-3684 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: _ Fax: _ Email: ___

Shawn Horwitz

D. Name of contact person: _

65-0776077

E. Federal Employer Identification No. (if you have one):_

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):.

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? ___

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

N/A N/A Specification # _ and Contract # _

Ver. 09-01-10

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1.. Indicate the nature of the Disclosing Party:

☐ Person ☐

☐ Publicly registered business corporation ☐

☒ Privately held business corporation ☐

☐ Sole proprietorship ☐

☐ General partnership (Is ☐ Limited partnership

☐ Trust ☐

Limited liability company Limited liability partnership Joint venture

Not-for-profit corporation¹

the not-for-profit corporation also a 501(c)(3))?

☐ Yes ☐ No Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Florida

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☒ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title Sidney A. Kohl President

James.C.Jenkins Vice President/Treasurer

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an

interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address . Percentage Interest in the

Disclosing Party

Jana Kohl 1992 Trust 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 15% shareholder

Lisa Kohl 1992 Trust 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 15% shareholder

Lori Gandleman 1992 Trust 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 15% shareholder

Sidney Kohl Living Trust 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 55% shareholder

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

[] Yes [x] No

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

N/A

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether retained or anticipated to be retained)

Business Relationship to Disclosing Party Fees (indicate whether Address (subcontractor, attorney, paid or estimated.) NOTE:

lobbyist, etc.) "hourly rate" or "t.b.d." is

not an acceptable response.

N/A

N/A

N/A

N/A

(Add sheets if necessary)

Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

[] Yes

[x] No [] No person directly or indirectly owns 10% or more of the

Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, frauds forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily • excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated

Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is ☐ is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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.L, proceed to Part E. _

Page 7 of 13

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?

3. If you checked "Yes" to Item D.L, provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

_2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

Page 8 of 13

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

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

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

award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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 and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that: -

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the

Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted - in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2. If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

SAK Housing, Inc

(Print or type name of Disclosing Party)

By:

(Sign h James-C.Jenkins

(Print or type name of person signing)

Vice President/treasurer

(Print or type title of person signing)

Signed and sworn to before me on (date)

Ms?//

at Mfa 'P?for<h.. Count_y> ^tefteL* . (state).

7^%a^VWv,^ Notary Public. Commission expires: ^/>^f"

MQIRA MAUOY-BERTRAND Notary Public - State of Florida ■ My Comm. Expires Mar 24, 2014
Commission # DD 974386

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer 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 TLB. La., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

☐ Yes ☒ No

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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

The Robert Kohl Family Trust

1.
Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP.

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:

„ „ . ' r u ^ . , • „ 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party:

Palm Beach, Florida 33480

C. Telephone: (561)833-5795 Fax: (561)833-3684 ^ jjenkins@eskopb.com
<mailto:jjenkins@eskopb.com>, XT , , , James Jenkins

D. Name of contact person: __

E. Federal Employer Identification No. (if you have one): __

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? __

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

„ . „ N/A N/A

Specification # __ and Contract # __

Ver. 09-01-10

Page 1 of 13

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT SECTION I - GENERAL INFORMATION

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

The Robert Kohl Family Trust

__ , __

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. __

OR

3. ☐ a legal entity with a right of control (see Section II. B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: __

„ 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: __

Palm Beach, Florida 33480

__ , (561)833-5795 ^ (561)833-3684 r .ijenkins@eskopb.com

<mailto:ijenkins@eskopb.com>

C. Telephone: x ' _ Fax: v _ Email: __ _

^ XT _ James Jenkins

D. Name of contact person: __

39-62224434

E. Federal Employer Identification No. (if you have one): __

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? __

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #__ and Contract # __

Ver. 09-01-10 Page 1 of 13

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

General partnership (Is the not-for-profit corporation also a 501(c)(3))? Limited partnership ☐ Yes ☐ No

Trust ☐ Other (please specify)

For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Florida

3. For legal entities nonorganized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☒ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title Pentacorp, Inc., Patricia Fadness, President Trustee

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

Page 2 of 13

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party ¹ Robert.Kohl 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 Sole Beneficiary

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

N/A

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the .Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure. .

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Name (indicate whether Business retained or anticipated Address to be retained)

' Relationship to Disclosing Party Fees (indicate whether (subcontractor, attorney, paid or estimated.)

NOTE:

lobbyist, etc.) "hourly rate" or "t.b.d." is
not an acceptable response.

N/A

N/A

N/A

N/A

(Add sheets if necessary)

Check here if the Disclosing Party has,not retained, nor expects to retain, any such persons or entities.

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

No ☐ No person directly or indirectly owns 10% or more of the
Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;

b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal .offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
 - d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
 - e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
3. The certifications in subparts 3, 4 and 5 concern:
- the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter: ¹

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to ■ bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or ,
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

Page 6 of 13

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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is

is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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., proceed to Part E.

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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 interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
------	------------------	--------------------

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below

or in an attachment to this EDS all information required by paragraph 2. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

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:

Page 8 of 13

SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS'.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees,

parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

The Robert Kohl Family Trust

(Print or type name of Disclosing Party) By: Pen^a^orp, Inc., Trustee

(Sign here) Patricia Fadness

(Print or type name of person signing) President

(Print or type title of person signing)

i an».....iWiHftmnai.....in ^ 1^1-^--^_^^*_^_

MOIRA MAL10Y-BERTRAN0 Notary Public • State of Florida %%MVrti My Comm. Expires Mar 24.2014 Commission # DD 974386

Signed and sworn to before me on (date) _ at ~P< /jn Py^cJi Cirahty, p^lar f-dfr * (state).

^-/lt*4Aa>^7^ //w-/>, <U^ y.^ N0tary Public.

Commission expires: jz/j^J^/6/4_..

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer 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 TLB. La., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person

exercising similar authority.

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

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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

The Lawrence Kohl Family Trust

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP._

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _

„ „ . * , n- . n **340 Royal Poinciana Way, Suite 305**

B. Business address of the Disclosing Party: . ____

Palm Beach, Florida 33480

„ _ , , **(561)833-5795 ^ (561)833-3684, . , jjenkins@eskopb.com**

<mailto:jjenkins@eskopb.com>

C. Telephone: ' _ Fax: j _ ' Email: _ ■ _ ' _

^ XT , + + James Jenkins

D. Name of contact person: _

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _ and Contract # _

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

i

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

The Lawrence Kohl Family Trust

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

__

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. ___

OR

3. ☐ a legal entity with a right of control (see Section II. B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: ☒ ___

„ „ . c , ^ . , . „ 340 Royal Poinciana Way, Suite 305

B. Business address of the Disclosing Party: ___ .

Palm Beach, Florida 33480

n .j, i i (561)833-5795 _ (561)833-3684,, ., jjenkins@eskopb.com

<mailto:jjenkins@eskopb.com>

C. Telephone: v ' _Fax: x ' _Email: ___ - ___

XT „ , t James Jenkins

D. Name of contact person: ___

39-6224435

E. Federal Employer Identification No. (if you have one): ___

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? ___

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

c r ■ u ^{NA} ,n .N/A

Specification # ___ and Contract # ___

Ver. 09-01-10

Page 1 of 13

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

General partnership (Is the not-for-profit corporation also a 501(c)(3))? Limited partnership ☐ Yes ☐ No

Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Florida

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ^{^No} ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title Pentacorp, Inc., Patricia Fadness, President . Trustee

2. Please provide the following information concerning each person or entity having a direct or indirect

beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

Page 2 of 13

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the
Disclosing Party

Lawrence Kohl 340 Royal Poinciana Way, Suite 305, Palm Beach, Florida 33480 Sole Beneficiary

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

N/A

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Page 3 of 13

Name (indicate whether Business retained or anticipated Address to be retained)

Relationship to Disclosing Party Fees (indicate whether (subcontractor, attorney, paid or estimated.)

NOTE:

lobbyist, etc.) "hourly rate" or "t.b.d." is
not an acceptable response.

N/A

N/A

N/A

N/A

(Add sheets if necessary)

'Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☒ No person directly or indirectly owns 10% or more of the
Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article i")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

Page 4 of 13

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with:
obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any

x Contractor or any Affiliated Entity (collectively "Agents").

Page 5 of 13

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to . bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

Page 6 of 13

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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is

is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

NOTE: If you checked "Yes" to Item D.L, proceed to Items D.2. and D.3. If you checked "No" to Item D.L, proceed to Part E.

☐ Yes

Page 7 of 13

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.L, provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
------	------------------	--------------------

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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:

Page 8 of 13

SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

:j

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the

Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A. 1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.citybfchicago.org/Ethics <<http://www.citybfchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at

/ law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2. If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

The Lawrence Kohl Family Trust

(Print or type name of Disclosing Party) By: Pentacorp, Inc., Trustee

(Sign here) Patricia Fadness

(Print or type name of person signing) President

(Print or type title of person Signing)

By: lawJCJi

\$Ti Notary Public - State of Florida. '
Comm. Expires Mar 24,201:4 r S\$/ Commission # 00 974386 ,

m, MOIRAMALLOY-BERTRAND
3Kv& _____ ^...

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**CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

☐ Yes ☒ No -

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.

Page 13 of 13

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
SECTION I - GENERAL INFORMATION

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

344 Columbia Associates, Ltd.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:

21600 Oxnard Street, Suite 1200

B. Business address of the Disclosing Party: •

Woodland Hills, CA 91367

818/668-6800 818/668-2828 skotick@alliantcapital.com

<mailto:skotick@alliantcapital.com>

C. Telephone: Fax: Email:

n-AT * ♦♦ ' Scott Kotick

D. Name of contact person:

E. Federal Employer Identification No. (if you have one)!

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing for Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

o ■ * N/A N/A

Specification # and Contract #

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
SECTION I -- GENERAL INFORMATION

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

344 Columbia Associates, Ltd.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP

OR

3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:___

„ „ . ^ * , ^ . , • t\ 21600 Oxnard Street, Suite 1200

B. Business address of the Disclosing Party:___

Woodland Hills, CA 91367

_, , 818/668-6800 ^ 818/668-2828 , skotick@alliantcapital.com

<mailto:skotick@alliantcapital.com>

C. Telephone:___Fax:___Email:___

^ „ c Scott Kotick

D. Name of contact person:___

31-1573400

E. Federal Employer Identification No. (if you have one):___

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing for Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS?___

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

N/A N/A

Specification #___and Contract #___

Ver. 09-01-10

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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party:

Person Limited liability company

Publicly registered business corporation [] Limited liability partnership

Privately held business^orporation [] Joint venture

Sole proprietorship ' [] Not-for-profit corporation

General partnership (Is the not-for-profit corporation also a 501(c)(3))? Limited partnership [] Yes [] No

Trust [] Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Ohio

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?

[JYes M^{No} [] N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

N/A

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity! If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the
Disclosing Party

Scott Kotick 21600 Oxnard Street, Suite 1200, Woodland Hills, California 91367 25%

Myra Kotick 21600 Oxnard Street, Suite 1200, Woodland Hills, California 91367 25%

Kotick Family, LP 21600 Oxnard Street, Suite 1200, Woodland Hills, California 91367 50%

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

N/A

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE:

to be retained) lobbyist, etc.) "hourly rate" or "t.b.d." is
not an acceptable response.

N/A

(Add sheets if necessary)

Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ No person directly or indirectly owns 10% or more of the
Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for

defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged _ with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. 'bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

/

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ^C's not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

If the letters "NA," the word "None," or no response appears ,on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the. same meanings.when used in this Part D. •

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

NOTE: If you checked "Yes" to Item D.L, proceed to Items D.2. and D.3. If you checked "No" to Item D.L., proceed to Part E.

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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?

3. If you checked "Yes" to Item D.L., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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:

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SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

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

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

award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that: -

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in

equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS. ,

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

344 Columbia Associates, Ltd., an Ohio limited liability company

(Print or type name of Disclosing Party)

By:

(Sign here)

Scott Kotick

(Print or type name of person signing) Managing Member

(Print or type title of person signing)

Signed and sworn to before me on (date) T^Ws\iOJ3fti at i» tVpa-W) . County, Cc^\|cV>XO- (state) 1

Notary Public.

Commission expires:

ANA PAZ GATLARDO Commission # 1767159 I Notary Public - California 1 to Angeles County ' My Comm. tpires Sep 11,2011 h

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

☒ Yes ☐ No

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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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

Palm Drive Associates, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: **Wilson Yard Senior Housing, LP.**

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: **_____**

„ „ . ^ r , ^ . , • „ 21600 Oxnard Street, Suite 1200

B. Business address of the Disclosing Party: **_____**

Woodland Hills, CA 91367

(818)668-6800 (818)668-2828 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: _____ Fax: _____ Email: _____

^ XT . A **Shawn Horwitz**

D. Name of contact person: _____

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # ^/A_ and Contract # ^/A_

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

Palm Drive Associates, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, LP. _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

„ . . . „ **21600 Oxnard Street, Suite 1200**

B. Business address of the Disclosing Party: _____

Woodland Hills, CA 91367

(818)668-6800 (818)668-2828 shawn.horwitz@alliantcapital.com <mailto:shawn.horwitz@alliantcapital.com>

C. Telephone: _____ Fax: _____ Email: _____

^ XT . **Shawn Horwitz**

D. Name of contact person: _____

E. Federal Employer Identification No. (if you have one): ^ 4648547

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # N/A and Contract # N/A •

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SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

☐ Person ☐ Limited liability company

☐ Publicly registered business corporation ☐ Limited liability partnership
☐ Privately held business corporation ☐ Joint venture
☐ Sole proprietorship ☐ Not-for-profit corporation
☐ General partnership (Is the not-for-profit corporation also a 501(c)(3))? ☐ Limited partnership ☐ Yes ☐ No
☐ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: 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 ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s). If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

Shawn Horwitz Managing Member

Joanne Horwitz

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

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interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Business Address Percentage Interest in the

Disclosing Party

21600 Oxnard Street, Suite 1200, Woodland Hills, California 91367 50% Joanne Horwitz 21600 Oxnard Street, Suite 1200, Woodland Hills, California 91367 50%

Name Shawn Horwitz

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party

must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE:

to be retained) lobbyist, etc.) "hourly rate" or "t.b.d." is

not an acceptable response.

N/A N/A N/A N/A

(Add sheets if necessary)

Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☒ No ☐ 1 No person directly or indirectly owns 10% or more of the

Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☒ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;

b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;

d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Page 5 of 13

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or ¹ otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List. •

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A

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¹ 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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ IS)C*S no*

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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?

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., proceed to Part E.

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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?

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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:

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SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary): None

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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?

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐Yes ☐No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐Yes ☐No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII » ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. with the applicable ordinances.

The Disclosing Party must comply fully

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages. ,

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to

believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

Palm Drive Associates, LLC

(Print or type name of Disclosing Party)

Shawn Horwitz

(Print or type name of person signing)

Managing Member

(Print or type title of person signing)

Signed and sworn to before me on (date! ^WotQrC-i ofcjDU_,
\\ioOua <file:///ioOua> (state).'

Commission/expires: _ ^

Notary Public.

i^A^*AA^J

ANA PAZ GALLARDO f

Commission # 1767159 t

I Notary Public - California |

J|^--5/ Los Angeles County "

A5SBA My Comm. Expires Sep 11,2011 L

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

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.

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CITY OF CHICAGO ECONOMIC AND AFFIDAVIT
STATEMENT A AFFIDAVIT
S;E)P4TIOB.I-G;EN

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

FNBC Leasing Corporation

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is: ☐ the Applicant OR

☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name, of the Applicant in which the Disclosing Party holds an interest: Wilson Yard senior Housing, w. i Wilson Yard partners, l.p. OR SEE ATTACHMENT B

☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:

10 South Dearborn. Floor 12

B. Business address of the Disclosing Party: ■ _ ■ _

Chicago, Illinois 60603

Telephone: (312)732-8215 ^ (312)336-3496 d.chris.robinson@jpmorgan.com
<mailto:d.chris.robinson@jpmorgan.com>

b. Name of contact person: P ^ BOWSM

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number a^

TIF refinancing on Wilson Yard.Senior and Family Housing

tr, , , Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS?

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

c. Al N/A N/A Specification #__ and Contract #
Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC AND AFFIDAVIT

SECTION I-GENERAL INFORMATION

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

FNBC Leasing Corporation

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. M ^ legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Wilson Yard senior Housing. l.r./ Wilson YardPartners. L.p.

OR SEE ATTACHMENT B

3; ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

10 South Dearborn. Floor 12

B. Business address of the Disclosing Party: _____:_____ ^

Chicago, Illinois 60603

A ^, . (312)732-8215 „ (312)336-3496 „ , d.chris.robinson@jpmorgan.com <mailto:d.chris.robinson@jpmorgan.com>

C. Telephone: _____ Fax: ^ Email: . •

- vi , t : **D. Chris Robinson**

D. Name of contact person: ' _ , ' , .. _ .

36-3643427

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior and Family Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? ' _ ^

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

. . N/A An u N/A Specification # ' _ - and Contract # _____

Ver. 09-01-10

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

**A. NATURE OF THE DISCLOSING PARTY , **

1. Indicate the nature of the Disclosing Party;

☐ Person ☐ Limited liability company

☐ Publicly registered business corporation ☐ Limited liability partnership

☒ Privately held business corporation ☐ Joint venture,

☐ Sole proprietorship ☐ Not-for-profit corporation

☐ General partnership (Is the not-for-profit corporation also a 501(c)(3))? ☐ Limited partnership ☐ Yes ☐ No

☒ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: 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 EJN/A,

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, state "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party; NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title See Attachment A

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

Page 2 of 13

interest of a member or manager in a limited liability company Or interest of a beneficiary of a trust, estate or other similar entity, If none, state "None." NOTE: Pursuant to, Section 154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any person from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the
Disclosing Party

JPMorgan Chase & Co., 270 Park Avenue _ 100%
New York, New York, 10017

SECTION III- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

Yes UNO

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

See Attachment B

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action. •

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business retained or anticipated Address to be retained)

Relationship to Disclosing (subcontractor, attorney, lobbyist, etc.)

Quales & Brady

411 E Wisconsin Ave, Ste. 2040

Attorney

Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is: not an acceptable response.

\$50,000 estimated

Milwaukee, WI 53202-4497

(Add sheets if necessary) * [] Check here if the Disclosing Party has not retained nor expects to retain, any such persons or entities. SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

[] Yes [] No -fQ .No:persoMir^c.fl.y.:Pjr indirectly owns 10% or rjriore.^f^e

Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

[] Yes [] No

B; FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code; Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or

conspiracy to[^]commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2, The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with:, obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V ;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern: »the Disclosing Party;

» any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");

- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is,, with the Disclosing Party; under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests aipohg 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").

Page 5 of 13

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery of 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 of adjudged guilty of agreement of collusion among bidders of prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4., Neither the Disclosing Party, Affiliated Entity or Contractor, or, any of their employees, officials, agents, or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics); of the Municipal Code.
7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

See Attachment B

Page 6 of 13

1

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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

11 The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☐ is not,

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1, In accordance with Section 2-156-110 of the Municipal Code: 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 ATTACHMENT B

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., proceed to Part E.

Page 7 of 13

2. Unless sold pursuant to process of competitive bidding, or otherwise permitted, no City elected official or employee shall have 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 fallen 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?

[1 Yes]No

3. If you checked " Yes" to Item p. 1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

I^_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:

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SEE ATTACHMENT C SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section 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

I. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to th? Matter; (Add sheets if necessary):

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

.2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity "to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into, any cooperative agreement, pf 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-h'Qt.an'Qr-gahizatip:n desf'ribed:.'jit section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal

Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities",

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

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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 and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N,

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Sedgwick St., Suite 500, Chicago, IL 60610, (312)-744-766p. The Disclosing Party must comply fully with the applicable ordinances.

0. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded; or be Void, or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes

the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2. If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any of the federal Excluded Parties List System ("EPLS") maintained by the Department of Justice.

F.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired prior to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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NOTE: If the Disclosing Party elects to provide any of the items in F.1, F.2, or F.3 above, an explanatory statement must be attached to this EDS.

CERTIFICATION

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

FNBC LEASING CORPORATION

(Print or type name of Disclosing Party)

(Sign here) D.-Chris Robinson

(Print or type name of person signing) Executive Director

(Print or type title of person signing)

Signed and sworn to before me on (date) 3 - j) (at. j£»x>^__ County, \SA-^ , ^ , (state).

Notary Public.

Commission expires: \y \ ^\Q\ I t

OFFICIAL SEAL RONDELLA JHUNT NOTARY PUBLIC - STATE OF ILLINOIS

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed,

the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer 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 TLB.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

☐ Yes ■

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.

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ATTACHMENT A

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT FILED BY FNBC LEASING CORPORATION (as an Entity Holding an Interest in an Applicant) DIRECTORS

William P. Kusack, Jr. Jean F. Nagatani

EXECUTIVE OFFICERS Christine Bannerman Anthony J. Horan William P. Kusack Jr. Ellen J. Manola
Secretary

Sr Vice President & Assistant Secretary

Chairman and President

Treasurer

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ATTACHMENT B TO

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT FILED BY FNB-C LEASING CORPORATION (as an Entity Holding an Interest in an Applicant) SECTION III: BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

"The Disclosing Party has knowledge of a "business" within 12 months prior to the date of execution of the foregoing Economic Disclosure Statement and Affidavit between JPMorgan Chase Bank, N.A. and the law firm of Klafter and Burke. Klafter and Burke has provided real estate tax protest legal services on behalf of JPMorgan Chase Bank, N.A. Alderman Edward M. Burke is a partner of the firm of Klafter and Burke. This information is updated on a semi-annual basis.

SECTION V: CERTIFICATIONS B. FURTHER CERTIFICATIONS

The Disclosing Party certifies the accuracy of the statements contained in Section V, paragraph B.1.a. through and including B.1.e. only as to itself. The Disclosing Party certifies that to the best of the Disclosing Party's knowledge after due inquiry such statements are accurate with respect to the executive officers and directors of the Disclosing Party. With respect to Section V, paragraph B.1.b. and B.1.e., the Disclosing Party may have been found liable in a civil judgment or proceeding within the five years preceding the date of this EDS instituted by the City or by the federal government, any state, or any other unit of local government. The Disclosing Party certifies that none of these judgments, individually or in the aggregate, would have a material adverse effect on its financial condition or its ability to perform under its contract with the City. In

addition, to the best of the Disclosing Party's knowledge and belief after reasonable inquiry, the Disclosing Party has not, in the past five years, been found after a judicial or administrative hearing to be in violation of any environmental law or regulation, except for possible violations related to (i) property mortgaged to the Disclosing Party, (ii) property owned by the Disclosing Party and leased to others, (iii) foreclosed property now owned by the Disclosing Party, and (iv) property owned or held by the Disclosing Party as a fiduciary or nominee. The Disclosing Party's operations are conducted at numerous owned and leased locations throughout the world. From time to time, the Disclosing Party is cited for not being in compliance with an environmental law or regulation. These matters are generally, routine and are promptly addressed by the Disclosing Party. The Disclosing Party certifies the accuracy of the statements contained in Section V, paragraphs B.2. and B.3. only as to itself. The Disclosing Party also certifies that to the best of the Disclosing Party's knowledge after due inquiry such statements are accurate with respect to any Affiliated Entity or any responsible official of the Disclosing Party or any Affiliated Entity or any other official, agent or employee of the Disclosing Party or any Affiliated Entity acting in

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such capacity pursuant to the direction or authorization of a responsible official of the Disclosing Party or any Affiliated Entity.

The Disclosing Party does not intend to make any disclosure with respect to the Matter. The Disclosing Party also certifies that it has not engaged any sub-contractor with respect to the Matter.

D. INTEREST MATTER

As to the disclosure set forth in Section V, paragraph D. 1., to the best of the Disclosing Party's knowledge no official or employee of the City of Chicago has a financial interest in his or her own name or in the name of any other person in the Matter.

As to the disclosure set forth in Section V paragraph D.4., the Disclosing Party cannot (and does not) make the certification required because the Disclosing Party does not and will not have control over all means of acquiring a financial interest in the Matter.

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

H.1. The Disclosing Party certifies the statements contained in Section VII, paragraph H.1. that it is not delinquent in the payment of any tax administered by the Illinois Department of Revenue except for taxes that are being contested in good faith by the Disclosing Party or ; any of its affiliates by appropriate To the best of the Disclosing Party's

knowledge and belief after reasonable inquiry, neither the Disclosing Party nor its affiliates are delinquent in paying any fine, fee, tax or other charge owed to the City except for possible delinquencies in paying a fine, fee, tax or other charge owed to the City related to (i) property mortgaged to the Disclosing Party or its affiliates, (ii) property owned by the Disclosing Party or its affiliates and leased to others, (iii) foreclosed property now owned by the Disclosing Party or its affiliates, (iv) property owned or held by the Disclosing Party or its affiliates as a fiduciary or nominee, and (v) fines, fees, taxes or other charges that are being contested in good faith by the Disclosing Party or its affiliates by appropriate legal proceeding.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

JPMorgan Chase & Co.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is: 1. ☐ the Applicant OR

2- ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the

Applicant in which the Disclosing Party holds an interest: Wilson Yard Senior Housing, L.P and Wilson Yard Partners, LP)

OR

3, [] a legal entity with a right of control (see Section II.B. 1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _

' . c _ _ . , . _ **10 South Dearborn. Floor 12**

B. Business address of the Disclosing Party: _

Chicago, Illinois 60603

_ _ , (312)732-8215 _ (312)336-3496 _ , d.chris.robinson@jpmorgan.com
<mailto:d.chris.robinson@jpmorgan.com>

C. Telephone: _ Fax: ^ ' _ Email: _

'- XT , **D. Chris Robinson**

D. Name of contact person: _

E. Federal Employer Identification No. (if you have one):'

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior and Family Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS? _ , _

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _ and Contract # _ . _

Ver. 09-01-10

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

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

JPMorgan Chase & Co.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. [] the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the

Applicant in Which the Disclosing Party holds an interest: Wilson Yard Senior Housing, L.P and Wilson Yard Partners, LP

OR

3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _

4-v. tv i ■ d + 10 South Dearborn. Floor 12

B. Business address of the Disclosing Party: _

Chicago, Illinois 60603

> , > , (312)732-8215 _ (312)336-3496 d.chris.robinson@jpmorgan.com
<mailto:d.chris.robinson@jpmorgan.com>

C. Telephone: _ Fax: ^ ' _ Email: _

'- XT , . , **D. Chris Robinson**

D. Name of contact person: _

13-2624428

E. Federal Employer Identification No. (if you have one): _

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

TIF refinancing on Wilson Yard Senior and Family Housing

Department of Housing and Economic Development

G. Which City agency or department is requesting this EDS?__

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #_and Contract #_

Ver. 09-01-10

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

☐ Person * ☐ Limited liability company

Publicly registered business corporation ☐ Limited liability partnership

☐ Privately held business corporation ☐ Joint venture

☐ Sole proprietorship ☐ Not-for-profit corporation

☐ General partnership ^ (Is the not-for-profit corporation also a 501(c)(3))? ☐ Limited partnership ☐ Yes ☐ No

No

☐ Trust ☐ Other (please specify)

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: Delaware

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

WYes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title

SEB ATTACHMENT A _____:

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

Page 2 of 13

;

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party

None, to the best of the Disclosing Party's knowledge and belief after reasonable inquiry__

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

MYes TJNo SEE ATTACHMENT B

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

JSEJSA_TACHMRNT B.____.____.

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

____.____.____.____.____.____.____.____.____.____.

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself.

"Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE:

to be retained) lobbyist, etc.) "hourly rate" or "t.b.d." is not an acceptable response.

(Add sheets if necessary)

(XJ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities. SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☐ No ~~Yes~~ No person directly or indirectly owns 10% or more of the

Disclosing Party. To the best of the Disclosing Party's knowledge and belief after reasonable inquiry

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

, ☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1 -23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article 1 is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B. 1. of this EDS: SEE ATTACHMENT B

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;

b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or

destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;

d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

SEE ATTACHMENT B

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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.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☒ is ☐ is not a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

■ ■ ' {

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: 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 SEE ATTACHMENT B

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., proceed to Part E.

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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 interest and identify the nature of such interest:

Name Business Address Nature of Interest

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

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 paragraphs. 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.

X 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:

SEE ATTACHMENT C

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SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

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.

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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 and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics <<http://www.cityofchicago.org/Ethics>>, and may also be obtained from the City's Board of Ethics, 740 N.

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Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

SEE ATTACHMENT B

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

JPMORGAN CHASE & CO. _

(Print or type name of Disclosing Party)

ERIC ROCKHOLD

(Print or type name of person signing)

MANAGING DIRECTOR

(Print or type title of person signing)

Signed and sworn to before me on (date)

/s/

Notary Public.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a

limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

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.

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ATTACHMENT A TO

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

FILED BY JPMORGAN CHASE & CO. (as an Entity Holding an Interest in an Applicant)

DIRECTORS

Crandall C. Bowles Stephen B. Burke David M. Cote James S. Crown James Dimon Ellen V. Futter William H. Gray, III Laban P. Jackson, Jr. David C. Novak Lee R. Raymond William C. Weldon

EXECUTIVE OFFICERS James Dimon

Frank J. Bisignano Steven D. Black Douglas L. Braunstein Michael J. Cavanagh Stephen M. Cutler William M. Daley

John L. Donnelly Ina R. Drew Mary Callahan Erdoes Samuel Todd Maclin Jay Mandelbaum Heidi Miller

Charles W. Scharf Gordon A. Smith James E. Staley Barry L. Zubrow

Chairman of the Board, President and Chief Executive Officer

Chief Administrative Officer

Vice Chairman

Chief Financial Officer

Chief Executive Officer of Treasury & Securities Services General Counsel

Head of Corporate Responsibility and Chairman of the

Midwest Region ■

Director of Human Resources

Chief Investment Officer

Chief Executive Officer of Asset Management

Head of Commercial Banking

Head of Strategy and Business Development

President of International

Chief Executive Officer of Retail Financial Services Chief Executive Officer of Card Services Chief Executive Officer of Investment Bank Chief Risk Officer

v

ATTACHMENT B TO

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

FILED BY JPMORGAN CHASE & CO. (as an Entity Holding an Interest in an Applicant)

SECTION III: BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

The Disclosing Party has knowledge of a "business relationship" during the 12 months prior to the date of execution of the foregoing Economic Disclosure Statement and Affidavit between JPMorgan Chase Bank, N.A. and the law firm of Klafter and Burke. Klafter and Burke has provided real estate tax protest legal services on behalf of JPMorgan Chase Bank, N.A. Alderman Edward M. Burke is a partner of the firm of Klafter and Burke. This information is updated on a semi-annual basis.

SECTION V: CERTIFICATIONS B. FURTHER CERTIFICATIONS

The Disclosing Party certifies the accuracy of the statements contained in Section V, paragraph B.2.a. through

and including B.2.e. only as to itself. The Disclosing Party certifies that to the best of the Disclosing Party's knowledge after due inquiry such statements are accurate with respect to the executive officers and directors of the Disclosing Party. With respect to Section V, paragraph B.2.b. and B.2.e., the Disclosing Party may have been found liable in a civil judgment or proceeding(s) within the five years preceding the date of this EDS instituted by the City or by the federal government, any state, or any other unit of local government. The Disclosing Party certifies that none of these judgments, individually or in the aggregate, would have a material adverse effect on its or the Applicant's financial condition or the ability of the Applicant to perform under its contract with the City. In addition, to the best of the Disclosing Party's knowledge and belief after reasonable inquiry, the Disclosing Party has not, in the past five years, been found after a judicial or administrative hearing to be in violation of any environmental law or regulation, except for possible violations related to (i) property mortgaged to the Disclosing Party, (ii) property owned by the Disclosing Party and leased to others, (iii) foreclosed property now owned by the Disclosing Party and (iv) property owned or held by the Disclosing Party as a fiduciary or nominee. The Disclosing Party's operations are conducted at numerous owned and leased locations throughout the world. From time to time, the Disclosing Party is cited for not being in compliance with an environmental law or regulation. These matters are generally routine and are promptly addressed by the Disclosing Party.

The Disclosing Party certifies the accuracy of the statements contained in Section V, paragraphs B.3. and B.4. only as to itself. The Disclosing Party also certifies that to the best of the Disclosing Party's knowledge after due inquiry such statements are accurate with respect to any Affiliated Entity or any responsible official of the Disclosing Party or any Affiliated Entity or any other official, agent or employee of the Disclosing Party or any Affiliated Entity acting in such capacity pursuant to the direction or authorization of a responsible official of the Disclosing Party or any Affiliated Entity. The Disclosing Party does not make any certification whatsoever with respect to any Applicable Party other than the Disclosing Party. The Disclosing Party also certifies that it has not engaged any sub-contractor with respect to the Matter.

D. INTEREST IN CITY BUSINESS

As to the disclosure set forth in Section V, paragraph D.1., to the best of the Disclosing Party's knowledge no official or employee of the City of Chicago has a financial interest in his or her own name or in the name of any other person in the Matter.

As to the disclosure set forth in Section V, paragraph D.4., the Disclosing Party cannot (and does not) make the certification required because the Disclosing Party does not and will not have control over all means of acquiring a financial interest in the Matter.

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

F.1. The Disclosing Party certifies the statements contained in Section VII, paragraph H.1. that it is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, except for taxes that are being contested in good faith by the Disclosing Party or any of its affiliates by appropriate legal proceedings. To the best of the Disclosing Party's knowledge and belief after reasonable inquiry, neither the Disclosing Party nor its affiliates are delinquent in paying any fine, fee, tax or other charge owed to the City except for possible delinquencies in paying a fine, fee, tax or other charge owed to the City related to (i) property mortgaged to the Disclosing Party or its affiliates, (ii) property owned by the Disclosing Party or its affiliates and leased to others, (iii) foreclosed property now owned by the Disclosing Party or its affiliates, (iv) property owned or held by the Disclosing Party or its affiliates as a fiduciary or nominee, and (v) fines, fees, taxes or other charges that are being contested in good faith by the Disclosing Party or its affiliates by appropriate legal proceeding.

ATTACHMENT C TO

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

FILED BY JPMORGAN CHASE & CO. (as an Entity Holding an Interest in an Applicant)

SECTION V - CERTIFICATIONS

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS.

The Disclosing Party was formed on July 1, 2004, when JPMorgan-Chase & Co. acquired Bank One Corporation ("Bank One").

With regard to predecessors of the Disclosing Party as it existed prior to the Bank One Corporation acquisition ("JPMorgan Chase"), the Disclosing Party reports that J. Pierpont Morgan, Sr. was associated with George Peabody & Company and J.S. Morgan & Company (the "Peabody Firms") before he founded Drexel Morgan & Company, which ultimately became part of JPMorgan Chase. Capital supplied by Junius S. Morgan and J. Pierpont Morgan, Sr. appears to have been used to capitalize Drexel Morgan & Company in 1871. Upon the death of Junius S. Morgan, J.S. Morgan & Company came under the control of J. Pierpont Morgan, Sr. and became affiliated with J.P. Morgan & Co. Records indicate that the Peabody Firms had customers that appear to have used enslaved individuals.

JPMorgan Chase and Bank One had predecessor banks in states outside the South that purchased notes issued by, issued letters of credit or made loans to, and/or maintained correspondent accounts (With municipalities, banks, companies and individuals located in Southern states where slavery was practiced during the slavery era. These municipalities, banks, companies and individuals are listed on Attachment 1.

Bank One had predecessor banks before 1866 in three Southern states: Kentucky, Louisiana and Virginia. Searches revealed slavery-related information about two Louisiana banks, the Canal Bank (formed in 1831) and the Citizens Bank (formed in 1833), and the Lexington branch of the second Bank of Kentucky (formed in 1835). In 1924 Citizens Bank and Canal Bank merged. Predecessors of JPMorgan Chase had longstanding banking relationships with Canal Bank and its predecessors (see Attachment 1), were creditors of Canal Bank and, in 1931, it appears that a predecessor of JPMorgan Chase led a group of investors that provided capital to Canal Bank and this predecessor of JPMorgan Chase became a shareholder and took a controlling management interest in the Canal Bank. The Canal Bank was placed into liquidation in March-May 1933 based on actions by the State of Louisiana and the federal government. In May 1933, The National Bank of Commerce in New Orleans was formed pursuant to an executive order approved by President Roosevelt and its assets included some of the deposits and loans of the old Canal Bank. Most of the capital for The National Bank of Commerce was provided by the Reconstruction Finance Corporation (owned by the U.S. government), with the remainder coming from new shareholders. The U.S. government also provided over \$13 million toward the liquidation of the old Canal Bank. In 1947 and 1969, The National Bank of Commerce in New Orleans made two grants to Tulane University, which included

archives of the Citizens Bank and Canal Bank. These materials are held at the Tulane Manuscripts Department, Special Collections Division, Howard-Tilton Memorial Library at Tulane University in New Orleans, Louisiana (collectively, the "Tulane Records"). In 1865, the First National Bank of Lexington (subsequently a part of First Security Corporation of Kentucky which was acquired by Bank One in 1992) was formed and assumed the operations of the Lexington Branch of the second Bank of Kentucky. Public records pertaining to the Lexington Branch of the second Bank of Kentucky have been discovered that contain records relevant to this certification (the "Lexington Records"). The Tulane Records, the Lexington Records and other records indicate that:

1. Citizens Bank and Canal Bank provided credit to plantation owners and accepted mortgages from them. The collateral covered by these mortgages included land, equipment and/or enslaved individuals. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that, from 1831 to 1865, taking into account the duplication and/or absence of exact data, approximately 21,000 enslaved individuals were listed among the collateral covered by mortgages given to the Louisiana banks.

2. The Lexington Branch of the second Bank of Kentucky also provided credit to plantation owners and accepted mortgages from them. The collateral covered by these mortgages included land, equipment and/or enslaved individuals. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that, from 1835 to 1865, taking into account the duplication and/or absence of exact data, approximately 55 enslaved individuals were listed among the collateral covered by mortgages given to the Lexington Branch of the second Bank of Kentucky.

3. When mortgages went unpaid, the banks could initiate foreclosure proceedings. When this occurred, the bank could take ownership of the collateral. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that, from 1831 to 1865, taking into account the duplication and/or absence of exact data, approximately 1,300 enslaved individuals were listed among the collateral that the Louisiana banks came to own. There is no evidence of foreclosure proceedings initiated by the Lexington Branch of the second Bank of Kentucky. Attachment 2 lists information on mortgages as to which one of the Louisiana banks came to own enslaved individuals through foreclosure proceedings, including, where available, the names of those individuals and their prior or subsequent

owners. Attachment 3 lists information on mortgages as to which one of the three banks held collateral that included enslaved individuals, including, where available, the names of those individuals and their prior or subsequent owners. The attachments will be supplemented as necessary to reflect any additional information located.

On September 25, 2008, JPMorgan Chase Bank, N.A. (a subsidiary of the Disclosing Party) acquired from the Federal Deposit Insurance Corporation, as the Receiver of Washington Mutual Bank, Henderson NV, certain assets of Washington Mutual Bank.

A review of the records of Washington Mutual Bank, including the records of its predecessor entities, has disclosed no evidence that Washington Mutual Bank nor any of its predecessors had any investments or profits from slavery, any direct involvement in the slave trade, any direct ownership in slaves, or any slaveholder insurance policies from the slavery era. There is

evidence, however, that one predecessor entity, The Bowery Savings Bank, New York (1834) ("Bowery Savings"), purchased a \$100,000 bond of a slave holding state, North Carolina. A total of \$44,000 was paid to Bowery Savings by North Carolina in 1868 on account of the bond.

ATTACHMENT 1 TO

ATTACHMENT C TO

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

FILED BY " JPMORGAN CHASE & CO. (as an Entity Holding an Interest in an Applicant)

Agricultural Bank of Mississippi

Baltimore & Ohio Rail Road Company

Bank of Alabama

Bank of Alexandria (Virginia)

Bank of Ashland at Shelbyville

Bank of Augusta (Georgia)

Bank of Kentucky

Bank of Louisiana

Bank of Louisville

Bank of Metropolis

Bank of Mobile

Bank of Missouri

Bank of North Carolina

Bank of South Carolina

Bank of the State of Missouri

Bank of Tennessee

Bank of Virginia

Barnett, Ellison & Co.

Beers & Brunell

Beers & Co.

Canal & Rail Road Bank of Vicksburg

Cairolton Bank of New Orleans

Charleston Fire & Marine Insurance Company

Chattahoochee Rail Road and Banking Company

City Bank of New Orleans

Commercial & Rail Road Bank of Vicksburg

Commercial Bank of Manchester (Mississippi)

Commercial Bank of New Orleans * Commercial Bank of Selma Corporation of the City of New Orleans Corporation of the City of Savannah Davis & Davis

Delaware & Hudson Canal Company

E.I. Foretall of New Orleans

ER Tyler of New Orleans

E. Warfield, Lexington, Kentucky

Exchange & Banking Company of New Orleans

Exchange Bank of Virginia at Richmond Franklin Bank of Baltimore First Bank of Richmond

Hunt, Morton & Quigby of Louisville (Kentucky) J.D. Beers & Co.

Louisiana & Nashville Railroad Company Mechanics & Traders Bank of New Orleans Merchant & Planters Bank of Savannah Merchants Bank of Baltimore Mississippi Sound Company Mr. Pastoret
Mr. S. Reid Irving & Co. (Cotton) Nashville and Northwestern Rail Road Co. New Orleans Canal & Banking Company
North Western Bank of Virginia
Philadelphia, Wilmington & Baltimore Rail Road Company
Planters & Mechanics Bank of Charleston
Planters & Mechanics Bank of Mobile
Planters & Merchants Bank of Charleston
Planters Bank of Jackson (Mississippi)
Planters Bank of Natchez
Planters Bank of Savannah
Planters Bank of Tennessee
Robert Kinder House
Ross & Coleman
South Western Rail Road Bank of Charleston Southern Bank of Alabama Southern Bank of Kentucky
Southern Life Insurance & Trust Company of Florida Southern Trust Company
Southwestern Rail Road Bank (South Carolina) :
S. Reid Irving & Company
State & Metcalf of Gainsville, Georgia
State of Alabama
State of Florida
State of Georgia
State of Mississippi
T.T. Crittenden, Lexington and Huntsville, Kentucky Tuscumbice and Decatur Rail Road Company Union Bank of Charleston Union Bank of Florida Union Bank of Tennessee

ATTACHMENT 2 TO

ATTACHMENT C TO

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

FILED BY JPMORGAN CHASE & CO. (as an Entity Holding an Interest in an Applicant)

ENSLAVED INDIVIDUALS OWNED BY CITIZENS BANK OF LOUISIANA AND NEW ORLEANS

CANAL & BANKING COMPANY

Attachment 2

The following list identifies enslaved individuals owned by Citizens Bank of Louisiana and New Orleans Canal & Banking Company in Louisiana from 1831 to 1865.¹ The information is drawn from two sources. The first is a collection of Citizens Bank minute books and papers held at Tulane University. The second is a survey of conveyance and land records held either at the New Orleans Public Library or at local parishes throughout Louisiana.

The list includes every reference to ownership of enslaved individuals by the banks located in these records. The list is arranged by parish and thereafter by date. General references to ownership that did not indicate a specific parish are listed separately.

Each entry includes information on. previous (P) and subsequent (S) owners where known. Any available information on the location of the plantation is also recorded and appears in brackets after the previous and subsequent owners. Each entry includes a reference identifying the historical sources used to compile the information.

The information on individuals includes all names identified in the records. In some cases, the same individuals appear to have been involved in several different transactions. However, the records are often not consistent in the spelling of names and are often only partially or poorly indexed. Accordingly, each transaction is listed separately. The names in italics are ones that were difficult to decipher because of handwriting or because the records have faded over time. '

¹ This list was prepared by History Associates Incorporated at the direction of JPMorgan Chase & Co.

1

Citizens Bank of Louisiana

General References.....	page 3
Ascension Parish.....	page 3
Assumption Parish.....	page 3
Claiborne Parish.....	page 4

East Feliciana Parish.....	page 4
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New Orleans Canal & Banking Company

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St. Tammany Parish.....;	page 11
Washington Parish.....	page 11

Natchitoches Parish...

Orleans Parish.....

West Feliciana Parish

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Citizens Bank of Louisiana

General References Date Previous/Subsequent Owners

[Plantation Location]

Apr 1842 Mr. Pim (S) .

Jan 1845 - J. R. Thomas (P) Mar 1845

Jul 1845 Mary Hoey (P)

Aug 1847 Unknown

Feb 1847 J. Lawson (P) Jul 1850 G. Hiriard (P)

Information on Individuals

Nelson, Philip, Sylvester, Sally and her two children unnamed individuals

Lucretia and Joe unnamed individuals Edward

unnamed individuals

Source

Tulane University, Citizens Bank Minute Book No. 5, 1842/04/04

Tulane University, Citizens Bank Minute Book No. 5, 1845/01/18 and 1845/03/27

Tulane University, Citizens Bank Minute Book No. 5, 1845/07/31 Tulane University, Citizens Bank Minute Book No. 6, 1847/08/17

Tulane University, Citizens Bank Minute Book No. 6, 1849/03/23 Tulane University, Citizens Bank Minute Book No. 6, 1850/07/02

Ascension Parish Date Previous/Subsequent Owners

[Plantation Location]

c. 1839 Trasimon Landry (P)

Information on Individuals

unnamed individuals

Source

New Orleans Public Library (NOPL), Ascension Parish Vendee Index

Assumption Parish Date Previous/Subsequent Owners [Plantation Location]

Sep 1840 Francis Boutelou de St. Aubin (P)

Adolphe Wenceslas Pichot (S)

Information on Individuals

Jean

Source

Assumption Parish, Sheriffs Sale Book A, p. 232, 1840/09/023; Conveyance Record 6, p. 232, 1841/07/26

3

Aug 1844 - Marius Albagnac (P) Jan 1846 John Billsen (S)

[left bank of Bayou
Lafourche]

Mar 1853- Alfred Tete (P) Apr 1853 Mrs. Clodis Gourdan (S)

[Bayou Lafourche]

Peggy, Barnalby, Magdelaine

Henry, Jacob, Abraham, ' George, Moses, Anaïs

Claiborne Parish Date

c. 1848

Previous/Subsequent Owners [Plantation Location]

R. H. Basset(P)

Information on Individuals

4 unnamed individuals

East Feliciana Parish

Date

Dec 1845 Feb 1846

Previous/Subsequent Owners [Plantation Location]

John D. McDonald (P) Robert Perry (S) [Black Creek]

Information on Individuals

Hampton, Joe; Laura and her child Jane; Emiiy and her child John; Hester

Feb 1847 - Robert Pool (P) Dec 1848

Jun 1848 Thorton Lawson (P)

c. 1848 Carter Harvil (S)

c. 1848 B. Myers (P)

Jim and other unnamed individuals Edmund

7 unnamed individuals 5 unnamed individuals

Assumption Parish, Conveyance Book 11, p. 297, 1846/01/10; Sheriffs Sale Book B, p. 178, 1884/08/03; Tulane University, Citizens Bank Minute Book No. 5, 1846/01/07

Assumption Parish, Conveyance Book 19, p. 190, 1853/04/26; Sheriffs Sale Book B, p. 426, 1853/03/06; Tulane University, Citizens Bank Minute Book No. 7, 1853/03/31

Source

Tulane University, Citizens Bank Property Management Book

Source

East Baton Rouge Parish, Sheriffs Book E, p. 137, 1845/12/13; East Feliciana Parish, Conveyance Book K, pp. 111-113, 1846/02/18; Tulane University, M-1847, Citizens Bank Mortgage Book; Citizens Bank Minute Book No. 5, 1846/02/12

Tulane University, Citizens Bank Minute Book No. 6, 1847/02/04, 1848/6/028, 1848/12/18 East Feliciana Conveyance Book L, pp. 219-225, 1848/06/03;

Tulane University, M-1847, Citizens Bank Mortgage Book Tulane University, M-1847, Citizens Bank Mortgage Book Tulane University, M-1847, Citizens Bank Mortgage Book

4

c. 1848

Jan 1853 Feb 1854

Unknown [Bayou Teche] Stephen Yarborough (P)

John L. DeLee (S)

Iberville Parish Date Previous/Subsequent Owners [Plantation Location]

Feb 1840 Botts and Abner Robinson (S)

Feb 1843 Lewis LeSassin (P)

Lafourche Parish Date Previous/Subsequent Owners [Plantation Location]

Dec 1842 G. A. Botts (P)

14 unnamed individuals

8 unnamed individuals 13 unnamed individuals

Tulane University, M-1847, Citizens Bank Mortgage Book

East Feliciana Parish, Mortgage Book E, p. 543, 1853/01/21 East Feliciana Parish, Mortgage Book E, p. 544, 1853/02/15

Information on Individuals

Source

Frank, Anthony, Jim, Dirk, Isaac, Joe Gray, Martin, Jacob McNayer, Lewis, Nat, Jacob, George McNayer, Ben, William, Joe, Plato, Washington, Big Davy, Davy, Moses, Wapping; Rachel and her child Daphny; Nelly; Lucy and her child Charlotte; Susan and her three children Jacob, Nelly and Lewis; Patsy and her daughter Caroline; Chancy, Elizabeth, Maria; Luckey and her children Harriet and Abraham; Spencer, Esau, Fanny; Sarah and her two children William and Martha; Daphny, Abby, Phillis, Mary, George, Anne, Big Maria; Fanny and her unnamed infant; Kitty, Charity; Susan and her unnamed son; George, Matilda, Edmund, Peter, Ben, Bandals, Sam, Archibald, York, John, Peter, Abraham, Fielding, Sam," David, Gras, Eliza, Lucy, Robert, Francis, Emily, Caroline, Henry, Patsy, William, Alexander, Wyatt, Anderson,

Hannah, Ceyley, Milly, Letty, Tom, Maria, Mary, Harriet, Louisa, Tom, Ned, Juliet, Ned, Nancy unnamed individuals
Iberville Parish, Conveyance Book T, Entry 223, 1840/02/07; Lafourche Parish Conveyance Book P, p. 438, 1840/02/17
Tulane University, Citizens Minute Book No. 5, 1843/02/07

Information on Individuals

Source

unnamed individuals

Tulane University, Citizens Bank Minute Book No. 5, 1842/12/30

5

Jul 1845 -May 1849

J. Nicholas (P) R. P Gaillard (S)

Natchitoches Parish Date Previous/Subsequent Owners [Plantation Location]

Feb 1838 Michael Boyce (P)

Feb 1840 Adolphe Sampayrac (P) Mar 1841 Joseph T. Robinson (S)

Orleans Parish Date Previous/Subsequent Owners [Plantation Location]

Jan 1842 Christopal de Armas (P) ^ Aug 1842 Leopold J. Rocquet (S)

Aug 1842 Antione Bausset (S) ■ Aug 1842 Marais Gautier (S)

May 1843 Valiour Fortier (S)

Andre, Jean Baptiste, Clairville, Francis, Joseph, Sylvester, Benito, Bonaranture, Theophile, Marie, Cecile, William, Honore, Marianne, Orelina, Catherine, Celestin, Helene, Agathe, Domstele, Celestine, Mary, Solby, Anna, Suzette, Estele, Henriette, Odile, Lutelia, Baptiste, Diek, Randall, James, Sam, Melite, Madeleine

Lafourche Parish, Conveyance Book AA, p. 380, 1849/05/01

Information on Individuals

Source

36 unnamed individuals

Alfred, Ovide, Honore, Michot, Frederic, Sam, William, Flerh, Nelson, Ned, Mary, Fanny

Moses, Asariah, Lewis, Joe, Harrison, Henry West, E/sy, Green, Reid, York, Allen, Daniel, Harriet, Judy, Julia, Charlotte, Sirah, Nancy Elliot, Chaney, Emi and her child, Louisa and tier unnamed child

Natchitoches Parish, Book 23, p. 2, 1838/02/07

Natchitoches Parish, Book 27, p. 18, 1840/02/29

Natchitoches Parish, Book 32, p. 50, 1841/03/27

Information on Individuals

Source

Marie, Anne

Tom Mason and his wife Lucy

Peter

Archy, Tably and her two children Joseph and an unnamed infant

Jacob

Orleans Parish, Conveyance Record Book 29, p. 698, 1842/01/06

Orleans Parish, Conveyance Record Book 32, p. 421, 1842/08/03

Orleans Parish, Conveyance Record Book 32, p. 440, 1842/08/18

Orleans Parish, Conveyance Record Book 31, p. 447, 1842/08/21

Orleans Parish, Conveyance Record Book 33, p. 171, 1843/05/20

6

Sep 1845

Charles Nicaud (P) V. and B. Bouny (S)

Daniel Holliday (S)

Mrs. Lafayette Saunders (S)

Felix Garcia (P) Auguste Montegut (S)

Felix Garcia (P) William and Heywood Stackhouse (S)

Plaquemines Parish Date Previous/Subsequent Owners [Plantation Location]

Oct 1852 Felix Garcia (P)

W. and H. Stackhouse (S)

c. 1846 Mar 1849

Sep 1852 Oct 1852

John Richardson, Moses Lewis, Peter, Joe Phoebe, Jim Phoebe, Robert, Saul, Ben, Edmond, Jim Bouny, Narcisse, Thomas Side, Victor, Sheldrick, Moses Guerin, Tom Guerin, Jim O. Duhigg, Figaro, Ned Rackoon, Big Joe, Richard, Eugene, Jim Bullfrog, Bob, Henry Charleston, Belly Boy, William Chaigneau, Peter, Big Ned, Alfred, Mathilde, Nancy, Phoebe, Fany, and Jack Richmond

James Arthemise

Basile, Llyod, Adam, Laurent, Pegui, Camille, Marguerite, Philomene, Charles, Ursine, Marianne, Pierre, Constance,

Celestine, Sanon, Dotreville, Dorothee, Melite, Rose, Sue, Fox, Therese, Edouard, Baptiste, Eulalie, Peter, Jean Bongo, Bill, Lucile Sue, Thebe, Mary, Olivia, Jean, Charles, Raymond, Rachel, Honore, Theodore, Petion, Raymond, Celeste, Joseph, Henriette, Heloise, Antoine, Celestine, Frosine, Casimin, Joseph, Francoise, Victor, Poline, Louise, Alexis, James, Mamette, Augustine, Francois, Birsson, Dick, Tom, Lucille, Anny, Rachel, Lidy, Charlotte, Valcour, Albert

Tulane University, Citizens Bank Papers, Loans, Box 1

Orleans Parish, Conveyance Record Book 38, p. 484 Orleans Parish, Conveyance Record Book 46, p. 411, 1849/03/06

Orleans Parish, Conveyance Record Book 60, p. 111, 1852/9/6; Tulane University, Citizens Bank Minute Book No. 7, 1852/08/26 Orleans Parish, Conveyance Book 59, p. 174, 1852/10/20; Tulane University, Citizens Bank Minute Book No. 5, 1852/09/09

Information on Individuals

Source

Bazile, Raymond, Lloyd, Rachel, Adam, Honore, Laurent, Theodore, Regan, Petion, Camille, Raymonde, Marguerite, Eclante, Babet, Joseph, Philemon, Henrietta, Charles, Helios, Ursin, Antonio, Marianne, Celestin, Pierre, Frazine, Constance, Casimir, Celestine, Joseph, Janen, Francoise, Patreville, Carter, Porachi, Bob, Neclite, Zanlin, Rose, Louise, Zoe, Hiers, Fox, James? Theresa, Henriette, Edward, Augustine, Baptiste, Francis, Evalie, Risson, Peter, Criske, Jean Congo, Tom, Bill, Lucille, Lucille Joe, Fanny, Phoebe, Rachel, Mary, Liddy, Olivia, Charlotte, Jean, Valcour, Charles, Alberte

Plaquemines Parish, Conveyance Book 6, p. 430, 1852/10/13; Tulane University, Citizens Bank Minute Book No. 5, 1852/09/09

7

Pointe Coupee Parish

Date

Jul 1839 -Sep 1839

Previous/Subsequent Owners [Plantation Location]

Montgomery Smith (P)

A. Ledoux & Co., George O.

Hall (S)

Information on Individuals

Gilbert, Randall, Lorenzo; Maria and her two unnamed children; Anne, Eliza, Ellen,

Source

Pointe Coupee Parish, Mortgage Book C, No. 1177, 1839/07/22, no. 1189, 1839/09/25

Rapides Parish Date

Mar 1843 c. 1848

Previous/Subsequent Owners [Plantation Location]

A. B. Gill (P) J. Huie (S) [Bayou Marteau]

Information on Individuals

37 unnamed individuals

Source

Tulane University, Citizens Bank Minute Book No. 5, 1843/03/23, 1843/03/25, 1843/4/18; M-1847, Citizens Bank Mortgage Book

St. Bernard Parish Date Previous/Subsequent Owners [Plantation Location]

c. 1848 S. Peyroux (S)

Sep 1850 G. Peyroux (P) Albert Faber (S)

Information on Individuals

11 unnamed individuals 14 unnamed individuals

Source

Tulane University, M-1847, Citizens Bank Mortgage Book

Tulane University, Citizens Bank Minute Book No. 6, 1850/09/10

St. Charles Parish Date Previous/Subsequent Owners [Plantation Location]

c. 1848 C. Roselle(S)

Jul 1852 Felix Garcia (P)

[Lorio Plantation on the right bank of the Mississippi River]

Information on Individuals

22 unnamed individuals

Abraham, Bill, Jacob, Peter, Jordan, Madison, Captain Fish, Baptiste, Sam, Philippe, Edmund, Marianne; Suzanne and her two children John and Nelly; Rachel and her two children Augile and . Victor; Liza, Sally, Caroline

Source

Tulane University, M-1847, Citizens Bank Mortgage Book St. Charles Parish, Conveyance Book A&B, 1852/07/07

Jan 1853 Felix Garcia (P)

Charles Rousell, Theodell Rousell, and Julian Vienne (S)

[Lorio Plantation]

St. John the Baptist Parish Date Previous/Subsequent Owners [Plantation Location]

Apr 1846 Mrs. Jean Arnauld (P)

Aug 1846

Jean Arnauld (P) Marie Rosette (S)

Abraham, Bill, Jacob, Peter, Jordan, Madison, Captain Fish, Baptiste, Sam, Philippe, Edmund, Marianne; Suzanne and her two children John and Nelly; Rachel and her two children Augile and Victor; Liza, Sally, Caroline, Toby, Tallyrand, Nelly, Nathan, Arthur Field, Sam Carroll, Alexander Jackson, Archer Carroll, George McHenry, Moses Haris, Henry Hardith, Comphoes; Betsey Galinos and her two children Nathan and James; July Ann Johnson and her unnamed child; Eppo Johnson, Solomon Jones, William Lansing, Henry Waterson, Lan Thomas, Moses Nawell, Jody Flagg, Major Gillsion, John Asbby, Nancy Reses, Sam Red, Amy, Washington Spencer

Tulane University, Citizens Bank Minute Book 7, 1852708/26; St. Charles Parish, Conveyance Book A, p. 174, 1853/01/03

Information on Individuals

Source

Thisa, James, Raymond, Alexis, Baker, Fox, Samsnow, Adam, Solomon, Honore, Celestin, Charley, Laurent, Pierre, Joe, Theodore, Raymond, Ursin, Camille, Antoinne, Bresson, Bebe, Peter, Dick, Basille, Francois, William, Jim Magnan, Casimer, Loyd, Daniel, Rose; Thereze and her child Manette; Celeste and her three children Louis, Joseph, and Philomele; Francoise and her children Detreville and an unnamed infant; Phiosone and her three children Celestine, Joseph, and Joalsin; Louise, Adelaide; Marianne and her child Estelle; Nathan, John Magnan, Basile, Raymond, Loyd, Rachel, Adam, Laurent, Honore, Theodore, Pegui, Petion, Camille, Raymond, Artemise, Celeste, Marguerite, Babes, Louis, Joseph, Eloise, Ursin, Antoine, Adelaide, Coralie, Marianne, Celestin, Pierre, Casimir, Clara, Estelle, Constance, Frosine, Claire, Sansnow, Francoise, Detreville, Victor, Dorothee, Pauline, Ferdinand, Rose; Louise and her son Joseph Nathan exchanged for Francois, son of Marie Rosette

St. John the Baptist Parish, Conveyance Book X, pp. 327-328, 1846/4/29, and Conveyance Book Y, pp. 145-147, 1847/03/09; Tulane University, Citizens Bank Minute Book No. 6, 1847/01/27

St. John the Baptist Parish, Conveyance Book Y, pp. 72-74, 1846/08/19; Tulane University, Citizens Bank Minute Book No. 6, 1846/08/06

9

Sep 1846 Mrs. Jean Arnauld (P) Felix Garcia (S)

Jun 1852 - Felix Garcia (P)

Mar 1853 Dominique Bouligny (S)

May 1852 Felix Garcia (P)

Sep 1852 Felix Garcia (P)

Joseph illegible (S)

St. Martin Parish Date Previous/Subsequent Owners [Plantation Location]

Jul 1849 Charles Fagot (P)

Charles Grevinberg (S) [Use L'abbe]

Jul 1849

Joseph Eysallenne (P) Victor Delahoussaye (S) [Bayou Ceche]

Louis (also known as Bebe), Alexis; Fox, Salomon, Daniel, James, William, Celestine, Joseph, Joalsin, Therese, Manette, Auguste, Marie, Augustine, Baptiste, Francois, Eulalie, Bulsin, illegible, Dick, Thisa, Baker, Charley, Ardina, Jean, illegible, Bill, Lucille, Rachel, Lucille Joe, illegible, Hanny, Phebe, Mary, Eugene, Mary, Charlotte, Jean, illegible, illegible Nathan, Basille, Raymond, illegible, Rachel, Adam, Laurent, Honore, Theodore, Peggy, Petion, Camille, Raymond, Artemise, Celeste, Marguerite, Babette, Joseph, Philomene, Eloise, Ursin, Antoine, Marianne, Celestine, Pierre, Cisimir, Constance, Frasin, Claire, illegible, Francois, Detreville, Victor, Dorothee, Rose, Louisa, Joseph, Pauline, Alexis, Fox, James, Celestine, Joseph, Jason, Thereza, Manette, Augustine, Auguste, Baptiste, Francois, Eulalie, Banson, Peter, Jack, Jean, Leon, Bill, Louisa, Rachel, Hanny, Phalia, Mary, Charlotte, Jean, Faloir, Allant, Theresa, Dorothee, Celeste; Mary and her children Laby and Mary Dick

Claire

St. John the Baptist Parish, Conveyance Book Y, pp. 83-108, 1846/09/30; Tulane University, M-1847, Citizens Bank Mortgage Book

St. John the Baptist Parish, Conveyance Book Z, pp. 183-185, 1852/07/06, and Conveyance Book Z, pp. 216-217, 1853/03/04; Tulane University, Citizens Bank Minute Book No. 5, 1852709/09

Tulane University, Citizens Bank Minute Book No. 7, 1852/05/20 Tulane University, Citizens Bank Minute Book No. 7, 1852/09/09

Information on Individuals

Source

Nick, Laine, Bill, Etienne, Donhouis; Julie; Charlotte and her three children Frances, Sophie, and Marie; Peggy, Larina; Kitty and her child Pauline; Celeste, Honorine

Fernanda, Alfred, Dick, Thomas, Jim, Grace, Julie, Edouarde, Juliet, Patsy, Ophelia, Lilia, Marie, Maria, Dickson, Patsy, Sophie, Fransisque

St. Martin Parish, Sheriff Book 2, p. 163, 1849/07/10; Conveyance Record I-D, p. 260, 1849/10/02; Tulane University, Citizens Bank Minute Book No. 6, 1849/06/20, 1849/07/07; Tulane University, M-1847, Citizens Bank Mortgage Book

St. Martin Parish, Sheriff Book 2, p. 163, 1849/07/10; Conveyance Book ID, p. 261, 1849/10/02; Tulane University, Citizens Bank Minute Book No. 6, 1849/07/07

10

St. Mary Parish Date Previous/Subsequent Owners [Plantation Location]

May 1845 - Robert Nicholas (P) Apr 1846 Samuel Ogden and John

Huger(S) [Cote Blanche]

Jul 1845 R. C. Nicholas (P)

St. Tammany Parish Date Previous/Subsequent Owners [Plantation Location]

Apr 1849 M. G. Penn(P)

[Palestine Plantation]

Washington Parish Date Previous/Subsequent Owners [Plantation Location]

Jun 1847 G. Penn (P)

Information on Individuals

Source

Jacob, Little Mayor, Stephen, Little Jacob, Nelson, Edmond, Armisted, Monday, Big Harry, Washington, Peyton, John, Young Jon, Big Mayor, Bill, Peter, Fersh, Richmond, Eliza, Tammy, Charity, Caroline, Nelly, Violet, Diana, Tubby, Nancy, Harriett, Nicy, Milly, Lacy, Little Mary, Rhony, Sally, Minty, Saunders, Jefferson, Minerva, Dickson, Harry, Davy, Tom, Naney, Courtney, Eddy, Pauly, Susanna, Jacob, Barley, Patrick, Coleman, Frederick, Minerva, Cintly, Molly, Penina, Abraham, Buster, Leah, Vina, Solomon, Joe, Calvin, Martha, Amy, Jane, Edmond, Modilla, Alexander, Handy, Little Tim, Charles, Sorberton, Sophia, Lindy, Elizabeth, Albert, Minerva, Jack, Ceras, Betsy/Thomas, Casey, Tomy, Lewis, Marthon, Rindey, Emily, Artemis, Patrick, Becky, Louisa, Margaret, Sam, George, Peggy, Harold, Willy, Mamah, Jackson, Spencer, Charlotte, Lorean, unnamed individual, Harnby, Robinson, Hisam, Virginia Richmond

Tulane University, Citizens Bank Minute Book No. 5, 1845/05/05 and 1846/04/16; St. Mary Parish Records, Conveyance Book F, p. 401, 1845/08/03;

Mortgage Book 12, p 89, 1845/07/24; NOPL, New Orleans Deed Book, 1845/08/08

Tulane University, Citizens Bank Minute Book No. 5, 1845/07/31

Information on Individuals

Source

9 unnamed individuals

Tulane University, M-1847, Citizens Bank Mortgage Book and Citizens Bank Minute Book No. 6, 1849/04/19 *

Information on Individuals

Source

unnamed individuals

Tulane University, Citizens Bank Minute Book No. 6, 1847/06/15

11

New Orleans Canal & Banking Company

Ascension Parish

Date

1845

Oct 1845 -Nov 1845

Previous/Subsequent Owners [Plantation Location]

William C. Randall (S)

David Randall (P) Christopher Ford (S) [left bank of Bayou Lafourche]

Information on Individuals

Reuben

Jack, Matthew, Henry, Randall, Gus, Jack, Richard, Brown, Squire, Elijah, Caesar, Charles, MaryAnn, Virginia, Hannah, Julie, Aime; Martha and her two children Letitia and Ralf; Sarah and her three children Reubin, Louisa, and Henry; Mary, Suzane, Aglace, Carol, and William

Source

Ascension Parish, Book 19, p. 401, c. 1845

Ascension Parish, Conveyance Book 19, p. 379, 1845/10/28, p. 387, 1845/11/13, and p. 401, 1845/11/024

Avoyelles Parish Date Previous/Subsequent Owners [Plantation Location]

Dec 1846 Edmond Briggs (P) James Satterfield (S)

Information on Individuals

Hanah and her child Hester; Susan, Henrietta

Source

Avoyelles Parish, Conveyance Book T, p. 32, 1846/12/23

East Feliciana Parish Date Previous/Subsequent Owners [Plantation Location]

Jan 1849 Mary Bostwick (P)

Information on Individuals

Cattie

Source

NOPL, East Feliciana Conveyance Book L, p. 366, 1849/01/06

Jefferson Parish Date Previous/Subsequent Owners [Plantation Location]

Information on Individuals

Source

12

Dec 1831

Eleonore M. MacCarty (P) [left bank of Mississippi River]

Natchitoches Parish Date Previous/Subsequent Owners [Plantation Location]

May 1834 Michael Boyce (P)

Orleans Parish Date Previous/Subsequent Owners [Plantation Location]

Nov 1838 Martial Dupieris (P)

Jun 1839 J. L Bogert (P) Feb 1844 Benjamin Davis (P)

Narcisse, Adonis, Alexander, Creole, Amedee, Asenor, Alexander, Aisseu, Anthony, Bernard, Bison, Biard, Brutus, Bonjeau, Battist, Big Billy, Little Billy, Billy, Cesar, Charles, Charles, Daniel, Erasti, Etienne, Evariste, Edmund, Francois, George, Hector, Honore, Honore, Henry, Jacinthe, Jacques Jardinier, Jean Baptiste, Jeffrey, Joseph, John, John, Jean, Jerry, Joshua, Jeffrey, Leon, Ludon, Louis Ficher, Louis Ketto, Marcellus, Michel, Michael, Oresti, Orsher, Pair, Pierre, Pierre Congo, Pacide, Pompey, Puyo, Philimon, Paul, Solimon, Sanbo, Stephen, Stephney, Tisi, Mulatto Tom, Turner, Tine Tanba, Little Tom, Victor, Little Victor, Washington, Rosimond, Garlin Blacksmith, Bensiur, Jim, Simon, Felix, Anlaid, Athimide, Arseisne, Charlotte, Christian, Constance, Poumonne, Rose, Sarah, Sophie, Venus Congo, Venus Banbarra, Virginia, Victoire, Clarissa, Labelle, Sarah, Eliza, Marie Brine, Nelly, Edward, Vincent, Alexis, Figaro, La, Jerry, Antoinette, Helen, Arsuli, Celestina, Desiree, Dylarouie, Dalmyre, Marie Noel, Arsisne; Virginia, Marie Daluph, Jacques Cap, Little Jacques, Cleopatra, Charlotte, Charity, Daphne, Flora, Big Maria, Maria Trusty, Little Maria, Maria Congo, Marie Francoise, Marianne, Mina; Pouponne and her child Celest; Pelagis

NOPL, East Feliciana Conveyance Book L, p. 366, 1831/12/19; Louisiana State Archives, Jefferson Parish Mortgage Book 2, p. 387, 1832/1/10

Information on Individuals

Source

Reuben, Hamish, Peter, Lewis, Jesse, Archy, Anthony, Patrick, Prince, Larr/sa and her son Martin, unnamed boy, Mary

Natchitoches Parish, Book 18, p. 296, 1834/05/05

Information on Individuals

Source

Billy Christian Bill

Zachariah, illegible, Frank, John

Orleans Parish, Conveyance Book 23, p. 692, 1838/11/12 Orleans Parish, Conveyance Book 26, p. 410, 1839/06/25

Orleans Parish, Conveyance Book 35, p. 93, 1844/02/24

13

Feb 1844 Mark Davis (P)

Dec 1847 John Currin (P)

Apr 1850 James Gilmer (S)

Apr 1850 John Hoey(S)

Sep 1850 Mrs. Laure Wilkinson (S)

May 1851 Manuel Blasco (S)

John, Albert, Issac, Peter, Aaron, Nelson

Andrew, Quinn

Terry, James

Hubbard

Susan

Priscilla and her daughter Mary Rose

Orleans Parish, Conveyance Book 36, p. 97, 1844/02/24

Orleans Parish, Conveyance Book 43, p. 275, 1847/12/28 Orleans Parish, Conveyance Book 49, p. 442, 1850/04/09 Orleans Parish, Conveyance Book 50, p. 437, 1850/04/09 Orleans Parish, Conveyance Book 53, p. 127, 1850/09/20 Orleans Parish, Conveyance Book 29, p. 342, 1841/05/29

West Feliciana Parish

Date

Sep 1843

Sep 1843

Apr 1845 Dec 1845

Mar 1849 Nov 1849

Nov 1849

Previous/Subsequent Owners [Plantation Location]

John Holmes (P and S) [Bayou Sarah]

A. Dunbar(P)

Guillaume Ramon (P) W. H. Barrow (S) [Rio River]

Uriah B. and Edward Phillips (S)

S. H. Lurty (S) P. Lebret (S)

Information on Individuals

Albert, Edmond, Wilson, Robin, Harriet

Harry, Baptiste, Albert, Harry, Lowry, Randall, John, Jane; Mariah and her three children Baptiste, Albert, and Edward Hampton Stokes, Carter Hampton, Bill O'Conner, Ned Carter, Sam O'Conner, Giles, Joshua, Aaron, Roden, Eddward Long, Peter, Overton, Ben, Walter, Bill, Nat, Solomon, Booker; Adeline and her child Dan; Lot, Joe, Joshua, Island Ben, Harry, Sophia, Kathy, Bidy; Stella and her child Rumsey; Nancy, Annette and her child Eveline; Rachael, Ellen, Lettie, Dorcas and her child Rachael, Jane, Sally, Carey, Patty, Becky; Harriett and her child Elizabeth; Lucy, Susan Catherine Lucinda, Harriet, Ann Marie, Isobel, and unnamed infant
John

Source

NOPL, West Feliciana
Conveyance Book H, p. 452,
1843/09/02, and p. 461,
1843/09/02

NOPL, West Feliciana
conveyance Book H, p. 455,
1843/09/02

NOPL, West Feliciana
Conveyance Book I, p. 168,
1845/12/20; West Feliciana
Parish, Mortgage Book N, p. 225,
1845/04/09

West Feliciana, Conveyance Book I, p. 559, 1849/03/21

NOPL, West Feliciana
Conveyance Book I, p. 620,
1849/11/15

NOPL, West Feliciana
Conveyance Book I, p. 622,
1849/11/15

14

ATTACHMENT 3 TO ATTACHMENT C TO

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

FILED BY JPMORGAN CHASE & CO. ^ (as an Entity Holding an Interest in an Applicant)

ENSLAVED INDIVIDUALS MORTGAGED TO CITIZENS BANK OF LOUISIANA, NEW ORLEANS CANAL & BANKING COMPANY AND LEXINGTON BRANCH OF THE SECOND BANK OF KENTUCKY

Attachment 3

The following list identifies cases where enslaved individuals were pledged to Citizens Bank of Louisiana, the New Orleans Canal Bank, or the Bank of Kentucky (Lexington Branch) as collateral for mortgages or loans from 1831 to 1865.¹ The information is drawn from three sources. The first is a collection of Citizens Bank minute books and papers held at Tulane University. The second consists of conveyance and mortgage records held at local parishes throughout Louisiana. The final source consists of conveyance records held at the Fayette County Courthouse in Lexington, Kentucky. The list includes every reference to Citizens Bank, Canal Bank, or Bank of Kentucky (Lexington Branch) customers who secured loans or mortgages with enslaved individuals. The list is arranged alphabetically by parish or county and thereafter by owner. Each entry also includes information on the property and individual names included in the records. Names in italics reflect places where the documents were difficult to decipher because of the handwriting or because the documents have faded over time. The final column identifies the source for the information.

Many loans or mortgages were recorded more than once, including when borrowers died and plantations were sold or passed to others by will or other conveyance, or when loans were changed and had to be re-recorded. The existing records do not always provide enough information to identify when this occurred. Thus, related transactions may appear in separate entries listed under separate individuals. Complicating matters, there was no standardized spelling for many names in the source materials, and no standardized descriptions for many of the properties involved. Duplicate entries were avoided wherever possible, but where there was doubt, multiple entries were provided. Accordingly, some enslaved individuals listed may appear in several different entries.

¹ This list was prepared by History Associates Incorporated at the direction of JPMorgan Chase & Co.

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Ascension Parish.....	page 7
Assumption Parish.....	page 10

Avoyelles Parish.....	page 15
Bienville Parish.....	page 15
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Concordia Parish.....	page 16
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Natchitoches Parish.....	page 34
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Bank of Kentucky (Lexington Branch)

Fayette County.....	page 109
Lafourche Parish.....	page 90
Ouachita Parish.....	page 91
Pointe Coupee Parish.....	page 91.
St. James Parish.....	page 93
St. Landry Parish.....	page 94
St. Martin Parish.....	page 94
St. Mary Parish.....	page 95
Terrebonne Parish.....	page 100
West Feliciana Parish.....	page 100

Citizens Bank of Louisiana

General References

Owner Mortgaged Collateral

Allard, R. Allard, S. Andry, H. Andry, Mrs. Joe Andry, M. and H. Avant, F. R. Bailey, Littleton Bergron, W. Bienvenu, Neuville Bouny, Widow Bouny, William Briny, Mrs. W.

unnamed individuals

the following individuals: Judy; Emmanuel; Peter unnamed individuals

land; brickyard; and 47 unnamed individuals

unnamed individuals

unnamed individuals

plantation and unnamed individuals

property and unnamed individuals

^L

Hanisthe; Eliza; Eloise; Sophie; Ansin; Hugner; Robert; Alfred; bakery and unnamed individuals Minerva and Mathilda Phebe and Milie

Buisseau, M. Auville 21 unnamed individuals

Bujai, J.

land and 22 unnamed individuals.

Page 1

Dates

1834

1838-1845

1843

1845

1834

1841

1839

1838

William; Pleasance 1847 1845 1851 1846 1839 1850

Source

Tulane University, Citizens Bank Minute Book No. 1: 1834/10/07

Tulane University, Citizens Bank Minute Book No. 2: 1838/06/21; Minute Book No. 5: 1845/08/30

Tulane University, Citizens Bank Minute Book No. 5: 1843/02/08

Tulane University, Citizens Bank Minute Book No. 5: 1845/11/20

Tulane University, Citizens Bank Minute Book No. 1; 1834/10/07

Tulane University, Citizens Bank Minute Book No. 4: 1841/12/22

Tulane University, Citizens Bank Minute Book No. 2: 1839/05/02

Tulane University, Citizens Bank Minute Book No. 2: 1838/06/11

Tulane University, Citizens Bank Minute Book No. 6: 1847/03/25

Tulane University, Citizens Bank Minute Book No. 5: 1845/06/05

Tulane University, Citizens Bank Minute Book No. 6: 1851/06/17

Tulane University, Citizens Bank Minute Book No. 6: 1846/12/30

Tulane University, Citizens Bank Minute Book No. 3: 1839/10/03

Tulane University, Citizens Bank Minute Book No. 6: 1850/10/22

Owner

Calfion, P. H.

Caulfield, William & William Noble Chambord & Salarin

Charbonnet, Jacques

Ch urban it

Cole, Mrs. Ann C.

Curely, Mrs. Sarah

Darly, L. Mars and LeMar Durly Daupan, J. P.

Davenport, B. G. de Armas, C. G. Deslondy, J. DeHabicourt, Mrs. Doyal, Henry

Drt'orpun G.; William Arnough Arnossly DuBuchits, W.&A. Burwin Browning

Mortgaged Collateral

unnamed individuals

5 unnamed individuals

land and unnamed individuals, plantation and 20 unnamed individuals

6 unnamed individuals

plantation and 11 unnamed individuals

unnamed individuals

2 unnamed individuals

plantation and unnamed individuals.

plantation and 23 individuals; including the following Henry; Lewis; Ann

2 unnamed individuals unnamed individuals Jonus

Champion; Bathilde; Squire plantation and unnamed individuals unnamed individuals

Dates

1838

Source

Tulane University, Citizens Bank Minute Book No. 2: 1838/11/12

1852 Tulane University, Citizens Bank Minute Book No. 7:

1852/01/13

1841 Tulane University, Citizens Bank Minute Book No. 4: 1841/06/03

Tulane University, Citizens Bank Minute Book No. 2: 1838/08/06; Citizens Bank Minute Book No. 6: 1847/10/19; 1847/10/12

Tulane University, Citizens Bank Minute Book No. 2: 1838/02/12

1856 Tulane University, Citizens Bank Minute Book No. 7:

1856/02/19

1840 Tulane University, Citizens Bank Minute Book No. 3: 1840/04/09

1842 Tulane University, Citizens Bank Minute Book No. 4: 1842/05/05

1838 Tulane University, Citizens Bank Minute Book No. 2:

1838/05/24

Ryley; Willis; Hannah; Big 1844-1845 Tulane University, Citizens Bank Minute Book No. 5:

1844/07/08, 1845/01/30

1844 Tulane University, Citizens Bank Minute Book No. 5:

1844/05/22

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/09/22 ^

1838 Tulane University, Citizens Bank Minute Book No. 2:

1838/09/03

1851 Tulane University, Citizens Bank Minute Book No. 6:

1851/06/24

1841 Tulane University, Citizens Bank Minute Book No. 4: ' 1841/12/11

1842 Tulane University, Citizens Bank Minute Book No. 4: 1842/02/19

1838 -1847

1838

Page 2

Owner

Dufollut, J. S.

Dugue, F. Dulafat, Joseph Durand, John Durond, E. D. Faber, Albert Farrar, C. C. Forbes, Joseph

Mortgaged Collateral

property and the following individual: Guitilly Road

land and six unnamed individuals Baptiste; Dudley Washington

land and the following individuals: Tempe; William and individuals

plantation and 6 unnamed individuals

Kidose; Jacques; Theodore; Cecila; Milby; Augustine

12 unnamed individuals

2 unnamed individuals

Forstall, Edward J. and Grande Terre plantation and 53 unnamed individuals Placide

Fortier, Edward

Fortin, Charles Fortin, O. Frexef brothers Gabaruche, John Garniers, F. Goza & Griffin

plantation and 100 unnamed individuals, land and unnamed individuals unnamed individuals land and unnamed

individuals plantation and unnamed individuals land and 15 unnamed individuals

Dates

1839 1846 1847

and 6 other unnamed 1850

1839 1850 1845 1841 1843 1839 1837 1843 1847 1838 1841

Henry; Anderson; Thomas Henry; Charles; James; Lewis Smith; Joe; Henry n.d. Richmond; Charles Smith; Phil; Eliza;

Madison; Mary; Isaac; Hager; and Sandy

Source

Tulane University, Citizens Bank Minute Book No. 2: 1839/05/09

Tulane University, Citizens Bank Minute Book No. 5: 846/02/13, 1846/03/06

Tulane University, Citizens Bank Minute Book No. 6: 1847/04/08

Tulane University, Citizens Bank Minute Book No. 6: 1850/07/08

Tulane University, Citizens Bank Minute Book No. 2: 1839/04/11

Tulane University, Citizens Bank Minute Book No. 6: 1850/10/15

Tulane University, Citizens Bank Minute Book No. 5: 1845/08/30

Tulane University, Citizens Bank Minute Book No. 4: 1841/12/22

Tulane University, Citizens Bank Minute Book No. 5: 1843/08/03 -
Tulane University, Citizens Bank Minute Book No. 2: 1839/04/04
Tulane University, Citizens Bank Minute Book No. 2: 1837/05/13
Tulane University, Citizens Bank Minute Book No. 5: 1843/02/07 '
Tulane University, Citizens Bank Minute Book No. 6: 1847/12/28
Tulane University, Citizens Bank Minute Book No. 2: 1838/10/22
Tulane University, Citizens Bank Minute Book No. 3: 1841/04/22
Citizens Bank of Louisiana Papers, 1834-1914, Foldier 5, n.d.

Page 3

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Owner

Harper, John F. and Elliott, C. W.

Heriandy, Jacques Wiles, J. H. Hughes, D. Huie, Joshua Johnson, Sty. Jordan, B. Keyes & Roberts Kittridge & Knox
Landreaux, Honore
Lapin, P.M.B.

Le Breton, B. S. M. and Louis Marim

Mortgaged Collateral

Adam; Ben; Buck; Cleggett; George; Guss; Henry; Isaiah; July; Jacob; John; Joshua; Jim; Randolph; Peter; Theodore;
West; Joe Smith; Bill Brown; Sam; Isaac; Jeffrey; Ellis; Calvin; Lewis; Sam; Edmond; Speede; Lewis; Bob; Andrew;
Nathan; Dave; Sandy; Airey; Adline; Bell; Betsy; Charity; Cynthia; Charlotte; Cilia; Eliza Green; Ellen; Frances; Frances;
Henney; Josephine; Mary; Mary Brown; Malinda; Margaret; Martha; illegible; Louisa; Liz; Nancy; Sopha; Silla; Susan;
Sally; Milly; Sarah; Wrina; Patsy; Nancy; Toby; Levenia; Rebecca; Jinny; Anna; Diana; Rosette; Tempe; Edward; Low;
Joe; Jane; Wash; Davis; Moses; Charles; Letty; Ike Edmond; Taylor; William; Lucy; Celia 10 unnamed individuals
Orangeland plantation; New Hisia plantation at Bayou Luke; and 52 unnamed individuals
plantation and unnamed individuals 16 unnamed individuals . plantation and unnamed individuals unnamed individual
and Marguerite plantation and unnamed individuals 19 unnamed individuals
Dorcas and her four children Celia, Moses, Martha and Judah; Ned; George; Terry; Little Archy; Sidney; Davy and his wife
Lucinda; Henry; Epps; Joe; Harry; Nathan; Daniel; Ben; Jacob; Dolly; Johanna
plantation and 35 unnamed individuals land and 9 unnamed individuals. 6 unnamed individuals

Dates Source

Tulane University, Citizens Bank of Louisiana Papers; 1834-1914, Foldier 5
1842 Tulane University, Citizens Bank Minute Book No. 4:
1842/12/16
1859 Tulane University, Citizens Bank Minute Book No. 8:
1859/12/05 ,
1849 Tulane University, Citizens Bank Minute Book No. 6:
1849/11/07
1849-1850 Tulane University, Citizens Bank Minute Book No. 6: 1849/02/13, 1850/02/19
1837 1838 1840 1844 1847
1856 1845 1838

Tulane University, Citizens Bank Minute Book No. 2: 1837/05/24
Tulane University, Citizens Bank Minute Book No. 2: 1838/02/12
Tulane University, Citizens Bank Minute Book No. 3: 1840/07/02
Tulane University, Citizens Bank Minute Book No. 5: 1844/07/08
Tulane University, Citizens Bank Minute Book No. 6: 1847/02/18
Tulane University, Citizens Bank Minute Book No. 7: 1856/02/15
Tulane University, Citizens Bank Minute Book No. 5: 1845/11/13
Tulane University, Citizens Bank Minute Book No. 2: 1838/02/12

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Owner

Martin, K. C. .
Nicaud, Michel
O'Deshigy, Mr.
Parker, A.
Paruit, Charles
Peyroux, Aime
Pirn, VV,- M.
Poincy, D.
Pontchartrain Rail Road Company Poupono, Fifi

Mortgaged Collateral

Rhodu and unnamed individuals

Stephen; Henry Guerin; Robert; Samite; Becky;-Maria; Suzanne; Eliza; Hanna; Julia; Isabelle; Mary; Congo; Moses;

Ganl; Ganett; John Minor; Ferdinand; Sam; Daniel; Denis; Manuel; David; Roll; Jerry Ridan
property and 60 unnamed individuals property and 2 unnamed individuals plantation and unnamed individuals Jaik and
Marguerite

the following individuals: Nelson; Philip; Sylvester; Sally and her two unnamed two
children

Petre; Caroline

land and 28 unnamed individuals land and individual named Marianne

Dates Source

1841 Tulane University, Citizens Bank Minute Book No. 3:

1841/03/29

1845 Tulane University, Citizens Bank Minute Book No. 2:

1838/09/06, 1838/11/08; Citizens Bank Minute Book No. 5: 1845/10/24

1841 Tulane University, Citizens Bank Minute Book No. 4:

1841/06/29

1841 Tulane University, Citizens Bank Minute Book No. 4:

1841/12/24

1838 Tulane University, Citizens Bank Minute Book No. 2:

1838/03/14

1845 Tulane University, Citizens Bank Minute Book No. 5:

1845/07/31

1841 Tulane University, Citizens Bank Minute Book No. 4:

1841/11/29, 1842/04/04

"1844 Tulane University, Citizens Bank Minute Book No.
1844/07/30

1843 -1846 Tulane University, Citizens Bank Minute Book No. 5: 1843/02/01, 1843/02/04, 1846/03/26

Reggio, Mrs. Augustin Arthemise; Marie; Clarisse; Martha Hampton; Mary Dorsey; Rosalie

plantation and unnamed individuals plantation and 150 unnamed individuals 3 unnamed individuals

Riggio, Adolphi, Charles arid Eusebe Ring, N. D.

Robert and Allard Sandos, L. P. Sandrian, P.

Costalina.

plantation and unnamed individuals

1838 • Tulane University, Citizens Bank Minute Book No. 2: 1838/03/27

1849 Tulane University, Citizens Bank Minute Book No. 6:

1849/02/13 "

1845 Tulane University, Citizens Bank Minute Book No. 5:

1845/05/01

1841 Tulane University, Citizens Bank Minute Book No. 3:

1841/05/27

1835 Tulane University, Citizens Bank Minute Book No. 1:

1835/06/09

1845 Tulane University, Citizens Bank Minute Book No. 5:

1845/01/02

1838 Tulane University, Citizens Bank Minute Book No. 2:

1838/10/22

Page 5

Owner

Smith, Rev. Ian

Soniat, E. Soniat, Joseph Story, C.H. G. Sumir, V. Sundurnn, Arvlin Sundurnn, J. W. Sundurnn, P Supin, P. M. Supris, Mr.

Suttel, Henry Suvilan, G. S. Thomas, J. R. Todd, John Treme\ Benoit

Mortgaged Collateral

two plantations and unnamed individuals

two plantations at Little Bayou Sara and 117 unnamed individuals

unnamed individuals

20 unnamed individuals

plantation and unnamed individuals

plantation and unnamed individuals

plantation and unnamed individuals

plantation and unnamed individuals

plantation and unnamed individuals

two plantations and 121 unnamed individuals

plantation and unnamed individuals

plantation and 16 unnamed individuals at Sicily Island on Bayou Fluron plantation and unnamed individuals plantation

and unnamed individuals land and 7 unnamed individuals

Turing, William and plantation and unnamed individuals Charles Strong

Dates Source

1842 Tulane University, Citizens Bank Minute Book No. 4: 1842/05/19, 1842/08/11
1852 Tulane University, Citizens Bank Minute Book No. 7:
1852/01/27
1843 Tulane University, Citizens Bank Minute Book No. 5: 1843/05/17
1852 Tulane University, Citizens Bank Minute Book No. 7:
1852/03/23
1838 Tulane University, Citizens Bank Minute Book No. 2:
1838/07/19
1837 Tulane University, Citizens Bank Minute Book No. 2:
1837/05/27
1837 Tulane University, Citizens Bank Minute Book No. 2:
1837/05/27
1837 Tulane University, Citizens Bank Minute Book No. 2: 1837/05/27
1838 Tulane University, Citizens Bank Minute Book No. 2: 1838/02/12
1841 Tulane University, Citizens Bank Minute Book No. 3:
1841/04/26
1859 Tulane University, Citizens Bank Minute Book No. 8:
1859/06/27
1837 Tulane University, Citizens Bank Minute Book No. 2:
1837/07/15
1845 Tulane University, Citizens Bank Minute Book No. 5:
1845/01/18, 1845/03/27
1859 Tulane University, Citizens Bank Minute Book No. 8:
1859/05/16
1849 Tulane University, Citizens Bank Minute Book No. 6:
1849/06/20
1841 Tulane University, Citizens Bank Minute Book No. 4:
. 1841/11/29

Page 6

Owner

Vaigar, Honore
Villard, D. Virret, C.
White & Hughes; L. Barly
Whitney, B. Unknown
Unknown

Mortgaged Collateral

9 unnamed individuals
6 unnamed individuals
Charles and David
plantation and unnamed individuals
3 unnamed individuals
the following individuals: Leven; Lydia; John; Bob; Bili; Henry; Stephen; Tabby; Fanny; Perry; Clarissa; Isaac; Tom; Philes;
Tener; Betsy; Alek; Eddy; Isaac; Moses; Susan; Lavinia; May; Artemis; Rose; April; Martha; Nancy; Adam; Jack; John;
Melinda; Henry; Andrew; Letty
William; Azor; Ben; Jim; Cuffy; Isaac; Mary and child; Emily; Fanny; White Allen; nd. Rachel; Abraham; Xavier; Bax; Black
Allen; Cornelius; Henry; Maria and her child; Black Fanny; Sally; Matilda; Lymer; Louise; Victor

Dates

1842 1846 1838 1841 1847 1835

Source

Tulane University, Citizens Bank Minute Book No. 5: 1842/12/16
Tulane University, Citizens Bank Minute Book No. 5: 1846/03/06
Tulane University, Citizens Bank Minute Book No. 2: 1838/08/10
Tulane University, Citizens Bank Minute Book No. 4: 1841/12/11
Tulane University, Citizens Bank Minute Book No. 6: 1847/05/13
Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder5

Ascension Parish .

Blanchard, Joseph land and the following individuals: Jaquez; Adam; Julien; Jacobe; Stepehn; Marc; 1838
Ascension Parish, conveyance Book 14, p. 298,
Ned; James; Blaise; George; Charles; David; John; Brown; Benjamin; Nicotess; 1838/03/08 Henrietta ; Bitsy; Lea; Jane;
Sally; Domitille; Alexandre; Odille

Page 7

Owner

De Lizardi, Manuel Julien

Source

Tulane University, Citizens Bank Minute Book No. 5: 1844/04/17; Ascension Parish, Mortgage Book 8, p. 115, 1844/04/18

Duffel, Edward

Mortgaged Collateral Dates

Orange Grove sugar plantation and the following individuals: Isaac; Anthony; 1844 Cajah; John Sildard; Louis; John Hayes; Sam; Archy; William; George Lee; Nelson; William Bonaparte; Charles Bath; Henry Johnson; Frank; Bolla; Henry Page; Stephen; Pidmalea Denis; Pierre Louis Morris; Wilson; James; Jack; Dublin; Charles Martin; David; George Benton; Ned; Alfred; David; Peggs; Rod; Tammy; Sally; Nelly; Hilty; Elisa; Letty; Violette; Mary; Rolina; Marguerite; Finny; Elada; Marguerite; Sophie; Sophia Mary; Esther; Edouard; Colla; Caroline; Flora; Mathilda; Aaron; Pauline; Robert; Lucinda; Sally; Nancy; Henry; Isaac; David; Noel; Jolyaie; Isaac; John; Horace; Lindon; Henry; Boyer; Bruce; Sam; John; Henry; Kitty; Isabelle; Henriette; Charlotte; Nat; Louisa; Suzanne; Rachel; Moses; Sally; Charlotte plantation and the following individuals: Casimir; Charles; Elizabeth; Peter; Caleb; 1834-1869 Tulane university, Citizens Bank Minute Book No. 1:

Baptiste; Petit Joe; Matt; Elsie; Henry; William; Joe; John; Sam; Nace; Ben; Frank; 1834/10/13; Citizens Bank Minute Book No. 2:

Tim; Auguste; Jean Louis; Jose; Andre; Evarist; Stephen; Colin; Terrence; Bond; mS/oSTsS

Desieser; Lewis; Jack; Constance; Grand Leonard; Melanie; Sellah, her daughter Book 12, p. 6, p. 582

Sylvie, and Sylvie's daughter Marie; Maria; Jenny; Fanchonnette; Amie; Sally and her son Baptiste; Suzette; Petit Leonaide and her five children Rose, Laurant,

Tom, Lucia, and Elsie; Augustine; Louise and her son Edward; Marianne and her five children Elphonse, Augustine, Francis, Lucy, and Fortuna; Marguerite and her child Joe; Sarah; Geneviere; Mary

Kenner, Duncan F. and Sinwood Plantation and the following individuals: Daniel; Phill; Jove; Shannon; George B. Jim;

Billy; Stephen; Tom; Branch; Jacob; Lidge; Jake; Bolla; Alice; Harry; Clark;

Davy; Big Davy; John; Dick; Nick; Billy; Sampson; Coffee; Ned; Sandy; Jaques;

Nut; Johnson Dan; Jerry; Narapie; Cigar; Jarrad; George; Clinton; Lew; Johnny;

Bud; Robin; Sam; Tom Dugan; Joisey; Nancy; Clara; Violet; Nancy; Milly; Viniz;

Patty; Lara; Rose; Kitty; Molly; Reb; Eliza; Fanny; Judy; Fanny; Betty; B. Bias;

Peggy; Judey; Mary; Marie; Margaret; Lucy; Ethen; Julian; Bob; Dinah; Clarissa;

Branch; Celeste; Cigy; Nick; Ne6; Ben; Pilagee; Sancho; Milly; Laly; Bishop; Pigy;

Major; Lewis; Zachach; Lovauth; Sam; Sally; Tom; Casucire; Ben; Phil; Sailor;

William; Aby

1838-1845 Tulane University, Citizens Bank Minute Book No. 2: 1838/02/24; Ascension Parish, Mortgage Book 6, p. 452, 1838/03/29; Ascension Parish, Mortgage Book 9, p. 141, c. 1845

Keyes, Elizabeth R.

land and the following individuals: Godfrey; Charles; Henry; William; Ben; Phenix; 1839 Washington; Henry Jones; Peter; Ambroise; Ben Thompson; Marion; Lizzy; Anna; Blaire; Williams; Len; Bazile; Henry Ling; Rachel; Cloe; Eliza; Maria

Ascension Parish, Mortgage Book 7, p. 111, 1839/05/24

Page 8

Owner

Landry, Amadeo

Landry, Celeste

Landry, Trasimon and Modeste Brand

Mortgaged Collateral

land and the following individuals: Pompe; Pierre; Sambo; Jo; Mathilda Mercedi; Constance and her children Hortense and Eugenie

plantation on right bank of the Mississippi and the following individuals: Baptiste; Joe; Nat; Elsi; Henry; Raphael; Francis; William; Joe; Michael; Billy; Old Sam; Brother; John; Andrew; Bill; Frank; Nace; Young Sam; Ben; Frank; Jean; Auguste; illegible; Baralie; Constance; Melagie; illegible; Celler; Maria; Malina; Jenny; illegible; Can; Julie; Leonan.de

<<http://Leonan.de>>; Aimee; Sally; Suzette; Laura; Augustine; Louise; Joan Louise; Susan; Jean Baptiste; Andre; Edward; Flora; Colin; Marianne; Julie; Mark; Helene; Johnson; Liza; Rose; Marguerite

land and the following individuals: Pompey; Lubin; Sambo; Pierre; Constance; Hortense; Eugene; Betsey Mercredi; Bouchas; Solomon; George; Ben alias Benjamin; Glacede; Squire; Jean Pierre; Suzanne; David; Tom; Sam; Barnett; Henry; Betta; Paul; Celeste; Jacob Augustine; William alias Funis; Isaac; William (alias Samdi); Milliy; James; John alias PostNote; Dick ou Juin; Elvira; William; Isaac; Charles; Celestine; Fanny; Benjamin; Caroline alias Mai; Milly; John; Sally and her child George; Fanny and her child Rachel; Sandy; John; Matt; Philippe; William; Dick; Lucinda; Black Maria; Criole Maria; Charlotte; Jenny; Allen; James; John; Benjamin Bin; Milley; Benjamin; William; Stephen; Ben; George; Honore; Gabriel; Dumas; Philippe; Jim; Julien; Harry; Harry; Abraham; Jaques; Hector; Cofas; Magloire; Louis Christophe; Pierre; Ned; Louis; Trasimon Mardi; Dick; Charles; George Jour; Simon Lundi; Basil; Darby; Raquis; Henry

Vendredi; John; Nat; Thaddeus; Peter Dimanche; Cambredge; Lank; John Javier; George Semaine; Auguste; Willus; Caulin; Alexis; Silvere; Valentin; Zenon; Cesar; Jacques Night; Sophie; Lucy; Rosalie; Estella; Manon; Fanny; Clemence; Marie; July; Agar; Cynthia; Sally; Elizabeth Betsy; Mathilda; Liah; Rosalie Novembre; Mary Ann; Marie; Jean Baptiste; Lindon; Louise; Celestin; Moguie; Seance; Juillet; Nancy; Alfred; Caroline; Audile; Aurore; Bill; Mars; Jane; Susanne; Charity; Jefferson Hope; Cueline

Dates Source

Tulane University, Citizens Bank Minute Book No. 1: 1834/10/14; Ascension Parish, Mortgage Book 6, p. 214, 1835/12/26 1844 Ascension Parish, Mortgage Book 8, p. 138, 1844/04

1838-1855 Tulane University, Citizens Bank Minute Book No. 1: 1835/04/20, 1836/05/30; Citizens Bank Minute Book No. 2: 1838/03/14, 1838/03/26, 1838/11/08, 1838/11/19; Citizens Bank Minute Book No. 5: 1843/01/28; Citizens Bank Minute Book No. 7: 1853/11/22, 1853/12/16, 1855/05/15; Ascension Parish, Mortgage Book 6, p. 211, 1835/12/24; Mortgage Book 7, p. 18, 1838/11/23

Page 9

Owner

Landry, Trasimon and Modeste Brand

Mortgaged Collateral

Wyatt plantation and the following individuals: Seville; Phil; Daniel; Ben; Peter; Richard; Abe; Aaron; Isaac; Christoph; Jenny; Fred; Martin; Mark; Moses; Campbell; Peter; Jack; Francois; Dick; Jacob; Mary; Caroline and her child Henry; Ginsey and her child Ore; Chloe; Nina; Nancy; Lucy; Sally and her child Frisly; Amanda; Ellen and her child Bob; Minerva; Henrietta; Sarah; Lucky; Leida; Jane; Mary Luke and her child Orange; Mariah; Mariah; Mariah; Sarah; Minerva; Peggy; Pallas; Ann; Winney; Sally; Martha and her children Mary and Jack; William; Sam; Fanny; Julien; Martin; Nelson; Pelagie; Marguerite; Drauire; Rosalie; Adile; Raphael; Elizabeth; Danielle; Charles; Tobias

Dates Source

1855 Tulane University, Citizens Bank Minute Book No. 7: 1855/05/15; Ascension Parish, Mortgage Book 10, p. 313, 1855/05/03

Landry, Trasimon Modeste Brand

LeBlanc, Pharion

Philippon, Henry St. Martin, Joseph

Sugar plantation on left bank of the Mississippi and the following individuals: Nelson; Ezekial; Melville; Taylor and children Bob, Landon, and James; Nelson; Preston Stephenson; Pompey; Potters; Eliza; Loius; Blaize; Macaire; Joseph; Dick Bently; Harry Hill; Tom Logan; Nathan Bowman; John Biveans; Cyrus; Elick; Gabriel; St. Claire; Alcide; Balin; Joe Baton Rouge; Nancy; Suzanne; Lucy; Peggy; Josephine; Mary; Louis

land and the following individuals: Celestin; Benjamin; Guillamme; Rosamond; Edward; Antoine; Suzanne; Sophia; Elinor; Carmelita; Emma ; Nicocerine

Orange Grove plantation and unnamed individuals

Land and the following individuals: Joseph; Bob; Isaac; Levy; Peter; Ackin; Sam; Colas; Augustin; Betsey Dumond; Charlotte; Priscey; Sally; Petite Sally; Betsy; Lovicsy; Eliza; George; Jean; Hattieu; Aguste; Lysette; Antoine; Laure.; Betsey; Betsey Smith; Charlotte; William; Philippe; Mathilda

1850

1838

1843

Ascension Parish, Mortgage Book 9, p. 1850/04/26 332,

Ascension Parish, Mortgage Book 6, p. 459, 1838/04/13

Tulane University, Citizens Bank Minute Book No. 5: 1843/02/05

1833-1838 Ascension Parish, Mortgage Book 7, p. 512,

1833/06/08; Mortgage Book 6, p. 433, 1838/03

Assumption Parish

Albagnac, Marius; John land and the following individuals; Billsen and S. G. Philips

Bill; Peggy; Barnalby; Madelaine; Charity

Barrilleaux, Francois

land and the following individuals: Jim; Dinah; Jared; Apoline

1838-1852 Assumption Parish, Mortgage Book 1834-41, p.

134, 1838/01/18; Sheriffs Sale Book B, 1841-55, p. 178, 1844/08/03; Conveyance Record 17, p" 448, 1853/02/02; Tulane University, Citizens Bank Minute Book No. 7: 1852/01/06

Henry; Jacques; Jean; Michael; James Argitte ; 1838

Assumption Parish, Mortgage Book 1834-1841, p. 147, 1838/02/05; Tulane University, Citizens Bank Minute Book No. 2: 1839/03/13

Page 10

Owner

Barrow, Ruffin Robert

Mortgaged Collateral

the following individuals: Thomas Spencer; Jack Kerry; Robert Will; Aaron; Pauline; Felix; Davis; Honorine; Paul Belliam, John Bertaud Brothers
plantation and 4 unnamed individuals plantation and unnamed individuals Bourgeois, Josephine land and the following individuals: Fortin; Jim; Hortence; Lucien; Guey
Boyd, Julien and Robert Martin
Bradford, D.
Charlet, Pierre and Estelle Landry
land and the following individuals: Thomas; Abraham; Lydia; Pheebe; Big Phebee; Julie; George; Andre; Tom; Jacques
plantation and 7 unnamed individuals
land and the following individuals: Daniel; Tom; Squire; Jean Baptiste; Rose; Celina; Eliza; Sophie; Marie; Pauline .
Delano, Jean Baptiste land and the following individuals: Edmond; Henry; Rose
Delavign, John; Harvey North and Clerville Himel
Fefo, Amedee
Foley, Arthur M.
plantation on Bayou Laforuche and the following individuals: William; Jacob; Harrison; Betsy; Mai; Jacob; Arinda Clay and her unnamed child; Harry; Maria Jane; Auguste John; Wilson; Henry; Daniel; Anderson; Terence; Pitman; Charles; Tony; Robert; Reuben; Patsy; Aime; Louisa; Frank; Milton; Jerry; Jessie; Patsy; Jose; Fanny; Henry Smith; Joe Wolsy; Harris; Nelson Beasey; William Anderson; Drury Gordon; Eliza; Basil Pains land and 25 unnamed individuals
land and the following individuals: William; Jerry; Henry; illegible ; Polly; Amelie; illegible; Rachel; Oscar; Clay; Leonre ; Lindor
Gauthereaux, Richard plantation and the following individuals: Dick; Joe Poms ; Ben Davis; Jordan Bassett; Preston Turner; Harriet Turner; William; Wyatt Hason; Starling; Alick Dickinson; Silva Guillot, Jean Baptiste land and the following individuals: Jean Louis; Jim; Peter; John; Helouise; Clementine; Gedeon

Dates Source

1846 Assumption Parish, Conveyance Book 11, p. 371,
1846/02/12
C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book
1854 Tulane University, Citizens Bank Minute Book No. 7:
1854/05/09
1841 Assumption Parish, Conveyance Book 6, p. 173.,
1841/03/17
1838-1842 Assumption Parish, Mortgage Book 1834-41, p.
145, 1838/02/05; Mortgages vol'. 10, p. 239, 1842/03/26
C 1848 Tulane University, M-1847, Citizens Bank Mortgage Book
1834 Assumption Parish, Mortgage Book 1831-1935, p.
217, 1834/09/08
1839 Assumption Parish, Mortgage Book 1834-1841, p.
229, 1839/01/22
•1848-1854 tulane University, Citizens Bank Minute Book No. 6: 1848/05/23, 1848/12/27, 1851/05/20;.Citizens Bank Minute Book No. 7: 1853/04/28,
1853/03/21, 1853/03/17, 1854/05/02; Assumption Parish, Mortgage Book 11B, p. 150, 1848/06/13; Mortgage Book 12A, p. 649, 1854/11/06
1856 Tulane University, Citizens Bank Minute Book No. 8:
1856/06/06
1838 Assumption Parish, Mortgages 1834-1841, p. 138,
1838/08/10
1847-1848 Tulane University, Citizens Bank Minute Book No. 6: 1847/01/07; Assumption Parish, Mortgage Book 11B, p. 119, 1848/04/01; p. 122,
1848/04/08
1838 Assumption Parish, Mortgage Book 1834-41, p.
157, 1838/02/09
Page 11
\

Owner

Isourd, Antoine
Jordan, Francois and Elodie Tete Kittredge, Ebenezer E. and Martha
Knox, Charles
Lalande, Joseph and Augustine
Landreaux, Pierre and Ursin
Landry, Joseph

Mortgaged Collateral

land and the following individuals: Dick; Bob; Catherine; Marie; Lucie

Dates

1838

plantation and the following individuals: Henry; Jacob; Abraham; George; Moses 1853

plantation and the following individuals: Jesse Harris; Aaron; Anthony; Frederick; 1834 Ned; Joe; Tom; Ben; John; Adam; Aleck; Charles; Charley; Metit; Elisha; Julianne; Julie; Lyn; Peggy; Patty; Betty; Flora; Laurette; Linney; Marcelite; Harriet; Fanny; Alva; Jenny; Ninny; Silva; Leanna; Daniel

land and the following individuals: Harry; Hanna; Oscar; Abby; Eliza; Guay; 1835 Hanna; Julia Ann; Sophia; King; William; Charles; Jeremiah; James; Joseph

plantation and the following individuals: Thomas; Mingo; Peter; Anthony; George; 1834 Ursule; Josephine; Betsy

Source

Assumption Parish, Mortgage Book 1834-41, p. 162, 1838/02/20

Assumption Parish, Mortgage Book 12, p. 413, 1853/04/26

Tulane University, Citizens Bank Minute Book No. 1: 1834/07/22; Assumption Parish, Mortgages 1831-1835, p. 238, 1834/10/10

Assumption Parish, Mortgage Book 1834-41, p. 140, 1835/02/05

Assumption Parish, Mortgages 1831-1835, p. 227, 1834/09/24

land and the following individuals: Brister; Lamon; Lucien; Ned; Ben; July; Alexandre; Pompe; Charles; Yorick; Janvier; Joe; B. James; Celestine; Henry; Avril; B. Simon; Mingo; Andre; Toussaint; Lewis; B. Simon; Dick; Peter; John; Ralph; Gilbert; B. James; Davy; Rhody; Diana; Marguerite; B. Suzanna; Lydia; Mary Ann; Patsy; Euphrosine; Agga; Polly; Adelaide; Eliza; Celeste; Becky; L. Swan; B. Letty; Jenny; Lellany; Bellary; Sylvia; Catherine; L. Letty; William; Leandre; Tom; Cyrille; Jacob; Winny; Magdeleine; Jessey; Handfield; Carimir; Emile; Arthemise; Thomas; Pascal; Clemence; Kitty; Mars; Barile; Justine; Aime; Vanny; Susanne; Simon; Rosalie; William; Henriette; Auguste; Rody; Louis; Davis; Martin; Celertin; Samon; Little Jim; Millien; Munck; Celeste; Polly; Maria; Dina; Big Mary; Little Mary; Big Suzanne; Lacy; James; Cebon; Nancy; Tepy; Body Little; Amelie; Maxemillian; Josephine; Bazile; Handsel; Geno; Casener; Emilee; Auguste; Charlie; Bavin; Archie; Gibon; Taron

the following individuals: Seveille; Clarisse

1834-1844 Tulane University, Citizens Bank Minute Book No. 1: 1834/07/22, Minute Book No. 2: 1838/12/06; Assumption Parish, Mortgage Book 1834-41, p. 28, 1835/11/24; p. 77, 1837/01/03; p. 106, 1837/06/01; Conveyance Book 22, p. 727, 1844/03/01

1837-1839 Assumption Parish, Mortgages 1835-1841, p. 177, 1837/05/10, p. 277, 1839/12/02

Landry, Mrs. Marguerite land and the following individuals: Auguste; Louis ; Lewis; Francois; Philippe; 1835-1838

Leon; Etienne; Tafo; Jacques; Antoine; Theodore; Celeste; Phany; Pit; Clarisse; Delphine

Lesage, Pierre Martin and Robert Campbell

plantation and the following individuals: Thomas; Andre; Tom; Gacques; Abraham; Julia; Phebe; Phebe; Georges; and unnamed individuals

1837-1842

c

Tulane University, Citizens Bank Minute Book No. 1: 1835/05/11; Citizens Bank Minute Book No. 2: 1838/01/1; Assumption Parish, Mortgage Book 10, p. 239, 1837/08/10

Assumption Parish, Mortgage Book 10, p. 239, 1837/08/10; Mortgage Book 10, p. 69, 1842/03/26

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Owner

Marquette, Montequ Martin, Joseph

Mollere, Raphael and Clarisse Monginot, Louis

Monnet, Charles

Phillips, George W. and Sarah Rhea Phillips, W. P.

Pichot, A. W. Pugh, Thomas

Pugh, William W.

Sewall, Mrs. Maria Laura

Mortgaged Collateral Dates

the following individual: Samuel 1836

land and the following individuals: Georges Lot; Joseph Monnot; William; Washington; Moses; Petit James; Newton; Sandy; Clementine; Rachel; Louise; Estelle; Joseph; Ben; Washely; Adam; John Cadieu; Tom White; Philip; Grand Tom; Augustine; James; Tucker; Salatin; Cain; Bellow; Lindor; Cajinir; Cesar; Emanuel; Meuttie; Jaiques; Prosper; Jean Lou; John Ameire; Sephuer; Sylvain; Celestin; Grosse Sulley; Petite Sulley; V. Betsy; S. Betsy; Melinda; Henriette; Grosse Rosette; Rosette; Betty; Charlotte; Lucy; Eliza; Susanne; Chetin; Celina; Nancy; Sarah; Petite Sarah; Elvira; Azelie; Sylvestre; Tom; Charlotte Poucette; Leon; Charles; Sophie; Marianne; Eugenie

land and the following individuals: Coco ; Parisien; Caroline; Euphrosine 1838

land and the following individuals: Ned; Ben; Cadio; Louis; Adam; Abraham; 1838 Henriette; unnamed individual

land and the following individuals: Pithion; Pierrot; Ursue; Nancy; Aphrosine; Victoire; Adeline; Justine; Thomas; Leonide; Ursin; Lucy

plantation and 15 unnamed individuals 1837

land and the following individuals: Bill Owen; Isaac; Gaston; Solomon; Dick; Joseph; Smith; Helina; Polly; Marie;

unnamed individuals; Bud; Kevin ; Milley; Mary; Tiny; Tom; Eduard; Adelina; Liz

land and unnamed individuals 1846

land and the following individuals: Charles; Jacob; Bob; Lewis; Isaac; Ned; Willis; 1838 Louis Brag; Dick; Rachel; Daphne; Peggy; Julia; Martha; Prudence; Violet; Maria; Mina; Sally; Patsy; Polly; Sampson; Neptune Reuben; Betsy the following individuals: Ben; Britler; Laray; Pompey; Randal; Salera; Penny; 1836 Lesina; Esther; Caroline; Martha; Antoinette
Appy; Eliza; Marguerite 1842

Source

Assumption Parish, Mortgage Book 1834-41, p. 68, 1836/12/09
1834-1844 Tulane University, Citizens Bank Minute Book No. 1: 1834/08/29; Assumption Parish, Mortgage Book 1831-1835, p. 228, 1834/11/16; p. 230, 1834/11/17; p. 236, 1834/10/04; p. 237, 1834/10/04; Mortgage Book 10A, p. 320, 1844/06/22
Assumption Parish, Mortgage Book 1834-1841, p. 169, 1838/05/22
Assumption Parish, Mortgage Book 1834-41, p. 178, 1838/04/30
1838-1841 Tulane University, Citizens Bank Minute Book No. 3: 1841/03/11, 1841/04/22; Assumption Parish, Mortgage Book 1834-41, p. 150, 1838/02/05
Assumption Parish, Mortgage 11B, p. 119, 1848/04/01
1836-1837 Assumption Parish, Mortgage Book 1834-41, p. 117, 1837/08 ca.
Tulane University, Citizens Bank Minute Book No. 5: 1846/01/29
Assumption Parish, Mortgage Book 1834-1841, p. 201, 1838/10/26
Assumption Parish, Mortgage Book 1834-1841, p. 70, 1836/12/12; Tulane University, Citizens Bank Minute Book No. 1: 1836/06/15
Assumption Parish, Conveyance Record 6, p. 307, 1842/03/04

Page 13

Owner

Sparks, N.

Templet, Florentin Tete, Auguste

Mortgaged Collateral Dates

unnamed individuals 1835

*land and the following individuals: Jacob; Ned; Arthemise; Louise; Silvany; Constance; Ursule; Azema
plantation and the following individuals: James; Fulton; Phillip; Pridy; Francois; 1843 -Robert; Baptiste; Marcilene; Anna; Genevieve; Marie; Betsey; Jane; Milly; Sam; 1853 Jack; James; Solomon; Phillip; Polly; Jim Hazard; Julian; Jenny; Winsor Williams; Mary Ann Greeves; Maria; Babes; Sarah; Diana; Ephraim; Edmond; Patrick; Henry; Moses; Carson; Jacob; Abraham; George; Honorine; Suzette; Affi; Moses; Anais; Henry Bert; Jim Newson; Elizabeth; Eveline; Alfred Myer; Omson*

Source

Tulane-University, Citizens Bank Minute Book No. 1: 1835/04/20
Assumption Parish, Mortgage Book 1834-1841, p. 138, 1838/01/30
Tulane University, M-1847, Citizens Bank Mortgage Book, Citizens Bank Minute Book No. 7: 1853/03/31; Assumption Parish; Sheriffs Sale Book B, p. 428, 1835/04/08; p. 432, 1841/07/28; p. 435, 1843/09/18; Mortgage Book 10, p. 239, 1843/09/18; Mortgage Book 12, p. 414, 1853/04/26

Tete, Francois and Anne

Timmerville, C. T. Tournillon, Julien

Tournillon, S. F.

Trowbridge, William; Pierre Bourg

Verret, Carville

plantation and the following individuals: William Carpenter; Henry; Jerry; Justin; Raphael; John; Jack; Lewis; Charles; Henry; Barber; Alfred; Agnes; Maria; Louisa; Adele; Henriette; Emiline; Mary; Ann; Elizabeth; Samantha; Melite; Octave; Eugene; Camilia

plantation and unnamed individuals

land and the following individuals: Francois; George; Henry; Moulard; Hypolite; Thorn; Boatswain; Joseph; John Brown; Cyrus; Ellick; Kitt; Hector; Little Cyrus; Alphonse; Will; Ned Blacksmith; Ebby Cooper; Altimore; Moise; Big Joe; Leonard; Maria; Poza; Aimme; Phillis; Jenny; Delphine; Celestine; Celie; Priscilla; Charlotte; Madelaine; Nancy; Marie; Elsy; Betsy; Little Celie; Helene; Carmelite; Jean Baptiste; Adam; Henriette; Marie Jeane; William; Jean Pierre; Louis; Marinette; Caterine; Paul; Clarisse

unnamed individuals

land and the following individuals: Lucie; Rosalie and her two children Adam and Eve

the following individuals: Collin; Sam; Davis; Melinda; Caroline

1856 Assumption Parish, Mortgages vol. 13, p. 224, 1856/06/12

1842 Tulane University, Citizens Bank Minute Book No. 4:

"1842/03/23

1835 Tulane University,, Citizens Bank of Louisiana

Papers, 1834-1914 Folder 1: 1835/02/01; Assumption Parish, Mortgage Book 10A, p. 355, 1835/01/08; Tulane University, Citizens Bank Minute Book No. 1: 1835/04/03

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/07/22

1838-1853 Assumption Parish, Mortgage Book 1834-1841, p.

. 170, 1838/03/09; Tulane University, Citizens Bank Minute Book No. 7: 1853/05/26

1834-1836 Tulane University, Citizens Bank Minute Book No. 1: 1834/10/20, 1836/03/17; Assumption Parish, Mortgage Book 1831-1835, p. 256, 1835/03/20

Page 14

Owner

Wilson, James

Mortgaged Collateral Dates

plantation on Bayou Laforche and the following individuals: Joe; Mary; Elias; 1851 Rosanna; Huston; Heriet Johnson; William Byerstes; Alfred Vass; Nat

Source

Tulane University, Citizens Bank Minute Book No. 6: 1851/01/07, 1851/03/26; Assumption Parish, Mortgage Book 12, p. 69, 1851/04/28, 1851/03/28

Avoyelles Parish

Griffin, William

Grimball, Robert A.

Keary, A. M.

Moore, John

plantation and unnamed individuals

1858

land and the following individuals: John; Jack; Charles; Daniel; Kelly; Lewis; Writ; 1849 David; Alfred; Franke; Peggy;

Judy; Maria; Sarah; Jinny; Caroline; Amanda; Mary; Lena; Randon; Bill; Hannah; Julia; Betsy

the following individuals: Henry; Patrick; HH; Mary and her child Lorenzo; Tommy; 1850 Isaac; Allen; Solomon; Joe; Al; William; Andrew; Tom Carpenter; Sam; Frank; Jim; Palmer; Frank; Tom; Joe; Joe Bradford; Dan Masslink; Jason; Sam Eug.; Amanda; Ephram; Lucy; Nelly; Addy; Mintz; Francis; Betsy; Sarah; Magret; Catherine; Nancy; Ellen; Louisa; Nancy; Julia; Georgia; Peter; Judy; Lucy Garrett; Mathilda; Charlotte; Sarah Jane; Lea; Martha; Celeste Bradford; Eliza; Mahala; Mary Ann Bradford; Nancy; Jack; Dennis; Charlotte; Harriet; Margeret; Jenny; Katy; illegible ; Noah; Betsy King; Sarah; illegible ; Lolo Cooper; Lucy Bradford; . Lucy Ned; Caroline; Martha; George Wallis; Fort; Hugh; Dick; Jack; Frisby; Ju; Lye; Jessy; Bryant; Stephen; Paul; Henry; George; Martin; Calvia; Robert; Maddison; Richmond; Jim Bradford; Charles; Jim W; Martha; Letty; Malinda; Eric; Celeste; Patsy; Matilda; Mary Spoff; Fanny; Amelia; Susan; Augusta; Louisa; Brady; Mary Willis; Aggy; Peggy; Betsy Marshall and her child; Milly; Easter; Rody; Isaac; Mary Davinport; Anna; Cindy; Amy; Bella; Amy Little; Ben; Toby; Lucinda

land and the following individuals: George; George; Sam; Nancy; Rose and her three children Bob, Caroline, and Mary Ann; Therisa

1838

Tulane University, Citizens Bank Minute Book No. 8: 1858/05/24

Avoyelles Parish, Conveyance Book U, p. 428, 1849/08/02

Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder 3, 1850/04/15

Avoyelles Parish, Conveyance Book N, p. 175, 1838/03/20, St. Landry Parish, Conveyance Book IJ-1, p. 207, 1838/04/09

Bienville Parish

Ambrose, James the following individuals: Rina and her son Jefferson

1849 Bienville Parish, Mortgage Book 1849-1855, p. 3,

1849/08/08

Page 15

Owner

Bissell and Schlater

Mortgaged Collateral

plantation and 56 unnamed individuals

Dates

1853

Source

Tulane University, Citizens Bank Minute Book No. 7: 1853/02/24

Caldwell Parish

Hyams, Henry M.

Esserance Plantation and the following individuals: Charles; Sarah; Catherine; Mary Ann; Little Charles; Sancho; Lucy; Moses; Marion; Toby; Bitsy; Clarissa; Phillis; Little Sancho; Richard.; Gabriel; Nab ; Anne; Isaac; Lorenzo; Abram; Amanda; Llyod; Eliza.; Elsey; Old Grace; D Williams; Jefferson; Elizabeth; unnamed infant; Fanny; Minerva; Jessie; Suckey; Edward; Jacob; Harry ; unnamed infant; Alfred; Jenny; Little Jesse; Nelly; Dovoght; Clarisa; Cynthia; Golden ;

Louisa; Franklin; Magaret; Celia; Mahala; Maria; Rivers; Randall; Trissy ; Manuel; Maria; Betty; Thomas; Harriet; Essex; Elvira; Martin; Little Bill; Edwin; Sam Wallace
1858 Caldwell Parish, Mortgage Book C,
1858/04/26; Tulane University, Citizens Bank Minute Book No. 8: 1857/10/05

Claiborne Parish

Ambrose, James

Bassett, R.

farm and 2 unnamed individuals

land and 4 unnamed individuals

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

Concordia Parish

James, illegible and plantation and 12 unnamed individuals John Norment

1859 Tulane University, Citizens Bank Minute Book No. 8:

1859/03/10

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Owner

Lapice, Peter M. and Joseph

Mortgaged Collateral Dates

plantation and the following individuals: Allain; Cumbacy; Sophy; Anderson; John; 1839 Solomari; Charlotte; Robert; Kitty; Pin Barkell; Jenia; Maria; Carlotta; Arthur; Marie; Daniel; Jim; Malvina; Wyat; Betsy Thompson; Ellen; George; Dania; Zelia; Zick; Big Zack; Dianah; Big Leny; Marie Keating; Keating; George; Kentucky Burn; Leticia; Billy Barrett; Rachel; Reuben; Ellick; Mathilda; Henderson; Jim Darcus; Judy; William; Phobe; William; Milly; Walter; Leny; Eliza Scott; Nancy; Sarah; Henry; Mathilda; Juis; Louisa Harding; Othello; Old Sandy; Harriett; Big Sandy; Peter; Dick; Patrick; Caroline; Richardson; Willia; Isaac; Robin; Dally; Hannah; Onia; Aaron; Old London; Anna; Jim Rivers; Cesar Bosman

Source

Concordia Parish, Mortgage Book J-K, p. 222, 1839/03/25

Lapice, Peter M.

plantation and the following individuals: David; Big Tom; Big Peter; Lewis; Bob; Black Tom; Richmond; William; John Boots; Morgan; Roberts; York; Black Gin; Jordan; Big Joe; Little Joe; Long Joe; Jack Nelson; Anthony; Homochito; Dick; Joe; Little Tom; Levy; Gin Patt; Old George; Henry Chapman; John Page; Little Peter; Leonard; Leonard; Phil; Horace; Big Ned; Linian; Willis; Big Gen; Moses; Nathan; Little George; Big Peter; Old Ben; Washington; Henry; Anthony; Wiliam; Sophia; Little Eliza; Little Betsy; Dorcas; Minerva; Lucy; Little Cornelia; Yellow Betsy; Bathsheba; Long Dorcas; Big Peggy; Little Peggy; Betsy; Mary; Nelly; Little Else; Luckey; Kitty; Harriett; Old Else; Diana; Suzan; Nina; Kitty; Ann Beckey; Beckey; Melly; Ann; Henny; Little Anna; Old Lisha; Melly; Pegay; Hannah; Ann; Caroline; Maria; Maria Betsey; Paga; Sarah; Vina; Stephen; Gim; Jackson; George; Nathan; Henry; Little Stephen; Ned; Tom; Yellow Dick; Pleasant; Aaron; Moses; Lewis; Little Isaac; Moses; Andrew; Bill; Randall; Edmond; Bob; Violette; Hetty; Henny; Venus; Liza; Liza Morris; Linia; Pegay; Juliana; Delila; Polly; Cynther Cinthy; Sophy; Vina; Isabelle; Francis; Mary; Maria; Emeline; Emily; Rosana; Mary Jane; Little Amy;

1841 Concordia Parish, Mortgage Book L, p. 207,

1841/05/14

Page 17

Owner

Little, Peter

Miller, David P.

Routh, Stephen M.

Mortgaged Collateral Dates

plantation and the following individuals: Ambrose; Dabney; Tobe; John Winston; 1838-1859

Lewis; Frank; Eliza; Lucy; Ailsey; Maria; Cloe; Ann; Gabe; Richard and his wife
Harriet; Albert; Thomas; Cynthia; Charlez. Abraham, his wife Eliza, and her
children Denis and Fortrim; Thomas and his wife Cynthia; John Vincent and his
wife Ginnia; William and his wife Charlotte; her child William; Frank; his wife Cloe;
and their five children Celiste; Elizabeth; Esther; Richard; Alexander; John Davis;
Nelly and her three children Eliza, Daina, and Sophia; Ben; Laura; Bob; Ese;
Peter; Abby; Canda; Dabney, his wife Ann, and her unnamed infant; Burrill, his
wife Harriet, and her four children William, Harrena, Randall, Emeline, and Alfred;
Emanuel; George Miley; Wiley; John; Hanson; Henry; Milton; Rose; Hetta; Louisa;
May

plantation and the following individuals: Sem; Phil; George; Nick; Hyatt; Gui; 1838 Henry; Lewis; Moses; Edmund; Jane;

Sarah; America; Angeline; Mary; Ellen; Polly; Adeline; Julia; Henry
plantation and the following individuals: Amos; Sam; Jim; John N.; Mosez Mazea; 1838 Wesley; George S.; George
Bazea; Harry B.; Sam B.; Nick; Hezekiah; Moses B.; Isaac; York; Bill Brown; John S.; Harry; Wilson; David; Henry C;
Perry; Oarrett; Peter; Henry S.; Richard; Stephen Boots; Julius; Ralph Bird; Ralph; Gilbert;. Robert; Jim Taylor; Stephen
Taylor; Catherine; Agniz; Violet; Elizabeth; Betty; Betsy; Betsey McKil; Mary Scott; Airy; Charlotte; Feriby; Ann; Lear;
Alviyra ; Fanny; Fanny B.; Lucy; Lilly; Rachel; Aghis; Eliza; Susan; Matilda; Mary; Lucy; Elvira; Mary; Henry; Canadis;
Hannah; Maria; Harriet; Cynthia Ann

Source

Tulane University, Citizens Bank Minute Book No. 6: 1847/01/11; Concordia Parish, Mortgage Book J-K, p. 39, 1838/02/05; Mortgage Book J-K, p. 118,
1838/07/13; Mortgage Book M, p. 282, 1848/06/19; Mortgage Book N, 1859/03/18
Concordia Parish, Mortgage Book J-K, p. 37, 1838/02/05; Mortgage Book J-K, p. 53, 1838/02/22
Concordia Parish, Mortgage Book J-K, p. 463, 1838/05/06

Williams, Austin

plantation and the following individuals: Phil; Peggy; John; Fanny; Hannah; Sarah; 1838 Henry; Lavinia; Nelly; Lane;
Manuel; William; May Johnson; Daniel; Dick; Cynthia; Virginia; Stephen; Julia; Ned; Julian; Caleb; Harriet; Letty; Nathan;
Leah; Amanda; Hannah Jane; Martin; Big Maria; Susan; Mason; Maria Feany; Divee; Emmeline; Pleasant; Mary; Isaac;
Frank; Frank; Emily; Marey Jones; Nancy; Tipporah; George; Catherine; George; Eliza; Fanny; Yellow Caroline; Grace;
Joshua; Lee; Polly; Bill; Little Maria; Levi; Yellow Leah; Harry; Louisa; Rebb; Polivia; Samson; Jim; Hannah; Jourdan;
Simon; Jena; Sim; Moses; Coffey; Orean; Rachael; Lucinda; Kitty; Harry; Leah; Peggy; Ellick; Nelly Knox; Big Caroline;
Mary Tucker; Mary Prince; Washington; Upsher; Martha; Robert; Margaret; Levi; Richard; Henry; Orange; Milly; Lewis;
Jim Mitchell; William

Concordia Parish, Mortgage Book J-K, p. 50, 1838/02/20; Tulane University, Citizens Bank Minute Book No. 2: 1838/12/13

Page 18

Owner Mortgaged Collateral Dates Source

East Baton Rouge Parish

Alexander, Joshua land and the following individuals: Jack; Stephen; Dick; Chester; Jupiter; Charles; 1837-1848

Tulane University, M-1847, citizens Bank Mortgage

Maria; Rachel; Sophia; Lucy

Allain, Sosthene

Beal, Robert

cotton plantation and the following individuals: Alfred; Andre Big; Laquer; John; Peter Bayon; Tony; Cathaniali; Narcesse;
Small Pelia; Louis; Paul; Joseph; Martin; John; Long Davey; Tony; Lucy; Big Lenon; Small Tony; Julie; Melende; Poley;
Indich; Cocola; Maynette; Jenny and her two unnamed children; Polieape; Celestin; Pierre; Jean; Carmel; Moses; Louise;
Celestine; Melite; Celame

the following individuals: Hurvy; Bradford

1838

Davis, Illegible ; Sharp the following individuals: Baptiste and his wife Eliza; Nathan; Julia; Rosalie;

1855

c. 1850-

Mathews Duer, Robert

Chisey; Beu and his wife Rachel; Winy; Silvey; Horace and his wife Maria; Ellen; 1860 Nanny; Arrange; Giur

plantation and the following individuals: Wyatt; John; Olive and her unnamed child 1838

Book; Citizens Bank Minute Book No. 6: 1848/09/26 East Baton Rouge Parish, Mortgage Book J, p. 433, 1837/12/26; Mortgage Book K, p. 49,
1838/12/26

Tulane University, Citizens Bank Minute Book No. 1: 1838/05/21; East Baton Rouge Parish, Mortgage Book J, p. 502, 1838/06/06

East Baton Rouge Parish, Mortgage Book E, p. 278, 1855/07/14

East Baton Rouge Parish, Mortgage Book F, p. 145; Tulane University, Citizens Bank Minute Book No. 8: 1860/05/10

East Baton Rouge Parish, Mortgage Book J, p. 450, 1838/01/22

Dunbar, John and Kendall

Duplatier, Alberic

Elder, C. Lilley, Thomas McCalah, James

plantation and the following individuals: John; Phil; Thomas; Truman; Sam; Celia; 1838-1845 East Baton Rouge Parish,
Mortgage Book j, p. 381,

Nancy; Dailey; Dullely; Warren; Jimmy; Louisa; Moses; David; William; Emily; Miles; Dalia

land and the following individuals: Louis; Bob; Jack 1837

plantation and 14 unnamed individuals 1860

land and the following individuals: John; Thomas 1845

planation and the following individuals: John; Thomas; Sam; Celia; Nancy; Dalia; 1845 David; Warren; Jenny; Emma;
Moses; David; William; Emily; Miles; Dalia

1838/08/01, Mortgage Book K, p. 11, 1845/05/31

East Baton Rouge Parish, Mortgage Book J, p. 407, 1837/10/09; Tulane University, Citizens Bank Minute Book No. 2: 1837/05/10
Tulane University, Citizens Bank Minute Book No. 8: 1860/05/28, 1860/11/19
East Baton Rouge Parish, Mortgage Book K, p. 30, 1845
East Baton Rouge Parish, Mortgage Book K, p. 453, 1845/05/01
Page 19

Owner

McCauley, L. P.
Posey, Carnot Scudder, J. B. Vail, Samuel
1858/12/14, p. 156, 1859/03/04

Mortgaged Collateral Dates Source

plantation and the following individuals: Ruben; London; Ben; Peter; Sam; Toby; 1858-1859 East Baton Rouge Parish, Mortgage Book R, p. 55, Joe; Anderson; Henry; Alfred; Isaac; John; William; Ruffin; James; Lewis; Oscar; Hannah; Lucy; Patsy; Sarah; Ann; Adaline; Pauline and her child Eliza; Pelly; Peggy; Delia; Ann; Esther .
plantation and the following individuals: William; Carter; Martha; Bill; illegible; 1851 Rose; Susan
East Baton Rouge Parish, Mortgage Book C, p. 87, 1851/02/17; Tulane University, Citizens Bank Minute Book No. 6: 1851/02/11
plantation and 14 unnamed individuals
plantation and 28 unnamed individuals

1850

1837

Tulane University, Citizens Bank Minute Book No. 6: 1850/04/24
East Baton Rouge Parish, Mortgage Book F, p. 145, 1837/07/26

East Carroll Parish

Dogherty, George Flynn, H. S.

Goza, Aaron and Joseph H. Moore

plantation and unnamed individuals ^ plantation and 9 unnamed individuals

the following individuals: Emanuel; Jackson; Bill; Plummer; Brid; Pompey; Harry; Rebecca; Andrew; Amy; Charlotte; Johnson; Wiley; Charles; Matilda; Delia; Mary; Leah; an unnamed child; Fanny; Mina; Mahala; Jane; Nelly; Lenah; Mary and her unnamed child; Betsy; Alcinda; Lotty; Ann; Margaret

1838 Tulane University, Citizens Bank Minute Book No. 2:

1838/06/21

1841 Tulane University, Citizens Bank Minute Book No. 3:

1841/05/27; Citizens Bank of Louisiana Papers, 1834-1914, Folder 4

1840-1859 East Carroll Parish, Mortgage Book B, p. 95,

1840/05/08; Mortgage Book B, p. 330, 1842/04/18; Mortgage Book C, p. 228, 1859/03/07; Tulane University, Citizens Bank Minute Book No. 3:

1841/05/27; Minute Book No. 6: 1850/01/07

Kerr, James D.

Lawson, Thomas

Maher, Philip; William S. Parham; Thomas Fitz Williams

11 unnamed individuals

land and the following individuals: John; Warick; Isaac; Edmond

1843 East Carroll Parish, Mortgage Book C, p. 53,

1843/11/09

1838 East Baton Rouge Parish, Mortgage Book K, p. 5,

1838/07/11

the following individuals: Abraham; Ned; Simon; Henry; Charles; Ben; Claiborne; 1838-1856 East Carroll Parish, Mortgage Book A, p. 507, Eaton; Ben; David; Hannah. and her 3 unnamed children; Cecile; Eliza; Nina; 1838/04/25; Mortgage Book B, p. 1, 1838/10/20;

Charlotte; Nancy; Little Ned; George; Jack; Frederick; William; Celia; Harriet; and Sevilla

Tulane University, Citizens Bank Minute Book No. 7: 1856/02/08

Page 20

Owner

Morancy, Honore Perigny

Pool, Robert Prescott, James B.

Mortgaged Collateral

the following individuals: Sam; Ben; Bill Johnson; Washington (alias Lloyd); Wesley; David; John; John Benson; John; Perry; Will; Dick; George Middleton; George; Peter; Chatham; Adam; Mark; Kell; Ambrose; Warren; Henry; Stephen; Prince; Stephen; Gilbert; Henry; Maria ; Maria and her child Delphine; Jane and her child Thornton; Hannah; Betsey; Irene; Mary; Lucy; Nancy and her child Nancy; Matilda; Charlotte; Maria; Jane; Milly; Mina; Letty; Evelina and her child Henry; Nancy; Temperance and her child Maryanne; Jim; Lizy; Caroline; Julyann; Washington; Sam; and Phoebe
unnamed individuals

Dates Source

1837-1838 East Carroll Parish, Mortgage Book A, p. 529, .

1838/08/06; Tulane University, Citizens Bank Minute Book No. 2: 1837/05/20

1847

the following individuals: Nace; Ben; Willis; James Munroe; Mary; Esther; Nelson; 1838 Aley; Harriet; Peter; and Allen

Tulane University, Citizens Bank Minute Book No. 6: 1847/02/04

East Carroll Parish, Mortgage Book A, p. 490, 1838/03/31

Sellers, Mathew Bacon the following individuals: Solomon; William; Andrew; Ned; Ben; Peter; Elijah;

John; Mat; Brister; Jack; Priscilla; Crawford; Kizy; Maria; Mary; Dorinda; Sarah; Elijah; Milly; Else; Alice; Ann; Sophia;

Matilda; Ellen; Maria; Obi; Floyd; Nancy; Lucretia; Henry; Caroline; George; Martha; Matilda Jane; Lucille; Minerva

1837 East Carroll Parish, Mortgage Book A, p. 414,

1837/07/15

Yarborough, Stephen 39 unnamed individuals

1838-1839 Tulane University, Kuntz Collection, No. 600, 1838/02/12; Citizens Bank Minute Book No. 2: 1839/03/25

East Feliciana Parish

Booker, James land and the following individuals: Willis; Anne; Phebe; Emeline; Ellen; Wesley;

Will; Joe; Mark

Bowman, Matthew land and the following individuals: Philip; Willis; Milo; Thomas; John Bradford, Harrison land

and the following individuals: Simon; Sady

1837 East Feliciana Parish, Mortgage Book E, p. 198,

1837/11/02

1837-1858 East Feliciana Parish, Mortgage Book E, p. 223, 1837/10/12; Tulane University, Minute Book No. 8:1858/04/15

1837 East Feliciana Parish, Mortgage Book E, p. 211,

1837/09/29

Bradford, Leonard

land and the following individuals: Peter; Archy; Joe; Isaac; Simon

1838 East Feliciana Parish, Mortgage Book E, p. 187,

1838/01/15

Page 21

Owner

Carter, Albert G.

Carter, Howard

Cocks, John J.

Conner, James R.

DeLee, John L.

Delie, John L.

Dougherty, George

Flynn, John C.

Gou, Ellis

Holmez, James

Lee, Samuel

Linnel, William

McDonald, John D.

Myers, Burrel

Newport, Robert W.

Perry, Robert and Hilary Bretin Cenus

Mortgaged Collateral Dates

land and the following individuals: Harry; Tom; Abraham; Mariah; Flora; Cati; Joe 1838

land and the following individuals: Cesar and his wife Jane; Henry; Starks; Cesar; no date Franklin; Polly Ann; Mary Ann;

Abram

land and the following individuals: Susan and her child William; Celia 1838

land and the following individuals: John; Harriet; Isaac; Edmund 1838

13 unnamed individuals 1853

land and the following individuals: Nat; Dick; Minda; Mary; Eliza; Moses; Peter 1838

land and the following individuals: Henry; Maria and her son Gibson; Cady 1838

land and the following individuals: Joe; Ben; Isaac; Dick; Jack; Vinny; Mary 1837

land and the following individuals: Louis; Milly; River; Mahala; Robert; Anny; 1837 Nathan

land and the following individuals: Limaz; Goin; Winny. 1838

land and the following individuals: George; Charles; Joe; May; John; Ralph; 1837 James; Malinora ; Violet; Milly; Viney

land and the following individuals: Lewis; Will; Jim; Milly; Martha; Mary; Peggy 1838

land and the following individuals: Foust; Hampton; Louise; Emily; Hester; Joe 1837

land and the following individuals: Mike; Sue; Hannah; Malissa; Moriah 1837

land and the following individuals: Stephen; Ben; Jim; Second Jim; Charles; Lot; 1837 Breidget; Caroline; Malinda; Charles; Sylvia.

The following individuals: Hampton; Joe; Laura; Emily; Ester; Jane child of Laura; 1846 John child of Emily

Source

East Feliciana Parish, Mortgage Book E, p. 183, 1838/01/15

East Feliciana Parish, Mortgage Book E, p. 554

East Feliciana Parish, 1838/05/05

East Feliciana Parish, 1838/06/11

East Feliciana Parish, 1853/01/13

Mortgage Book E, p. 310,

Mortgage Book E, p. 374,

Mortgage Book E, p. 544,

East Feliciana Parish, Mortgage Book E, p. 243, 1838/01/22

East Feliciana Parish, 1838/10/02

East Feliciana Parish, 1837/10/14

East Feliciana Parish, 1837/12/14

East Feliciana Parish, 1838/05/17

East Feliciana Parish, 1837/12/28

Mortgage Book G, p. 194,

Mortgage Book E, p. 168,

Mortgage Book E, p. 250,

Mortgage Book E, p. 353,

Mortgage Book E, p. 173,

East Feliciana Parish, Mortgage Book E, p. 176, 1838/01/12

East Feliciana Parish, 1837/09/05

East Feliciana Parish, 1837/11/04

Mortgage Book E, p. 163,

Mortgage Book E, p. 194,

East Feliciana Parish, Mortgage Book E, p. 217, 1837/12/20

East Feliciana Parish, 1846/02/18

Mortgage Book G, p. 569,

Page 22

Owner

Piper, David

Reddin, George Rirt, John Rook, Robert Saunders, Lafayette Tilden, Stephen

Yarborough, Steven

Mortgaged Collateral

•land and the following individuals: Bob; Willy; Joe; Fanny; Harriet; Andrew

land and the following individuals: Jane; Hannah; Ann; Luke

land and the following individuals: Jury; Henry; Bill; John; Charles; Rachel; Lizza; Jury; Sarah; Buda; and her child Sally; Viny

land and the following individuals: James; Sam; Wiliam; Ciss; Easter; Lawson; Milly; Jocey; Abram; Minerva; Willis; Laudy; Livinia

land and following individuals: West; Frederick; Hannah and her two children, John, and Catharine; Clara and her children, Anthony, Malinda, John Brown land and the following individuals: Charles; Joe; Milo; Dave; Browdie; Sophia; Fanny; Susan; Lucinda; Sophia; Nathan; Sylvia

land and the following individuals: Jack; Romeo; Oliver; Barber; Linda; Matilda; William; Francis; Rose; Edmund; Dick; Henry; Oliver; Barber; Charles; Jim, his wife Nicey and their daughter Ann; Winney Ann

Dates Source

1837 East Feliciana Parish, Mortgage Book E, p. 220, 1837/10/10

1838 East Feliciana Parish, Mortgage Book E, p. 301, 1838/03/07

1837 East Feliciana Parish, Mortgage Book E, p. 122,

1837/07/28

1837 East Feliciana Parish, Mortgage Book E, p. 191, 1837/09/07

1838 East Feliciana Parish, Mortgage Book E, p. 296, 1838/03/10

1838-1843 East Feliciana Parish, Mortgage Book E, p. 304, 1838/04/12; East Feliciana Parish, Mortgage Book G, p. 337, 1843/08/29

1838-1840 East Feliciana Parish, Mortgage Book E, p. 281, 1838/03/06; East Feliciana Parish, Mortgage Book G, p. 168, 1840/12/11

Iberville Parish

Owner Mortgaged Collateral

Armandez, Jean plantation and the following individuals: Baptiste; Francis; Louis; Bernard;

Baptiste Valentin; Antoine; Jenny and her four children Celeste, Manuel, Polite, and

Clarisse; Victoire; Marie

Armandez, Gilbert and plantation and the following individuals: Jean; Marie and her children Adolphe

Rosemond Berrett and Fanny

Armandez, Jacques, plantation and the following individuals: Daniel; Charlotte; Sylvina and her Daigre, Honore unnamed child; Felicite; Caroline; Arianire; Josephine; Milly; Eugene

Dates Source

1835-1836 Iberville Parish, Conveyance Book O, no. 474, 1835/04/03; Conveyance Book P, no. 262, ■ 1836/03/03
1836- 1843 Iberville Parish, Conveyance Book R, p. 144,
1836/11/08; p. 286, 1837/01/27; Conveyance Book. U, p. 301, 1841/06/22; Conveyance Book V, No. 383, 1843/11/15
1837- 1845 Iberville Parish, Conveyance Book R, p. 590,
1837/08/05; Conveyance BookS, p. 131, 1838/04/11; Conveyance Book W, No. 264, 1845/03/27; Tulane University, Citizens Bank Minute Book No. 5:
1845/01/16

Page 23

Owner

Bell, Robert and Caroline B.
Bettison, Joseph and Ann E.
Blanchard, Joseph; Achille Delphine and Marie Savory
Breaux, J. B.

Mortgaged Collateral Dates

several lots of land and the following individuals: Frank; Anthony; Jim; Dick; 1837-1839
Isaac; Joe Gray; Martin; Jacob McNairy; Louis Sawyer; Nat; Jacob; George
McNairy; Ben; Charley; William; Joe; Plato Sawyer; Washington; Big Davey;
Davey; Moses; Wapin; Rachel and her child Daphnie; Nelly; Lucy and her child
Charlotte; Suzan and her children Jack, Nelly, and Louis; Patsy and her daughter
Caroline; Chansey; Eliza; Maria; Luckey and her children Harriet, Abraham,
Spencer, Esace, and Jenny; Sarah and her children. William and Martha; Daphne;
Abby; Phyllis; Mary; George; Ann; Big Maria; Haucey and her unnamed child;
Katy; Charity and her son Lincon; George; Mathilda; Edmond; Peter; Ben; Randal;
Saul; Archibald; York; John; Peter; Abraham; Fielding; Sam; David; Cyrus; Eliza;
Lucy; Robert; Francis; Emily; Caroline; Cezar; Winny; Patsy; William; Alex; Wyatt;
Anderson; Hannah; Cely; Miles; Letty; Jones; Maria; Mary; Harriet; Louisa; Tom;
Ned; Juliet; Ned; Nancy
plantation and the following individuals: Spencer; Horace; Jerry; Horteuse and her 1837 unnamed child; Bella; Will; Peter;
Rachel

Source

Iberville Parish, Conveyance Book R, p. 603 1837/08/21, p. 636 1837/10/02; Conveyance Book S, p. 334, 1838/08/08; Conveyance Book T, p. 177,
1839/09/20; Tulane University, Citizens Bank Minute Book No. 2: 1837/06/22, 1837/08/03; St. James Parish, Book 16, p. 395, 1837/08/31
Iberville Parish, Conveyance Book R, p. 645, 1837/10/13, p. 677, 1837/11/07
plantation with the following individuals: Francois; Sam; illegible; Tom; William; Guillame; Sanieda; Mary; Mickey; Sulalie;
Poupone; Elizabeth; Henny; Joe; Edmond; Augustine; Tom; Amelia; Ellick; Priscilla
1837-1857 Tulane University, M-1847, Citizens Bank Mortgage Book; Iberville Parish, Conveyance Book R, p. 504, 1837/06/05; p. 537, 1837/06/13;
Conveyance Book 5, No. 115, 1857/08/15
sugar plantation in right bank of the Mississippi River and the following individuals: 1848 Phill Root; Andrew Jackson;
Jackson Finey; Elizabeth Powers and her three children John, William, and Jersey; Philip; Jack; Peter; Amy; Venus and
her child George
Brent, Robert; Labauve plantation with the following individuals: Ben; Dick; Patience and her unnamed 1837-1853
Tulane University, Citizens Bank Minute Book No. 6: 1848/06/06; Iberville Parish, Mortgage Book 2, p. 147, 1848/08/22
Hobard, C. W. Keep, and Joseph Schlater
Bush, Philip and Josephine Bush
child; Mary; Louisa; Pug
land on Bayou Goula and the following individuals: Philip; Wilson; Celestine
Camp, Robert; W. W. plantation and unnamed individuals Pugh
Clement, Henrietta; the following individuals: Big Bob; Daniel; Sophia; Tepey Louis Desobry
Tulane University, M-1847, Citizens Bank Mortgage Book; Tulane University, Citizens Bank Minute Book No. 7: 1853/02/17; Iberville Parish,
Conveyance Book R, p. 633, 1837/0928; Conveyance Book S, p. 32, 1838/02/10
1836 Iberville Parish, Conveyance Book R, p. 74,
1836/11/21, p. 240, 1836/12/27; p. 170, 1836/12/28,
1857 Tulane University, Citizens Bank Minute Book No. 8:
1857/06/20
1839 Iberville Parish, Conveyance Book S, p.
700, 1839/05/08
Page 24

Owner

Daigre, Honore

Mortgaged Collateral

the following individuals: John; Richard; Joe; Frederick; Rose and her child Andre; Pauline and her children Julienne, Antoine, and Mary; Agathe

Dates Source

1844-1845 Iberville Parish, Conveyance Book W, No. 97,
1844/08/22, No. 207, 1845/01/27; Tulane University, Citizens Bank Minute Book No. 4: 1842/06/07; Citizens Bank Minute Book No. 5: 1845/01/16
Dardenne, J.

plantation and unnamed individuals

1861

Deblucun, Mrs. plantation on Bayou Jacob and 33 unnamed individuals; and another tract of land 1853

Benjamin; D. L. Orillion and 61 unnamed individuals and Paul Deblucun

Tulane University, Citizens Bank Minute Book No. 8: 1861/01/28

Tulane University, Citizens Bank Minute Book No. 7: 1853/05/19

Dickinson, Charles H. several tracts of land and the following individuals: Lewis; Will; Jim; Milly; Martha; 1838-1842

Iberville Parish, Conveyance Book s, p. 208,

Mary Peggy 1838/05/08; Conveyance Book U, No. 470,

Dodd, William

plantation on Payou Plaquemines and 33 unnamed individuals

1842/04/22

1835-1836 Tulane University, Citizens Bank Minute Book No. 1: 1835/04/20; Iberville Parish, Conveyance Book P, no. 240, 1836/02/20; p. 363,
1836/03/14

Doyle, George and Ann plantation and the following individuals: Bill; Abe; Mitchel; Syphax; Cyrus; Minor; M. Siye; Harry;
James Mickey; Sarah and her child Robert; Vicey and her child Jane;

Tobey; Rose; Scillia; Maria; Sophy and her children Louis and Ann; Sydney;

Suzan; Mary; Sally

Druilhet, Jules plantation on the left bank of the Mississippi River with the following individuals:

William Brook; Absolon; Pleasent; Mary and her children Josephine and Martha; Marianne

Duplessis, Francis

1836 Iberville Parish, Conveyance Book R, p. 87,

1836/11/21, p. 447

1837-1840 Iberville Parish, Conveyance Book R, p. 372, 1837/03/08; Conveyance Book T, p. 627, 1840/09/29; St. James Parish, Book 18, p. 684,
1840/08/28

plantation and the following individuals: Pierre; Violette; Washington; Magdeline; 1838-1851 Dalby; John Hill; Betsy; John;
Anderson; Fanny; Eliza; Crecy; Charles; Ned Ward; Phoebe; Mary Ann; Suzette; George; Ned; Harriett; Lewis; Jessey;
Anna; Delila; Spencer; Sally; unnamed individual; Mat; Jerry; Harlette; Dan; Philip; Lewis; Henry Sprigg; Peggy and her
unnamed child; Fanny; Rose and her unnamed child; Caroline and her unnamed child; Soloman; Betty; Sally and three
unnamed children; Henry Chambers; Rachel; Adam; Billy; Fanny Chambers; Hunter; Dally; Samson; Gabriel; Daniel;
Robert; Peggy and her 4 children, unnamed, unnamed, Anderson, Martha; Lucy and her 2 children, James and unnamed
Tulane University, Citizens Bank Minute Book No. 2: 1838/05/21; Iberville Parish, Conveyance Book S, p. 362, 1838/08/24, p. 603, 1848/06/13; St.
Martin Parish, Conveyance Records Book 11, p. 28, 1838/08/15; Record 20, p. 373, 1851/12/03

Page 25

(

Owner

Dupuy, Adolphe and Uranie D. Dupuy

Dupuy, Adolphe

Edwards, W. E.

Erwin, Lavinia and William Robertson

Mortgaged Collateral

plantation on the right bank of Mississippi River and the following individuals: Jacob; Jefferson; Henry; William; Denis;
Sam; Nancy and her child Rosette; Gudy; Ellen; Angele

plantation on Bayou Plaquimine and the following individuals: William; George; Alfred; Alexander; Edmond;. Polly; Elisa;
Sally and her children Guillaume and William; Tom; John; Polite; Frank; Reuben; Charlotte; Rachel and her child Lewis;
Milly and her child Ann

plantation and unnamed individuals

plantation and the following individuals: Big Charles; Isaac; John; Hector; Lye; William; Moses Gray; Anthony; William
Brinly; David Young; Summerset; American William; Big Anthony; Mac; Tom; Harry; Sam; Little Ned; Ann Stewart; Betsy;
Big Ned; Yellow Willy; Horace; Kitty; Henry; Eliza; Kitty; Big Margaret; Caroline; Jim; Hannah; Prissy; William; Little Lydia;
Francis; Bob; Big Hanna; Anna Brinly; Mary Dodd; Louisa; Lucinda; Little Helen; Charity; John Sommerset; Celestine; Big
Nancy; Emily; Mary Emily; Little Minty; Charlotte; Pamela; Gracy; Lydia; Kitty; Betsy; Yellow Hannah; Little Sye; Liza;
Little Harriet; D/ff/ey Lyde; Julienne; Nancy; Washington; Miama; Celine; Abraham; Big Minto; Suzanne; Mary Magdelen;
Black Mity; Little Betsy; Rose; Little Charles

Dates Source

1837-1838 Iberville Parish, Conveyance Book R, p. 564,
1837/07/15; Conveyance Book S, p. 31, 1838/02/07
1845-1846 Iberville Parish, Conveyance Book W, No. 488,
1845/11/07; Conveyance BookX, p. 70, 1846/02/24; Tulane University, Citizens Bank Minute Book No. 5: 1846/02/13
1852 Tulane University, Citizens Bank Minute Book No. 7:
1852/03/30
1835-1847 Iberville Parish, Mortgage Book 1, p. 249,
1847/07/27, p. 249, 1847/06/05, Conveyance Book P, No. 274, 1836/03/10; Tulane University, Citizens Bank Minute Book No. 1: 1835/02/20
Erwin, Thomas R. and Lavinia; Andrew Hynes, Mrs. Nancy Erwin, and Joseph Craighead
sugar and cotton plantation and 216 unnamed individuals
1836 Iberville Parish, Conveyance Book P, p. 497,
1836/06/01

Erwin, Isaac and Carmalite Estevah John and Marie E.

plantation on Bayou Grosse Tete and the following individuals: Peter; Edmond; 1841 Bob; Vicy; Rachael; Ritter;
Catherine; Ann; Nancy; Milly

plantation on the left bank of the Mississippi River with the following individuals: 1837-1839 Honore; Michel; Etienne;
Clement; Cyprieu; Klein; Celestin; Maurice; Catharine; Harriette; Josephine; Eugice; Cecile; Darius; Kitty; Marie Joseph;
Melitte and her two children Abraham and Azelie; Rosa; Philis and her child Clemetine; Charlotte and her children Jean
Louis, Celeste, Alfred, Manor, and Philiomene

Iberville Parish, Conveyance Book U, p. 1841/04/30

186,

Iberville Parish, Conveyance Book R, p. 580, 1837/07/25; Conveyance Book S, p. 153, 1838/04/25, p. 313, 1838/07/18, p. 674, 1839/04/27

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Owner

Estevan, Marie R arid Jean

Flack, E.

Gaillard, Raymon P.

Mortgaged Collateral

plantation on the right bank of the Mississippi and the following individuals: Dominique; Andre; Jean Baptiste; Clarielle;
Cecile and her children Francis, Joseph, and Sylvestre;.Benoit; illegible ; Bonaventure; Caspare; and Theophile; Eggare;
Marianne; Ellene; Agathe

unnamed individuals

Dates

1838

1835

plantation on the left bank of the Mississippi with the following individuals: Andre; 1841 Dominique; Cecile; Jean Baptiste;
Clarville;.Francis; Joseph; Sylvester; Benoit; Dominique; Bonaventure; Theophile; Agatha; Marianne; Agar; Helene;
Gaspard

Source

Iberville Parish, Conveyance Book S, p. 106, 1838/03/23

Tulane University, Citizens Bank Minute Book No. 1: 1835/02/20

Iberville Parish, Conveyance Book U, p. 337, 1841/07/29

Garlick, John

Greaud, Alfred Hamilton, J. D.

plantation on the north bank of Bayou Goula and 19 unnamed individuals

plantation and unnamed individuals

land and the following individuals: Basket; James; Charles; Edward; Tom; Abraham; Rose; Felicite; Amy; Marie; Esther;
Louis; Barney; Martin; Harriette; Silsy; Britannia; Martin; Madison; Soloman; Malissa

Harding, John; Louis the following individuals: Patrick; David; Desir; Jackson; Hardy; Cyrus; Jesse; Desobry and
Charles Talbert; Mabaley; Sally; Mary; Mathilda; Martha; Caroline; Nancy; Bob; Elsy Clements

Harrison, Samuel

Herbert, Achille and Marcelite

Hebert, Treville

• Hebert, Valery and Clarisse B.

Gerville plantation and 80-unnamed individuals

*land and the following individuals: Abraham; Francois; Henry; John; Louise; Jenny; Laura; Norbert; Jean Louis; Paul;
Telephone*

18 unnamed individuals

unnamed individuals

1835-1842 Tulane University, Citizens Bank Minute Book No. 1: 1835/02/06; Iberville Parish, Conveyance Book P, no. 254, 1836/02/29, p. 362,

1836/02/12; Conveyance Book V, p. 171, 1842/12/12
1859 Tulane University, Citizens Bank Minute Book No. 8:
1859/03/07
1835- 1848 Tulane University, Citizens Bank Minute Book No. 2:
1835/02/06, Minute Book No. 5: 1844/06/07; Minute Book No. 6: 1847/03/07; Iberville Parish, Conveyance Book P, no. 250, 1836/02/29; Conveyance Book W, no. 65, 1844/06/27; Mortgage Book 1, p. 465, 1848/03/28
1838-1839 Iberville Parish, Conveyance Book S, p. 233, 1838/05/21, p. 448, 1838/11/17, S, p. 523, 1839/02/07; Tulane University, Citizens Bank Minute Book No. 2: 1838/05/17, 1839/01/21
1849-1851 Tulane University, Citizens Bank Minute Book No 6: 1849/07/11, 1851/06/17
1836- 1839 Iberville Parish, Conveyance Book R, p. 67,
1836/11/18, p. 261, 1837/01/16; Conveyance Book T, p. 44, 1839/06/12
1835-1836 Tulane University, Citizens Bank Minute Book No 1: 1835/03/23; Iberville Parish, Conveyance Book P, "no. 247, 1836/02/27, p. 366,
1836/03/14
1835 Tulane University, Citizens Bank Minute Book No. 1:
1835/02/06; Iberville Parish, Conveyance Book no.. 242, 1836/02/23, no. 265, 1836/03/03

Page 27

Owner

Herbert, Paul
Henry, Joseph and Marie B.
Ivy, Isaac; Lucinda and William Terrel
Johnson, Henry Kleinpeter, George Landry, Camille

Mortgaged Collateral

plantation on the right bank of the Mississippi and the following individuals: Abraham; Jim; Charlotte; Stephen; Edmond; Ben; Colas; Jenny and her children Jim and Eliza; Jeanette; Sarah; Polly; Ann; Julienne and her children Sally, Honorine, and Manette

unnamed individuals

land and the following individuals: Lewis; Will; Jim; Milly; Martha ; Mary; Peggy

two plantations with 17 unnamed individuals; and Marigny plantation with 32 unnamed individuals

Lauve, Evariste and Celeste

plantation and 4 unnamed individuals

plantation on the Mississippi River with the following individuals: Manuel; Charles; Aaron; Peter; Lewis; Henry; Auguste; Eliza; Maria; Francoise; Betsy; Mary; Julie; Nelson; Louisa; Evelina; Rosalie

land and the following individuals: Henriette; James; Catherine; Rosette; Manor and her children Frederie and Esther; Melite; Charles; Harry; Josephine

Dates Source

1835-1842 Tulane University, Citizens Bank Minute Book No. 1: 1835/02/06; Iberville Parish, Conveyance Book P, no. 248, 1836/02/27, no. 270, 1836/03/08; Conveyance Book U, no. 307, 1841/10/18, no. 355, 1842/01/03,
1836 Iberville Parish, Conveyance Book P, no. 241,
1836/02/23, no. 263, 1836/03/03
1838 Iberville Parish, Conveyance Book S, p. 3,
1838/01/12, p. 54, 1838/02/21
1851 Tulane University, Citizens Bank Minute Book No. 6:
1851/02/25
1851 Tulane University, Citizens Bank Minute Book No. 6:
1851/06/24
1850 Iberville Parish, Mortgage Book 2, p. 490,
1850/03/07'
1838-1839 Iberville Parish, Conveyance Book S, p. 23
1838/01/31, p. 66, 1838/03/03, p. 585, 1839/03/19

Lauve, Evariste and sugar plantation on the right bank of the Mississippi River and the following Celeste; H. Moses
Shift individuals: Griffin; Richard; illegible ; Joe; Simon; Big David; Big Willis; Ben; Harry

Brown; David; Jacques Richard; Adam; Sam; Big Ben; Young; Little Jack; Plato;

John; Big Ian; Yellow Anthony; Anthony Wood; Cesar Sulle; Little Willis; Moses

Lamb; Peter Whiles; Moses Matter; John White; Joe; Jesse; Cesar Scott; Daniel;

Tom Singleton; Matthew; Manuel; Little Faucy; Flora; Billy; Bachus; Little Suzan;

Peggy; Mathilda; Little Maria; Little Jenny; Agnis; Big Lucinda; Eady; Louisa;

Biddy; Kitty; Kitty; Big Jenny; Molly; Rosetta; Lucinda Jackson

1838-1839 Iberville Parish, Conveyance Book S, p. 138, 1838/04/13, p. 181, 1838/04/28, p. 414, 1838/10/06, p. 632, 1839/04/11

Marigny, Bernard Moore, Edward

plantation on Bayou Goula and 24 unnamed individuals Estevan plantation and the following individuals: Jerry; Jack; John; Jacob; Jim; Sam; Bob; Beale; Henry; Burrell; Aggy and her seven children Jake, William, Melinda, Henry, Sarah, Rufus, and Joe; Mary and her six children Bill, Becky, Ann, Eveline, Maria, and Andrew; Martha and her two children Catherine and Alfred; Rose and her two children Caroline and Elizabeth; Martha Harris; Charlotte

1837 Iberville Parish, Conveyance Book R, 1837/12/02

1840 Iberville Parish, Conveyance Book T, p. 590,

1840/07/17

Page 28

Owner

Neraut, Bernard and Mathilde; Gustave and Emilie L. Rousseaux

Orillion, Louis

Pritchard, Jeramiah; Mrs. George Mather

Pugh, Mary Ann

Reams, Richard and Eliza J.

Mortgaged Collateral

plantation on the left bank of the Bayou Plaquimine with the following individuals: Ruben; Morris; William; Harry; Sam; John; Sam; Jacob; Edmond; Frank; Poulite; Kitty; Rachel and her child Lewis; Milly and her unnamed child; Mathilda; Dolly; Charlotte; Ira; Charles; Henon; Louis

plantation and the following individuals: Abraham Hill; George; Frank plantation and 23 unnamed individuals land and 21 unnamed individuals.

plantation on the right bank of the Mississippi River and the following individuals: John; Harry; Jack; Charity; Mary and her child Wallace; Louisa; Lucy; Josephine

Dates Source

1841-1846 Iberville Parish, Conveyance Book U, p. 79,

1841/03/22, p. 340, 1841/07/30; Tulane University, Citizens Bank Minute Book No. 5: 1846/02/13

1838-1846 Iberville Parish, Conveyance Book S, p. 205,

1838/05/07, Mortgage Book 1, p. 13, 1846/09/17

1835-1859 Tulane University, Citizens Bank Minute Book No. 1: 1835/05/11; Citizens Bank Minute Book No. 8: 1859/04/11; Iberville Parish, Conveyance Book P, no. 260, 1836/03/02, p. 367, 1836/03/14

1848 Tulane University, Citizens Bank Minute Book No. 6:

1848/05/30

1838 Iberville Parish, Conveyance Book S, p.235,

1838/05/23, p. 281, 1838/05/15,

Rils, J. and C. Brusle unnamed individuals

Rivet, Lewis and Henrietta

plantation and the following individuals: Lindor; Francois; Celeste; John; Thorn

1835-1836 Tulane University, Citizens Bank Minute Book No. 1: 1835/02/06; Iberville Parish, Conveyance Book P, no. 230, 1836/01/15, no. 264, 1836/03/03

1836-1837 Iberville Parish, Conveyance Book R, p. 1836/12/08, p. 288, 1837/01/27

142,

Robinson, Abner et al, and George A. Botts

plantation and the following individuals: Frank; Anthony; Jim; Dirk; Isaac; Joe Gray; Martin; Jacob McNayer; Lewis; Nat; Jacob; George McNayer; Ben; William; Joe; Plato; Washington; Big Davy; Davy; Moses; Wapping; Rachel and her child Daphny; Nelly; Lucy and her child Charlotte; Susan and her children Jacob, Nelly, and Lewis; Patsy and her child Caroline; Chany; Elizabeth; Maria; Luckey and her children Harriet and Abraham; Spencer, Esau; Fanny; Sarah and her children William and Martha; Daphny; Abby; Phillis; Mary; George; Anne; Big Maria; Fanny and her unnamed child; Kitty; Charity; Susan and her unnamed son; George; Matilda; Edmund; Peter; Ben; Bandals; Sam; Archibald; York; John; Peter; Abraham; Fielding; Sam; David; Gras; Eliza; Lucy; Robert; Francis; Emily; Caroline; Henry; Patsy; William; Alexander; Wyatt; Anderson; Hannah; Ceyley; Milly; Letty; Tom; Maria; Mary; Harriet; Louisa; Tom; Ned; Juliet; Ned; Nancy

1840 Lafourche Parish, Mortgage Book P, p.

1840/02/21

438,

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Owner

Slack, Eliphalet and

Abigail

Surry

Trier, A. and Dominique Bouligny

Wilson, Elisa

Mortgaged Collateral

plantation on Bayou GrosseTete with 49 unnamed individuals plantation and unnamed individuals plantation and 34 unnamed individuals

plantation and 60 unnamed individuals

Jefferson Parish

Coumagere Courbin & Roule

Delassize, Jean

unnamed individuals unnamed individuals unnamed individuals

Deschappelle, Gabriel the following individuals: James; Edward; Louis; Sam; Mary; Lucy; Mary; Lebreton
Du Sassau, G.

Fortier, Berthies

Charlotte

unnamed individuals Tom; Nelson; Louise

Fortis, Edmund

Fortis, Eugin and Faustus

Gesseau, Eugene LeBuhn, F. J.

plantation and unnamed individuals plantation and unnamed individuals unnamed individuals

two tracts of land and unnamed individuals.

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Dates Source

1836 Iberville Parish, Conveyance Book P, no. 259,

1836/03/02, p. 364, 1836/03/14

1841 Tulane University, Citizens Bank Minute Book No. 4:

1841/09/30

1852 Tulane University, Citizens Bank Minute Book No. 7:

1852/09/09; Iberville Parish, Conveyance Book 3, p. 3, 1852/09/24^.

1839 Tulane University, Citizens Bank Minute Book No. 2:

1839/02/26

1835 Tulane University, Citizens Bank Minute Book No. 1:

1835/02/20

1835 Tulane University, Citizens Bank Minute Book No. 1: 1835/04/10

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/12/19

1836 Tulane University, Citizens Bank of LA Papers, 1834-1914, Folder 1: 1836/07/25

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/07/22

1834-1851 Tulane University, Citizens Bank Minute Book No. 1: 1834/07/22; Citizens Bank Minute Book No. 6: 1851/01/07

1842 Tulane University, Citizens Bank Minute Book No. 4:

1842/04/28

1842 Tulane University, Citizens Bank Minute Book No. 4:

1842/04/21, 1842/04/28

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/10/14

1839

Tulane University, Citizens Bank Minute Book No. 2: 1839/02/21

Owner

Marshall, L R. and Charles Fortis Mason, W.

Mortgaged Collateral

plantation and unnamed individuals

Milly Bishop; Catherine; and Jane

Ribas & Colminaro; J. plantation and 31 unnamed individuals M. De Gama

Saules Balthazar

Saulit, Mrs. Trudeau, Mrs. A.

the following individuals: Vincent; Jacques; Edward; Baptiste; Azor; Jerry; Clarissa; Charlotte; Rodie; Henrietta; Francis;

Charles; Perry; Ben; Auguste; Stephen; Fine; Silie; Maria; Sara

20 unnamed individuals

plantation and 31 unnamed individuals

Dates Source

1854 Tulane University, Citizens Bank Minute Book No. 7:

1854/05/30

1851 Tulane University, Citizens Bank Minute Book No. 6:

1851/01/07

1834-1847 Tulane University, Citizens Bank Minute Book No. 1: 1834/08/29; Citizens Bank Minute Book No. 3: 1841/05/06; Citizens Bank Minute Book No. 6: 1847/12/17

1834-1835 Tulane University, Citizens Bank Minute Book No. 1: 1834/12/19, 1835/02/05

1850 Tulane University, Citizens Bank Minute Book No. 6:

1850/01/15

1853 Tulane University, Citizens Bank Minute Book No. 7:

1853/05/05

Lafayette Parish

McCaskill, Daniel and Chevis, J. W.

McCaskill, Samuel

land and 24 unnamed individuals on Bayou Vermillion.

land and the following individuals: Lewis; Gabreil; Cyrus; Caleb; Geuin; Wilson; Moses; Collins; Willough; Henry; Jep; Charlotte; Charity; Kazzy; Sally; Rose ; Ellick; Tim ; Sophia; Louisa; Gabe; Marissa; Saul; Thases

1850-1851 Tulane University, Citizens Bank Minute Book No. 6: 1850/11/05; Tulane University, Citizens Bank Minute Book No. 7: 1851/12/23

1838 Lafayette Parish, Copies of Notarial Acts, no.

2816, 1838/04/30

Thrall, John B.

plantation and the following individuals: Dick; Sally; Catherine; unnamed individual; Jane; Mary; Seysus

1837-1838 Tulane University, Citizens Bank of Louisiana

. Papers, 1834-1914 Folder 2: 1837/09/28; Lafayette Parish, Copies of Notarial Acts, entry 2770, 1838/01/04

Lafourche Parish

Baudoin, S.

plantation and 12 unnamed individuals

Bernard, Jean Baptiste land and the following individuals: Etienne; Paul; Honore; Ursin; Moses; Dick; and Marie Esther

Joe; Alexandre; Marie; Lucinda; Joseph; Dransin; Victoire; Juilliens

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

1838-1845 Lafourche Parish, Conveyance Book N, p. 224, 1838/03/06; Book U, p. 436, 1845/05/12

Page 31

Owner

Biagg, Barton

Mortgaged Collateral

plantation and 105 unnamed individuals

Bourgeois, J. and H. unnamed individuals Champagne

Brown, John Conway land and the following individuals: Thomas; Daniel; Eliza; Jacques

Charles, Mme. ^

Ellis, Richard G. and Mary Jane Towson; Thomas Butler; J. B. Moreaux

Frederic, Marie Madelain and Jean Omar Nicolas

Gaillard, Raymond P.

unnamed individuals

plantation and the following individuals: Nace; Stephen; Stanner, Philip; Isaac; Jack'; Hanson; Henry; Thomas; Saulbring;

Armstrong; Charles; Basil; Stanner Jr.; Leonora; Frank; Hanson Jr.; Lewis; Alfred; Reason; Henry; Sal; Rachel; Polley;

Theresa; Juno; Emily; Juliana; Sarah; Nancy Jr.; Nancy; Hager; Elvia; Sarah Ann; Tempe; Jane; Hannah; Hannah Jr.;

Julia; James; Henry; Bernard; John; Joseph; Sally Camilla; Cassandra; Nancy; Mary Ann; Margaret

land and the following individuals: Michel; Jim; Joe; Valette; Bob; Hanny; Dobby; Rosa; Mary; Bob; Randall; Nancy;

Maria; James; Nancy; George; Esther; William; Nancy; Edmond; Poupanne; Marguerite; Clarisse; Amvirica .

land and the following individuals: Andre; Jean Baptiste; Clairville; Francis; Joseph; Sylvester; Benito; Bonaranture;

Theophile; Marie; Cecile; William; Honore; Marianne; Orelie; Catherine; Celestin; Helene; Agathe; Domstele; Celestine;

Mary; Solby; Anna; Suzette; Estele; Henriette; Odile; Lutelia; Baptiste; Dick; Randall; James; Sam; Melite; Madeleine

Gordon, Alexandre and the following individuals: Lewis; Spencer; Lymus; Betty; March; John; Martha; Jean Baptiste

Maureau Charles; Will; Melinda; Edmund; Mary Jane; Frances; Fanny; Octavee; Barbary

Margaret; Louise; Julien; Alexandre; Victoriae; Sophie; Agnes; Betsy; Nathan;

Henry Smith; Jack; Henry; Alfred; Tommy; Glaster; ittle Sam; Jack; George;

Bazile; Frank; Mina; Saul; Yellow Willam; Philip; Stephen; Stanney; Little Stanney;

Leonard; Big James; Cisar; Little William; Davy; Henson; Barnett; John; Joe;

Thomas; William; John; Adam; Juillick; Emily; Nancy; Julian; Old Jenny; Mary;

Winney; unnamed individual; Pervey; Miley; Hagar; Sarah; Sally; Eliza; Hannah;

Milah; Mary; Rachel; Penny; Nancy; Cashlien; Jessey; Holly; Joe; Rose; Frank;

Heline; Kitty; Rachel; Mary; Abraham; Patty; five unnamed children

Dates Source

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/10/20

1838 Lafourche Parish, Conveyance Book N. p. 278,

1838/05/24

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/06/26

1837-1858 Lafourche Parish, Conveyance Book N, p. 185,

1837/12/11; West Feliciana Parish, Mortgage Book K, p. 129, 1838/01/25; Terrebonne Parish, Conveyance Record Aug 29, 1832-Jan. 5, 1841, Entry

2271, 1858/01/01; Tulane University, Citizens Bank Minute Book No. 5: 1844/10/04

1834 Lafourche Parish, Conveyance Book T, p. 474,

1834/12/30

1845 Lafourche Parish, Mortgage Book AA, p. 380,

1845/07/21; Tulane University, Citizens Bank Minute Book No. 6: 1849/02/06, 1849/03/16, 1851/02/11

1845 Lafourche Parish, Conveyance Book W, p. 115,

1845/08/09; Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder 5; Citizens Bank Minute Book No. 5: 1844/10/04; Citizens Bank Minute Book No. 5: 1845/07/31

Page 32

Owner

Guion, George L.

Haydel, Nel and Carmelite

Heriot, Justinian and Suzanne L6pine; Mrs. Charles Degauche

Mortgaged Collateral

plantation and the following individuals: Arthur; Littleton; Jesse; George; Henry; Scarlett; Big Peter; Wallace; Jake; Dick; Joshua; Anderson; Harding; Westley; Little Peter; Dave; Spencer; Melvin; Monroe; Moses; Thorton; Millie; Lany; Eliza; Little Anny; Sydney; Betsy; Big Amy; Mary; Louisa; Violet; Basheba; Minerva; Matilda; Prissy; Rachel; Cynty land and the following individuals: Casimine; Antoine; Esprit; Alexis; Basile; Sannon; Jean Baptiste; Jeannette; Catherine; Marie Josephe; Daphne; Pauline; Susanne; Martine; Feliciane; Isabelle; Eveline; Rosette; Felicite; Manette; Marie; Eve; Marie; Jules; Joachim; Edouard; Jean; and three unnamed children plantation and 6 unnamed individuals Ledet, Henry and Anne land and the following individuals: Dauphine Levron Philippe; Drausin; Charlotte Westley; Enree; Lalie; John; Euphrosine;

Dates

1840-1845

1837

Source

Tulane University, Citizens Bank Minute Book No. 3: 1840/12/17; Lafourche Parish, Mortgage Book R, p. 164, 1840/12/31, p. 509, 1842/08/12; Conveyance Book R, p. 510, 1842/08/12; Conveyance Book, p. 115, 1845/08/09

Lafourche Parish, Conveyance Book N, p. 199, 1837/07/26

1858-1860 Tulane University, Citizens Bank Minute Book No. 8: 1858/03/22, 1860/05/03

1838 Lafourche Parish, Conveyance Book N, p. 220, 1838/03/06

Lepine, Evariste and Marie Nathalie Martin

Nicholas, W. and J.

land and the following individuals: Lubin; Louis; Sam; Baptiste; Noel; Augustin; 1837 Joseph; Madeleine; Francoise; Helene; Emilite; Amelia; Celeste; Aimee; Marie; Cecile; Justine; Paul; Laurent; Lazare; Eugene; Valentin; Louise Plantation and the following individuals: Michele; Jim; Joe; Valette; Bob; Hanney; 1834-1843 Debby; Rosa; Mary; Bob; Randall; Nancy; Mariah; James; Nancy; George; Esther; William; Nancy; Edmund; Puoponne; Marguerite; Clarisse; America

Lafourche Parish, Conveyance Book N, p. 167, 1837/08/04

Tulane University, Citizens Bank Minute Book No. 1: 1834/10/20; Lafourche Parish, Mortgage Book L, p. 105, 1834/12/30; Conveyance Book S, p. 360, 1843/10/02

Pitre, Mathurin Seely, John L. Tucker, Joseph W

plantation and the following individual: Godfrey

1837

1837

plantation and the following individuals: Lewis; Louis; AHick; Melinda; Betsey; Winson; Coco

plantation and the following individuals: Edmond; William; Simon; Manuel; Gilbert; 1849 Dick Peyton; Alick; John Baily; Bob; Peter; George William; Robin; Henry; Sam; Toussaint; George; Grandisah; Little George; Dick; John Ben; George Gaudet; Polly; Jacob; Rebecca; Little Mary; Big Rachel; Harriet; Big Mary; William; Toussaint; unnamed individual; Phoebe; Nathan; Patty; Belinda; Sarah; Thilda; Letty; Rachel; Maria; Davy; Sophie; Sylvia; French Sylvia; Rose; Frances; Eliza; unnamed individual; Andy; Dynah; Elizabeth

Lafourche Parish, Mortgage Book N, p. 128, 1837/08/01

Lafourche Parish, Mortgage Book N, p. 151, 1837/08/17

Lafourche Parish, Conveyance Book AA, p. 424, 1849/04/07; Conveyance Book BB, -p. 225, 1849/05/18

Page 33

Owner

Mortgaged Collateral

Dates

Source

Madison Parish

Butler, Ira Charles; Henry; John; Hynson; Peter; Michel; Bennet; Lannon; Moriah; Sam

James, Joshua

plantation and 147 unnamed individuals

1838

1859

Shadburne, George D. the following individuals: Hatch; Bob; Bill; Mitch; Marshall; Logan; Susan; Rose; 1858

Nance; William; Red; James; Ambrose; Fayette; Betsey; Mahalu; Josephine; Mary; Ella; Ike

Madison Parish, Mortgage Book A 1838-1861, p. 7, 1838/04/24; Mortgage Book A 1838-1861, p. 130, 12/13/1842; Concordia Parish, Conveyance Book H, p. 346, 1838/04/24

Tulane University, Citizens Bank Minute Book No. 8: 1859/06/02

Madison Parish, Mortgage Book A 1855-1859, p. 463, 1858/09/06

Morehouse Parish

Brigham, Sarah Davidson

Jordan, H., W. Jodan, and W. Gillespie

the following individuals: Harriett; Pleasant; Armstead; Aleck; Davy; Kit; Charles; 1841-1844 Abraham; Joe Simmons;

Tom; Mason; Cheney; Peter; Dick; Judy; Nancy; John; Sally; Sam; Lucinda; Harvey; Stephen; David; Fanny; Little Harriet;

Mary; Zeke; Nelly; Jack; Lewis; Harvey; Glasco; George; Patience; Mira; Old Peter; Masin; Madison; Adam; Manuel;

Hassell

plantation and 71 individuals; including: Mather Washington; Solomon; and Walsh 1859-1861

Morehouse Parish, Notarial Record Book A, p. 38, 41, 1844/10/29; Mortgage Book B, p. 396, 1844/09/19; Tulane University, Citizens Bank Minute Book No. 3: 1841/02/17 •

Tulane University, Citizens Bank Minute Book No. 8: 1859/06/23, 1861/06/03, 1861/08/19

Natchitoches Parish

Boyce, Michael

land and the following individuals: Johnson; Calife; Jean Baptiste; Robert; Frank; Charles; Emery; Leman; David; Sam;

Bob; Huittiem; Patrick; Prince; Jess; Lewis; Reuben; Harriette and her children Zenan and Helene; Debby and her child

George; Mary and her child Henry; Larrisa and her child Thomas; Dicy and her child Eliza; Caroline and her child William;

Harriette; Rachel; Lucy; Hannah and her child Albert; Marie

1837-1839 Natchitoches Parish, Book 23, p. 2, 1837/12/05, Book 10, p.340, 1838/02/07, Book 23, p. 239, 1839/03/04

Page 34

Owner

Robinson, J.

St. Amans, Bernard

Sampayrac, A.

Unknown

Mortgaged Collateral Dates

plantation and the following individuals: Andre, Jean Baptiste, Clairville, Francis, 1841 Joseph, Sylvester, Benito,

Bonaranture, Theophile, Marie, Cecile, William, Honore, Marianne, Orelina, Catherine, Celestin, Helene, Agathe,

Domstele, Celestine, Mary, Solby, Anna, Suzette, Estele, Henriette, Odile, Lutelia, Baptiste, Diek, Randall, James, Sam,

Melite, Madeleine

land and the following individuals: Hector; Cesaire; Gustu; Sara; Frank; Robert; 1838 Robert; Dick; Richard; Pita;

Cyprian; Simpson; George; Old Sam; Sam; Bandan; Oculi; Frank; Bob; George; Patrick; Henry Lewis; Felix; John; Betsy;

Molly and her child Maria; Jean Baptiste; Lucy; Laiza; Vallette and her child Alexandre; Mary and her unnamed daughter;

Angel; Henrietta; Zaire and her child Valsin; Hannah; Big Ann; Priscilla; Diana; Little Ann; Nancy and and her child John;

Suzette; Suzette and her child Felicite; Hane and her child Martha Ann; Dackey; Charity and her child Livan; Clemmice;

Minty; Eugene; Henry

land and the following individuals: Sam; Jose; Bob; Carrel; Bill;. Jesse; Abraham; Petit Sam; Barrel; Arci; John Green;

Petit John; Levy; Grand Abraham; Isaac; Alfred; Noe; George; Devis Charpuntuir; Wilson; Thomas; Henry; Archer; Isaac;

Albert; Betty; Derasin; Adams; Williams; Julien; Belf; Cesair; Rachel; Jenny; Helene; Sally; Silvy; Nancy; Josephine;

Mariah; Betsy; Caroline; Mary; Henriette; Petite Betsy; Anne; Cealy; Peggy; Aimu; Malvany; Julie; Rose; and 12 unnamed

children

land and the following individuals: Phil; Isaac (alias Dory); Jacob (alias Martin); 1834 Dave; Mary (alias Charity); Elcy;

Betsy

Source

Tulane University, Citizens Bank Minute Book No. 3: 1841/02/10; Natchitoches Parish, Book 32, p. 50, 1841/03/27

Natchitoches Parish, Book 23, p. 60, 1838/03/18, Book 10, p. 360, 1838/05/18

1834-1840 Natchitoches Parish, Book 26, p. 150, 1840/06/20, Book 31, p.338, 1834/06/10, Book 10, p.389, 1838/08/17, Book 26 p. 149 no. 1443, 1840/06/20,

Natchitoches Parish, Book 22, p.1, 1834/11/19

Orleans Parish

Bernard, B. plantation, brickyard, and 38 unnamed individuals

Bouligny, Alfred and plantation and 9 unnamed-individuals Dominique

Bradford, H. farm and 2 unnamed individuals

Caffin, Charles

unnamed individuals

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

1849-1853 Tulane University, Citizens Bank Minute Book No. 6: 1849/09/18; Book No. 7: 1853/02/24

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

1835 Tulane University, Citizens Bank Minute Book No. 1:

1835/02/20

Page 35

Owner

Cocke, P. B.

Ducros, Antonio and Casimir Lacoste Forestall Brothers; Poiney

Mortgaged Collateral

unnamed individuals

the following individuals: Remond; Louis; Mary

several plantations and 68 individuals, including: James; William; Bill; Aaron Cusinaru; Jaques; James Bourguet; Adams

Boiny; Celir; Jams; Saio; Charisse; Betsy; Ann; David Copeland

Garidel, Louis Armand bakery with Charlotte and other unnamed individuals

Ho, Albert and Pierre

Lacoste, Pierre and Antoine

plantation and the following individuals: Baptiste; Big George; John Rousseau; Jerry; Bernard; Gabriel; John Ameneaiux; Reuben; Tom; Grand William; Gros Joseph; Jerry; Squire; Abraham; Petit William; Mitchel; Richmond; Bob; Charles Fegg; Dembo; Petit John; Francisque; Penon; Coco; Jean Louis; Joseph; Doyle; Hosborn; Philippe; Tom Hibon; Daniel; Charles; Joseph; John Challenger; Azor; Isaac; Felicite and her child Jim; Charlotte; Jessette; Sophie and her unnamed child; Augustine; Marie Chamber; Marie Jeanne and her son Theogere; Angelle; Henry; Louisa; Pyrhus; Abraham Cagelar; David

plantation and the following individuals: Basile; Tom; Jean Louis; Antonio; Voltaire; Sam; Hyacynthe; John; Louis Labrique; Leon; Lindor; Antoine; George; Jupiter; Hippolyte; Reuben; Lewis; Dick; Jean Louis; Joseph; Francois; Chariot; Phillis; Fanny; Melite; Sophie; Edmond; Jerry; Noel; Robert; Toby; Henry; Auguste; Marie; Phrosine; Louise; Leocadie; Maria; Pierre; Marie; Joshua; Frank; Bob

Dates Source

1835 Tulane University, Citizens Bank Minute Book No. 1:

1835/01/05

1834 Tulane University, Kuntz Collection, No.

600, 1834/6/21

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/04/20; Citizens Bank Minute Book No. 2: 1838/03/03, 1838/10/11; Citizens Bank Minute Book No. 5: 1846/02/05

1857 Tulane University, Citizens Bank Minute Book No. 8:

1857/03/23

1838 St. James Parish, Book 17, p. 384, 1838/08/14

1834-1846 Tulane University, Kuntz Collection, No. 600, 1834/1835 and 1836/04/19

Lacoste, Pierre and Antoine; Antoine Bellegarde; Casimir Lacoste

Levee Steam Cotton Press Company

plantation and 60 individuals, including: Bazile; Ellick Forestier; Auguste; Ben and 1850 his son Ben; Chariot; Congo; Dick; Edmond; Louis Labrique; Millien; Nelson; Octave; Plaisance; Pichon; Nrain; Rubin; Angele and her child Eugene, Braman, and her three children Jeanne, Ursin, and Emile; Claire; Cilia and her children, Henriette and Marie Louise; Frozine; Mary Laroude; Mary Jacob; Mary Pierre and her child Amelie; Poupoine; Sarah; Therize Bienvenu; Therize Lacoste; Nelly Martin and her child Cidalyse

steam saw mill and unnamed individuals 1843

Tulane University, Citizens Bank Minute Book No. 6: 1850/06/11; Tulane University, Kuntz Collection No. 600; 1850/6/20

Tulane University, Citizens Bank Minute Book No. 5: 1843/11/20

Page 36

Owner

Livaudais, Jacques Adolph

Mortgaged Collateral

plantation and 30 individuals, including: Petit Edmond; William; Pichon; Valentin; Marie Pierre; Amelie; Cydalise; daughter of Marie Martin; Marie Jacob; Edouard Guoye; Jack; Charles; Henry Dix; Gustave; Claire; Antonia; Eddy; Zoe

Dates Source

1851 Tulane University, Citizens Bank Minute Book No. 6:

1851/09/16; Tulane University, Kuntz Collection No. 600, 1851/10/09

Livaudais, Jacques. Adolphe and Pierre Lacoste

Millaudon, L. and Nicoletz, T. Parrin, Charles

Ribus, M.

the following individuals: Raymond; Charles; Anthony; Tom; Ned; Harry; Gilbert; Joseph; Mills or Milne; Ellick; Lewis; Simon; Jasmin; Jean; William; Bill; Vulcain; Marie Joseph; Marie Martin; Rose; Justine; Grand Ellick; Tom Gros; Anthony; Louis Coulon; Vulcain; William; Ned; Charles; Gilbert; Raymond; Jean; Harry; Bill; Simon; Mills; Joseph Coulon; Jasmin; Justine; Marie Joseph; Rose Coco; Jean Louis

unnamed individuals unnamed individuals 20 unnamed individuals

1834-1851- Tulane University, Kuntz Collection, No. 600, 1834/1835, 1851/10/09

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/09/20

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/12/12

1840 Tulane University, Citizens Bank Minute Book No. 3:

1840/04/09

Ouachita Parish

Braird, D.

plantation and 17 unnamed individuals

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

Plaquemines Parish

Baphy, B. Bayby, Mrs. Bayhi, Pierre

sugar plantation and 29 unnamed individuals plantation and 11 unnamed individuals land and 18 unnamed individuals

c. 1848 c. 1848 1848

Bonneral, Alexander land and the following individuals: Bob; Dirk Glover; Ben Jones; Tom; Susanne 1855

and her children Julienne, Justine, Cato, and Levy; Edmond Ruffin; Nancy; Nathan Dugas; Lannette; James Smith

Tulane University, M-1847, Citizens Bank Mortgage Book

Tulane University, M-1847, Citizens Bank Mortgage Book

Tulane University, Citizens Bank Minute Book No. 6: 1848/05/02

Plaquemines Parish, Mortgage Book B, p: 212, 1855/08/08

Page 37

Owner

Courbault, J.

de Lizarde, Hermanos Dufau, C. B. Egana, Juan Ignacio

Erwin, James

Farrar, Mary Frederic, Adam

Knox, Andrew and Maria Jane Prince

Mortgaged Collateral

unnamed individuals

unnamed individuals unnamed individuals

Fanny Plantation and the following individuals: Frank King; Daniel Honard; Alfred; 1858-1859 Richard; George; Claiborne;

Buford; Wilson; John Robinson; Bruja; John Hawkins; Lot; Henry Lot; Collins; Hezekiah; Pleasant; Lu; Leon; William

Parker; Peter Kelly; Israel; Peter Fischer; Moses; Jim Fischer; Jack; Daniel Pope; Big Jim; Alexander; Dick Campbell;

July; George Burke; Coon; Frank Duplessis ; Robert Sternan; Dave; John Burke; John Dawson; Nelson; Charles;

Charles; Robert Wise ; Martin; Abraham Bonlin ; Sambo; Long Tom; Ismael; Bob; Cesar; Lisbon; Abraham; Sam Homer;

February; Ashley; Felis; St. Louis; Edward; Sam Roman; Marie; Sarah; Kitty; Rachel; Sally; Jules; Celeste; Lewis;

Minerva; John; Catherine; Burgess; Warren; Phillis; Rose Ashley; Josephine; Julia; Beckey; Charlotte; Zarbelle ; Frances;

Ellen; Caroline; Ben; John ; Emily; Rachel King; Rose Burke; Emily; Lee; Ping; Harriet; Susanne; Louise; Ellen; Peggy;

Rachel; Jener; Lucinda; Jeannette; Martha; Sidney;

Ann; Sophie; Liddy; Phoebe; Flower; Rose; Simon; George; Elizabeth; Catherine; Bessy Miller; Louise Smith; Joe;

Happy; Nancy; Rebecca; Washington; Harie; Juliette; Charlotte; Jane; Long Becca

Dates Source

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/08/07

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/12/26

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/06/26

Tulane University, Citizens Bank Minute Book No. 8: 1859/05/23; Plaquemines Parish, Mortgage Book B, p. 416, 1858/06/05, p. 468, 1859/05/30,

plantation and the following individuals: Joe; Henderson; Ned; Abraham; Watts; 1839 Moses; Valerie; Baptiste; Andrews;

Phebe; Rose; Judith; Eugenia; Judy; Kitty; Hortense; Delsy

66 unnamed individuals 1848

land and the following individuals: Mars; Isaac; Charles; Thorn; Rose and her two 1838 children Joseph and Jim; 7ns;

Rachelle

plantation and the following individuals: Abram, his wife Kitty, and son Phil; Dick; 1845 Any; Malfored; Philis; Harriet; Maryland Dave; Washington; Jack

Tulane University, Citizens Bank Minute Book No. 2: 1839/05/02, 1839/05/09, Citizens Bank Minute Book No. 3: 1841/02/27; Plaquemines Parish, Mortgage Book R-4, p. 85, 1839/07/03 Plaquemines Parish, Book 2 p. 151, 1848/03/21

Plaquemines Parish, Mortgage Book R-4, p. 39, 1838/03/24

Tulane University, Citizens Bank Minute Book No. 5: 1845/03/13; Plaquemines Parish, Book R-4 p. 279, 1845/03/18 -

Page 38

Owner

Latour, Mrs. Arsine

Lizardi, Manuel Julian; Egana, Juan Ignacio

Marigny, Bernard

Mortgaged Collateral Dates

land and the following individuals: Ben; Bob; Dick; Tom; Levy; Cato; Edmond Ruffin; Nathan Dugas; James Smith; Habelle; Laurette; Nancy Ruffin; Arinella; Clay; Mary Ann Scott; Maria Jane; Susannah and her children Julie and Julian.

plantation and the following individuals: Auguste; Frederick; Sam; Henry; 1850 Lawrence; Justin or Juctin; Jim; Cornelius; William; Philippe; William Taylor; Edmond; Allick; Jack; Henry; James Rouge; Marion or Mary; John; George; Edward; Francis Forstall; Ephraim; illegible Forestall; Alexis; Armstron; Joshu; Abraham ; John (alias Rosemonde); Ben; Argin; Robert; Henry Black; Sam; Lymus; Frederick; David (alias Davis); Anatole; Jefferson; Hammel; Steven; Tom; Ben; Rose and her two children Caliste and Edward; Eliza; Nancy and her two children Guillamme and Peggy; Sarah and her three children Chedric, Henry, and Sarah; Frank; Lydia alias Adelaide; Betsy alias Garielle; Clara; Helen; her three children Louisa; Aimee; Cesarine; Violette; Ernestine; and her child Bacchus; Rachel; Leontine; Nancy; Nancy and her child Harriet; Bassine (alias Marienne); Kitty; and her children Helena, Solomon, and Louis; Letty; Cecilia; Lucy; Florence; Henrietta; Eleonor

land and the following individuals: Blaise; Gilles; Ben; Charles; Augustus; Allen; 1836-1845

Riny; Henderson; Grand Olivier; Olivier; Grand Henry; Ephraim; James; Isaac;

Garry; Thorn; Anthony; Little Henry; William; Peter; Randall; Alii; Manuel; Sandy;

Gorman; Brutus; Lubin; Taliba; Augustin; Campre; Thomas; Michel; Bonann;

Pilate; Soleman; Ondon; Phaeton; Francois; John; Grande Diana; Petite Diana;

Marthe; Elvy; Agnes; Ammy; Lucinda; Polly; Grande Marie; Terry; Fanny;

Susanne; Little Fanny; Charlotte; Little Mary; Rachel; Jeanne; Phebee; Jucie; •

Julienne; Lisa; Aimee; William; Sam; Miner; Frank; Elisa; Charles; Fenton; Maria;

Denis; Marie Covington; Marie Bill; Biguy; John Maguan; Marriam; Grande Juan;

Aimer;"Colutin; Theodore; Manuel; Ackrel; Pelam ; Sam; Sam; Camil; Jacob;

Henry; Ben; Lanon ; Davie; Squire; Celestin; Perry; Adam; Anna and her unnamed

child; Jane; Leocadre; Marthe; Mathilde; Gaines; Patrina; Harry; Randall; Allen;

Anny; Ersis; Sam; Peter Manuel; Petite Anna; Henriette; Lariane; John

Source

Plaquemines Parish, Mortgage Book R-4, 1848/05/13

Plaquemines Parish, Conveyance Book 4, p. 469, 1850/07/12

Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder 1: 1836/06/23, Citizens Bank Minute Book No. 5: 1843/01/07; Plaquemines Parish, Mortgage Book R-4, p. 315, 1845/10/28; St. Tammany Parish, Book 64, p. 479, 1845/10/28

Reggis, Charles Saul

unnamed individuals unnamed individuals

1834 Tulane University, Citizens Bank Minute Book No. '1

1834/07/22

1834 Tulane University, Citizens Bank Minute Book No. 1

1834/06/26

Page 39

Owner

Stackhouse, W. and H.

Mortgaged Collateral

Five Oak Grove plantation, New Hope Plantation, land, and the following individuals: Abraham Knox; Abraham Boukrout; Mary Jones; William; Bill; Coradon; Kate; Henry; Phelia; Lucy and her unnamed child; Perry; Milly; Angelina; Julia; Roland; Prude; Lewis Bradley; Phil; Deer Creek Jesse;. Wilford; Axy; Crockett; Solomon; Arthur; Isidore; Humphrey; Colbert; Sarah and her unnamed child; Henriette and her child Nancy; Omaretta; Feliz Guillaume; Fanny and her four unnamed children; Nancy; Joe; Deek Kite; John; Lewis; Little Phil; Jaonna; Ephraim; Sully; Jim; Squire; Theodore; Ackrel; Telan; Sam; Daniel; Jacob; Henry; Ben; Lanon ; Davis; Celestin; Adam; Allen; Fanny; Antoine; Eugene; Claire; Jane; Leocudre; Martha; Anny; Mary; Aimee; Anna; Lorianne; Joe; James; Thorn; Peppee; Tom; Phill; Peter; Sam; Henry; Jackson; Mary; Isaac; Jacke; Ned; Bazile; Raymond; Rachel; Adam; Honore; Laurent; Theodore; Pegne; Petion; Camille;

Acknel; Felan; Sam the priest; Tom; Daniel; Jacob; Henry; Ben; Lanon; Davis; Celestin; Perry; Adam; Allan; Fanny; Antonio; Eugene; Eloise; Jane; Lucinda; Martha; Patience; Anny Burtre; Mary; Aimee; Sarah; Anna; Lucianne; Jour (alias Joe); James; Thorn; Raymond; Margarita; Joseph; Philomon; Henrietta; Charles; Heloise; Marianne; Celestin; Pierre; Frozine; Constance; Celestin; Joseph; Lannon; Francois; Dotreville; Victor; Dorothee; Rob; Melite; Pauline; Rose; Louis; Joe; James; Therese; Mariette; Edouard; Augustin; Baptiste; Francois; Eulalie; Peter; Dick; Tom; Bill; Lucile; Lucile Joe; Henry; Phoebe; Rachel; Mary; Ledy; Olivia; Charlotte; Jean; Valcone; Charles; Albert; Henry Meyer; Long John; Colonel; Celeste; Tom; Ursine; Antoine; Bazile; Raymond; Lloyd; Rachel; Adam; Honore; Laurent; Theodore; Regan; Petion; Camille; Raymonde; Marguerite; Eclante ; Babet; Joseph; Philemon; Henrietta; Charles; Helios; Ursin; Antonio; Marianne; Celestin; Pierre; Frazine; Constance; Casimir; Celestine; Joseph; Janen; Francoise; Detreville; Carter; Porachi; Bob; Neclite; Zanlin; Rose; Louise; Zoe; Hiers; Fox; James; Theresa; Henriette; Edward; Augustine; Baptiste; Francis; Evalie; Brisson; Peter; Criske; Jean Congo; Tom; Bill; Lucille; Lucille Joe; Fanny; Phoebe; Rachel; Mary; Liddy; Olivia; Charlotte; Jean; Valcour; Charles; Alberte

Dates Source

1851-1865 Tulane University, Citizens Bank Minute Book No. 7: 1851/11/11, 1852/01/13, 1852/01/17, Citizens Bank of Louisiana Papers, 1834-1914, Folder 4: 1865/03/24, Folder 5: Plaquemines Parish, Conveyance Book 6, p. 430, 1852/10/13; Mortgage Book B, p. 293, 1856/10/15

Page 40

Owner

Starck, Mary F.

Stinson, Joseph

Verbois, N.

Wilkinson, Catherine; Joseph Stimson

Mortgaged Collateral Dates

land and the following individuals: Billy Ruffin; Scylla; Ben; James Ruffin; Nelly; 1848 -Fanny; Godfrey; Francois; Little Fanny; Jack; Becky; Sam; Nancy; Hick; Peggy; Scipio; Solomon; Little Nelly; Grandisson; Dick; Ben; Richard; Mary; Alexander; Melita; Betsy; Susannah; Susan; Betsy; Lydia; Dick; Lucy Jane; Lydia; James Perry; Rose; Emilia; Joe; Sally; Gradisson; Hannah; Meary; Frankie; Colbert; Jim; Kitty; Big Ben; Little Ben; Alfred; Emilia; Isaac; Aimee; Harriet; Winny; Edward; Littleton; Harry; Deify; Fanny; Adeline; Louise; Rachel; Emily; Sarah; John; Elisa; Thomas

the following individuals: Ben; Dary; Jane; Grandison; Ron; Anna; Ben; Suzanne; 1857 Charlotte; Serina; Lucy Jane; Mithia; Suzan; Dick; Peterson; Little Betsy; Same; Joe; Colbert; Kitty; Alfred; Littleton Ben; Jeane; Amy; Harriet; John Tilman; Thoeodore; Fanny; Jackson; Henry; Cyrus; Louisa; Rachel; William; Handy; Sam; Big George; George; John Richard; Presecilla; Ellen; Emily; Winny; Edward; Jefferson ; Harry; Willis; Adeline and her child Alberty; Julia; Jim Martin; Washington; Frank; Hilary; Grace; Guillame; Nathan

land and unnamed individuals 1859

the following individuals: Joseph; Nancy; Jamie; Little Nelly; Old Nelly; Francis; 1857 Peggy; Buck; Lydia; Alexander; Betsy; Ben; Mary Jones; Margaret; Sally; Mary Ann; Martha; Hannah; Suzane; Lucy Jane; Colbert; Kitty; Little Ben; Alfred; Jane; Winey; Thurston; Sam; unnamed child; Edward; Littleton; Harry; Fanny; Willis; Jackson; Adeline; Amy; Daliallia; Ellen; Hamilet; John Tilman; Emily; Louisa; Rachet; Julia; William; Jim Martin; Sandy; Washington; Sam; Frank; Big George; Henry; Albert; Gras; unnamed child; Hilary George; Riddle; Richard; Ben; Dary; Jane

Source

Plaquemines Parish; Mortgage Book R-4, 1848/03/22

Tulane University, Citizens Bank Minute Book No. 8: 1857/01/02; Plaquemines Parish, Mortgage Book B, p. 315, 1857/01/17

Plaquemines Parish, Mortgage Book B, p. 458, 1859/03/11

Tulane University, Citizens Bank Minute Book No. 8: 1857/01/02

Pointe Coupee Parish

Blush, John 49 unnamed individuals

1841 Tulane University, Citizens Bank Minute Book No. 3:

1841/03/11

Page 41

Owner

Clairborne, Ferdinand

Mortgaged Collateral

plantation, land, and the following individuals: Phil; Ed; Robert; Ketly; Barrus; Dempse; Charlotte; Fanny; Henry; Melina; William; Mary; Joe; Francis; Creaccept; Claiborne; Marshall; Catherine; Cornelia; Julia; Francis; Laura; Henriette; Bishop; Alfred; Mariah; Desire; Arch; Oscar; Celia; Martin; Little Creacy; Celestin; Rhody; Madeline; Alexander; Fill; Lewis; Rebecca; Cranville; Harriet; Emma; Flecher; Suzan; Rene; Allen; Caleb; Polly; Louisa; Benedict; Francoise; Sibby; Marcelin; Ambroise; Terence; John; Walker; Viney; Big John; Ann; Jack; Alex; Minor; Hamrole; Israel; Little Mary; Washington; Tom; Allen; Little Charlotte; Harisson; Rachel; Bambre; Edmond; Foster; Eliza; Pusle; Mirny

Dates Source

1861 Tulane University, Citizens Bank Minute Book No. 8:

1861/04/11; Pointe Coupee Parish, Legal and Conventional Mortgage Book H, p. 325, 1861/04/14; West Feliciana Parish, Mortgage Book Q, p. 92,

1861/04/13

Cooley, Ebenezer; Mary plantation and the following individuals: Richmond; William Hunter; Jack; William Elizabeth Collins; and Thomas; Wades; Xavier; Madison; Jean Baptiste; Black Jim; Joe; Marshall; Henry John Holmes or Harry; Lamon; Victor or Joe; Abraham; Allen; Maria; Mathilda; Era; Yellow Sally and her child Howard; Paul; Andrew; Fanny; George; Louisa; Sara; Sally Jackson; Jackson; Isaac; Eliza

Gwynn, Samuel

Hall, George Otis; Alphonse Miltenberger; Gustave Miltenberger

Harrison, John

unnamed individuals 9 unnamed individuals

plantation and 67 unnamed individuals

)

1859 Tulane University, Citizens Bank Minute Book No. 8:

1859/06/27; Pointe Coupee Parish, Legal and Conventional Mortgage Book G, p. 641, 1859/07/05

1837 Tulane University, Citizens Bank Minute Book No. 3:

1837/05/20

1857 Pointe Coupee Parish, Legal and Conventional

Mortgage Book H, p. 173, 1857/05/11

1860 Tulane University, Citizens Bank Minute Book No. 8:

1860/01/23

Hubert, Louis A.

Knapp, Mrs. Sophia

land and the following individuals: James Allen; Charles Clayton; James Nett; 1836 Sam; Edward; Washington; George Wart; Albert; Isaac; John; George; Charles;. Betzy; Maria; Lucy; Sally Anne; Flora; Fanny; Sally John; Eliza Roves; Helene; Julia; George; Mary; Eveline; Jane; Eliza; Mara ; Peter

plantation and the following individuals: John Suzan and his wife Nancy; Stevens; 1854 Joe; Hannah and her child Christmas; illegible; Frank; Toby; Ann; Sarah; Billy; Genny; Jane

Pointe Coupee Parish, Legal and Conventional Mortgage Book C, 1836/12/31

Tulane University, Citizens Bank Minute Book No. 7: 1854/05/05; Pointe Coupee Parish, Legal and Conventional Mortgage Book F, p. 161, 1854/05/06

Ledoux, Amaron and George Hall

the following individuals; Randall; Beverly; unnamed individuals

1841 Pointe Coupee Parish, Legal and Conventional

Mortgage Book C, No. 1365, 1841/03/18

Page 42

Owner

Miltenberger, Ledoux; J. Patrick

Moceriu, Mrs. Adelina

Mortgaged Collateral

plantation and unnamed individuals

plantation and the following individuals: Ben; Jean Pierre; Paul; Robert; Jim; Arthemis; Caroline; Martha; Routhe; Louisa; Marie illegible; Remi; Celestin; and three unnamed individuals

Morrison, Jacob Haight plantation, land, and the following individuals: Polio; Isaac; Prince; Rebecca; and Virginia Julia Seghers

Moore, Philip M. and Mary Elizabeth Collins

Prescilla; Scipio; Daniel; Will; Harotinus; Phillis; Anclia or Amelia; Rushwood; j Mary; Emma; Sue; George; Caesar; Michel; Rose; Kate; Henry; John Baptiste; Victoria; Stephen; Buck; Paulina; Sam; Dick; Robon or Robert; Milton; Cynthia; Susan; Henry; John Trusbee; Hannah; Big George; Mary; Laurearor Laurent; Martin; Rosella; Harry; Presillia; Lucy; Lewis; Michel; Adele; Julianne; John; Big Mary; Delia; Madelaine; Virginia; Gustine; Lyman; William; Paulin; Mary Tom; Charles; Little George; Marallin or Marcellia; Ann; Bazile; Cecilia; Sylvia; Tom; Cecilia; unnamed individual; Hard Times; Victoria; Symoora; Mary Jane

plantation and the following individuals: Dick; Daniel; Joe; Esan; Thirence; Bazil; Prince; Milly; Arsene; Hannah; Lewis; Germain; Abesse; Mathilde; Felicity or Prince; Charlotte; Amelia; Azilia; Etienne; Fanny; Frivoh; Old Hannah; Ponpon; Celia; Sarrah; Zaire or Rachel; Theresa; Milto

Dates

1860

1837

1860

1859

Source

Tulane University, Citizens Bank Minute Book No. 8: 1860/11/08

Pointe Coupee Parish, Legal and Conventional Mortgage Book C, No. 651, 1837/10/28

Pointe Coupee Parish, Legal and Conventional Mortgage Book H, p.110, 1860/02/27; Pointe Coupee Parish, Legal and Conventional Mortgage Book H, p. 188, 1860/04/26

Tulane University, Citizens Bank Minute Book No. 8: 1859/01/10, 1859/06/27; Pointe Coupee Parish, Legal and Conventional Mortgage Book G, p. 547, 1859/01/17; Pointe Coupee Parish'Legal and Conventional Mortgage Book G, p. 641, 1859/07/05

Morgan, Charles and Hyacinthe Allain

plantation and the following individuals: Archer; Y. Case; Peter; George Walden; Isaac; Solomon; Henry illegible; Hypolite; Jean Pierre; Javier; Jean Baptiste; Alisies; Joe; Rob; Lee; Fransis; George; Pierre; George Langdon; Henry; Amos; John; Black John; Jon Fuller; American Bill; Perry; Upton; Jessup; Remond; Walker; Gabe; Punch; Polly; Ally; Rachel; Mary Ann; Isabel; Nancy; AnnMarie; Victorine; Clare; Grace; Mary; Bobby; Lucey; Milley; illegible; Silbey; Rosine; Dolly; Fanny; Hanny; Muckey; Mary Ann; Caroline; Rickey; Nancy; Lucey; Amanda; Louise; Susan; Lucy; Sibricy; Jeneh; Eliza; Malriney; Lindey; Ued;Hipolian; Poladne ; Hannah; Jacob; Pierre; Denis; Joe; Susan; Molinda; Gabriel; Philip Patience; Viriginia; Harrison; illeg.; Jean; Ellick; Cozy; Little Claire; Mary; Jean Louis; Charity; Henry; Stephen; Jonke; illegible; and 7 unnamed individuals

1838 Pointe Coupee Parish, Legal and Conventional Mortgage Book C, p. 753, 1838/05/31

Page 43

Owner

Simmes, Bennett and Mary Jones Kirk

Mortgaged Collateral Dates

plantations, land, and the following individuals: Godfrey; Drady; Flora; Ted; Lewis; 1857 Godfrey Jr.; Cross; Marth; Pierce; Ignatius; James; Richmond; Daniel; Mary Ann; Sciania; Betty; Moses; Sarah; Lucinda; Claim and his wife Suzan; Aleck; Ann; Cliam Jr.; John; Menia; Lely; George; Lucy; Ellis; Joe; Harriet; Robert; Christian; Julia; Mary Turner; Mary Brown; John; Rebecca; Madison; Lewis; Rose; Chapman; Tracy; Joe; Cora; Agnes; Amanda; Dennis; Rachel; Marthas; Mary Ann; Eugene; Marceline; Norwood and his wife Brund; Henry; Martin and his wife Doly; Dick; Rosaline; Albert; William; Martha; Destin (alias Adestin); Field; Paul; Mary; Robert; Charlotte; Ben; Wamson; Sarah Ann; Billy; Ellen

Source

Tulane University, Citizens Bank Minute Book No. 8: 1857/09/28; Citizens Bank of Louisiana Papers, 1834-1914, Folder 5; Pointe Coupee Parish, Legal and Conventional Mortgage Book G, p. 291, 1857/10/07

Smith, Montgomery

Sorid, Eugenia M.

land and the following individuals: Gilbert; Randall; Kielen; Lorenzo; Little Randall; 1837-1839 Tulane University, Citizens Bank Minute Book No. 2:

Maria'Ann' Eliza'Ellen 1837/05/17, 1839/03/12, 1837/11 /16; Pointe Coupee

¹¹ Parish, Legal and Conventional Mortgage Book C, No. 628, 1837/05/29; No. 662, 1837/12/13; No. 799, 1838/08/20

Taylor, William and. Lucy

plantation and the following individuals: Abram; Allen; Bob; Coleman; Dave; Elleck; Frank; George; Henry; Jack M; Lakel; Moses; Nace; Richmond; Sandy; Aggy; Chancey; Dianah; Elisa; Sarah; Virginia; Caroline; Elsey; Cynthia Ann; Noah; William; Winny; Lucinda; Chancy; Christine; Isabella; Mathilda; Mary Ann; Roderick; Bob; Cuffy; Lydia-

plantation and the following individuals: Eliza; Taylor; Davis; Troy; Nancy; Parrot; Letitia; infant; Richard; Siby; Mary Ann; Nancy; Jane; Lucinda; Winney; Tom, cook; Jenny; Francis Black; Matilda Taylor; Tom Black; Susan; Loyd; Joe; Peggy; James; Jack; Mars; Betty; Stephen; Sina; Sophy; Judy; Anthony; Luke; Gins; William; Henry; Mary; Sarah; Parris Black; James; John; Willis; Sanny; illegible; illegible - ,

Williams, Henry A.; plantation at Bayou Letsworth and the following individuals: Henry; Hannah; John and Robert Boyd Adam; Francis; Ben; Washington; Adam; Letty; Biddy; Harriet and her child Louis; Ely; Polly; Judy and her child Mary; Emily and her child Eliza; Joe; Letitia; Joe; Lamb; Randall; Nancy and her child John; Davy; Jenny and her child Louisa; Mathilda; Frank "

1859

1838

Pointe Coupee Parish, Legal and Conventional Mortgage Book H, #50, p. 24, 1859/12/08

Pointe Coupee Parish, Legal and Conventional Mortgage Book C, No. 693, 1838/02/15

1830-1853 Tulane University, Citizens Bank Minute Book No. 6: 1850/07/15; Citizens Bank Minute.Book No. 7: 1853/05/19; Ascension Parish, Mortgage Book 6, p.428, 1838/03; Pointe Coupee Parish, Legal and Conventional Mortgage Book C, No. 694, 1838/02/26, No. 784, 1838/07/18; Legal and Conventional Mortgage Book E, p. 376, 1850/08/12

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Owner

Rapides Parish

Archinaud, Cesar

Archinaud, E.

Archinaud, Francois

Archinaud, Richmond and Evariste
Gasseau, Mrs. J. B. Gill, A.B and W. H.
Ryan, Michael Sullivan, J. B.

Mortgaged Collateral

plantation and 47 unnamed individuals

Joseph Gale; James Johnson; William McClain; Hannah Bell; Ann; Young Dave; Young Henry; Young Harriet; George
land and unnamed individuals

the following individuals: Seipio; Peter; Joe; Marck; Charles; Henry; Dick; Thomas; Ellick; Wilson; Tom; Edward; George;
Oliver; James; Noah; Jerry; Jamen; Joseph; Lucy; Grace; Judith; Isabel; Louisa; Minda; Selvey; Harriet; Nelly; Anny;
Naney; Annette; Jude; Martha; Mary; Hannah; Rose; and Louisa plantation and 19 unnamed individuals

plantation and unnamed individuals

plantation and unnamed individuals plantation and 108 unnamed individuals -

Dates Source

1838-1848 Tulane University, Citizens Bank Minute Book No. 2: 1839/03/21, 1838/11/08; M-1847, Citizens Bank Mortgage Book

Tulane University, Citizens Bank Minute Book No. 8: 1860/12/27

1860 1839 1838

1853 1843

Tulane University, Citizens Bank Minute Book No. 2: 1839/03/21

Tulane University, Citizens Bank Papers, Folder 5, 1838/02/24

Tulane University, Citizens Bank Minute Book No. 7: 1853/04/07

Tulane University, Citizens Bank Minute Book No. 1: 1835/03/27; Citizens Bank Minute Book No. 5: 1843/01/28, 1843/08/19

1858-1861 Tulane University, Citizens Bank Minute Book No. 8: 1858/07/01, 1861/02/11

1859 Tulane University, Citizens Bank Minute Book No. 8:

1859/01/27

St. Bernard Parish

Allard, G. N.; E. Durrim unnamed individuals

Beauregard, L. F. Bienvenu, Antione Bienvenue, L.

unnamed individuals unnamed individuals

plantation and 16 individuals, including the following: Peter; Euphsosine; Alistine and her daughter Angel; Angel's
daughter Laudine; Dilli; Mark; Charles Banks; Peter Lasker; Joshua; Sophie

1834-1837 Tulane University, Citizens Bank Minute Book No. 1: 1834/08/29; Citizens Bank Minute Book No. 2: 1837/08/03

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/07/22

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/10/20

1834-1856 Tulane University, Citizens Bank Minute Book No. 1: 1834/09/20; Citizens Bank Minute Book No. 8: 1856/11/04; M-1847, Citizens Bank
Mortgage Book

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Owner Mortgaged Collateral

Canaby-Peyroux, Aime plantation and unnamed individuals

Darcantel, Charles and 22 individuals including: Joe; Petit Joe; Joseph; Severin; Ovide; Henry; Alfred; Fred E. Roy

Darcantel, Henry

Charlotte Creole; Rosn; Laurette unnamed individuals

DesBouchel, Victor unnamed individuals

Ducros, L. and J. Freme, B Heligsbury, S. G. Hiligsberg, J. Hiligsberg, L. G. Jordan and Reggio
Jordee, P.

plantation and 22 individuals near Bayou Boeuf including: Lonnie; Mary; Caty; Amis; William; Jesse unnamed individuals
land and unnamed individuals

brickyard and 38 unnamed individuals

unnamed individuals

121 unnamed individuals

plantation and unnamed individuals

Lanquilles, brothers 7 unnamed individuals

Lorin, illegible Olivier, Eliza Peyroux, Emile

plantation and unnamed individuals land and 22 unnamed individuals

land and the following individuals: Mathilda; Dorestan; Celestin; Cecile; Isaac Essex; Henry; Isaac

Dates Source

1844 Tulane University, Citizens Bank Minute Book No. 5:

1844/07/08

1856 Tulane University, Citizens Bank Minute Book No. 7: 1856/05/20 .

1834-1843 Tulane University, Citizens Bank Minute Book No. 1: 1834/09/20, Minute Book No. 5: 1843/11/20

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/09/20
1862 Tulane University, Citizens Bank Minute Book No. 8:
1862/02/10
1834 Tulane University, Citizens Bank Minute Book No. 1:
1834/09/20
1838 Tulane University, Citizens Bank Minute Book No. 2:
1838/02/21
1851 Tulane University, Citizens Bank Minute Book No. 6:
1851/03/11
1834 Tulane University, Citizens Bank Minute Book No. 1:
1834/09/03
1855-1857 Tulane University, Citizens Bank Minute Book No. 7: 1855/02/02, Citizens Bank Minute Book No. 8: 1857/01/30
1842 Tulane University, Citizens Bank Minute Book No. 4:
1842/01/22
1834-1842 Tulane University, Citizens Bank Minute Book No. 1: 1834/09/20; Citizens Bank Minute Book No. 4: 1842/04/04
1842 Tulane University, Citizens Bank Minute Book No. 4:
1842/06/02
1857 Tulane University, Citizens Bank Minute Book No. 8: 1857/03/06
1851-1854 Tulane University, Citizens Bank Minute Book No. 6: 1851/02/18; Minute Book No. 7: 1854/06/16; Citizens Bank of Louisiana Papers, 1834-1914, Folder 3: 1854/06/29

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Owner

Peyroux, P. Oscar
Peyroux, Sylvain
Reaud, Pierre; V. Reaud Reggis, Mrs.
Roy, Fred E.
Szymanski, Y.; L. A. Marchand

Mortgaged Collateral

11 individuals, including: Celestine; Marguerite; Felicite; Mirthe; Felicia; Francis; Sophie; Kathy.
Dosesthan and other unnamed individuals
plantation and 41 unnamed individuals
10 unnamed individuals including Mary and her unnamed child
land and 12 unnamed individuals
plantation and unnamed individuals, including the following: Charles; Julie; Louis; Louisa; Isabelle; Congo; Henrietta;
Polka; Joe; Janvier; John; Sam; Rubin; Peter

Dates Source

1834-1853 Tulane University, Citizens Bank Minute Book No. 1: 1834/08/22; Minute Book No. 6: 1846/08/2, 1850/06/18, 1850/06/25; Minute Book No. 7: 1853/11/15
1834-1851 Tulane University, Citizens Bank Minute Book No. 1: 1834/09/20; Citizens Bank Minute Book No. 7: 1851/09/16
1851 Tulane University, Citizens Bank Minute Book No. 6:
1851/01/21
1842-1851 Tulane University, Citizens Bank Minute Book No. 4: 1842/05/09, Citizens Bank Minute Book No. 7: 1851/11/25
1856 Tulane University, Citizens Bank Minute Book No. 7:
1856/05/20
1852-1855 Tulane University, Citizens Bank Minute Book No. 7: 1852/03/16, 1855/04/27

Vangibben, Henry

Villavaso, Michel; Joseph and Michel Cantrelle
plantation and unnamed individuals
land and the following individuals: Prince; Saxon; Hampton; illegible ; Frank; Dauty; Thorn; January; Willis; Mynus;
Wilson; Brand; Isaac; Billy; Sam Carpenter; David; John Grey; Felician; Charles; Nelson; Thorn Byrne; Jack Arcucil;
Jack Cucullin; George; Adams; Alexis

1860 Tulane University, Citizens Bank Minute Book No. 8:
1860/02/27
1841-1853 St. James Parish, Book 19, p. 621, 1841/08/19;
Tulane University, Citizens Bank Minute Book No. 1: 1834/09/20; Minute Book No. 5: 1846/03/26; Minute Book No. 6: 1846/10/30; Citizens Bank Minute Book No. 7: 1853/03/10

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Owner Mortgaged Collateral

St. Charles Parish

Dates Source

Bouligny, D.
Boussel, Th.
Campbell, Parker
Darpy Davis, Ezra Fortier, Mrs. A. Fortis M. A. Garcia, Felix

1859

plantation and the following individuals: Jean Louis; Bernard; Celestin; Bob; Henry; Elizabeth; Mevanthe; Fanny and her son Albert; Sally; Long John; Bill; Jules; Abraham; Meg; Daniel; John Davis; John Tilewton; Ben; Jacob; Harry; Sam Williams; Bandal; Yellow Harry; Yellow Abraham; Mary; Mary Louise; Louisa; Louise; Zoe Silvie; Delly; Linda ; Sophie; Adolphe; Cloe; Felouise; Octave; Eugene; Peggy; Joanna; Auguste; Elizabeth; Ainee; Justine; Sarah; Asia; Benard; Louis; Madeline and her child Lucinda

the following individuals: Edmond; Elleelse 1855

land and the following the following individuals: Jacob; Abram; Archy; Aleck; Black 1859 Sam; Bill; Fisher; George; Hepps; Merraday; John; Jordan; Thos Lune; Manuel; Moses; Moses Harris; Major; Matthew; Philip; Phill; Peter; Soloman; Sam; Toby; Talleyrand; William; Washington; Aussie; Caroline; Lisa; Marianne; Nancy; Jodie; Sally; Lalie; Maria; Rachel; Angele; Vincent; Suzanne; John; Milite; Edward; Julianne; Sarah; Pierre; Betsy; James; Richard; Paul

the following individual: Sarah plantation and unnamed individuals plantation and unnamed individuals

land and 10 individuals, including the following: Auguste; Auguste plantation and the following individuals: Bella; Henry

St. Charles Parish, Mortgage Book 11 p. 37, 1859/03/8

St. Charles Parish, Mortgage Book 10, p. 77, 1855/04/0

Tulane University, Citizens Bank Minute Book No. 8: 1859/02/03; St. Charles Parish, Book B, p. 370, 1859/0/05

1859 1859 1848

1851-1856 1847-1850

Tulane University, Citizens Bank Minute Book No. 8: 1859/07/11

St. Charles Parish, Mortgage Book 11, p. 68, 1859/11/14

St. Charles Parish, Mortgage Book 7, p. 71, 1848/0/16

Tulane University, Citizens Bank Minute Book No. 7: 1856/03/14, 1851/12/23

St. Charles Parish, Mortgage Book 7 p. 66, 1847/11/13, p. 39, 1847/06/1, p. 40, 1847/0/08; Conveyance Book A, p. 131, 1850/06/05

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Owner

Garcia, Felix; Charles, Theodule, and Elvine Roussel; Julian Vienne

Haydel, Bd.

Labranche, Alcee

Mortgaged Collateral Dates

land and the following individuals: Abraham; Bill; Jacob; Peter; Jordan; Madison 1853 (alias Marcelle); Capitan Fish; Baptiste; Sam; Philippe; Edmond; Marian ne; r Suzanne and her children Jean and Nelly; Rachel and her two children Angile and Victor; Liza (alias Lily); Sully; Caroline; Toby; Talleyrand; Nellie; Nathan; Arthur Field; Sam Carroll; Alexander Jackson; Archer Carroll; George McHenry; Moses Harris; Henry Nazareth; Henry Hews; Betsy Gatewood and her children Marth and James; July Ann Johnson and her unnamed son; Eppse Johnson; Solomon Jones; William Denning; Henry Whetson; Len Thompson; Moses Howell; Rhody Flagg; Major Gillian; John Ashby; Nancy Rivers; Sam Red; Amy; Washington Spencer; Edmund; Allick

land and the following individuals: William; Rene; Peter Jean; Jacob; Gran Jean 1846 Louis; Edmond; Phanor; Victorise (alias Groton); Sebere; Henrietta; Marie and her three children Julie, Lewis, and Anais; Ursula; Julia ; Michael; Laurand (alias Capitain); Felossese; Adele; Heloise; Cital; Adeline; Pierre; Zoe and five unnamed children

plantation and the following individuals: Nomme; Bartlett and unnamed individuals 1834-1851

Source

St. Charles Parish, Mortgage Book 9, p. 111, 1853/01/03; Conveyance BookA, p. 174, 1853/01/03; Tulane University, Citizens Bank Minute Book No. 7: 1854/08/18

St. Charles Parish, Mortgage Book 7, p. 84, 1846/08/05

Tulane University, Citizens Bank Minute Book No. 1: 1834/12/26, Minute Book No. 5: 1843/05/24, Minute Book No. 6: 1849/10/30, 1851/06/17; St.

Charles Parish, Mortgage Book 9, p. 30, 1851/08/30

Labranche, L.

unnamed individuals

Landreaux, Mrs. H. unnamed individuals

Lansaux, Adele Rixner land and the following individuals: Daniel; John; Anne and her Felonise, Pierre, 1860

and Jim; Andrew; Michael

Logan, Samuel Eddy and his daughter Patsy; Masin; Sandy 1849

Lurupuru, W. A. Mailes, George

plantation and 40 unnamed individuals plantation and unnamed individuals

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/07/22

■ 1847st- Charles Parish, Mortgage Book 7, p. 184,

1847/3/7

St. Charles Parish, Mortgage Book 11, p. 185, 1860/10/31

Tulane University, Citizens Bank Minute Book No. 6: 1849/06/07; St. Charles Parish, Mortgage Book 9, p. 16, 1851/06/04

1842 Tulane University, Citizens Bank Minute Book No. 4:

1842/02/09

1860 Tulane University, Citizens Bank Minute Book No. 7:

1860/04/04

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Owner

Piscros, Francois H.

Taylor, Lucy Thorn,

Walker, A. W.; J. T. Piseros; Bayles and Victoria Lebranche; Thomas Bisland

Mortgaged Collateral Dates

plantation and the following individuals: Lewis; Anson; Ben; Colos; Hatani; 1838-1853

Laurence; Francois; Gabriel; Hanalin; Charles; Joe; James Green; Jaques;

Lazaou; Harry; Henry; Henry Holloway; Abraham; Michael; Alepis; Sandy; Richard;

Jean Baptiste; David Livandais; Sawyer; Nat; Moses Holloway; Macke; Andres;

Gross Davis; Richard Congo; Hyacinth; Anderson; Pierre; Gros Neilson;

Ludolpohi; Baptiste; Hasse; George; Lydia; Helene; Fanny; Judith; Frances;

Petvone; Sally; Sylvie; Louise; Ursula; Polly Classear; Grosse Polly; Charity; Anna;

Trippy; Grosse Anna; Emilie; Jasse; Martha; Maria; Rachel; Paul; Robertson;

Joseph; Robess; Francois; Henry; Sesaphine; Antoinette; Emilie; Eugenia;

Celestine; Francois; Sally; Suzette

land and the following: Bill; Maria; Ben 1853

Source

Tulane University, Citizens Bank Minute Book No. 1: 1835/03/27, Citizens Bank Minute Book No. 5: 1843/11 /02, Citizens Bank Minute Book No. 7:

1853/06/23; St. Charles Parish, Mortgage Book 7, p. 14, 1835/04/20

St. Charles Parish, Conveyance Book C p. 189, 1853/04/28; St. Charles Parish, Mortgage Book 11, p. 256, 1853/04/28

plantation and the following individuals: Leurs; Antoine; Hilaire; Francois; Marcurie; Charles; Joe; Jack; Henry; Colad;

Richard; Jean Baptiste; Davis Louadais; Maidsle; Pierre; Baptiste; George; Paul; Robert; Haul; Little Francois; Bastier;

Ursin; Jean; Prosper; Sam; Ledge; Gros Davie; Lazarus; Alex; Andre; Hyancinth; Sally; Julie; Louise; illegible; Polly;

Charity; Anna; Rachel; Jeanne; Martha; Emelie; Celestine; Lydie and her daughters Coralie, Little Lydie, and Justine;

Melinda; Job Pranson; Robert Jackson; Bazile; Gabriel; Ned; John Aime; Isaac; Pierre; Helene; Aaron; Adam; Aduni;

Alfred; Anderson; Anthony; Althea; Bartlett; Buck; Burton; Caldo; Chapman; Charles; Christopher; Eliza; Edwin; Eugene;

Frank; Gurga Munsford; Giles; Henry; Humphrey; Jacob; Big James; Little James; Jessy; Joe; Big John; John; John C;

Little John; Josiah; Jordan; Joe; Juntum; Gerry; Lundum; Jenny; Manuel; Michael; Ned; Nickerson ; Norman; Patrick;

Paul; Phette; Pierre; Solomon; Sam; Sandy; Stanny; Stephen; Sawny; Thurston; Addam; Abey; Candide; Charlotte;

Frances; Little Henrietta; Big Big Maria; Little Maria; Marie; Marie Jeanne; Mary; Matilda; Martha; Pilagie; Sally; Sarah;

Sylvie; illegible; Ursula; Victoria; Jdee; Susannah; Rachel; Louisa; Toby; Edouard; illegible; William; Sylvie; Zoe; Sissy;

Elizabeth; Lidia; Phrasim; Manuel; Beamais; illegible; Aleck; Sarah; Emilie; Elsey; Jeanne Boone; Toby; Harriet; Lydie;

Nanny; James; Marie; Sambo; Adam; Eve; Henry; Jean Baptiste; Bastien; Francois; Oscar; Hilarie; Sally; Ned; Uriah;

Libby; Caroline; Phillip; Susan; Maria Yellow; Frank; Bella; Samson; Venus; William; Linda; Hanes; Beck; Charleston;

Lavinia Maria; Dorsey; Hyacinthe; Paul; Annah; Rachel; Sam; Solomon; Maney; Rose; Ursine; Julia

1852-1857 Tulane University, Citizens Bank Minute Book No. 7: 1853/06/23, Citizens Bank Minute Book No. 8: 1857/04/23, 1857/06/01; St. Charles

Parish, Conveyance Book A, p. 203, 1853/07/15, p. 148, 1852/09/01; Conveyance Book B, p. 263, 1856/02/20; Mortgage Book 9, p. 161, 1853/07/15

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Owner

Mortgaged Collateral

Dates Source

St. Helena Parish

Kemp, Demcy

land and the following individuals: William; Samuel; Henry; Anthony; George; Lewis; Thomas; Richmond; Albert; Harry;

Hannah; Rose; Sophia; Sarah; Sam; Delphy; Deby; Mary; Priscilla; Kizzy; Martha; Charles; Ephraim; Anderson; Manda;

Israel; Charlotte; Adaline; Benjamin; Frank; Susan; Norrell; Jacob; Dennes

1838 Citizens Bank of Louisiana Papers, 1834-1914

Folder 2, 1838/04/14

St. James Parish

Aime, Valcour and Josephine Roman; Valerin Choppin

Arceneaux, Joseph Leon and Arthemise Bergeron

the following individuals: Grand Augustin; Charles Creole; Ben; Celestin; Julien; 1836 Gabriel; Kito; Tom; Lewis; Plato;

Manuel; Petit Augustin; Auguste; Gros John; 1860 Jack; Sibra; Gros Jim; Georges Murray; Petit Jim; Chariot; Davis;

Frank; John Cochen; Benjamin; Ned; Matt; Louis Davy; Jerry; Watson; Jaret; Henry; Adams; Jeorg Taylor; Gim Sim;

Harrison; Charles Martail; Ben Lunette; Gros Louis; Petion; Nielisse; Theodule; Adolphe; Frontise; Rosette; William

Cordounier; Baptiste; Susanne and two children; Poyon and Noel; Grande Isabelle; Magdeline; Eulalie; Marava and her child Juliette; Svhrrie; Kettv; Dianah; Mathilde; Virginie; Marie; Henriette; Becky and an unnamed infant; Celeste and her three children Pierre, Celestine, and Antonine; Fanchennette and two children Eugene and > Sally; Charite and her four children Francois, Cressey, Jasmin, and Jaur; Catharine and her two children Joseph and Cateau; Kesier; Heddy and her two children William and Bastin; Amiee; Nancy; Melicere; Liza; Francoise (La Grosse) and her two children Alexandre and Ceriasse; Euragie; Souky; Betsey; Juliette; Becky; Bony; Kety; Gilblas; Angelique and her unnamed infant; Francoise (Petit); Annette; Pichon; Gineriere; Kedy; Andre; Valere; Francis; Lubin; Sanape; Papillon; Charles; Mercure; Casimir; Marlborough; Cartonch; Smith; Hector; Piram; Cupidon; Jupiter; Ajax; Radamanthe; Polleux; Achille; Agobar; Baptiste; Toussaint; Rosette; Venus; Jeannette; Fanchon; Clotho; Mani; Hemide; Penelope; Martha; Zabllle; Marinette; Abenite; Jeanie; Hibe; Hyacinthe; Cephale; Tounsered; Annah
plantation and the following individuals: Lindor; John; Ned; Naripe; Henry; Liza; 1837 Mary; Seraphine; Celeste; Adam; Laurette; Jean Baptiste; Martha; Gregoire

St. James Parish, Book 15, p. 444, 1836/09/03, p. 464, 1836/11/03; Book 16, p. 43, 1836/12/28, p. 384, 1837/08/22, Book 17, p. 352, 1838/07/18, Book 17, p. 377, 1838/08/01; Book 28, p. 199, 1849/10/11; Book 27, p. 117, 1850/04/12; Tulane University, Citizens Bank Minute Book No. 2: 1838/03/14, 1838/03/27; Citizens Bank Minute Book No. 8: 1860/05/28

St. James Parish, Book 16, p. 363, 1837/07/27

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Owner

Armant, Family

Mortgaged Collateral Dates

the following individuals: Pompil; Charles; Robin; Flasian, Angelique; Agnes and 1860 her unnamed children; Clara; Isabelle; Caeraean; Ned; and unnamed individuals

Source

St. James Parish, Book 34, p. 193, 1860/02/27

Armant, Jean Baptiste and Rose Carmelite Cantrelle

Armant, Jean Seraphin and Louise Amelie Fuselier

Armant, Mrs.

plantation and the following individuals: Bambara; Camire; Baptiste; Pierre Sond; 1834-1840

Tom Congo; Zamor; Michel; Lubin; Louis Congo; Adams; Jean Congo; Sharlot;

David; Michian; Souvenir; William Petit; Alexis; Vale.re; Peter; Issac; Hector;

Samson; Politho; Tom; Louis Mina; William Jackson; Alexis Cadcein; Leveille;

Casmir; Toussaint; Petit Jean; Celestin; Cango; Jaco; Francois Calotte; Primus;

Veux Isaac; Abraham; David Miller; William Iman; Daniel; Billy Buck; Ben

Watson; Moses; Martin; Dicke; Michel Jeune; Memphis; Michel Cadein; Gros

Sam; Jack Boucher; Robertson; David Braman; James O'Neill; Laray; Jack

Plaquemine; Demi; Philippe; Petit.Abraham; Will; James; Cilus; Humphrey; Smart;

Basil; Francis; Sylvester; Mulatre; Gabriel; Mani Therese; Mandialle; Victoria;

Helena; Marianne; Hennan Congo; Thebe; Francoise Macom; Rosette; Maria;

Fanny; Sissley; Hennan Mina; Hannah.NCongo; Hannah Virginie; Emilie; Pesine;

Terzile; Nancy; Sally; Julee; Nanny; Franqui; Sally Valerie; Nanny Omphrey;

Marguerite Denis; Charite; Nelly; Petite Rosette; July; Becky; Sophie; George;

Agnes; Jeanne; Marianne; Lisc; Pierre; Alzire; Emile; Arthemise; Stephen;

Pelagie; Elizabeth; Mars; Michau; Gabriel; Aspasie; Honore; Anderson; Cyprien;

Drausin; Louis; Joseph

plantation and the following individuals: Randall; Ketto; Ben; Richard; Scipio; Little 1836-1847 Bob; Sam; Elisa; Eliza and

her son John; Lucy; Charite; Took; Diana and her daughter Betsey; Robert; Saphy; Will; Bob; Fouland; Jim; Claris;

Valentine; Sarah; Maria; Melierte; Eugene; Bob Chartant; Sambo; Jerphy; Jack; Victoire; Lubin, Nuriea; Eustache; Joseph

Boulanger; Joseph; Francois; Francis; Henry; Figaro; Jose; Noel; Tom; Janveir; Nancy; Jane and her two children Nancy

and Marceline; Sylvain; Louis; Valentin; Henrietta; Betsey; Marie Louise; Henriette and her three unnamed children

land and 41 unnamed individuals. 1838-1848

St. James Parish, Book 13, p. 705, 1834/08/19, p. 733, 1834/08/25; Book'18, p. 366, 1840/01/14

Tulane University, Citizens Bank Papers, Folder 2, 1838/12/17; Citizens Bank Minute Book No. 2: 1837/05/17, 1837/05/27, 1840/01/03; St. James

Parish, Book 15, p. 422, 1836/07/27, p. 429, 1836/08/06; Book 16, p. 313, 1837/07/03, p. 371, 1837/07/22; Book 17, p. 439, 1838/12/12, p. 447, .

1838/12/17; Book 18, p. 623, 1840/08/17, p. 660, 1840/09/01; Book 19, p. 366, 1840/12/19; Book 25, p. 271, 1847/08/18

Tulane University, Citizens Bank Papers, Folder 2, 1838/12/17, Citizens Bank Minute Book No. 4: 1842/02/19; M-1847, Citizens Bank Mortgage Book Bergeron, G.

plantation and 52 unnamed individuals

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

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Owner

Bergeron, Michel and Constance Bergeron
Begram, Mr.
Bienvehu, L
Blouin, Evariste and Denise Arcenaux
Butler, Caroline
Cantrelle, Joseph Xavier and Louise Dejean

Mortgaged Collateral

plantation and the following individuals: Squire; Ben; Francois; Augustin; Simon; Michel; Louis; Pierrot; Joseph; Jean Baptiste; Cyprien; Jean Louis; Francois; Ben; Leveille; Augustin; Simon; Louis; Samson; Esquire; Andre; Augustin; Justine; Delphine; Henrietta; Manette; Elionsore; Celeste; Marguerite; Julie; Hypolite; Zenon; Syhre; Edmond; Ophelia; Poupone; Angelina; Syhain; Adile; Millin; Etienne; Rock; Dick; Unin; Jacques; Palsey; William; Allin; Baptiste; Grand Jean Louis; Catherine; Victorin; Victorine
plantation and 23 unnamed individuals plantation and unnamed individuals

Dates Source

1834-1847 Tulane University, Citizens Bank Minute Book No. 1: 1834/08/22; Citizens Bank Minute Book No. 6: 1847/03/25; St. James Parish, Book 13, p. 768, 1834/10/10; Book 16, p. 352, 1837/07/26, p. 420, 1837/08/30; Book 17, p. 321, 1838/06/22; p. 335, 1838/06/26; Book 18, p. 367, 1839/12/30
1837 Tulane University, Citizens Bank Minute Book No. 2:
1837/07/15
1859 Tulane University, Citizens Bank Minute Book No. 8:
1859/12/22

plantation, land, and the following individuals: Becky; Sarah; Lucy; Manette; Nelly; 1835 Raymond; Philippe; Bazile; Marie Jeanne; Jean Baptiste; Paulin; Marie Louise ' '

the following individuals: Randall; Eliza and her eight children Francis, Emily; . Caroline, Cezar, Henry, Fonty, Lucy, and Robert; Saul; Winney her six children Wyatt, Bedford, Leroy, Davy, William, and Patsy, and Patsy's two children Jerry and Nelly; York; Peter; Archibald; Sam; Hannah and her five children Jones, Pleasant, Miles, and Letty; Maria

plantation and the following individuals: Justin; Nanciser; Francois; Louis; Andre; Dick; Charles; Bill; Billy; William; Adams; Ferdinand; Joe; Jean Baptiste; Eugene; William; Rose and her son Valsin; Jane; Maria; Euphrosine; Nancy and her child Francisque; Phoebe; Louise

Tulane University, Citizens Bank Minute Book No. 1: 1835/02/20; St. James Parish, Book 14, p. 113, 1835/04/09; p. 203, 1835/04/28

1844 St. James Parish, Book 21, p. 118, 1844/07/26; p.

123, 1844/07/30, p. 189, 1844/08/06; Tulane University, Citizens Bank Minute Book No. 5: 1844/07/30

1834-1844 Tulane University, Citizens Bank Minute Book No. 1: 1834/08/07; St. James Parish, Book 13, p. 690, 1834/08/13, p. 731, 1834/08/20; Book 21, p. 128, 1844/08/03, p. 131, 1844/08/03

Champagne, Evariste and Caliste Sexchjineider

Chapdu, Alexandre

Croizet, Suzanne

plantation and the following individuals: Galsin; Louis; Justin; Francois; Jean Pierre; Marianne; Charlotte
1837

St. James Parish, Book 16, p. 473, 1837/12/12

plantation, land, and the following individuals: Anachreon; Thomas; Sunday; John; 1834-1844 St. James Parish, Book 13, p. 736, 1834/09/10, p Isaac; Gabriel; Adelle; Marie; Charlotte; Aima; . Maria; Etienne; Gustave; Flore; ⁷⁴⁸> 1834/09/18; St. James Parish, Book 21, p

Victorie; Zoe; Pauline; Lise

plantation and the following individuals: Janvier; Jim; Pierre; Benard; Jean 1837 Baptiste; Lausen; Chapio; Henry;

Francoise; Clarisse; Tenerieve

150, 1844/08/24, Book 21, p. 148, 1844/08/24

St. James Parish, Book 16, p. 100, 1837/03/21; St. James Parish, Book 16, p. 131, 1837/03/27

Page 53

Owner

Delogny Jr., Edouard Robin and Caroline Trudeau

Donaldson, Edward ' '

Duplantier, Armant; Edouard and Charles Fortin; Celeste Parent; Marie Arsene Fortin; Felicie Communy

Dupresne, Isadore and Adam Champagne; Theodule Tupagnier

Mortgaged Collateral Dates

plantation and the following individuals: George; Thorn Zuce; Joe Congo; Amos; 1835 Ben; Ambrose; Stepney; Oliver; Salomon; Bob Osburn; Willis; Martin; Walker; Morris; John; Warrick; Joe Walker; Lubin; Felix; Davy; Sam; Remy; Chricopher; Washington; Charles; Tom Levox; Loujs; Faro; George Congo; Bob; Manette; Venus; Maria; Betsey; Adelaide; Marie Tuseau; Catherine; Agathe; Charlotte; Annah; Eleonire; Cesaire; Rachel; Mary; Victorine; Thelma; Mary Davis; Adelaine; Effie; Victor; Louis; Celestine; Frana's; Manette; Alexandre; Jonny; Dolly; Celestin; Maurice; Harry; Gordon; Tom; Jessy; Peter; Henry; Charles; Duncan; Alerte; Chamblain; George; John Tureaud; Benjamin; Charles; Jay'ou; Premier; Marie Lucuie; Lulie; Fanny; Maria; Esther; Clessyde; Susanne; Elizabeth; Adelaide; Nannie; Toussine;

Eulalie; Millicente; Ronni; .Pauly; Eilbert; Bernard; Augustine; Eleonore; Irma; Molly; Eliza; Nancy; Jims
land and 43 unnamed individuals 1851

plantation and the following individuals: Azor; Arlequin; William; Pacane; Nick; 1837 Mimi; Coto; Phil; Harmstead; Paul;
Andre; Emond; William; Brack; Celestin; Commondore; Tom yellowbelly; George; Billy; Lindor Congo; Caira Borgene;
Jean Pierre; Tamba; Charlos; Adam; George Saly; Louis Betsy; Louis Hita; Nat; Eugene; William; Jacques; Noel; George;
Antony; Quioter; Baltimore; Isaac; Antony Gloster; James; John Green; Johnson; Petit Billy; Allan; Riss; Willey;
Francisque; Catherine; Mary; Julie; Marianne Hilow; Betsey; Canba; Manon; Cleonise; Lucie; Marie-Jeanne; Marianne;
Minerve; Polly; Fity; Josephine; Edwilge; Nanette; Frederick; Souris; Florestine; Mathilde; Sally; Adelaule; Vinant; Bernard;
Elsy; Bellevere; Mina; Ketty; Ortere; Michel; Alssed; Jacob; Pelagce; Charles; Francoise; Charlotte; Julis; Francoise Petit
. land and the following individuals: Louis; Jean Pierre; Valsin; Justin; Charlotte; . 1852 Marianno

Source

St. James Parish, Book 14, p. 65, 1835/03/24

Tulane University, Citizens Bank Minute Book No. 6: 1851/06/17

St. James Parish, Book 16, p. 188, 1837/04/27, p. 202, 1837/05/05; Tulane University, Citizens Bank Minute Book No. 2: 1837/05/13

Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder 3: 1852/09/13; Citizens Bank of Louisiana Papers, 1834-1914, Folder 3:
1852/09/13

Page 54

Owner Mortgaged Collateral

Fabre, Joseph Paul and plantation and the following individuals: Pierre Congo; Henry; Jerry; Eugenie; Amelie Perret
Pompee; Baptiste Congo; Charles; Victor; Tousaint; Edmond; Benjamin; Petit
George; Lucie; Octave; George anglais; Michel; Amelie and unnamed infant son;
Julien; Luckey and her three children Celisitin, Armstead, and Magdeline; William;
Alfred; Louisa, Damon; Apollon; Mark; Joseph; Ramien; Philippe; Flora; Hyholite;
Jacquah; Tom; Marie and her son Augustin; Louis; Eliza and her three sons
Etienne, Zenon, and Germaine; Conacon; Narcisse Hopier; Eugenie; Peter;
Drauzine; Henriette and her two children Francisque and Drauzine; Caroline;
Erivin; Louis Bourgeois; Diana; Frederic

Dates

1834

Source

Tulane University, Citizens Bank Minute Book No. 1: 1834/08/22; St. James Parish, Book 13, p. 786, 1834/10/18; St. James Parish, Book 13, p. 806,
1834/11/11

Gaiennie, Gervais and Louis Rene

land and the following individuals: Alexandre; Joly; Alexandre Congo; Jos; Henry; 1842-1843 Alexandre; Jos Woodlen;
Priscille; Fanny; Henriette; Clementine; Marianne; Catherine; Vetcher; Washington; Marguerite; Charles; Priscillane;
Marianne; Theresia; Henry; Hillard; David; Gilbert; Moses; John

St. James Parish, Book 20, p. 25, 1842/04/15; Tulane University, Citizens Bank Minute Book No. 5: 1843/01/28

Godbery, James plantation, land, and the following individuals: Ashly; Charles; Adam; Sandy; Will;
William and Marie Gasmill; Wyatt; John; Butler; Little Charles; Dick; Abraham; Rose; Hannah; Fanny;
Estelle Dupuis; William Celina; Marguinte; Sally; Mary; George; Arenu; Emelina; Olora ; Jim Boy; Israel;
Peter Welham and Big Mary; Ann; Jenny; Prince; Henry

Reine Seraphine

Theriot; Catherine.

Mariner

1837-1839 St. James Parish, Book 16, p. 302, 1837/06/22, p. 340, 1837/07/15; Book 18, p. 173, p. 241, 1839/04/17

Gourdin, J.

Hoa, Albert and Pierre

unnamed individuals

plantation and the following individuals: Rose and her three children, Norbert, Denis, and Anais; Henriette; Sophie;
Euiele; unnamed child of Jeanne

Jacob, Ursin and plantation and the following individuals: Creipin; Edmond; Chelsey; Viux Charles;
Eleonore Perret; Claiborne; Perry; Singleton; John Lonagere; Tortue ; Petit John; William Berry;
Edouard Jacoband and Thelemaque; Randall; Joseph; Jefferson; Daniel; Sam; John; Semon; Isaac; Celestine Malarcher;
Charles; Billy; William; lem; Isaac Forgeron; Auguste; Aimee; Hannah; Marie Jean Louis Haudressy Joseph; Ketty;
Diana; Eggo; Marie; Sioney; Maria; Catherine; Therese; Bill; and Adelaide Tureaud Harriette; Hellene; Marie

1835 Tulane University, Citizens Bank Minute Book No. 1:

1835/02/20

1838 St. James Parish, Book 17, p. 384, 1838/08/14

1837-1849 St. James Parish, Book 16, p. 84, 1837/02/21; p.

98, 1837/03/01; Book 28, p. 219, 1849/06/11

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Owner

Johnson, Henry

Mortgaged Collateral Dates

plantation and the following individuals: Aubry; John; Doctor; Richard; James; 1839 Mitchell; James; Stephen; Anthony; Billy; Milly; Betty; Polly; Nancy; Sarah; Sophy

Source

St. James Parish, Book 18, p. 244, 1839/05/29

Jourdan, Jean Baptist Noel and Julie Laplanche; Emilie Jourdan; Edouard Jacob and Vasseur Webre

plantation and the following individuals: Washington; Peter; Samboll; Cyrus; Jim; 1834-1860

Charley; Archy; Cato; Bacchus; Aaron; Mingo; Peter Wig; Henry Isaac; Felix;

Henry; Francois; Jackson; Tom Edmonds; Vincent; Oxem; Paul; Sandy; Dick; Joe;

Alfred; Isaac; Bill; Jean Baptiste; Brown; Jack; John; Honore; Montgomery; Sylvie;

Winey; Vessy; Caroline; Hannah; Maria with three children Euphrosine, Charles,

and Rosana; Mary with five children Livina, Mathilde; Marie; Alphonse, and Fanny;

Winnie and her daughter Elizabeth; Clara and her three children Louise, Auguste,

Jean; Cicey and an unnamed infant son; Amelia; Mary; Susan; Aimee; Charlotte;

Alec; Honore; Henry; Daniel; Montgomery; Jackson; Louis; Tom; Levy; James;

Clem; Archy; Paul; Alexandre; Axem; Jacky; John; Jerry; Marie Joseph; Sylvie;

Winnie; Annaka; Byra; Caroline; Sarah; Christine; Charlotte; Aimee; Rose; Anna

and her son Tom; Mary and her son Jacob; Vicey; Nincne mulatto; Marie Locure;

Maria; Little Louis

Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder4, 1860/04/13; St." James Parish, Book 34, p. 735, 1860/12/03; Tulane

University, Citizens Bank Minute Book No. 1: 1834/08/07; St. James Parish, Book 13, p. 696, 1834/08/16; St. James Parish, Book 13, p. 711,

1834/08/20; St. James Parish, Book 21, p. 135, 1844/08/06; St. James Parish, Book 21, p. 137, 1844/08/06

Landry, Joseph and Ethelvina

plantation and the following individuals: Jackson; Bob; James; Ruban; Peter; Robert; Cooper; Henry; Moses; Louise;

Jane; Marie Louise; Melandy; Agnes; Janvier; Leroy; Valevin; Victoire

1838

LeBourgeois, Louis and plantation and the following individuals: Jessy Commandeur; James Cook; Joe; 1834-1842

Erazie Haydel

Leche, Jean and Marie Scholastique Keller

Geo Charpentier; Azie; Robine; Joseph; Draid; Sassich; David; Mack; Jeffrie Spid; Jeffrie Brunt; Abraham; Toussaint;

George Calfer; George Bischan; Goand Daniel; Daniel Walkins; John Jackson; Peter; Kitt; African; Tiet; Adam; Jas

NeClace; Valin; Baptiste; Jean Baptiste; James Lacour; James Pagnol; Augustin; Andre; Charles; Azer; Antoine;

Toussaint Jeinie; Moliere; Francois; Rachel; Syllia; Adam; Fanny; Washington; Robertson; Lucinda; Eve; Zinon; Marianne;

Meley; Olivier; Claire; Suzanne; Marie Joseph; Henrietta

plantation and the following individuals: Sam; Dick; Perry; Scipion; Thelemaque; Celeste; Marie; Victire; Victorine

St. James Parish, Book 17, p. 243, 1838/05/04, St. James Parish, Book 17, p. 284, 1838/05/12

Tulane University, Citizens Bank Minute Book No. 1: 1834/08/07; Citizens Bank Minute Book No. 4: 1842/05/09 St. James Parish, Book 13, p. 693,

1834/08/16, p. 712, 1834/08/16; Book 20, p. 94, 1842/05/27

1837 St. James Parish, Book 16; 337, 1837/07/17; p.

347, 1837/07/20

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Owner Mortgaged Collateral

Millet, Marguerite plantation, land, and the following individuals: Lindor; Andre; Amisise; Sylvertre;

Jacques Congo; Michel Senegal; Kampe; Gabriel; Francois; Jacques; Antoine; Valentin; Elarcow doi Gaspard; Agathe

Cuineese; Henrietta; Charlotte and her unnamed child; Berthilde and her twin children; Maryann; Jean Louis; Eliza;

Suzanne; Rosalee; Celestin; Rosette; Toussin; Jean Baptiste; Octavie; Francoise; Venus

Nicholas, Robert Carter plantation and the following individuals: Albert; Henderson; Armstead; Alleck and John Spear

Smith More; Alleck Ellis; Barnaby; Bob; Beverley; Ben Batts; Buck; Austin; Euffy;

Godfrey; Harry; Henry Green; Hendry Bedford; Joe Locust; Jesse; Louis Ellis; Louis Brackenridge; Jim Franklin; Nelson;

Napper; Peter; Spotswood; Sam Page; Thomas; Winter; Betty; Delphy; Emily; Fanny; Harriet; Judy; Linder; Frances;

Louisa; Maria; Mary Eustes; Lucy; Mary Prenie; Nancy Napper; Nelly; Lucky Cole; Sizan; Sarah; Sylva; Eugence, Winny;

Betty Ellis; Eliza; Spencer Powell; Milly; Edward; Sylva; Jane; Gracy; Caroline; Succordy; Elmire; Tom Daphny; Bill

Patterson; Salomon; Nancy Linder unnamed individuals

Ordman, J. B.

Patin, Heirs of Louise

Dates Source

1835-1845 St. James Parish, Book 14, p. 118, 1835/04/11, p.

141, 1835/04/18; Book 20, p. 120, 1842/06/20; Book 21, p. 80, 1844/05/31; Book 22, p. 62, 1845/04/04; p. 60, 1845/04/04

1835-1845 St. James Parish, Book 14, p. 124, 1835/04/14, p.

140, 1835/04/18; Book 22, p. 58, 1845/04/03, p. 55, 1845/04/03; Book 21, p. 118, 1844/07/26, p. 123, 1844/07/30, Book 21, p. 189, 1844/08/06; Tulane University, Citizens Bank Minute Book No. 1: 1837/05/27, Citizens Bank Minute Book No. 2: 1837/07/15, 1838/03/14, 1838/03/27, 1838/11/0

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/08/07

plantation and the following individuals: Leandre; Francois; Gilblas; Lazre; Tobie; Mandrin; Mars; Pret-a Boire; Airil; Valere; Francis; Lubin; Tanasse; Papillon; Charles; Onusre; Mercuce; Joe; Thomas; Casimir; Malborough; Cartouche; Antoine; Bacchus; Mahomet; Smith; Johnny; Paris; Hector; Pirain; Cupidon; Argus; Jupiter; Ajax; Radamanthe; Pollux; Achille; Lovelace; Thorn; Gognon; Agobar; Doho; Ellick; Julian; Baptiste; Martin; Pierre; Toussaint; Jean; Augustine; Theotis; Rosette; Venus; Zaire; Jeannette; Fanchon; Clotho; Marie; Hermide; Servilie; Penelope; Adeline; Suzanne; Mary; Rose; Benedicte; Francoise; Eugenie; Marthe; Zabelle; Marinette; Pallas; Cybelle; Abenile; Jeanne; Hebe; Angelle; Hyacinthe; Celestine; Desiree; Adele; Rosine; Zephyre; Adoeris; Cephalé

1834-1844 St. James Parish, Book 13, p. 699, 1834/08/06;

723, 1834/08/20; Book 21, p. 141, 1844/08/15

P-

. *Priestley w William; Margaret Fulker; Jane Priestley; Catharine Caroline Priestley; Priestley & Bien; Harris Ferry*

plantation and the following individuals: Bob; Lee; Bousgagne; Oscar; Davy; Chelsey; Ness; Tom; Leach; Charlotte; Coley;

Bill; 1837-1858 St. James Parish, Book 16, p. 331, 1837/07/14, p.

373, 1837/07/22; Book 25, p. 224, 1847/03/18; Tulane University, Citizens Bank Minute Book No. 8: 1858/03/04

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Owner

Roman, Andre Bienvenue and the heirs of Louise Patin

Roman, Sosthene and Arthemise Landreaux; Jacob Denny, William Hiesonymus, and Webb Ross

Mortgaged Collateral

plantation and the following individuals: Charles Green; Scipeon; Sylvestre; Sunday; Sam; Paris; Patrick; Long Tom; Petit Tom; John Bristle; John Scabre; John Insel; Abraham; Dick; Bill; James Parker; Joe Cabre ; Charles Vieux; Charles Wagner; Wilson; William; Lodivell; Elias; Walter; Cesar; Bob; Relf; Claiborne; Ness; Honore; Frederic; Isaac; Richard; Joe; Etienne; Mary Sandy; Maria; Anne; Hannah; Kitty; Jane Dick; Harriet; Henrietta; Henny; Eliza and her two children Louisa and an unnamed child; Eliza and three children Eddo, Caroline and Jacob; Nieille Lucie and two children John and Christine; Lucie; Zemire; Lydia; Mary; Rachel; Rosette; Fanny; Alfred; Jane; Diana and her two children Henry and an unnamed child; Fanchette

plantation and 105 individuals, including the following: Joe Dick; Tom; Sam; Edward; Zaccharie; Flander; Jean Baptiste; Buck; Jack; Henry; Jolly; Simon; La Fortune; Allain; July; Apollon; Joe Peytavir; Richard; James; Jean Pierre; Fortune; Frank; Isaac; Martin; Alexandre; William; Prepee; Louis; Leandre; Louis; Jean; Noble; Francoise; Nieille Lucie; Marianne; Properpine ; Rose; Sylvie; Hobe; Maime; Sarah; Petit Phillis; Maria; Sally; Jeune Lucy; Louisa; Becky; Megere; Ketty; Little Ann; Henrietta (Jeune); Joannah; Aggay; Julia; Cecile; Charite; Dianah; Mathilda; Bazile; Jacob; Fanny; Babet; Manon; Fiyaro; Marguerite; Jeannette; Agnes; Auguste; Charles; Lubin; Charlotte; Mariette; Brigitte; Flore; Leanneton; Thomas; Charles; Bob; Amable; George; Henry; Hutton; David; Alerte; Rubin; Willis; Sephin; Bien Aime; Ismael; Joe Griffe; Blaise; Lubin; Alexandre; Petit Noel; Delcy; Antoinette; Nanette; Grand Phillis; Fanchonnette; Julie; Nanette; Celestine; Ariane; Louise; Sophie; Marguerite; Stephen; John

Dates Source

1834-1854 Tulane University, Citizens Bank Minute Book No. 1 1834/08/07, Citizens Bank Minute Book No. 2: 1837/06/19, Citizens Bank Minute Book No. 7: 1854/12/29; St. James Parish, Book 14, p. 108, 1835/04/08, p. 135, 1835/04/18; Book 15, p. 442, 1836/09/03; Book 22, p. 65, 1845/04/05, p. 68, 1845/04/05

1835-1857 St. James Parish, Book 14/p. 350, 1835/11/02, p.

358, 1835/11/07; Book 16, p. 169, 1837/04/18, p. 195, 1837/04/28, p. 349, 1837/07/25, p. 375., 1837/07/29; Book 17, p. 170, 1838/04/07, p. 198, 1838/04/12; Book 18, p. 1, 1839/01/05, p. 29, 1839/01/11; Book 23, p. 114, 1845/11/06, p. 111, 1845/11/5; Tulane University, Citizens Bank Minute Book No. 1: 1837/05/27, Citizens Bank Minute Book ■No. 2: 1837/07/15, 1838/03/14, 1838/03/27, 1838/11/0; Citizens Bank Minute Book No. 6: 1850/04/09; Citizens Bank Minute Book No. 8: 1857/05/18

Roman, Victoire

unnamed individuals

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/08/22

Smith, R. C. and Nicholas Strong, Jesse ^c

unnamed individuals

plantation and the following individuals: Henry; Nash; Green; David Black; Ben Black; Anthony Black; Noah Black; Nelson Black; Silvia; Wjnney

Taney, Louis M. and plantation and the following individuals: Billy; Judith and her two daughters Marie Cephalie Fabre Hannah and Bazile; Agathe; Gand

1834 Tulane University, Citizens Bank Minute Book No. 1:

1834/08/07

1834-1845 Tulane University, Citizens Bank Minute Book No. 1: 1834/08/07; St. James Parish, Book 14, p. 4, 1835/01/07; p. 131, 1835/02/04; Book 21, p. 254, 1845/01/07; p. 252, 1845/01/07
1837 St. James Parish, Book 16, p. 298, 1837/06/20; p.
317, 1837/06/29
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Owner

Votre, Mrs. George Webre, Georges

Mortgaged Collateral

land and unnamed individuals

Dates Source

1842 Tulane University, Citizens Bank Minute Book No. 4:
1842/03/23

Linder; Agathe; Gabriel; Francis; Jean Louis; Eliza; Toussaint; Octavie; Buthilde; 1835-1844 Tulane University, Citizens Bank Minute Book No. 1: Adam; Luzann; Rasalin; Citistin; Amisere; Campi; Sylvestre 1835/03/25; Tulane University, Citizens Bank Minute Book No. 5: 1844/05/31

St. John the Baptist

Arnauld, Mrs. J. E. plantation and the following individuals: Brisson; Peter and other unnamed individuals

Bell, C.

Boulginy, Dominique

Garcia, Felix and -Adolphe Jorapum

plantation and 37 unnamed individuals sugar plantation and 44 unnamed individuals

the following individuals: Ferdinand; Jean; Tom; Bill; Lucile; Rachel; Lucile Joe; Machel Martin; Hanny; Phebe; Maffy (alias Mary); Charlotte and her children Jean and Valcount; Albert; Anson; Caroline

1838-1846 Tulane University, Citizens Bank Minute Book No. 2: 1838/05/04, 1838/09/06, 1838/10/01, Citizens Bank Minute Book No. 5: 1843/05/24, 1844/10/04, 1844/10/23, 1846/02/19

C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book

1852 Tulane University, Citizens Bank Minute Book No. 7:
1852/09/09

Arnaud plantation and 25 unnamed individuals plantation and unnamed individuals. Panes, Marie Louise unnamed individuals

Garcia, Felix and Dunlap Momure Inc. Trigras, L. S.

1846-1853^{st. John} the Baptist Parish, Conveyance Book Y, p. 68, 1846; Tulane University; Tulane University, Citizens Bank Minute Book No. 4: 1842/06/30; Citizens Bank Minute Book No. 7: 1853/05/05, 1853/05/12, 1853/07/14

1852 Tulane University, Citizens Bank Minute Book No. 7:
1852/05/20

1842 Tulane University, Citizens Bank Minute Book No. 4:
1842/01/19

1834 Tulane University, Citizens Bank Minute Book No. 1:
1834/08/22

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Owner Mortgaged Collateral

St. Landry Parish

Angamarse, Eugene plantation and the following individuals: William Brown; Rose; Tom Mumford; Allen 1850-1851 Henri Brown; Jow; Tom; Edmond Sampson; Charles Williams; Peter Camble; Ben

Street; Henry Haskins; Jemen Jones; Jack Ludwick; Antoine; Chapman; Ben; Henry; Charles; Phil; Edmond; George; Fanny; Jilly; Angelique; Agathe and her child Hense; Julie; Tilly and her child Henriette; Silvestre; Sethe; Adolphe; Jules child of Tilly Ann; Mary Walker; Lucy Ann; Mareilla; Eliza Ann and her son Ernest; Becky Prior

Dates Source

Tulane University, Citizens Bank Minute Book No. 6: 1851/02/18; St. Landry Parish, Mortgage Book 5, p.47, 1850/03/22

Chretien, Appolite

Cooke, J. A.

Cooke, Thomas and Thomas C. Anderson

Denegre, William

Doyle, John

Flaujac, Garrigues; Chretien, Hippotite

Hill, Dr. George

plantation and unnamed individuals

sugar plantation and unnamed individuals

1849

1857

1853

land and the following individuals: Jim Bell; Moses Hall; Daniel Sharp; Ive Williams; Peter; Jim Carpenter; Andrew; Reuban; Alexander; Lizzy; Eliza; Mary Jane; Beddy; Tom

land and the following individuals: Sam; Peter; Tom; Richard; James Posey; John; 1858 Eugene; Joe; Amanda; Molly; Joe Saul; Nancy; Ninny; Milly; Louisa; Finny; Jane; Beck; Thomas; Willy; Lemuel; George; Flora; Howard; Anthony; Alfred; Alleck; Fanny; Maria; Agnes; Patience; Juliette; Celeste; Manuel; Mary; Charlie; Melinda; Lucinda

Tulane University, Citizens Bank Minute Book No. 6: 1849/11/20

Tulane University, Citizens Bank Minute Book No. 8: 1857/02/10

Tulane University, Citizens Bank Minute Book No. 7: 1853/06/09; St. Landry Parish, Mortgage Book 7, p. 1, 1853/06/30

St. Landry Parish, Mortgage Book 9, p. 86, 1858/08/31

land and the following individuals: Eliza and her child Charlotte 1837

land and the following individuals: Anthony; Wally; Macuya; Etienne; Jefferson; Marguerite; Henriette and her children Terry and Carmelite; Delphine and her child Ceaser; John

plantation with the following individuals: Sam; Amanda; Thomas; Willy; Lemuel; 1858 George; Peter; Molly; Flora; Howard; Anthony; Poisante; Alfred; Alleck; Fannie; Thorn; Nancy; Richard; Maria; Agnes; Patience; Winny; Juliet; Celeste; Manuel; Milly; Mary; Louisa; Charlie; Tinny; Melinda; James Posey; Jane; John; Eugene; Beck; Lucinda; Joe

St. Landry Parish, Conveyance Book IJ-1, p.125, 1837/07/21

1832-1850st- Landry Parish, Mortgage Book 2, p. 110, 1832/06/11; Conveyance Book IJ-1, p. 137, 1837/09/13; Mortgage Book 5, p. 36, 1850/01/23

Tulane University, Citizen's Bank Minute Book No. 8: 1858/08/21, Citizens Bank of Louisiana Papers, 1834-1914, Folder5

Page 60

Owner

Moore, William

Mortgaged Collateral

land and the following individuals: Asey Sparks; Bon Lucket; Joe Dawsey; James Hawkins; Augustus Speake; Magloire; Milley Lucket and her unnamed child; Marie and her child Laura; Delia; Millie Gage and her child Bob; Elizabeth Lucket

Dates Source

1837-1838 St. Landry Parish, Conveyance Book IJ-1, p. 188, 1837/04/18, p. 190, 1838/02/24; Tulane University, Citizens Bank Minute Book No. 2: 1838/02/12

Offult brothers

Overton, John H. and Patrick H.

Smith, Raphael J.

Smith, Robert E.

unnamed individuals "" 1835

land and the following individuals: Virgil; Peter; William; Billy; Amos; Harry; 1838 Claiborne; Sterling; Shepherd; Charles; Azores; Peter Jones; Robert; Hector; Joe Lu; Joe Blanks; Beverly; Jeff; Daniel; Soloman; Bob; Bill; Virgil; Mitchell; Becky; Caroline and her children Henry and an unnamed child; Tempy with her child David; Rose and her children Bill and Lydia; Betsy and her five children Henderson, Becky, Dan, George, and an unnamed child; Hannah and her two children illegible and Sukey; Phillis and her unnamed child; Rachel and her child Phillis; Patty and her child Phebe; Flora and her unnamed child land and the following individuals: Aaron; Harriet; Henrietta; Sarah Ann; Arthelia 1837

land and the following individuals: Essex; Melly ; Maria; Charlotte; Matilda; Harriet; 1837 Susan; James; Henry; Nelson; Auguste; Mary; Henriette; Catherine; Louisa an infant girl; Julia; Clarissa

Tulane University, Citizens Bank Minute Book No. 1: 1835/05/11

St. Landry Conveyance Book IJ-1, p.177, 1838/01/20

St. Landry Conveyance Book IJ-1, p.148, 1837/07/31

St. Landry Conveyance Book IJ-1, p. 137, 1837/06/29

St. Martin Parish

Amy, Mrs Carmelite

Boutelou de St. Aubin, Francois Charles

land and the following individuals: Jack; Joe; William; Guillaume; Martin; Jean Baptiste; Rose; Darg

land and the following individuals: Sam; Bessey (alias. Ellen); Isaac; Maryann; and 1838 7 unnamed the following individuals

1856-1858 St. Martin Parish, Conveyance Record 26, p. 123, 1858/04/12; St. Martin Parish, Conveyance Record 24, p. 342, 1856/07/03; St. Martin Parish, Conveyance Record 26, p. 59, 1858/11/29

Assumption Parish, Mortgage Record 1831-1835, p. 209, 1838/10/30; Mortgages 1835-1841, p. 128, 1837/08/10; Mortgage Book 1834-41, p. 209, 1838/10/18; St. Martin Parish, Conveyance Record 11, p. 11; Tulane University, Citizens Bank Minute Book No. 2: 1838/09/03

Boutte, Celeste

land and the following individuals: Louise; Hector or Nelson; Lubin; Zoe; Zenon; Edward ; Alexandre; Petit; Eliza; Victor; Jean Louis

1838 St. Martin Parish, Conveyance Record 10, p. 37; 307, 1838/03/17, p. 370, 1838/05/29

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Owner

Canby, Sarah

Darby, Widow S. M.

DeBlanc, Contance

DeBlanc, Desplanet and Marie Francoise Delacroix

DeBlanc, Louis D. and Marie Constance Labianche

Delacroix, Francois D. Delahoussaye, Octave

Duclozel, Olivier Pierre and Marie Emeranthe Latiolais

Mortgaged Collateral Dates

the following individuals: Denis; John; Washington; Henry Shy; Mary; Maria; 1840 Caroline; Ned Tavis; Godfrey; Kitty Daniel; Little Daniel; Mary Daniel; Martha; Henry Rider; Tesse Rider; Little John Pickett; Sarah Pickett; Ann Rufus; Little Rufus; Edmond Daniel; Martha Daniel; Van Buren Daniel; Martha Tom; Fanny ~ Travis; Charlotte Randolphe; Ann; Henry Kohn; Little John Pickett; Monroe Daniel; . Nanncy; Henry; Henry; Peter; Sam; Manuel; Delly

plantation and 50 unnamed individuals 1844

land and the following individuals: Blaise; Dick; Bob; Dub; Hishem; Henry; 1844 George; John; Meartin; Philippe; Nelson; Harry Parker; Lajeunesse; Etienne; Green; Charles; Pierre; Harry Hatcher; Sandy; Manuel; Louis; Julia; Francois; Milly; Baptiste; Fanchonnette; Jeanne; Zenon; Ursula; Fanchon; Cloementine; Alixcandre; Julia; Rose; Victoire; Annette; unnamed; Mearia; Jack and Winny; Meary; Varker; Adeline; Patience; Scilly; Marianne

land and the following individuals: Charles; Lloyd; Congo; Daniel; Achilles; Alcendor; Symlior; Julien; Francois; Andre; Henry; Levende; Bill; Lewis; Cheri; Robert; George; Cesar; Pierre; Mick; John; Didier; Harry; Jacob; Jean Baptiste; Celestine; Equisthe; Tom; Malvina; Marianne; Magdelaine; Clarisse or Charlotte; Anna; Martha; Mary; July; Emmy; Caty; Pouponnade

land and the following individuals: Maria; Julie; Catiche; Caty; Betsy; Rierden; 1838 James; Dennis; James; Clarisse; Elizanne; Dublin; Nicaud; Violette; Henry Maria's child; James, Maria's child; Dominique Catiche's child

land and the following individuals: Apollon; Louis; Allen; Steven; Henry; Delphine; 1838 Sally; Lucy; Adelaide; Felicite; Alexandre; Laurent

land and the following individuals: Dick; Alfred; Thomas; Jim; Isaac; Julie; 1849 Edouard; Jolivet; Patsy; Ophelia; Lelia; Marie; Maria; Dickson; Patsy; Sophie; Francisque

land and the following individuals: Abraham; Doustan; Dick; Norbert; Mentor; 1837 Sam; John Bull; Bill; James; Senegal; James; Hilerie; Charles; Samuel; Nellie; Sylvie; Peggy; Zenon; Moses; John; Sam; James; Benn; Belzey; Marie

Source

St. Martin Parish, Conveyance Record 12, p. 150, 1840/04/30, p. 217, 1840/06/04

Tulane University, Citizens Bank Minute Book No. 5: 1844/04/10

St. Martin Parish, Conveyance Record 15, p. 116, no 10565, 1844/06/15

1837-1838 St. Martin Parish, Conveyance Record 10, p. 202, no 8162, 1837/07/17; Conveyance Record 11, p. 5, no 8329, 1838/07/13

St. Martin Parish, Conveyance Record 10, p. 294, no 8239, 1838/03/06

St. Martin Parish, Conveyance Record 10, p. 303, no 8246, 1838/03/13

St. Martin Parish, Conveyance Record 1-D, p. 258, no 92, 1849/10/02

St. Martin Parish, Conveyance Record 10, p. 204, no 8164, 1837/07/21; St. Martin Parish, Conveyance Record 10, p. 206, no 8165, 1837^07/22

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Owner

Eyssallenne, Joseph

Mortgaged Collateral

land and the following individuals: Alexander; Fern; Dick; Thomas; Pern; Alfred; Isaac; Julie; Edouard; Joliet; Clemence; Ophelia; Lelia; Eleanore; Marie; Nelssey; Marie; Dickson; Patcey; Sophie; Francis; Patsy; Grace; Clemence

Dates Source

1835-1851 St. Martin Parish, Conveyance Record 9, p. 308 no 7761, 1835/06/08; St. Martin Parish, Conveyance Record 14, p. 265 no. 10336,

1843/09/02; St. Martin Parish, Conveyance Record 17, p. 386, no 11565, 1848/07/15; St. Martin Parish, Sheriff Book 2,, p. 163, 1849/07/10;

Conveyance Record I-D, p. 261, 1849/10/02; St. Martin Parish, Conveyance Record 20, p. 373, no 12565, 1851/12/03; Tulane University, Citizens Bank

Minute Book No. 1: 1835/05/25, Minute Book No. 6: 1848/05/11

Fagot, Charles

Fenwick, Joseph

Fuselier, Clara and Pierre Paul Briant Guidry, Jean Baptiste Jr.

Heard, Edward J. Hickey, Philippe

Judice, Jacques and Marie Louis Hyacinthe Boutte

land and the following individuals: Nick; Paim; Bill; Anny; Julie; Charlotte; Peggy; Sophie; Lavinia; Ketty; Etienne; Don Louis; Marie; Celeste; Honourine; Lucile; Henry

land and the following individuals: Nat; Stephen; John; Henry; Bob; Rachel; Amanda; Nelly; Alsey; Mary; Joseph; Celia; Eliza; Mary Claire; James; Eleonore; Louisiana

plantation and the following individuals: Bessy; Charles; Mearie; Valsin; one

unnamed infant; Marulle; Delphine; Theodore; Henry; AugUste
land and the following individuals: Jean Baptiste; Joe; William; Martin; Jack;
Guillaume

1837-1849 St. Martin Parish, Conveyance Record 10, p. 225, no 8186, 1837/09/16; Conveyance Record 11, p. 135, 1838/11/03; Conveyance Record I-D, p. 259, 1849/10/02; Tulane University, Citizens Bank Minute Book No. 2: 1838/03/03; Citizens Bank Minute Book. No. 5: 1843/04/29; Citizens Bank Minute Book No. 6: 1849/05/15

1837

1844 1838

land and the following individuals: Lewis; Collin; Nealy; Jack; William; Charles; 1840 Abraham; Betsey; Olivia
plantation and the following individuals: Richard; Jacob; Bill; Dan; Ben; Horace; 1838 Mike; Ned; Luke; Sam; Daniel;
Sarah; Susan; Vina; Chloe; Rose and her 2 unnamed children; Mary; Louise; Zelia; Amy and her 2 unnamed children;
Abby; Syney; Molly

land and the following individuals: Joe; Francisque; Leanne; Henrie; Adeline; Lelie; 1834 Jean Louis; Dan; Auguste;
Celestin; Madelaine

St. Martin Parish, Conveyance Record 10, p. 208, no 8168, 1837/08/17

St. Martin Parish, Conveyance Record 14, p. 341 no 10409, 1844/01/02

St. Martin Parish, Conveyance Record 10, p. 265, no 8216, 1838/01/06; Conveyance Record 10, p. 356, no 8292, 1838/05/15

St. Martin Parish, Conveyance Record vol 12, p. 153, no 8760, 1840/05/04

St. Martin Parish, Conveyance Record 11, p. 17, no 8336, 1838/07/29; Conveyance Record 10, p. 365, no 8297, 1838/05/10; East Baton Rouge Parish, Mortgage Book K, p. 15-16, 1838

St. Martin Parish, Conveyance Record 9, p. 178 no 7668, 1834/11/22; Tulane University, Citizens Bank Minute Book No. 1: 1834/10/20

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Owner Mortgaged Collateral

Marsh, Jonas; John Fitz plantation and the following individuals: Austin; Alfred ; Joe Small; Thomas

Miller Monroe; Ben Brown; Phillip; Frank; Peter Jones; George Dodssin; William Jones;

Archey Zucker; Billy Quash; Monroe; Jim Henry; Bull Daniel; Henry Jones; Jacob; Old Levin; Dennis; William White; Bill

Freeman; Gilfred; Jackson; Bill; Ruth Lafayette; George Wallace;; Bill; Franklin; John Jackson; Nicholas; Joe Radfield;

Edward; May; Tom William; George Woolfolk; Lassin; Dick; Moses Lafayette; Charles Ban; Gemison; Jane; Rachel;

Franciliette; Lucky; Sally; Alley; Nancy Brown; Betsey; Judiah; Aveline; Arcenos Jane; Anise; Piggy; Nancy; Mathilde;

Fanny; Rachel; Clarissa; Robert; unnamed boy; unnamed girl; George; Suzan; Geoking; unnamed child; unnamed child;

unnamed boy; unnamed boy; unnamed boy; unnamed girl; unnamed boy; Moses; Billy Ferry; Simbury; William; Bill

Woolfolk; Gimison; Fanny; Sudia; George; George; child of Nancy; child of Betzey; unnamed child of Sudia; unnamed

child of Sudia; Martha E; Henry Davis; Adam; Gilbert; Abraham; Josephine; Catherine; John Baptiste; John Pierre; Kit;

Cyrus; July Ann; Tim; Dorcas; John Trevosh; Becky; Nancy; unnamed child; Delphius; Isaac; Charlotte; Sophie; 2

unnamed children; Isaac; Jack; Abbe; Jim; Nelson; Clintot; Sam Cooper; Manuel; Dareas; Julian

Morse, Isaac Edward land and the following individuals: Courtney; Mary; Maria; Isaac; Laura; Patsy

Dates Source

1838-1844 St. Martin Parish, Conveyance Record 10, p. 326,

no 8269, 1838/04/07; Conveyance Record 11, p. 57, no 8361, 1838/09/26; Conveyance Record 12, p. 38, no 8656, 1840/02/01; Conveyance Record 12, p. ' 279, no. 8866, 1840/08/24; Conveyance Record 15, p. 7 no 10468, 1844/03/08; Conveyance Record 12, p. 110, no 8733, 1839/03/28; Tulane University, Citizens Bank Minute Book No. 2: 1838/06/21, 1838/09/3, 1838/09/24, 1839/05/09; Citizens Bank Minute Book No. 3: 1840/01/11; Citizens Bank of Louisiana Papers, 1834-1914, Folder 5

1837-1844 St. Martin Parish, Conveyance Record 16, p. 329, no. 11270, 1837/12/16; St. Martin Parish, Conveyance Record 10, p. 256, no 8209, 1844/07/21

St. Marc Darby, Francois

plantation and the following individuals: Blaise; Lajumesse Martin; Pierre; Philippa; 1838 Charles; Manuel; Bob; Dick;

Isaac Hirhem Harry; Nelson; Sandy; George; Harry Paster Genne; Dal Louis; Adeline; Louis; Jeanne; Bank Ianhomille ;

Julie; Francois; Ratier; Sally; Mary; Jack; Mary; Molly; Baptiste; Amante Marie; Ann; Eustes; Ken ; Victoire; Greur; Paul;

John; Rein; Barry Parker; Sherena; Henry Hasher; Samuel; Jacksonnetta; Zenon; Frank; Fanchon; Clementine;

Alexandre; Halie; Rose; Annette; unnamed child; Sissy; Maria; Parker; Patience

St. Martin Parish, Conveyance Record 10, p. 351, no 8290, 1838/05/14; St. Martin Parish, Conveyance Record 10, p. 352, no 8291, 1838/05/15

Voorhies, Cornilius and the following individuals: Isaac; Charles; Edward; Norbert; Ned; Nelson; Octave; Marie Cidalise

Mouton Gustave; Joe; Zany; Sarah; Frederick; Amanda; Henry; Orphelia; Martha; Octavia

1841 St. Martin Parish, Conveyance Record 10, p. 86, no

9035/p. 30, no 8995, 1841/06/08; Tulane University, Citizens Bank Minute Book No. 3: 1841/05/06

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Owner Mortgaged Collateral

St. Marv Parish

Brushinn, W.

Darby Brothers

Fuselius, Gabriel and Jules Mossy

Gerbeau, Josephine; Pinckney Bethell

Dates

1839

Billush plantation and 60 unnamed individuals

plantation and the following individuals: Blaise; Dick; Green; Bob; Pub; Hishem; Henry; George; John; Martin; Charles; Pierre; Philippe; Nelson; Harry Parker; Lajeuness; Etienne; Harry Hatcher; Samly; Manuel; Louis; Julia; Francois; Milly; Baptiste; Fanchonnette; Jeanne; Zinon; Ursula; Fastron; Clementine; Alexandre; Ulalie; Rose; Victoire; Annette; unnamed individual; Maria; Jack; Winny; Mary; Parker; Adelaide; Patunia; Scilly; Mariane; Hannah; Caroline; Renny; unnamed individual

plantation and the following individuals: Jim; Bram; Joe; Peter; Old Jim; Rhody; 1855 Dave; Guy; Nancy Joe; Josephine; Joe; Alphons; Jesse; Rosa; Nancy; Joe; Vinat; Willis; Patsy; Thomas; John Henry; Moses; Ben; Louis; Nancy Gorey; Peggy; Kitty; Fulton; Edmund; Old Garey; Nelson; Jud; Phillis; Edmund (alias Kid); Sampson; Nancy; Jefferson; Ben Rosiur; Will; Jerry Hunz; Adam; Reiss; Giles; Hellier; John Barnett; Dolly; Frank.Joe; Caroline; Sarah Jackson; Albert Collier; Haywood King; Violet Shephard; Phyllis; Aveline; Oliver; three unnamed individuals; Louisa Rogers; Victoria; Patience Gur; Milly; Gilbert^Eliza; William Wilson; John Clark; Dick Duncan; Nancy Donaldson; Bartley; Zenon; George; Billy; Cobb .Wright; Charles; Eliza Lou Grant; Jackson; Louisa; Harriett; Hannah; Reubin; Casar Scott; Dick Bowlkes; Fielding

plantation and the following individuals: Edmund; John; George; Charles; Philippe; 1857 Celestin; Adelaide; Sam; Louisa; Julia; Western; Rosette; Emma; Francoise; Marianne; Maria; Peggy; Minda; James; Samuel; Cornelia; Celiete alias Pousse; Azelia; Seline; Raphael; Manuel; Nancy; Christin; Jacob; Thomas; John; Harry alias Aimee; Abraham; William; Kerba; Nina; Betsy; Clara

Source

Tulane University, Citizens Bank Minute Book No. 2: 1839/04/04, 1839/04/08

St. Mary Parish, Mortgage Book 17, p. 116, 1854/02/06

Tulane University, Citizens Bank Minute Book No. 7: 1855/01/16; St. Mary Parish, Mortgage Book 18, p. 3, 1855/01/26

St. Mary Parish, Mortgage Book 19, p. 123, 1857/04/08

Page 65

Owner

Huger, John Middleton and Samuel M. Ogden

Marsh, John C.

Mortgaged Collateral Dates

Cote Blanche plantation and the following individuals: Big Jim; Old Nelly; 1846 Washington; Nelly; Armistead; Nicey; Cinthia; Milly; Medina; Caster; Albert; Rosine; Jefferson; Minerva; Saunders; Ted; Old Harvey; Mangey; Dixon; Edmond; Suzan; Tosch; Violet; Dave; Nelson; Caroline; Emily; Melinda; Toney; Thomas; Elizabeth; Susan; Miria; Menna; Jake; Old Tom; Munroe; Fanny; Tom; Nanny; Courtney; Beckey; John; Stephen; Eliza; Modilla; Meunda; Carey; Harry Boyston; Old Jacob; Nancy; Jack; Isham; Old Major; Major; Alick; Sophy; Old Tom; Billey; Abraham; Minta; Bolly; Edmund; Sam; Peggy; George; Roderick; Harry; Edda; Cretea; Charity; Martha; Pat; Sally; Jim; Betsey; Lucy; Joe; Calvin; Louis; Jackson; Tabby; Andy; Coleman; Dorcas; William; Artemes; Rhody; Amy; Spencer; Leah; Gilbert; Dinah; Barbara; Patience; Nathan; Peyton; Peter; Old Mary; Old Jane; Jane; Old Sarah; Toney; Affy; Patty; Phillis; Molley; Thomas; Chloe; Beck; Aaron;

Sally; Andrew; Mary Poincy; Dick; Old Hannah; Tony Jack; Jenah; Stephey; Joseph; Rudy; Audez; Daphne; Little Hannah; Littly Party; Bristol; Ned; Charlotte; June; Sabrina; Philip; Rose; Belmont Jack; Mariah or Murriah; Russ; Gui; Venus ; Violet; Dorcas; August; William; Jackson; Anthony; Mary; Sophy; Amos; Frank; Racchus; Little Jack

plantation and the following individuals: Peter; Jack; Jim; Gus; Joe; Ned; Sawney; 1838 Bill; New Frank; William; Old Frank; Cain; Arcly; Henry; Sabrey; Athena and her children Jake and Betsy; Sarah and her children Elsey and Phill; Suckey and her children John, Mary Ann, Jerry, Margaret, and Peet; Milley and her child Betsy; Little Betsy; Little Maria and her child Little Louisa; Suze; Jane; Louisa; Sylvia and her children Rosalie, Harriet, and John Lous; Sally and her children John, Effy, Mary Ann, and George; Mary and her children Frances, Purvey, and Eveline; Charity; Chloe; Grace; Big Maria and her children Edward and Durand; Hona; Foster; Bob; Gus; Durand; Bill; Little Ned

Source

St. Mary Parish, Mortgage Book 12, p. 385, 1846/04/21 ;Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder5

St. Mary Parish, Mortgage Book 1837, p. 195, 1838/03/15

Moore, John

the followingwndividuals: George; George; Sam; Nancy; Rose; Bob; Caroline; Abby; Therese; Howard

1843 St. Mary Parish, Mortgage Book 11, p.

1843/06/01

260.

Page 66

Owner

Nicholas, R. C. and B. G. Tenney

Mortgaged Collateral

sugar plantation on Cote Blanche and the following individuals: Abram; Nelson; Washington; Edmund; John; Tom; Ruben; Amistad; Richmond; James; Henry; Major; Sam; Stephen; Peyton; Big Jim; Monday; Pompey; Poun; Peter; Big Sam; Charles; Major Thomas; Sanders; Jacob; Jefferson; Dixon; Marion ; Harry ; Bill Cooper; Tom Cooper; Jacob; Old Ben; Lucy; Molly; Rody; Susan; Dinah; Liza; Amy; Milly; Sally; Nelly; Tepi; Fanny; Violet; Chanty; Caroline; Mary; Tabby; May; Hormld; Mary; Dave; Tom; Jos_eph; Andrew; Fred; Venus; Mannory; Edy; Leah; Lyncheu; Amy; Polly; Milly; Susan; Barbery; Nancy; Delly; Caloin; Solomon; Ninnals; Tom; Caroline; Edmund; Sohpy; Minerva; Cotney; Palum; Artamus; Ellen; Emily; Coleman

Nicholas, Robert Carter Cote Blanche Plantation and the following individuals: Jacob; Little Mayor; Stephen; Little Jacob; Nelson; Edmond; Armisted; Monday; Big Harry; Washington; Peyton; John; Young Jon; Big Mayor; Bill; Peter; Fersh; Richmond; Eliza; Tammy; Charity; Caroline; Nelly; Violet; Diana; Tubby; Nancy; Harriett; Nicy; Milly; Lacy; Little Mary; Rhony; Sally; Minty; Saunders; Jefferson; Minerva; Dickson; Harry; Davy; Tom; Naney; Courtney; Eddy; Paully; Susanna; Jacob; Barley; Patrick; Coleman; Frederick; Minerva; Cintly; Molly; Penina; Abraham; Buster; Leah; Vina; Solomon; Joe; Calvin; Martha; Amy; Jane; Edmond; Modilla; Alexander; Handy; Little Tim; Charles; Sorberton; Sophia; Lindy; Elizabeth; Albert; Minerva; Jack; Cerias; Betsy; Thomas; Casey; Tomy; Lewis; Marthon; Rindey; Emily; Artemis; Patrick; Becky; Louisa; Margaret; Sam; George; Peggy; Harold; Willy; Mamah; Jackson; Spencer; Charlotte; Lorean; unnamed individual; Harnby; Robinson; Hisam; Virginia

Dates

1837

1837

Source

Concordia Parish, Mortgage Book J-K, p. 10, 1837/07/11; Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder 1, 1836/02/06
Tulane University, Citizens Bank Minute Book No. 2: 1837/06/19; Citizens Bank of Louisiana Papers, 1834-1914, Folder 1, 1836/02/06 ; St. Mary Parish, Conveyance Book F, p. 401, 1845/08/03

Pavy , Pierre Joseph plantation and the following individuals: George; Frederick; Matilda

1837 st- Mary Parish, Mortgage Book 9, p. 77,

1837/06/27; Mortgage Book 10, p. 1.31,

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Owner

Tenny, Bernard

Tenny, Bernard and Robert Carter Nicholas

Mortgaged Collateral Dates

Cote Blanche Plantation and the following individuals: Abram; Nelson; 1837 Washington; Edmund; John; Tom; Ruben; Anstead; Richard; James; Henry; Major; Sam; Stephen; Peyton; Big Jim; Munday; Pompey; Pam; Peter; Big Sam; Charles; Major Thomas; Janaus; Scott; Jefferson; Dixon; Monroe; Harry; Bill Cooper; Sam Cooper; Jacob; Old Ben; Lucy; Milly; Rody; Susan; Dinah; Lize; May; Milly; Sally; Milly; Jesse; Fanny; Violet; Charity; Caroline; Nancy; Tabby; Mary; Honield; Macy; June; Caroline; Edmund; Sophy; Dave; Tom; Joseph; Andrew; Ted; Venus; Mannary; Edy; Leah; Lynchen; Anny; Polly; Milly; Susan; Barbary; Nancy; Dolly; Calvin; Saloman; Moncron; Colney; Palnn; Actanuse; Ellen; Emily; Colmon

Cote Blanche Plantation and the following individuals: Ben; Jacob; Charles; Luba; 1845 Tom; Little Major; Steven; Little Jacob; Nelson; Big Sam; Edmund; Armstead; Monday; Big Harry; Washington; Peyton; Big Jim; Reuben; Pomprey; John; Little Jim; Young Jim; Big Major; Bill; Little Sam; Peter; Joe; Richmond; Eliza; Susan; Fanny; Charity; Caroline; Nelly; Violet; Dina; Tyret; Job; Betsey; Nancy; Hariett; Micey; Nelly; Liney; Little Mary; Rhody; Sully; Big Henry; Minthy; Saunders; Jefferson; Dickerson; Harry; Dave; Tom; Mary; Cortesey; Cury; Polly; Susan; Jacob; Andy; Jarban; Patience; Coleman; Frederick; Minerva; Sidney; Milly; Penina; Carter; Leah; Vina; Solomon; Ive; Callvin; Martha; Amy; Jane; Elinor; Mordilla; Alexander

Source

Tulane University, Citizens Bank Minute Book No. 2: 1837/06/19; St. Mary Parish, Mortgage Book 9, p. 18, 1837/07/14

St. Mary Parish, Conveyance Record F, p. 372, 1845/05/03

St. Tammany Parish

Baham, Renez land and the following individuals: Luca; Peter Buck; Charles; Lewis; John; Peter; Jack; Charlotte; Betsey and her unnamed infant; Caroline; Fanny; Catherine; Alexander; George; Pierre; Isaac; Cecile; Sylva

Belargen, David land and the following individuals: Thurston; Justin; Sam; Nelly and her three children Lewis, Martha, and Joe; Fanny and her three children Rosalie and two unnamed children; Adam; Caleb; Amistad; Daniel; Vina and her two unnamed children

land and the following individuals: Clark; Hesspi; Cynes; Wesley; Sonthy; Caleb; Tom; Jessy; George; Elias ; Lewis;

Hector; Old George; Joshua
Cousin, Terrence

1838

1843

1838

St. Tammany Parish, Mortgage Book 1835 -1838 (vol. 63), p. 516, 838/03/18

St. Tammany Parish, Mortgage Book 64, p. 399, 1843/11/07, p. 400, 1843/11/22

St. Tammany Parish, Mortgage Book 1835 -1838 (vol. 63), p. 478, 1838/02/01

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Owner

Deguy, Mrs. F. V.

Dunn, William

Mortgaged Collateral

brickyard and 16 individuals; including: John Mason, his wife Elve, and their children Mary, Elizabeth, Maria, Helene, and John; Alphonse; Ned Hawkins; Charles Hawkins; Armstead; John Monk; Chidrick; Alfred
plantation and unnamed individuals

Dates Source

1856 -1859 Tulane University, Citizens Bank Minute Book No. 7: 1856/03/07; Citizens Bank Minute Book No. 8: 1859/12/12

Tulane University, Citizens Bank Minute Book No. 4: 1841/09/30

Felicie, Felicite; land and the following individuals: Zacharie; John Mason, his wife Chloe, and
Elizabeth Elise De Gruy their 8 children: Mary, Pita, Ann, Elizabeth, Maria, Helene, John, and unnamed
infant; Aaron, his wife Emeline, and their 3 children Fanny, William, and George;
Hephonse; Neo Hawkins; Charles Hawkins; Armstead; John Clark; Chedrick;

>4eprea

1841

1852-1856 St. Tammany Parish, Book B, p. 377, 1856/03/25

Griffin, Hippolyte Guesnon, Omer Lesassier, Camelite Lewis, John Hampden

Marigny, Bernard

Fontainebleau plantation; brickyard; with the following: Nelly; Catiche; Victor; and other unnamed individuals

land and the following individuals: Charles; Henry; Jerry; James; Nick; George; 1838 Marseille; Flora; Marguerite

land and the following individuals: John; Elizabeth and her child Pauline 1837

land and the following individuals: Tom; Mary; May; Rhina; Moses; Nancy; 1841 Frederick; Hannah; Cesar; Bella and her
four children Sophia, Lizzy, Phillip, and Lucina; April; Hannah and her three children Isaac, Mary Ann, and Flora; Scott;
Daphney and her two children George and David; Big Billy; Old Sue; Londo; Sue and her four children Silus, Nelly,
Primus, and an unnamed infant; Patrick; Amelia; Maurice; Primus

plantation and the following individuals: Big Ben; Charles; Henderson; Big Henry; 1834-1851

Garry; illegible; Anthony; Small Henry; William Harper; Peter; illegible; Isaac;

Denis; German; Taliba; Thomas; Ronamy; Pilate; Solimon; Harmon; John; Sam;

Ephraim; Gilles; Big Fanny; Augustin; Milis; Sandy; Fenton; Diana; Hesly; William;

Hetty; Sophie; Lucile; illegible ; Grande Marie; Lizal; Fanny Carter;-Are.line;

Lisabeth; illegible; Jeanne; Adam; John; Nancy; Charlotte; unnamed individual;

Mily; Rachel; Jeanne; Caroline; Julienne; Lizal; Lucindy; Martha; Maria; Sarah;

Major; Gustave; Annee; Lavina; Celina and her unnamed two children; Anna and

her children Francois and Eulahe; Augustin; St. Jean

1852-1855 Tulane University, Citizens Bank Minute Book N°- 7: 1852/02/10, 1852/02/17, 1855/06/15 ■

St. Tammany Parish, Mortgage Book 1835 -1838 (vol. 63), p. 511, 1838/01/31

Mortgage Book 1835 -1838 (vol. 63), p. 489, 1837/12/25

St. Tammany Parish, Mortgage Book 64, p. 285, 1841/10/18, p. 384, p. 531; Tulane University, Citizens Bank Minute Book No. 5: 1846/02/05

Tulane University, Citizens Bank Minute Book No. 1: 1834/09/20, Citizens Bank Minute Book No. 3: 1841/03/29, 1841/04/01, 1841/02/17, Citizens Bank
Minute Book No. 4: 1842/02/26, 1842/01/19; Citizens Bank Minute Book No. 5: 1845/07/31; Citizens Bank Minute Book No. 6: 1850/11/19; Citizens
Bank Minute Book No. 7: 1851/09/16; Citizens Bank of Louisiana Papers, 1834-1914, Folder 3: 1841/07/03

Page 69

Owner

Marigny, Bernard

Marigny, Bernard

Mortgaged Collateral

Fontainebleau Plantation and the following individuals: Nestor; Gilbert; Manuel; Ned; John; Emery; Tandely; Pierre Bastim;
Bazile; Raimond; Morphine; Pierre Jason; Appoton; Wait; Capitaine; Valery; Jasmin; Ned; Hums; Frederic; Georges; Ned
Alix; George; Ponpon ; Pierre; Oreste; Virgile; Lendor; Celestin; Jackson; Lannon; Perry; Tom; Prosper; Davis; Ephraim;
Jasmin; James; George; Nelson; Bob; James; Jack; Thomas; Robert; Petite Steven; Cyhrien; Mahomet; Francois;

Gedale; Bartholome; George; Jean Baptiste; Davis; Anguste; Bill; Ulysse; Frosine; Leveadie; Adelaide; Coree; Delphine; Amelie; Acanchore; Petite Mary; Margaret; Marie; Marthe; Charlotte; Celie; Gran Jane; Alix; Catiche; Pinba; Petite Rachel; Feliece; Anna; Nelly; Patience; Patty; Cesaie; Annah; Mehely; Constance; Amelie; Hannah; Melite; Mary; Marianne; Jane; Rachel; Louisa; Petite Melite; Adeline; Asarine; George; Juliene; Lewis; Vicotr; St. Louis Jean; Amson; Allen; Louis; Manuel; Clemence; Jacques; Rosaline; Mariannette; Celestine; Becky; Violette; Anna; Agnes; Madeline; Genevieve; Elizabeth; Climene; Rachel; Patsy; Mariannette; Bonne; Marguerite; Francoise; Dorant; Clinace and her child; Patrick; Nellzetand her children Marie Noel, Aguoi, and Jaques; Petite Melite; Violette; Allen; Louis; George; Mary Bill; Bill; Israel; Lisa; Aguoi; Julian; St. Louis; Petite Steven; Clement; Valerie Golette; Nelson; Ned Golette; Petite Prosper; Drete; Gros Valinz; Lucille and child; Aimee Kentucky; Agathe; Matilde; Belisaine; Petite Zenon; Sam; Selina and her two unnamed children; Julianne and her two unnamed children; Poicu; Petite Mary; Abraham land and the following individuals: Marie Corington; Marie Bill; Bigny; John Magnane; Celestin Mannane; Grande Jeanne; Anna; Jean; Adams; January; -Thomas; Proster; Amelie; Reine and her son Cecil; Mary; Acquo; El-Valentine; Grande Amelie; Lison; Antoinette; Patty; Bill; Bill (alias Belle Carting); Frederick; . Pauline; Henderson; Mase; Joe; Pitu; Bon Ami; Ameline; Pinta; Alix; Fanny and her four children Antoine, Eugene, Claire, and an unnamed infant; Blaise; Gilles; Ben; Charles; Augustus; Allen; Remy; Henderson; Grand Olivier; Olivier; Grand Henry; Ephraim; James; Isaac; Garry; Thorn; Anthony; Little Henry; William; Peter; Randal; Alii; Manuel; Sandy; Gorman; Brutus; Lubin; Taliba; Augustin; Canphre; Thomas; Michel; Benjamin; Pilate; Soliman; Oudon; Phaeton; Francois; John; Grande Diana; Petite Diana; Martha; Elvy; Agnes; Anny; Luncinda; Polly; Grande Marie; Jenny; Fanny; Susanne; Little Fanny; Charlotte; Little Mary; Rachel; Jeanne; Phoebee; Lucie; Julianne; Sisa; Aime ; William; Sam; Miner; Frank; Elisa; Charles; Fenton; Maria; Denis; and unnamed individual

Dates Source

1834-1845 St. Tammany Parish, Book 62 p. 204, 1834/09/06; Book 63 p. 232, 1837/05/12; Book 64 p. 221, 1841/04/28; Book 64 p. 479, 1845/10/28
St. Tammany Parish, Book 64 p. 44, 1839/04/08, p. 149, 1840/03/25; Tulane University, Kuntz Collection no. 600, 1834/11/1, 1836/7/5
Page 70

Owner

Marigny, Mrs. Martial
Merle, John

Mortgaged Collateral

Lebeuf, brickyard with Caroline and her two unnamed children; York; Charles, Lawson, and 40 other unnamed individuals land and the following individuals: Richmond; Perry; Charlie; Humphrey; Lisbon; Joe; Pleasant; Anderson; Tannely; John; Henry; Davy; Fred; Bill; Bristo; Michel; James; John; Squire; Polley; Polly and her child Sarah; Sarah

McQueen, William

Morgan, David B and Mary C.

plantation and the following individuals: Tom; Lott; Sam; Frederick; Cesar; William; Moses; John; April; Tom; Billy; Benmus; Sun; William; Moris; Mary; Hannah; Cate and her child Patty; Renah; Patty; Jenny; Daphne; Dilla; Hannah; Nelly; Mecury; Christiana; Little Tom

Dates Source

1850-1859 Tulane University, Citizens Bank Minute Book No. 6: 1850/04/24; Minute Book No. 7: 1851/11/04, 1852/02/24, 1852/01/21, 1852/03/02, 1852/04/27, 1856/01/07; Citizens Bank Minute Book No. 8: 1859/05/23
1835-1838 Tulane University, Citizens Bank Minute Book No. 2: 1838/02/15; St. Tammany Parish, Book 63 p. 442, 1835/10/14; Mortgage Book 64, p. 6, 1838/11/20

1835-1839 St. Tammany Parish, Mortgage Book 62, p. 329,

1835/03/18; Mortgage Book 63, p. 230, 1837/04/13; Mortgage Book 64, p. 79, 1839/08/15

land on the Black River and the following individuals: Frederick; Sally and her 8 1838-1852

children Agnes, Jordan, Eliza Jane, Richard, Elizabeth, Amelia, Sally, and Matilda;

Maria and her five children Robert, Jefferson, Edmond, Eliza, and Benjamin;

Delysha and her 5 children Tom, Nelson, Jim, Elisa, and Rachel; Nancey; Grace;

Louisa and her unnamed child; Yorick; Jim; Thornton; Preston; Sam; Caleb;

Armistead; Daniel; Abner; Nelly and her 5 children Lewis, Martin, Jio, Deli, and

Claiborne; Fanny and her children Rosalie, Alfred, William, and Alexander; Viney.

and her children Julia, George, Mahadier, and Charles; Frederick; Tom

Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder 2: 1838/01/12; Citizens Bank Minute Book No. 5: 1843/11/13; Citizens Bank Minute Book No. 7: 1852/01/06, 1852/04/06, 1852/02/10; St. Tammany Parish, Mortgage Book 63, p. 449, 1837/08/15; St. Tammany Parish, Book A (vol. 65) p. 21, 1847/08/03

Parent, Charles

Penn, Alexander Gordon

land and the following individuals: Edmond; Nace; Griffin; Jacob; Adam; Solomon; 1837-1843 st. Tammany Parish, Mortgage Book 63, p. 346,

John; Adam; Charles Whitman; William; Mason; Charles Day; Charles Moon; Nace Sam; Isabella; Charlotte; Emile;

Malinda; Cloe; Caroline; Zacharie; Elick; Rob; Emeline; Pauline; Josephine; Maria; Henrietta; Eliza land and the following

individuals: Abraham; Levin; Charles; Abbey; Ann; Mary; London; Celina; George; Betsey

1837/07/15, p. 540, 1838/05/08; Mortgage Book 64, p. 396, 1843/11/06

1838-1840 St. Tammany Parish, Mortgage Book 1835 -1838 (vol. 63), p. 502, 1838; Mortgage Book 1838 - 1847 (vol. 64). p. 160, 1840/05/02; Tulane University, Citizens Bank Minute Book No. 5: 1843/01/28

Strawbridge, George

brickyard and the following individuals: Joe; Sam; Jerry; Jim Burke; Jacob; Will Burke; Dorsey; Clinton; Norfle ; Rose and her 6 children Mary Jane, Green, Solomon, Whitman, Emile, and Stephen; Alexander

1855-1857 Tulane University, Citizens Bank Minute Book No. 7: 1855/05/04; St. Tamman Parish, Book B, p. 238, 1855/05/11; Conveyance Book B, p. 446, 1857/05/06

Page 71

Owner

Suvis, John S. L.

Webber, Justus H.

Mortgaged Collateral

plantation and 15 unnamed individuals

brickyard and the following individuals: Underwood; Nancy; Little John (alias Isaac); Nob; Isaac; Jim; Edinboro; Susan; John; Molly; Larry; Priscilla; Sam; Bob

Dates Source

1842 Tulane University, Citizens Bank Minute Book No. 4:

1842/04/18

1852-1853 ^{SL} Tammany Parish, Mortgage Book B, p. 10,

1852/10/05, p. 88, 1853/03/09; Tulane University, Citizens Bank Minute Book No. 7: 1853/01/13, 1853/02/17

Tensas Parish

Butler, Ira; John land and 9 unnamed individuals

Murdock

1846 Tulane University, Citizens Bank Minute Book No. 5:

1846/03/19

Terrebonne Parish

Barrow, R. two plantations and 20 unnamed individuals

Chandler, Joseph

Gibson, Tobias

Lawless, R. C. Pierce, Mrs. John

Semple, Joseph

c. 1848

1838

plantation and the following individuals: Set; George; Lewis; Bill; Rack; Prince; Charles; Doyd; Bean; Ann; Milly; Isabella; Kitty; Lucy; Hannah; Sarah; Rachel; Leon; Henry

plantation and the following individuals: Jacob; Bob; Croxten; Isaac; Harry; Peter; 1838 Joe; Terry; Melissa; Barbary; Martha; Frances; Celette; Nancy; Eveline; Cassa; Sally; Henry; Watkins; Andrew; Reuben; Charles; Bennetta

plantation and unnamed individuals

plantation and the following individuals: Billy; Big John; Harry; Figin; Young Billy; George; Jim; Henry; Phillip; Sid; Charles; Eli; George; Stephen; Thomas Jefferson; Robert; Arthur; Sam; Dick; Walter; Eugene; Charles; Tom; Archibald; Howard; Webster; Betsy; Cortney; Betsy John; Milly; Rachel; Mathilda; Margaret; Frances; Rosella; Martha; Patsy; Sarah; Lydia; Maria; Amanda; Harriet; Jane; Virginia; Rebecca; Elizabeth; Ella; Lucy; Cortney; Rachel; Eliza; Cornilia; Nelson; John; Susan

plantation and unnamed individuals

1857

1855

1858

Tulane University, M-1847, Citizens Bank Mortgage Book

Terrebonne Parish, Mortgage Book B, Pt. I, Entry 500, 1838/05/28

Terrebonne Parish, Mortgage Book B, Pt. I, Entry 497, 1838/03/08

Tulane University, Citizens Bank Minute Book No. 8: 1857/08/24

Terrebonne Parish, Mortgage Book F, Entry 1836, 1855/04/12; Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder 5: 1835/05/07

Tulane University, Citizens Bank Minute Book No. 8: 1858/01/28

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Owner

Shaffer, William A. Shields, R. B.

Woods, William L.

Mortgaged Collateral

land and the following individuals: Simon; Abram; John; Joseph; Lenard; Lucy; Hanna; Sarah; Sarah,Ann; Polly; James
plantation and the following individuals: Ben; Chandler; Jaret; Ma.nson; Taylor; Louisa; Jantie; Charity; Lydia; William;
Jack; Leah; Rohina; Mansero; Leri; Parker; Mark; John; Yellow John; Long John; Hannah; Rose; Kitty and her unnamed
child; Amanda; Minerva; Sarah; Henry; Letty; Caleb; Sam; Cyrus plantation and the following individuals: John; Harry;
Charles; Betsy; Betsy; Milly; Matilda; Rachel; Courtney; Margaret; George; Frances; Martha; Tim; Betsy; Sarah; Dick; Lydi

Dates Source

1838 Terrebonne Parish, Mortgage Book B, Pt I, Entry
501, 1838/04/21
1858 Tulane University, Citizens Bank Minute Book No.
1858/01/28; Citizens Bank Papers, Folder 5
1837 Terrebonne Parish, Mortgage Book B Pt. 1, Entry
484, 1837/10/28

Washington Parish

Bertaud, brothers . plantation and 10 unnamed individuals
Bourdin, Jean Murrar, M. St. Mark, S.

unnamed individuals

plantation and unnamed individuals

plantation and unnamed individuals

C 1848 Tulane University, M-1847, Citizens Bank Mortgage Book
1834 Tulane University, Citizens Bank Minute Book No. 1:
1834/09/22
1859 Tulane University, Citizens Bank Minute Book No. 8:
1859/05/16
1841 Tulane University, Citizens Bank Minute Book No. 4:
1841/05/31

West Baton Rouge

Allain, Valerie unnamed individuals

Allain, William

plantation and 22 unnamed individuals

1835 Tulane University, Citizens Bank Minute Book No. 1:
1835/11/27
C. 1848 Tulane University, M-1847, Citizens Bank Mortgage Book
Page 73
v..

Owner

Barrow, Robert H.

Mortgaged Collateral

Patton plantation and the following individuals: Dick Latimore; Mathilda; George Hallaged; Marshal; Ben; Dan; Celeste;
Johan; Esther; Else; Rose; Eliza; Deliah; John; Jake Bradford; Mary Johnson; Sarah; Margaret; Emiline; Victoria; Julia;
America; Wick; Barthy; Little Joe; Elora; John Latimore; Elizabeth; Old Nancy; Harriet Hunt; Willis; Jane; Arean; Jake
Thompson; Philis; Elizabeth Cook; illegible ; Louisa; Big Joe; Jenny; Dorcas; Charles Harris; Little Harriet; Isadora; Lyn;
Bidly; Edmonia; Hnery; Chancy; Henny Hunt; Letty; Turner; Maria Rust; Little Turner; Celeste; Maria Morris; Arelda;
George Sample; Little Mary; Ann; Zena; Joshua; Dicey; Eliza; Dick Young; Little Robert; Bob Riley; Adolphus

Dates Source

1853-1855 Tulane University, Citizens Bank Minute Book No. 7: 1855/04/15; West Baton Rouge Parish, Mortgage BookU, p. 457,1853/04/17
Beal, Robert

Blanchard, Ziphian

land and 2 unnamed individuals .

plantation and the following individuals: Joe Brown; Edward; Little Joe; Ben; Pierre; Charles; Valentin; Joseph; Maurice;
Politte; Silvain; Tom; Frank; Charles; Plume; Leandre; Brami; Henry; John; Pana; Charlotte; Sally; Dalize; Claire; Louise;
Clemence; Marianne; Sally; Silie; Marie; Julienne; Julie; Adiline; Aimee; Sizey

1855 Tulane University, Citizens Bank Minute Book No. 7:
1855/07/10
1838 West Baton Rouge, Mortgage Book M, p. 108,
1838/03/11
Clark, Samuel M. D.

Devall, James and Emilie Bernard

Dougherty, John

Doussan, Joseph Antoine and Lise Patin

Favort, Louis Favort, P.

plantation and the following individuals: Wilfird; Lawson; John; Ed; Peter; Sara; Fannv; Martha; Leah; Hannah; Betsev;

plantation and the following individuals: Thomas; Catherine; John; Es; F. Scott; Sarah; Fanny; Marianne; Henry; Harriett; Washington; Caroline; Davy; Robert; John; Thomas; Sophia; Lucy; Joe; Dick; Jim; Martin; Dolly and her child Armand; 2 unnamed individuals; Martha; Ellen

plantation and the following individuals: Dick; Daniel; Peter; Ralph; Richard; Isaac; Louis; Will; Tony; Fanny; Marianne; Eliza; Dorothee; Henry; Charlotte

plantation and unnamed individuals

1837- 1849 West Baton Rouge Parish, Mortgage Book M, p. 68,

1837/10/21, p. 273, 1838/08/02, Mortgage Book R, p. 98, 1849/03/18; Tulane University, Citizens Bank Minute Book No. 2: 1838/06/04

1838- 1839 West Baton Rouge Parish, Mortgage Book M, p. 66,

1837/10/19, p. 96, 1838/02/27, Mortgage Book N, p. 173, 1839/04/04

1860 Tulane University, Citizens Bank Minute Book No. 8:

1860/12/17

plantation and the following individuals: Pierre; William; Fris ; Manette and her two 1836-1837 unnamed children

West Baton Rouge Parish, Mortgage Book L, p. 264, 1836, Mortgage Book M, p. 75, 1837/12/09

plantation and the following individuals: Louis; Bob; Jack land and unnamed individuals

1838 West Baton Rouge Parish, Mortgage Book M, p.

84, 1838/01/24

1837^{West} Baton Rouge Parish, Mortgage Book N, p.

27, 1837/07/27

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Owner

Grand-Pre, Etienne; Patin, Mrs. C. and Mrs; F. Allain

Mortgaged Collateral

plantation and the following individuals: Honore; Noel; Ben; John; Scott; Hyppollite; Linore; Joseph; Celerie; Rose; Geneviere; illegible and four children illegible; Melite; John; and Athalie; Aurilie and her child Louisa; Fris; Tina; Mary; Pierre

Dates Source

1834-1848 Tulane University, Citizens Bank Minute Book No. 1: 1834/10/13; Minute Book No. 6: 1847/01/11; West Baton Rouge Parish, Mortgage Book L, p. 78, 1835/02/28; Mortgage Book O, p. 343; Mortgage Book P, p. 167, 1845/02/19, p. 530, 1848/02/15

Hiriart, Sebastian and Marceline Major

Kinchelloe, W.

Landry, A. and P. Verbois Landry, Joseph

Landry, Ursin

plantation and the following individuals: Baptiste and his wife Marianne; Yellow Dick; Moses; Adonis; Little Sam; Big Sam; Big Dick and his wife Jenny; Cornelius; William; Richard; Little Tom; Jenkins; Hubers and son Fridon; Nilson; Ephraim; Marshall; Ben; Noe; Little York; Big York; Randan; Daniel; Charles; James Crack; Big John; Big Jesse; Little John; Little Jesse; Salomin; Bob; Esau; Elick; Joshua; Moses Erwin; Dick Plaquemine and his wife Marie Mahere; Big Isaac; Little Isaac and his wife Little Aimee; James Bishop and his wife Lucy; Drayman Tom; Frank; his wife Cassy; and their children Pelagre and Angela; Allen; Jenny and her son Lafayette; Baptiste; Big Abraham and his wife Molly; Jack; Constance and her daughter Chalmette; Pierre; Bebelles; Elick; Ben Borie Plaquemine; Billey Ernest; Nick; Peter; Landry and his wife Letty; Wilson; Lubin and his brother Pierre; Rachel and her son Achille; Aleyon; Antoine; Barras; Constant; Beverley; Clinton; Petion; Jackson; Francois; Robert; Bob; Benjamin; Simon; Casto; Sarah and her children Eugene and Louise; Caroline

the following individuals: Achille; Abraham; Allen; Ben; Badgio; Dick; Eugene; Frank; Isidor; IsaacfJoshua; Big John; Petit John; Jackson; Jack; Lubin; Lafayette; Marechal; Peter; Old Pierre; Salomon; Sandy; Tom; Wilson; William; York; Angela and her son Bill; Constance and her children Adelia, Rachel, and Cidalise; Chalimette; Clemence; Little Justin; Louise; Old Lucy; Mary Ann; Mary and her children Celestin, Abraham, and Basil; Molly; Pelagia; Rachel; Letty; Harriet and her three children Alia, Patsey, and Mary; Melinda; Anna; Nancy; Cornelia

plantation and 7 unnamed individuals

plantation and the following individuals: David; Nelson; Julianne; Henriette; Julien; 1838 Jean; William

plantation and the following individuals: Jean-Louis; Alick; George; Maria; Eliza; 1838 Marianne; Augustin; Rose; Ben; Elizabeth

1835-1847 Tulane University, Citizens Bank Minute Book No. 1: 1835/11/27, Minute Book No. 5: 1845/05/19, Citizens Bank of Louisiana Papers, 1834-1914, Folder 3, 1847/05/21; West Baton Rouge Parish, Mortgage Book K, p. 271, 1836/02/24, Mortgage Book M, p. 493, 1841/06/26, Mortgage Book P, p. 220, p. 455, 1845/07/29, Mortgage Book Q, p. 313, 1847/07/26, Mortgage Book S, p. 180, 1849/07/28

1850

West Baton Rouge Parish, Mortgage Book R, p. 320, 1850/07/11, p. 327, 1850/07/26; Tulane University, Citizens Bank Minute Book No. 6: 1850/07/09

West Baton Rouge Parish, Mortgage Book T, p.. 312, 1854/05/18

West Baton Rouge Parish, Mortgage Book M, p. 91, p. 100, 1838/02/17

West Baton Rouge Parish, Mortgage Book M., p. 120, p. 131, 1838/03/26; Mortgage Book N, p. 109, 1838/07/26

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Owner

Lobdell. John L.

Leeson, John L.

Mortgaged Collateral

plantation and the following individuals: Humphrey; Little Nancy; Emma and her children Jean Baptiste and Mary Catherine; Alfred; Maria; Nannette; Peter; Henry; Sercy; Grace; Polly; Frances; Louisa; Martin; Gabriel; Handy; Nancy Sercy; Alexander; Munro; Milly Sercy; Jack; Jeannette; James Munro; Nanette; William; Randell; Sally; Amus; Edmund; Simon; Prince; Albert; Sharlotte; Shadrach; Sarah; John Reed; Jane; Charles; Turner; Jesse; Sally; George; Mathilda; John Monroe; Doctor; Esther; Harriet; Auma; William Dime; Aylsey; Abraham; Andrew; Ellazma; Presilla; Caroline; Isaac Cooper; Joe; Hillary; Little Ben; Flora; Hannah; Jourdan; Ellen; Rina; Dicey; Joycey; Joe Boon; Polly; William Boon; Isam; Emily Rean; Rosanna; Mary Ann; Lucinda; Lavinia; Old Ned; Toby; Lodaiska; Wilson; Terecine; Delphine; Clarice; Molly; Ned; Cemental; Netty; Amelia; Burnettal; Merridy; Indy; Wealthy; Adeline; William Gray; Arinall; Maria; Julia; Virgil; Eveline; Clarissa; James; Christina; Henderson; Lucy; Johnny; Emma; Elizabeth; Kitty; Polly Boon; John Monroe; Edmond Harris; Litty; Yellow Joe;

Jacob; William Simom; Wesly; Terrence; Joe Sercy; George; Martha; Gabriel; Eliza Ann; Louisa; Harry; Patsy; Armand; Mernday; Hillary; Walter; Anna Gray; Sandy; Clarisse; Celeste; Jesse; Emily Leon; Margaret; L. Anna; Rosetta Pinace

Dates Source

1855-1859 Tulane University, Citizens Bank Minute Book No. 7: 1855/06/08; West Baton Rouge Parish, Mortgage BookX, p. 83, 1855/06/15, p. 107, p. 123, p. 776; Tulane University, Kuntz Collection, No. 600, 1858/03/15

Michel, Jean Pierre plantation and the following individuals: Peter; Edward; Joshua; David; York Paul; 1837-1845 West Baton Rouge Parish, Mortgage Book M, p. 63,

Nolan, John

Alexander; Alan; Peter; Hudier; Martha; Pauly; Lany; Simon; Nancy; Maria; Priscilla; Melanie; Lady; Albert; illegible; John; Thomas; Mary; Paul; Peterson; Pauline

plantation and the following individuals: John Barns; Preston; Joe Henson; Bazile; Big Frisly; Jack; John - Louis; Collins; Little Joe; William; Bill; Lewis; Isaac; George Washington; Bob; Jeffry; Robert; Henry; Jackson; Edmond; Tom; Jack Harry; Steven; Charles; Frisly; Bill; Sam Tilman; Edward; George; Sam; Cempey; Sarah; Lucinda; Big Peggy; Delcey; Helen-Thomas; Kissiah; Ann; Big Hannah; Lorendy; Augustine; Pauly; Mary; Orille; Henriette; Henriette Batts; Sally; Betsey; Anna; Seraphine; Charlotte; Birdy; Jenny; Rosetta; Charlotte; Sophy; Nancy; Brittany; Nelly; Sally; Philis; Rachel; Pasthena; Helen; Little Charlotte; Caroline; Lesine; Rosemond; Ardine; Oliver.-Kitty; Isabella; Denis; Marianne; Indiana; Sam; Eliza; Agnis; Maria; Louisa; Lucinda; Monarch; Thomas Madison; Lizzie

1837/10/18; Mortgage Book N, p. 37, 1837/11/15, p. 200, 1838/07/13; East Baton Rouge Parish, Mortgage Book K, p. 13, 1838/07/09, p.416," 1845/01/16

West Baton Rouge Parish, Mortgage Book M, p. 1838/01/11, p. 146, 1838/05/17 79,

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Owner Mortgaged Collateral Dates Source

Patin, Victorin and Lise plantation and the following individuals: Pierre; William; Luci; Manette and her two 1836-1838 West Baton Rouge Parish, Mortgage Book K, p

unnamed children; Baptiste; Etienne; Philippe; Jean Baptiste; Didier; Magloire; Sheratin; Azenor; Theodate; Julien; Venerand; Xavier; Cerenu; Marie; Victorin; Sidey; Annette; Octavin; Fanny; Grand Hadrack; Giles; Jim Hudsun; John; Alexis; Jean Pierre; Isaac; Sam Knox; Jim Grant; Jim Ham; Randal; Hadrack Bank; Phill; Daniel; Sam Brown; Salomon; Coffey; Billy; Charlotte; Marianne; Lea; Maria; Silly; Romaine

Patrick, Jean

275, 1836/02/26, p. 335, 1836/07/09; Mortgage Book M, p. 142, 1838/05/11, p. 171, 1838/06/16; Tulane University, Citizens Bank Minute Book No. 6: 1847/01/11

plantation and the following individuals: Cherubin; Azenor; Dave; Baptiste; Henry; Charles; Sam Knox; Sam Brown; James Hudson; James Ham; James Grand; Alexis; Richard; Phillipe; Venerand; Salomon; Giles; Field; Levin; Xavier; Jack; Julien; Coffey; Jean Pierre; John; Billy; Ned; Big Hadrack; Isaac; Etienne; Little Hadrack; Lewis; Daniel; Terence; Annette; Linda; Romaine and her three children Dorval; Lodoiska; and Hippolite; Hortense; Mariah; Rosalie; Lea; Dilet; Nelitto; Octavina and her child Adam; Manette and her child Edward; Marianne) and her child Merovi; Lucie and her child Robert; Mary and her child Patience; Sophie and her child Adonis; Fanny; Victoire; Pouponne; Michael Hortense and her two children Celestine and an unnamed individual; Patience; Virginia; Antonio

1839 West Baton Rouge Parish, Mortgage Book M, p. 310, 1839/06/05

Pipes, Charles

Robertson, Mrs. A. S.

land and the following individuals: Jim; Henry; Bill; Ned; Burr; Sam; Jefferson; Steven; Sam; Henry; Henriette; Mary; Sally; Louis; Helen; Citus; Ann; Catherine;. Mary; Prince; John

the following individuals: Susan and her child Cornelius; Baptiste, his wife Nancy, and their three children Robert, Ella, and and unnamed individual; Diney and her three children Mahala, Melinda, and unnamed individual; Peter; Betsey;

Chadrack

1838

1859

West Baton Rouge Parish, Mortgage Book M, p. 111, 1838/03/13 p. 181, 1838/06/29
West Baton Rouge Parish, Mortgage Book A-B, p. 122, 1859/03/19

Robertson, W. B.

plantation and the the following individuals: Sally; Dolly; Minerva and her three children Lavinia; Essex; and Justine; Susan and her three children Margaret; Emma; and Jack; Polly; Charles; Dorcas; Stephen; Peter

1847 Tulane University, Citizens Bank Minute Book No. 6:

1847/08/22; West Baton Rouge Parish, Mortgage BookP, p. 451, 1847/05/15

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Owner

Robertson, William Blunt, Edward White Robertson and Charles Dickinson Robertson

Shannon, Thomas

Mortgaged Collateral Dates

plantation and the following individuals: Godfrey; Sally; Robert; Old Shabe; 1859 Frozine; Lizzie; Yorick; Louisa Jeff; Little Yorick; Lucy; Charles Lobdell; Mary Ann; Nancy; Dorcas; Joshua; Dolly; Gathy; Charles Banks; Josephine; Little William; Dave; Little Josephine; Eugene; Charles Warner; Sam; Emily; Dorcas; Wyatt; Little Wyatt; George Sury; Sam Smith; Charlotte; Edward; Parker; Lucinda; Harriett; Little Lucinda; Peter Grimbail; Louisa Parker; Tom; Jim; John; Big Ellen; Little Ellen; Kitty; Peter Verdies; Peggy; Rose; Minerva; Essex; Gustine; Margaret; Amy; Irene; Jack; Neuman; Dimery; Joe Austin; Mitchell; Cam; Winter; Prince; Tom; Lucy Gorham; Eliza Banks; George Lewis

sugar plantation, land, and the following individuals: Phill; Small Phill; George; 1836 Phill Clay; Louis; Antoine; Small Joseph; Sam; Willis; Bastien; Prince; Frederick; John Mary; Tom Congo; Isaac Lavith; George Walker; Jacque; George Mulatto; Lerne; Azinor; John Sally; Gasmay; Chapperd; Little Tom; Little Isaac; George Attakaps; Agricole; John Third; Davis; Bill; Hippolitte; Jean Louis; Honore; Pierre; Dick Clark; Cupidon; Francois; Ned; William; Martin; Charles; Opportune; Fanny; Rosalie; Guinie; Violer; Selphine; Hilene; Lisette; Rose; Small Hannah; Mariane; Phebe; Sintee; Augustine; Marie; Agnes; Mathilda; Small Lucy; Patsy; Sally Henry; Marguerite; Jane; Becky; Small Sally; Mariah; Anna; Peggy; Chrispin; Aimee

Source

West Baton Rouge Parish, Mortgage Book X, p. 766, 1859/03/31; Tulane University, Citizens Bank of Louisiana Papers, 1834-1914, Folder 5

West Baton Rouge Parish, 278, 1836/02/29

Mortgage Book K, p.

Verbois, Pierre

Ware, Joss

plantation and the following individuals: Antoine; Julienne and her three children Cadet, Helina, and Leverin; William; Henriette and her child Alfred; Albert; Dick; Louisa and her three children Alexandre, Adolphe, and Antoine; Nane and her child Lucie; Maria; David; Nilson; Julien; Jean

plantation and the following individuals; including: Peter; Baptiste; Chadrick; Susan; Sarah; Betsey; Jenny; Nancy; Cornelius; Robert; Mahala; Melinda; Ella; Aaron; Catherine; John; Adam; Alex; Julian

1847-1848 West Baton Rouge Parish, Mortgage Book P, p.

432, 1847/04/28, p. 435, 1847/04/23; Mortgage Book Q, p. 299, 1847/05/06

1859 Tulane University, Citizens Bank Minute Book No. 8:

1859/03/14; West Baton Rouge Parish, Mortgage BookX, p. 759, 1859/03/18

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Owner Mortgaged Collateral

West Feliciana Parish

Barrow, Robert H. plantation, land, and the following individuals: Tom Sears; John; William Duke; William Davis; Aleck; Peter Wilson; Peter; William R.; Billy; Mike Marshall; Moses; Charles; Dave; Frank; Jake; Fisher; William; Nimrod; Henry; Elisha; Lotty; Harriet; Big Margaret; Little Margaret; Virginia; Chloe; Milly; Violet; Charity; Rachael; Sally; Eliza; Miranda; Edy; Ann; Betsey; Hannah; Angeline; Alix; William; Edward; Henry; Carroll; Willis; Ephraim; Wilson; Manuel; Ben; Ellen; Betsey; Louisa; Emily; Rebecca; Sarah; Matilda; Phoebe; and unnamed individual

Dates Source

1855 West Feliciana Parish, Mortgage Book O, p. 575,

1855/04/18

Barrow, Robert J. and Mary E. Craff

Bradford, David and Amanda Jan Brown, James

Causland, Robert M.

Coulter, James H.

Rose Bank plantation, Bay Wood plantation, and the following individuals: Tom; Essex; Deline; Issac; Mary Hall; Amy; Lizzy; Charlity; Elizabeth; Jerry; Linda; John; Henry; Harriet; Mathilda; Peter; Matthew; Deed; Nelson; Maria; Mary; Silla; Nelly; Kate; Nimrod; Suba; Milly; Morris; Richmond; Soloman; Jim Russell; Henry Johnson; Frank; Jeff; Charles; Lewis; Stephen; Queen; Mary Smith; Harriet Foster; Cherrv; Kizzv; Sylvania; Hastv; Diana; Winnev; Rhody; Courtney; Maria;

Stephen; Queen; Mary Smith; Harriet Foster; Cherry; Rizzy; Sylvia; Hasty; Diana; Winney; Rhody; Courtney; Maria; Hannah; Chancy; Cherry; Susan; Lucy; Cynthia; Levi; Martha; Theresa; Moses; Jacob; Joe; Peggy; Jim; Jack; Abraham; Richmond; George; Idy; Sophia; Charles; Phillis; Sarah; Lorenzo; Ben; Handy; July; Bolin; Rosina; Daphney; Jordan; Sutton; Sylvia; David; Daniel; Eli; Wilson; Dilsey; Thomas; Ann; Frances; Harry; Johnnetta; Holoway; Allen; Chancy; Rosetta; Matt; Elzy; Harry; Henry Clay; Isabella; Nathan; Laurina; Emma ; Romeo
land and individuals: Boson; Eletia; Nancy and her son Emmy; Emmy's son Willis; 1838 Queen; John; Charity; Sabella; Hannah

land and the following individuals: Harry; Patrick; John; Jim; George; Simon; Ned; 1837-1842 Joe; Little Simon; Sam; Jim; Cesar; Bill; Isaac; Sally; Betsy; Jane; Harriet; Silvia; Sally; Nancy; Mariah; Rinah; Kaily; Eliza; Calvin; Dick; Charles; Polly; Susan; Martha; Esther; Mary; Milly; Ellen

land and individuals: Ben; Daniel; Fines; Jack; Sidney; Charlotte 1838

1851-1856 Tulane University, Tulane University, M-1847, Citizens Bank Minute Book No. 6: 1851/04/08, 851/07/08; Citizens Bank Minute Book No. 7: 1851/12/02, 1855/02/02, 1852/02/06; West Feliciana Parish, Mortgage Book O, p. 119, 171, 1856/07/19

West Feliciana Parish, Mortgage Book K, p. 184; 1838/04/23

Tulane University, Citizens Bank Minute Book Nor 5: 1842/12/16; West Feliciana Parish, Mortgage Book K, p. 93, p. 107, 1837/06/24

West Feliciana Parish, Mortgage Book K, p. 156, 1838/02/27

plantation and the following individuals: Adam; Lucy; Caroline; Amelia; Charles; John; Manuel; Sam; George; Henry; Mahaley; Sarah; Joanah; John Deut; Louisiana; Lucy Garret; Jim; Charlotte; Eliza; Harriet; Henry; Betsey; Battiste

1853-1855 Tulane University, Citizens Bank Minute Book No. 7: 1855/03/02; West Feliciana Parish, Mortgage Book O, p. 536, 1853/03/08

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Owner

Direr, Robert and Mary Kilgour

Doherty, Peter and Sarah B.

Mortgaged Collateral

land and the following individuals: Watt; Tom; Vine, and her unnamed child

Fair, James and Mary

Farrar, Mary Ann

Grover, Hiram J.

Nervill, Gideon and Nancy

Pattillo, George H.

Dates

1837 1855

land and the following individuals: Harry; Abraham; Abner; Willis; George; Anderson; Felix; Martha and her child Josephin; Ellen and her child Josephine; Jane and her children Francis and Rhody; Bill; Adam; George; Alfred; Frederick; Lewis; Jack; Patt; Jim; Bazil; Ned; Joe; Tom; Anthony; Rose; Rachel; Celia and her child John; Hannah; Betsey and her child Rou Ann; Suckey; Henney; Eliza; Lena; Rachel; Liz; Celine; Eve; Kitty; Caroline; Chancey; Adeline; Alsey; Old Nancy; Emma; Hasty; Annett

plantation and the following individuals: John; Fountain; Jake; Roderick; Jake; Fill; 1838 Jack; Charles; Jet; Milly; Phillis; Nancy; Eady; Sabila; Charlotte; Grace; Mary; Ann; Mariah; Silda; Jenny; Wesley; Dane; Dick; Henry; Jim; Nan; Routh; Emeline; Rachael; Steven; Nancy

land and the following individuals: Alfred; Salma; Washington; Jane and her child 1846 Polly; Tempe's children Patsey, Dave, and Sabrey; Caroline's children Emily and Illegible \ Amcy's children Joe, Winney, and Stephen; Loroney's children Laura Ann and Tiney Ann

land and the following individuals: Jim; Gabriel; John; Clara; Susan; Jane; Sylva; 1837 James; Sigudy; Tabor; Jane; Amy.
the following individuals: George; Bob; Nelly 1842

Source

West Feliciana Parish, Mortgage Book K, p. 118, p. 127, 1837/12/16

West Feliciana Parish, Mortgage Book O, p. 547, 1855/03/15

West Feliciana Parish, Mortgage Book K, p. 170; p. 176, 1838/03/22

West Feliciana Parish, Mortgage Book N, p. 251; 1846/02/24

West Feliciana Parish, Mortgage Book K, p. 97; 105-106, 1837/10/02; West Feliciana Parish, Mortgage Book K, p. 105, 1837/10/28

West Feliciana Parish, Mortgage Book M, p. 208, 1842/09/28

land and the following individuals: Jim; Lewis; George; Jess; Mike; Marinda; 1834-1844 West Feliciana Parish, Conveyance Record I, p. Harriet; Ruth; Fanny; Nathan; Frank; Marinda's daughter Martha; Charles; George ¹²²¹ 1834/04/12;

West Feliciana Parish, Mortgage

wi,chi_n^ n. Mo^ e_q,;~. u-r,«^v,\fllii«w BookK, p. 267, 1839/01/17; West Feliciana Parish,

Washington, Mack, Serine, Hannah, Milley Mortgage Book M, p. 453, 1844/03/21

Page 80

Owner

Perkins, John and Henry

Sims Mrs Ann

SIMS, MISS. AHH

Wilkinson, Joseph Young, Robert

Mortgaged Collateral Dates

plantation, various tracts of land, and the following individuals: William; Charles; 1851 Mary; Calamine; Spencer; Henry; Parker; Sarah; Harriet; Minor; Joe; Andy; Jim Dorsey; Amy; Adam; Daniel; Margaret; Jim; Isabel; Ann; Daniel Dean; Chloe; Eliza; Nat; Abram; Charles; Alsie; George; Susan; Nelson; Daniel Johnson; Rachael; Ben; Bicky; Peggy; William Scott; John Scott; John Briscoe; Alfred; Peter; Jim Carter; John Brooks; Stanly; George Burroughs; Francis Spencer; Sally; Susan; GEorge; Robert; Priscilla; Polly; John Hiem; Anna; Stephen; Emeline; Fanny; Hiram; Morie; Jim; Harry; Hetty; Harriet; Lucinda; John; Caroline; Grace; John; Joseph; Easter; Sophia; Charlotte; Babara, Fanny Gray; Susan; Mary; Henry; Ann; Julia Ann; Amanda; Celia; Emily; Louisa; Agga; Margaret; Little Sally; Martha; Jack; Dick; Ella; Mathilda; Maria; Minta; Wash; Dica; Lucy; Amy;

Louis; Elvira; Theodira; Jim Henry; Beky; Newton; Alice; Isaiah; Bill; Morris; Viola; Vanness; Elizabeth; Patience; Leir; Abby; Ellen; Mia; Hagar; Patsy; Anthony; Judy; Tom; Fred; Wade; Green; Harvey; Abraham; Bill Gillis; Big Julia

land and the following individuals: Jacob; Richard; Jenny; Isaac; Louisa; Joyce; 1855 William; Rose; Jim; Ben; Stephen; Green; Virginia; Bill; Commodore; Abraham; Ned; Sam; Old Sam; Harry; Jackson; Henry; Eliza; Miles; Moses; Mathilda; Ellen; William; Grael; Jack; Louis; Daniel; Aristin; George; Harriet

sugar plantation and 128 unnamed individuals 1851 the followng individuals: Joe; Milly; Spencer 1842

Source

West Feliciana Parish, Mortgage Book O, p. 61, 66, 83,87, 1851/04/12

Tulane University, Citizens Bank Minute Book No. 7: 1855/12/14; West Feliciana Parish, Mortgage Book O, p. 551, 1855/03/23

Tulane University, Citizens Bank Minute Book No. 6: 1851/01/01

West Feliciana Parish, Mortgage Book M, p. 208, 1842/09/28

New Orleans Canal Bank

Ascension Parish

Bercegeay, Alphonse the following individuals: Mary and her children William and Wilson; James

1840 Ascension Parish, Mortgage Book 7, p. 473,

1840/08/06, p. 488

Page 81

Owner

Braud, Justine

Duffel, Edward

Dugas, Ignace and Coralie Landry Ford, Christopher; Randall, David

Gravois, Edward and Marie Rose Landry Landry, Daucet and Lisa

Mortgaged Collateral Dates

land and the following individuals: Jean Louis; Marcel; Lisse; Jane 1834

plantation and the following individuals: Baptiste; Rosalie and her two children Jose and Jean Baptiste; Nat; Constance and her three children Elsie, Henry, and Gustave; Raphael; Melanie and her three children Clet, Marianne, and Zeke; Auguste; Leonarde; Francis; Dinah; Hannah; Sillu and her three children Andre, Heloise, and Josephine; Maria and her three children Jean Louis, Michel, and Benjamin; Malvina and her child Stephen; Lbyise and her child Colin; Jenny and her child Rose; Frank; Jim; Franchonnette and her sister Sally; Suzette; Leonarde; Sam; Ben; Joe; William; Michel; Vincent; Billy; Vieux Sam; Bastien; Lan; Sam; Frank; Nace; William; Joe; Lucinda and her brother Thomas (alias Alfred); Aimee

land and the following individuals: Madelaine and her two children Julien and 1838 Celeste; Moody; Julie

land and the following individuals: Jack; Nathan; Hanover; Randal; Joe; Jack;* 1845 Richard; Brown; Squire; Elijah; Ceasar; Charles; Mary Ann; Virginia; Hannah; Julia; Aime; Martha; Latitia; Ralph; Sarah ; Louisa; Henry; Mary; Susan; Aglaee Caroline; William; George Clark; Jerry; Daniel; Lucy; Lewis; Charlotte; Jim; Sidney; Lyddy; Elizabeth; Harry Byrne; Carter; Sarah; Winny; Hames; Squire; Harrison; Davy Skinner; Crecy and her unnamed infant; Mary Skinner; George Skinner; Henry Woods; Grace S.; Bill Martin; Minta; Thomas; Mary; William; Kitty; Albert; Harry S.; Ben Bond; Cassandra; Susan B.; John B.; Sarah; Ben Bond Jr.; Satira Shadrach; Robert Woods; Cassy; Bill Amanda; Patsey; Sylvia Briscoe; Bill Briscoe; Frank; Maria; Georgiana; Viriginia; Moses Wood; Maria Wood; Nick; Dolly; Sylvia; Sarah; Calvert; Charlotte; Emma; John; Rachel; Missouri; Mary; Fanny; Mathilda; Louisa

land and the following individuals: Celeste and her three children Louise, 1840 Elizabeth, and Bouret; Lubin; Timme; Jamier

land and the following individuals: Victor; Prince; Jimmy; Vaniz; Jean Baptiste; 1835 Fanny; Pilynaise; Diline; Celeste; Susan; Marie Louise; Alexandre; Valentin; Nichola

Source

Ascension Parish, Mortgage Book 6, p. 8, 1834/03/06

1832-1841 Ascension Parish, Mortgage Book 5, p. 302,

1832/07/23; Mortgage Book 7, p. 311, 1841/03/13

Ascension Parish, Mortgage Book 7, p. 400, 05/15

Ascension Parish, Mortgage Book 7, p. 6, 1838/05/15
Ascension Parish, Conveyance Book 19, p. 387, 1845/11/13 ; Conveyance Book 19, p. 387, 1845
Ascension Parish, Mortgage Book 7, p. 234, 1840/06/29
Ascension Parish, Mortgage Book 6, p. 193, 1835/06/05

Page 82

Owner

Landry, Narcisse and Gerade
Landry, Trasimon and Wife Modeste Brand
Landry, Valery
Landry, Victor and Janette
Lange, Albert

Mortgaged Collateral

land and the following individuals: Celestin; Auguste; Daniel; Pierre; Major; George; Christophe; Petion; Colces; Jacques; Edward; Celestin; Gilbert; Alexander; Bouli; Robin; Scott; Honore; Charles; Jack; Sam; Cupiclou; Pail; Bill; Frank; Jean Louis; Ned; Jean; Artheuse; Picep or Bob; Michil or Mitchel; Valentin; Michael; Lubin; Auguste; Gertrude and her child Andre; Marion and her child Suzanne; Julie and her two children Raphael and Felicite; Celeste and her eight children Honore, Catiche, Jeanette, Laura, Julien, Magdelaine, Celestine, and Gilbert; Venus and her two children Durosin and Jean Louis; Marianne and her two children Frosine and Priscilla; Marie and her three children Drausin, Rosetta, and Celeste; Katey and her three children Micotand, Susan, and Reuben; Fanny and her four children Noel, Betecie, Antoine, and Valcour; Madilain; Kitty and her four children Medare, Susan, Kitty, and Silvie; Jenny; Fanchanette and her two children Opoline and Julie; Mary; Rosalie; Victore; Babbitte; Zoe and her child Catherine; Nore; Jacques; Paula; Alexander; Bill; Julie and her two children Manetti and Sophie; George; Jean Louis; Bob; Frank; Raphael; Felicite; Francois; Pierre; Jacques; Gertrude and her three children Henri, Eduard, and Adeline; Scott; Jane; Baptiste; Hortande; Marion and her four children Susan, Adelle, Jim, and Elizabeth; Auguste; Jane; Celestine; Petion; Michaelle; Jimmy; Medin; Mary and her child Joseph; Dio; Rosette; Valentine

land and the following individuals: Gilbert; Sam Dawson; Ben Short; William; Joe Woodley; Joe Griffen; Bob Creghton; Ben; Martha

land and the following individuals: Isaac; Pompey; Celestin; Anatol; Davis; Petite Maguire; Fanny William and her two children Adelaide and Lorenzo

land and the following individuals: Celestin; Francoise; Guillaume; Susan; Rosemond; Eduard; Antoine; Leon; Carmelite; Elenor; Zepherine; Emma; Thomasin; Augustin

plantation, land, and the following individuals: Jack; Nathan; Hanover; Randall; Joseph; Jack; Richard; Brown; Squire; Elijah; Cesar; Maryann; Virginia; Hannah; Julia; Aimee; Martha and her child Rosalie; Lotitia; Ralf; Sarah; Louisa; Henry; Susan; Aglace; Caroline; William

Dates Source

1833-1842 Ascension Parish, Mortgage Book 5, p. 331,
1833/03/31; Mortgage Book 7, p. 434, 1842/05/03
1839 Ascension Parish, Mortgage Book 7, p. 67,
1839/01/24
1837 Ascension Parish, Mortgage Book 6, p. 322,
1837/03/31
1832-1839 Ascension Parish, Mortgage Book 5, p. 295,
1832/06/04; Mortgage Book 7, p. 118, 1839/06/14
1848 Ascension Parish, Mortgage Book 9, 139, 1848/8/22

Page 83

Owner

Leblanc, Derman
Leblanc, Marcellis Marchand, Victor
Poursine, Joseph
Prevost, F. M. Randall, David A.

Mortgaged Collateral

land and the following individuals: William; Janey; Ciran; Joe; Frank; Julien; Martin; Honore; Nelson; Birundy; Zoe; Pilagie; Fanchanetta; Nancy; Gabriel; Lucy; Rosalie; Marguerite; Balut

land and the following individuals: Mari Jeanne and her two children Cadet and Benjamin

land and the following individuals: Jacque; Jean Pierre; Jacob; Toussaint; Lessin; Jaque; Isidore; Orlille and her three children Francois, Joseph, and Narcisse; Bazile and her two children Eve and Edmond

Dates Source

1836 Ascension Parish, Mortgage Book 6, p. 288,
1836/09/12
1833 Ascension Parish, Mortgage Book 5, p. 341,
1833/03/21
1833 Ascension Parish, Mortgage Book 5, p. 341, 1833/03/21

1832 Ascension Parish, Mortgage Book 5, 1832/08/18

land and the following individuals: Joseph; St. Cloud; Paul; Frank and his wife Justine; Augustine, his wife Sanchette and their four children Adele, Gustave, Gertrude, and Derausin; Louise and her children Agathe and Sohpy; Rhoda and her children Hagar, Lucy, and Blaise '.

plantation and the following individuals: Abraham; Billy; London; Dick; John; Elias; 1833 Andre; Warnur; Maria; Rachel

land and the following individuals: Brown, his wife Eliza, and their four children Maria, Charles, Nathan, and Aimee; Lewis, his wife Becky, and their three children Agnes, Virginia, and Reuben; Caeser, his wife Lizzy, with their son Frank; Hannah, her three children Squire, Abraham, and Martha, and her grandchild Hanover; Fanny, her son Dick, and her grandchild Jack; Jack; Bill; Jacques; Elijah; Julie; Marianne; Martha; Joe; Elijah; Lewis and his two children Richard and William; Randal, his wife Sarah, and her children Louisa and Harry; Agnes and her child Susa; Caser and his two children Caroline and Aglaee; Martha and her child Latitia; Hannah and her grandchild Hanover; Joe; Jake; Lewis; Beckey and their three unnamed children; Drackter; Eliza and her three unnamed children; Randall; Sarah and her unnamed child; two unnamed children of Letty; Squire; Dick; Elijah;

Fanny; Mary Ann; Julie; Ceasar; Brown; Eliza and her four children Maria, Charles, Nathan, and Aimee; Lewis; Beckey and her two children Richard and William; Randall; Sarah and her three children Agnes, Virginia, and Reuben

1833 Ascension Parish, Mortgage Book 5, p. 341,

1833/03/21

Ascension Parish, Mortgage Book, 1833/03/23

1839-1845 Ascension Parish, Mortgage Book 6, p. 5,

1839/04/10; Conveyance Book 19, p. 387, 1845

Page 84

Owner Mortgaged Collateral

Assumption Parish

land and the following individuals: Isaac; Peter; Jerry; Little Isaac; Big Hannah; Lucy; Jim; Elisha; Ned; Jack; Mary; Winney; Alfred; Little Hannah; Mansfield; Handy; Nancy; Cinda; Daniel

plantation and the following individuals: Narcissa; Augustine; Philippa; Margueritta; Juliana; Andre plantation and the following individual: Margueritte

Boatner, Daniel and Elizabeth

Dalfreres, Antonio

Dominguez, Manual and Maria

Fernandez, Manuel and land and the following individuals: Grand Francois; Telie (alias Lydie); Pauline; Julie Aimee; Jacob; Lawrence; Juliette; Mannette; Fifi; Auguste; Thomas; Victoire;

Severin; Nancy (alias Marie Quace); Susanne; Madeline; Mernaut; Peter

Francois; Jean (alias Cherival); Azor

land with the following individual: Etienne

Guillot, Joseph Gravois, Joseph

Huz, Antoine

plantation and the following individuals: John; Dick; George; Eveline

land and the following individual: Fanny

Dates

1833

1834 1832 1833

1839 1839

1840

Martines, Philip and plantation and the following individuals: Charlotte; Augustine; Davy; Carry Morgan 1833

Manuela

(alias Joe)

Source

Assumption Parish, Mortgages 1831-1835, p. 141, 1833/03/26

Assumption Parish, Mortgages 1831-1835, p. 187, 1834/03/01

Assumption Parish, Mortgages 1831-1835, p. 107, 1832/07/02

Assumption Parish, Mortgages 1831-1835, p. 142, 1833/04/01

Assumption Parish, Mortgage Book 1834-41, p. 263, 1839/07/25

Assumption Parish, Mortgages Book 11B, p. 229, 1839/03/11, Mortgage Book 1834-41, p. 233, 1839/03/14

Assumption Parish, Mortgage Book 1834-41, p. 286, 1840/04/14

Assumption Parish, Mortgages 1831-1835, p. 144, 1833/04/10

Avoyelles

Coco, Lucien D.

land and the following individuals: Isaac; Henry; Julian; Dick; Clarisa and her child 1840 Ameline; Susanne and her three children Benben, Helienne (alias Gratta), and Elizabeth; Warren; Nancy and her three children Louise, Frank, and

children Reuben, Jallienne (alias Guste), and Elizabeth; vvaran; nancy and her three children Louise, Liyod, and Melinda; Cary Carter; Hannah Carter and her thr. ee <http://thr. ee> children Gabriel, Daniel, and William Avoyelles Parish, Conveyance Book O, p. 373, 1840/03/30

Irion, George A. Miles, Lemuel

land and the following individuals: Prince; Amos; Paul; Phil; Joshua; William;

Henry; Bill; Abram; Kity; Aggy; Bob; Thadius; Sally; Mary; Eliza

land and the following individuals: Ben; Fanny; Matilda; Jordan; Elsueda

1832 Avoyelles Parish, Conveyance Book I, p. 267,

1832/04/28

1832 Avoyelles Parish, Conveyance Book I p. 256,

1832/04/25

Page 85

Owner

Mills, Thomas

Ogden, Edward Robert, E. G. Stewart, William L. Tanner, Branch Tanner, Lodowick Voorhies, Bennett F. Voochies, William

Mortgaged Collateral

land and the following individuals: Hester; George; Rachel; Cherry; Maria; David; Moses; Aaron; Sylva

land and the following individuals: Andrew; Billy; Caroline; Henry; Barbara

land and the following individuals: John; Jinny and her son Andrew; Sarah Ann

land and the following individuals: James; Acy; Margaret and her unnamed child

land and the following individuals: John; Henry; Armistor; Lucy; Dolly; George; Belinda; Washington; Mark; Julie ; Arreta;

Nancy; Phillis; Polly Molley; Hannah land and the following individuals: Ben; Jerry; Harry; Yates; Robert; Frank; Betsy;

Lucy Ann and her child Amy; Abby and her child Margaret land and the following individuals: John; Major; Joe; Julie;

Maria

land and the following individuals: Coleman; Ned; Lewis

Dates Source

1832-1833 Avoyelles Parish, Conveyance Book I, p. 272, 1832/04/30; Conveyance Book J, p. 202, 1833/06/29

1836 Avoyelles Parish, Conveyance Book M, p. 198,

1836/05/30

1833 Avoyelles Parish, Conveyance Book J, p. 155,

1833/05/23

1832 Avoyelles Parish, Conveyance Book I, p. 260,

1832/04/28

1839 Avoyelles Parish, Conveyance Book O, p. 65, 1839/06/03

1840 Avoyelles Parish, Conveyance Book O, p. 367, 1840/03/10

1832 Avoyelles Parish, Conveyance Book I, p. 300,

1832/05/28

1832-1833 Avoyelles Parish, Conveyance Book I, p. 298, 1832/05/28

Concordia Parish Parish

Routh, Stephen M.

plantation and the following individuals: Stephen; Perry; Luis; Susan; Hannah; Lucy; Rachel; Rachel Henry; Avy; Mary

1833 Concordia Parish, Conveyance Book F, p. 415,

1833/04/27

East Baton Rouge Parish

Boyle, William plantation and the following individuals: Harry; Isaac; Preston and his wife Mille 1839

East Baton Rouge Parish, Mortgage Book K, p. 86, 1839/05/23; West Feliciana Parish, Mortgage Book K, p. 408, 1839/05/27

Page 86

Owner Mortgaged Collateral Dates Source

East Carroll Parish Parish

Goza, George the following individuals: Violet; Moccrise; Meiles; Willis; Nauce; Jim; Charles; 1840-1841 East Carroll Parish, Mortgage Book B, p. 105,

Washington Jesse; Elza; Eloy; Balaam; Phebe; Rachel; Pompey; Wiley; Will; Edward; Jinny; 1840/05/22; Mortgage Book B, p. 95, 1841/10/04

Arena; Pluenza; Raney; Joe; Bob; Little Jesse; Delila; Ben; Reuben; Rozetta;

Nathan; Harry; Ishmael; Washington; Betsey; Chesney; Dennis; Bill; Willis;

Margaret; Jane; Lucinda; Judah; Rosina; Eliza; Harriet; Easter; Edward; Richard

Morgan, Oliver and the following individuals: Peter; Bob; Jack; George; Eaios; Susan; John, his wife 1832-1835 East

Carroll Parish, Conveyance Book A, p. 2, Jonathan Henny, and their 3 children, Jane, Oscar, and Joe; Arthur, his wife

Matilda, and 1832/04/30; Mortgage Book a, p. 164, 1835/09/19

her unnamed child; Comfort and her 4 children Giles, Jim. Thadius, and Patsy;

Sam; Lige; Allen; Little David; Cooper; Eliza; Charlotte; Delia; Ephraim; Armstead;

Daniel

East Feliciana Parish

Boatner, William and the following individuals: Sam; Joe; Issac; Dick; Abram; Neubin; Alfrue; Isaac; Sarah Shields; Ellis; Ben; Limere; Tom; Burrel; Minur; Sandy; Polly; Hannah; Winney;

Dianna; Lucinda; Amy; Dinah; Letty; Matelda; Judy; Rachel; Harriet; Jane; Noie;

Leanoree; Leah; Deley; Nais; Nelly; Veirter; Mariah; Mary W; Martha; Sniersmiea

1832 East Feliciana Parish, Mortgage Book B, p. 339,

1832/04/24

Carter, William D. and the following individuals: Meljnda; Laucinia; Thomas; Ned; Mary; Clifton;

Elizabeth Chapman, James

Clemons, Nancy Delie, John L.

1839

Boatsroain; Alley; Diana; Cyprus; Lo'uisia

land and the following individuals: Jacob; Cornelius; Harry; Eliot; Alfred; Ben; 1833 Laud; Henry; John; Bill; Pelina; Eliza; Fillis; Rebecca; Cary Ann; Margarite; Mary; Eveline; Nancy; Clarisa.

the following individuals: Isabell; Liner; Will; Abram; Burrel; John; Big John; Magul; 1832 Elick; Boy Ben; Boy London; Stephen; Ephram; Veirtu; Isabela

land and the following individuals: Jim; Chusterzi; Sam; Prince; Jack; Austin; 1835 Maria; Mary; Cynthia; George; Harvey; Joe; Austin; Luck; Hannah; Polly; Adam; Margaret; Dorcas

East Feliciana Parish, Mortgage Book H, p. 298, 1839/12/05

East Feliciana Parish, Mortgage Book C, p. 164, 1833/04/15

East Feliciana Parish, Mortgage Book B, p. 324, 1832/04/23

East Feliciana Parish, Mortgage Book D, p. 81, 1835/05/18

Page.87

Owner

Dolch, Elizabeth D.

Mortgaged Collateral Dates

plantation and the following individuals: Peter; Jim; Moses; Rachel; Ann; Sophy; 1833 George; Francis; William; Tony; Bob; Aaron; Maria; Bob; Agnes; Isabel; Henry

Source

East Feliciana Parish, Mortgage Book C, p. 401, 1833/07/22

Gayle, John L and Martha

Gilden, Stephen and Mary

Hary, James Kendrick, Benjamin

McRae, Colin C.

Mune, Daniel and Pamela Myers, Burrel

the following individuals: Tom; Nellie; Cuffe; Lucy

the following individuals: Jack; Milo; Fanny; Sophia; Alfred; Nathan; Syliva

1832

1832

land and the following individuals: Isabell; Linn; Will; Abram; Burnell; John; John; 1833 Mogul; Elick; Ben; landon; Stephen; Ephraim; Hester; Isabel.

plantation and the following individuals: Abram; Beverley; Jim; Jinny; Delia; Fanny; 1833 Sophia; Patty; Fanny; Liar; Suda; George; Wiliam; Allin; Isaac; Green; Alfred; Dave; Adam; Rachel; Morgan; Susan; Winny; Malinda; Betsy; Mahala; Harriet; Eliza

land and the following individuals: John; Charles; Sam; Luke; Rose the following individuals: Slank; Judah; Minerve; Maryant; Mepoure land and the following individuals: Jane; Nancy

1832 1832 1832

Nettlez, John and Ferorbes Norwood, Noel

the following individuals: Becka; Permelia; Monroe; Rachel; Lenah; Nelson; Lya 1832 (alias Lydia); Leanard

land and the following individuals: Sookey; Rachel; Betty; Lydia; Caty; Hannah; 1833 Lot; Lilly; Silla; Simon; Polly; Isaac; Henny; Sarah; Little Isaac; Bob; Milly; Sampson

Pain, John C. and Mary the following individuals: Nenolde; Henry; Elegn; Phillis; Mary 1832 Louise

Perry, Robert land and the following individuals: Isaac; Crawford; John; Ben; Fred; Liman; Harry; 1833

Clary; Jonas; Emelie; Malvina; Milly; Nancy

Powers, John B. and the following individuals: Jerry; Katy and her child Fountain Elizabeth

1838

East Feliciana Parish, Mortgage Book B, p. 329, 1832/04/24; West Feliciana Parish, Mortgage Book H, p. 409, 1832/04/24

East Feliciana Parish, Mortgage Book B, p. 349, 1832/05/09

East Feliciana Parish, Mortgage Book C, p. 160, 1833/04/10

East Feliciana Parish, Mortgage Book C, p. 183, 1833/05/06
East Feliciana Parish, Mortgage Book C p. 5, 1832/06/05
East Feliciana Parish, Mortgage Book B, p. 333, 1832/04/23
East Feliciana Parish, Mortgage Book B, p. 314, 1832/04/23; West Feliciana Parish, Book H, p. 416, 1832/04/25
East Feliciana Parish, Mortgage Book B, p. 342, 1832/05/01
East Feliciana Parish, Mortgage Book C, p. 171, 1833/04/15
East Feliciana Parish, Mortgage Book B, p. 326, 1832/04/03
East Feliciana Parish, Mortgage Book C, p. 140, 1833/04/06; West Feliciana, Mortgage Book J, p. 87, 1833/04/16; Tulane University, Citizens Bank
Minute Book No. 5: 1846/02/26; Citizens Bank Minute Book No. 7: 1851/12/30
East Feliciana Parish, Mortgage Book H, p. 198, 1838/05/05

Page 88

Owner

Purnell, George W. and Mary Ann Lunetto

Rest, John and Mary Scott, Thomas W.

Seals, James

Waddell, Zachariah and

Narcissa

Waddill, David

Mortgaged Collateral Dates

the following individuals: Robin or Bob; Nancy; Bill Button; Lewis; Jenny; Louisa or 1847-1849 Laura; Bill Bladen; Jane; Caroline and her children Norman and an unnamed child; Riley; Bill Dale; Phaso; Bob Amis; Leah; Frances; Isabella

the following individuals: Frank; Charles; Lucy; Harriet; Milly; Jerry

land and the following individuals: Hannah; Rachel; Sony; Bob; Venus; Brian; Betsy; Harry; Joyo; Tiffany; Duke; Pat; Doll; Viny; Ann; Binah; Jam; Mary; Joyo; Jinny; Mingo; Juno

the following individuals: Jim; Christie; Sam; Jack; Austin; Maria; Mary; Cynthia; George; Harold; Joe; Austin; Jack; Hannah; Polly; Adam; Margaret; Dorcas; Prince

the following individuals: Charles; Rachel; Anthony; Louisa; Pqlyabie; Louviev; George

land and the following individuals: Joalib; Fran; Jacob; David; Hester; Matilda; Caroline; Hildah; Nan

1832 1833

Source

East Feliciana Parish, Mortgage Book H, p. 305, 1847/04/28; East Feliciana Parish, Mortgage Book H, p. 402, 1849/04/23

East Feliciana Parish, Mortgage Book B,-p. 344, 1832/04/27

East Feliciana Parish, Mortgage Book C, p. 174, 1833/04/24

1832-1835 East Feliciana Parish, Mortgage Book B, p. 331, 1832/04/24; East Feliciana Parish, Mortgage Book G, p. 467, 1835/05/18; West Feliciana Parish, Book

H, p. 402, 1832/04/24

1832 East Feliciana Parish, Mortgage Book B, p. 337, 1832/04/13

1833 East Feliciana Parish, Mortgage Book C, p. 162, 1833/04/13

Iberville Parish

Butler, Edward G. W.

land and the following individuals; including: Parrick; Alix; Albert; Joe;. Joshua; Polly; Nancy; Miles; Stephney; Jordon; Celia; Sylvia; Billy; Lucy; Addison; Nelly; Harriet; Nelson; Bennet

1833-1843 Iberville Parish, Conveyance N, p. 557, No. 472, 1833/04/15; Conveyance BookV, p. 338, No. 215, 1843/03/27

Honore, Francise Belly plantation on the right bank of the Mississippi River with the following individuals: / September, his wife Francoise, and their five children Marie, Aimee, Marguerite,

Francois, and Edmond; Iberville, his wife Poignon, and their child Jacques; Nicolle

and her two children Honore and Commineau

1832

Landry, Anne B.

Ricard, Genevieve B.

plantation on the right bank of Mississippi with the following individuals: Baptiste; 1832 Anna; Melite and her child Gustin land on the right bank of the Mississippi and the following individuals: Cayro, his wife Jabo, and their three children

Aimee, Louis, and Vincent; Lalie and her five children Antoine, Francois, Voltaire, Elizabeth, and Lalie; Ospasie and her child Homer; Amus; Abraham; Julien; Elie; Zelig; Luke; Balaam; Jerry; Cader; Willis; Margaret; Kitty; Peter; Abraham

Juke; Tom; Sophy; Agathe; Joe; Esther; Marie Mart; Theodore; John; Frank

1843

Iberville Parish, Conveyance Book N, No 148, 1832/07/06

Iberville Parish, Conveyance Book N, No. 155, 1832/07/13

Iberville Parish, Conveyance Book N, p. 592, No. 507, 1843/03/24

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Owner Mortgaged Collateral

Walker, Duncan S. and land and the following individuals; including: Solomon; Frederick; Glenn; Polly; Robert J. Jim;

Ben'; Spencer; Gabe; Cela; Ephraim; Levin; George; Serina; Josephine;
Robert; Mary; Charlotte; Taylor; Lewis; Travis; Owen; Isaac; Jesse; Mark;
Mathilda; Nancy; Biddy; George; Maria; Jim Crow; Patrick; Peter

Dates Source

1833 Iberville Parish, Conveyance Book N, No. 572,
1833/06/17; Conveyance Book V, p. 336, No. 214, 1833/05/09

Lafayette Parish

Arceneaux, Emilie plantation and the following individuals: Celestine; Josephine; Constance; 1832
Eugenia; Pierre; Joseph; Celestin; Valirien; Olivia; Pierre; Ellen; Alcinder
McCaskill, Daniel and land and the following individuals: Moses; Rose; Ellick; Samuel; Mary Ann; Caroline; Robert
Nibbitt Gabriel; Charity; Gabriel; Marilla; Daniel; Bill; Henry; Rhoda; Lewis; Wisdom;
William; Collin; Sally; Willoughby; Rosanna; Henry; Liz
land and the following individuals: Tom; John; John; Jim; William; Arthur; Ned; Will; Sevesitia; Mary; Maria; Anne; Reason;
Richmond; Wilkins; Henry; Nana the following individuals: Belco; Milly; William; Eveline; Thorn; John; Charlotte; 1832
Betsy; Teny; Mary; Billy; Dorcas; Jane; Jeff; Michael; Maria; Jeff; Sally; Patsy; Katey; Fielding; Dick; Thomas
plantation and the following individuals: Moses; Jack; Daniel; Harry; Tom; John; 1836 Alexander; William; Charles;
George; Lucy; Nancy; Becky; Abby; Cassy; Little John; Betsy; Leathy; Nelly
Rice, Samuel B. and Martha Campbell Thrall, John B.

Wilcoxon, Floyd

Lafayette Parish, Copies of Notarial Acts, 1774, 1832/05/25, no. 1775, 1832/05/25, no. 1781, 1832/05/22
1832-1833 Lafayette Parish, Copies of Notarial Acts, entry 1769, 1832/05/3, entry 1965, 1833/05/20
1833-1837 Lafayette Parish, Copies of Notarial Acts, entry 1977, 1833/05/29
Lafayette Parish, Copies of Notarial Acts, entry 1769, 1832/05/22
Lafayette Parish, Copies of Notarial Acts, entry 2503, 1836/06/15

Lafourche Parish

Bigg, Thomas land and the following individuals: Jacques; Nago; Charles; Big William; Nelson;
Jean; Sam; Alexander; Guyson; Alexander; Polite; Tom; Raisihe; Henry; Davis; Gary; Faniel; Joseph; Little William;
Tabor; Jack; Robert; Justin; Isaac; Antoine; Laurent; Michel; Lizette; John Robert; Casimir; Aaron; Lucien; Ellick; Gaisy;
Richard; Appolon; Jeme; Constance and her unnamed child; Anne and her unnamed child; Maria and her unnamed child;
Nanette; Lake; Mararite and her unnamed child; Artemise; Frozine; Esther; Esther; Tabe; Mary and her unnamed child;
Laurine; Lisa and her unnamed child; Roddy and her two unnamed children; Fiste; Louise and six unnamed children;
Caroline and her unnamed child; . Susane; Marianne; Little John

1841 Lafourche Parish, Conveyance Book R, p. 304,
1841/06/24

Page 90

Owner

Bourg, Mathurin
Labiche, Firmin

Mortgaged Collateral

land and the following individuals: Malando; Haley; Joseph; Peter plantation and the following individuals: John; Zenon;
Lucy

Dates Source

1833 Lafourche Parish, Conveyance Book J, p. 123,
1833/03/28
1832 Lafourche Parish, Mortgage Book I, p. 228,
1832/06/06

Ouchita Parish

illegible, Jean

Downs, Solomon Weatherbee

the folowing individuals: Battiste; Solomon; Mattild and her two children Henry 1833 and Susan; Nancy and her 4 children
Ceil, Thercale, Margaret, and Lewis; Cherry; Louisa; America
plantation and 56 unnamed individuals

Ouchita Parish, Mortgage Book A, p. 196, 1833/05/14
1837-1841 Ouchita Parish, Mortgage Book B, p. 3, 1837/11/29;
Tulane University, Citizens Bank Minute Book No. 3: 1841/02/24

Pointe Coupee Parish

Bouis, Francouis and plantation, land, and the following individuals: Charlotte and her 6 children Helen Rosene, Rene,
Leocadie, Josephene, Rosalie, and Elvi; Pompey and his wife
Jeanne, and her 8 children Gustine, Gustane, Hilairi, Nunea, Zerine, Lindor, Iris,
and Sethene

1841 Pointe Coupee Parish, Legal and Conventional
Mortgage Book C, no. 1349, 1841/03/19

Bourgeaux, Augustin plantation and the following individuals: Big Sally; Maria; John Baptiste; Caroline; 1832-1849
Pointe Coupee Parish, Legal and Conventional
and Jane

Big Allan; Bill; Rose; Little Allen; Little Sally; Seleste; Louis; Xavier; Fanny; Marie; John; Phebes; Henry; James
Cooley Jr., Ebenezer land and the following individuals: Richmond; Katy; Oliver; Benjamin; Robin; and Mary Collins
Henry; Hannah and her child Maria; Jim; Jack; Bill; Mary-Ann; Sally; Isaac;
George

Dewey, Benedick and plantation, land, and the following individuals: Robbin; John; Charity; Eliza Sarah
1842

Mortgage Book B, p. 400, 1832/05/08; Legal and Conventional Mortgage Book D, p. 873; Legal and Conventional Mortgage Book C, no. 1109,
1839/02/25

Pointe Coupee Parish, Legal and Conventional Mortgage Book C, no. 1465, 1842/01/20

1832-1834 Pointe Coupee Parish, Legal and Conventional Mortgage Book B, p. 419, 1832/06/28; Legal and Conventional Mortgage Book C, p. 1,
1834/02/18

Page 91

Owner

Ferrier, Jules and Julie

Mortgaged Collateral

land and the following individuals: Armstead; Nancy; Similin

Dates Source

1837-1846 Pointe Coupee Parish, Legal and Conventional Mortgage Book C, 592, 1837; Legal and conventional Mortgage Book D, p. 576, 1846/01/01
Jewell, Sarah Isaacs

Major, Norbert

Ratliff, Louricy and Adam Bingaman

Robertson, Malinda

Sholar, Ann and Asa Brown

Taylor, William

plantation and the following individuals: Jim; Joe; Bristen; Garland; Liverpool; 1833 Bolin; Daniel; Claiborne; Yellow Bob;
Black Bob; Martin; Solomon; Little Sam; Congo Sam; Ellick; Jaik; John; Jacob; York; Hercules; Colsy; Nilson; Frank; Bob;
Phoebe; Clarkey; Nancy; Big Mary Ann; Chancy; Winny; Sarah; Lucinda; Charlotte; Mary; Jenny; Rachael; Mary Ann;
William; Dick; Bristen; Isaac; Nancy; Hannah; Rosalie; Rose; Betzy

plantation, land, and the following individuals: Cesaire; Andre; Lincoln; Antoine; 1833 Francois; Augustin; Lucas; Zenon;
Hypolite; August; Jean Baptiste; Francois; Gregoire; Joachin; Venus; Mary; Agathe; Valerine; Susine; Deby; Marie; Julie;
Pauline; Victoire; Francine; Madeline; Zaire; Laurette

land and the following individuals: Georges; Landy; Richard; Billy; Milford; Moses; 1836 George; Abe; Alfred; Bob; Milford;
Frank; Rod; Rachel; Dina; Mulatto Mary; Mary; ■ Matilda; Short Rachel; Alice; Celia; Fanny; Maria; Cleany; Alice;
Christine; Henrietta; Ann; Priscilla; Dick

land and the following individuals: Sylvia and her children Sophia, Harriet, Ned, 1835 and Alfred; Ephraim; Robert

land and the following individuals: Peter; George; Bob; Lucy; Dorcas and her son Charles; Eliza and her son Joe

Pointe Coupee Parish, Legal and Conventional Mortgage Book B, p. 520, 1833/04/05

Pointe Coupee Parish, Legal and Conventional Mortgage Book B, no. 538, 1833/04/24

Pointe Coupee Parish, Legal and Conventional Mortgage Book C, no. 518, 1836/11/26

Pointe Coupee Parish, Legal and Conventional Mortgage Book C, no. 280, 1835/05/22

1840-1845 Pointe Coupee Parish, Legal and Conventional

Mortgage Book C, no. 1327, 1840/12/30; Legal and Conventional Mortgage Book D, no. 440, 1845/11/06

the following individuals: Salomin; Baptiste; Mary; Audre; Daniel; Jesse or Dias; 1833 Francur; Adelle; Baptiste; Bernard;
Flora; Fadonas; Areline; Little Jenny; Lubin; Nancy; Tom; Harry; Betzy; Harry; Martin; unnamed individual; Jean; Phil
and his wife, Fine (alias Fanny); Levy (alias Duval); Little Nancy; Lindon; Louis; Hanniah or Amia; Luckey; Suzanne;
Fanny; Chisbe; Charles; Paul; Jeannette; Mary Jeanne; Pauline

Pointe Coupee Parish, Legal and Conventional Mortgage Book B, 544, 1833/05/09

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Owner

Trumbull, Mathilda A.

Mortgaged Collateral '

land and the following individuals: Big Tom (alias John), his wife Peggy, and their three children Beck, Patience, and Dick;
Jack Collins, his wife Alssee (alias Alfa), and their children Paris, Amy, Adam, Dafney, Mathilda, and Patsy; Jacob and his
wife Patty (alias Polly), and their children Boney, Rachel, Judy, and Daniel; Yellow Tom, his wife Jenny and their children
Sam, William, and ian unnamed boy; William, his wife Hannah and their children Judy and Lucinda; Old John; Isaac;

Charles; Prince; Solomon; Anthony, his wife Hannah Sip, and their children Polly, Harry, John, Eveline; Old Ann; Mary; Jack; Joel; Thomas; Dan; Patsey; Mary; Green; James; Edmond; Prince; Tomas; Big John; Peggy; Robert; Louisa; Liss; Stephen

Dates Source

1835-1845 Pointe Coupee Parish, Legal and Conventional Mortgage Book C, p. 66 (No. 217); No. 428, 1835/03/30; Pointe Coupee Parish, Legal and Conventional Mortgage Book D, p. 335, 1845/03/29; Pointe Coupee Parish, Legal and Conventional Mortgage Book D, p. 348, 1845/04/09

St. James Parish

Champagne, Evariste sugar planation and the following individuals: Louis; Francois; Jean Pierre; Valsin; 1833
Justin; Marianne; and Charlotte

1841

Huguet, Esteve

Roche, Pierre Felix

land and the following individuals: Pierre; Aristide

plantation and the following individuals: Louisa and her three children Alfred, Celestine, and Richard; Cicero; Jean Louis; Zabelle; Valery; Ophelia; John

1840

St. James Parish, Mortgage, Book 13, p. 255, 1833/05/29

St. James Parish, Mortgage, Book 19, p. 511, 1841/06/14

St James Parish, Mortgage, Book 18, p. 442, 1840/03/28

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Owner Mortgaged Collateral

St. Landry Parish

Brownson, John land and the following individuals: York; Kitty; Pat; Jim, his wife Harriet and her five children Elsy, Anthony, Phillis, Gilbert, and Delphine; Bill; Big Charles and his wife Sapho; William, his wife Sucky, and their three children Andrew, Elizabeth, and Polly; Harry, his wife Ester, and their five children Anna, Harry, Nancy, Eliza Jane, and Denis; Humphrey, his wife Maria, and their four children Betty, Hanna, Abigail, and Frank; John, his wife Mary Ann, and their four children Mary, Custers, Fanny, and unnamed individual; Antoine; Patrick, his wife Delphine, and their four children Alexander, Grace, Manuel, and Sarah; Providence; Demba and his wife Delia; Stephen, his wife Nancy, and their three children Stephen, Jane, and unnamed individual; Romeo; Pool; Euphrosine; Mises; Robert; Sam

Dates Source

1833 St. Landry Parish, Conveyance Book H-1, p.216,

1833/04/20

Campbell, Marsden

land and the following individuals: Andrew; Ben; Bookey; Daniel; Joe; John H. 1837 Frank; Mirrgo; Ned; Scipio; Abram; Abbe; Charlotte; Fanny; Judy; Minerva; Nanny; Tom; Dick; William; James; Betty; Laura; Membo; Nancy; Dorinda; Resin; Silla; Hannah; Sally; Sida

St. Landry Conveyance Book IJ-1, p. 1837/04/27

103,

St. Martin Parish

Breaux, Alexandre plantation and the following individuals: Louis; Jacques; Magdelaine; Marianne; Baptiste; Moise; Cresfort; Milly; Gre; John; Fae; unnamed infant Davis, Robert J. and plantation and the following individuals: Bolen; Esam; George; Paresh; Nancy;

Caroline J. Guidry, Marguerite

LeBlanc, Edward

LeBlanc, Norbert Marsh, Jonas

Tabitha; Centha; Emilie; Fanny

plantation and the following individuals: Bajile; Andre; Guillaume; Francesque; Euken; Bill; James; Anna; Martin; Jose;

Bun-aime; Caiton plantation and the following individuals: Charles; Ransom; Schill; Marie Lauide; Ursin; Cary; Jane;

Charles; Paul; John; Peter; Nally; Robert; Cilstin; Martin; Basil; Anne; Silvie; Harden

plantation and the following individuals: Wally; Martin; Celestin; Robert; Silvy

land and the following individuals: Peter; Becky; Cyrus; Gilbert; Kert; Adam; Abraham; Delphe; Isaac; Abraham; Pack;

Sophy; Nancy; Nelson; illegible

1833 St. Martin Parish, Conveyance Records vol 8, p.

165, no 7383, 1833/06/20

1832-1833st Martin Parish, Conveyance Records vol 7, p.

274, no 7135, 1832/05/04; Conveyance Records vol 8, p. 120, no 7337, 1833/04/25

1833 1832

1842 1834

St. Martin Parish, Conveyance Records vol 8, p. 129, no 7348, 1833/06/06

St. Martin Parish. Conveyance Records vol 7. p. 325. no 7188. 1832/07/16

St. Martin Parish, Conveyance Records vol 13, p. 328, no 10030, 1842/04/26
St. Martin Parish, Conveyance Records vol 9, p. 83, no 7604, 1834/06/07

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Owner

Miguez, Bernard

Mortgaged Collateral

plantation and the following individuals: Oswald; Cilule; Betsey; Kily; Suzan

Dates

1832

Rousseau, Jean Julien plantation and the following individuals: David; Job; Elias; Peter; Adam; Charles; 1833
Phill; Henry; Auston; Samson; Eliman; Elee; Nancy and her unnamed daughter;
Ceuya; Julie; Caroline and her unnamed daughter; Silvia and her unnamed son;
Sally-Anne and her unnamed son; Gwen-Ann; Caroline Vincent, Charles plantation and the following individuals: Victor;
Julie; Jacob; Jacques; Jean Pierre; 1832
Fran; Victorie; Sabel

Source

St. Martin Parish, Conveyance Records vol 7, p. 264, no 7125, 1832/04/25
St. Martin Parish, Conveyance Records vol 8, p. 117, no 7335, 1833/04/24
St. Martin Parish, Conveyance Records vol 7, p. 335, no 7196, 1832/07/19

St. Marv Parish

Baker, Joshua

Barabino, Stephen

Bernard, Raymond Bodin, Simon Bowles, Thomas E.

Brashear

the following individuals: John; Hetty; Cudgo; Irwvin; Susan; Willis; Anne; Jim; Jacob; Letty; Nancy; Lijah; unnamed
individual; Shedrick; Lucy; Martha; Little Shederick; Johnson; unnamed infant; Buttle; Eveline; Jared; Charles; Nancy;
Lucky; Sampson; Flore; Shederick; Lewis; Sally; Little Jack; Liddy; Lavinia; Little Steven; Ritta; Linna; George Diar; Lea;
Ellen; George; Marguerite; Sam; Sarah; . Elizabeth; Mathilda; Jim Pratt; Sally Pratt; Edmund; unnamed individual; Jeff;
Frank; Rena; Charlotte; Rena; Joshua; Claiborne; Rhubin; Ceily; Milly; Louisa; unnamed individual

1842

1832

land and the following individuals: Thomas; Elix; Isaac; Christopher; Robbins; Mansnitta; Maria; Clara; Henry; Felicity;
Joseph; Coleman; Curdin; Jackson; Thomas; Philip; Fanchenetta

land and the following individuals: James; Dick; Joe; Joe; Bartlet; Daniel; Edward; 1835 Sophie

plantation and the following individuals: Vilgence; Adeline 1838

St. Mary Parish, Mortgage Book 11, p. 50, 1842/06/04
St. Mary Parish, Mortgage Book 5 p. 323, 1832/05/01
St. Mary Parish, Mortgage Book 7, p. 476, 1835/05/02
St. Mary Parish, Mortgage Book 9, p. 200, 1838/06/09
St. Mary Parish, Mortgage Book 10, p. 293, 1841/04/13

land and the following individuals: Bill; Kaye; John; Isaac; Jack; William; Rob; 1841 Jackson; Clifford; Lucy; Henson;
Philles; Ephraim; Jane; Kesiah; Mary; Pherody; Polly; Lucy

land and the following individuals: Matilda; Queeney; Augustus; Flora; Courtney; 1833-1843 ^{s*} - Mary Parish, Mortgage
Book 6, p. 332, Harry Todd; Hannah; Clarissa; Sinclair; Ellen; Ben; Patrick; Milly; Jinny; Ann;. 1833/06/24; Mortgage Book
11, p. 198, 1843/06/01

Saunders; Horace; Maria; Eliza Johnson; Sabina; Camilla

Page 95

Owner

Carlin, Celestin

Carlin, Helaire Charpantier, Joseph Cook, John A.

Crawford, Henderson

Daigle, Louis

Deutreuil Louis

Elliott, Bryce

Elliott, George and Bryce

Ferguson, James Foote, Henry

Frere, Joseph A.

Mortgaged Collateral Dates

plantation and the following individuals: Polly; Voltaire; Julien; Christine; Adelaide; 1838 Victor; Hassin; unnamed invidual;

Jane; Feliciane; Washington; Clarissa; Ann; Henry; Moor
plantation and the following individuals: William; Claiborne; Dick; Henry; David; Mary; Arceuil; Susanne; Sophy
land and the following individuals: James; Nick; Charles; Charlotte; Mary; Milly "

1839 1835 1837

plantation and the following individuals: Peter; Manuel; Ephriam; Jemi; Harry; Tom; John; Polly; Annan; Jeneya; Jilla;
Sam; Alik; Ruben; Harriett; Penny; Betsey; Sarah

land and the following individuals: Frank; Harry; Willis; Hannah; Charlotte; Bob; 1834 Prior; Sally; Dick; Betsey; Jim; Bill;
Elizabeth

plantation and the following individuals: Francois and Rosalie 1833-1841

plantation and the following individuals: Marie and her unnamed child 1832-1836

plantation and the following individuals: Big Bob; Major; John alias Eugene; 1839 Hannah; Ann; Abram; Malinda; Rosina ^f

plantation and the following individuals: Kit; Telly; William; Delay; John; Martha; 1838

Sarah; Isam; unnamed child; Matilda; Eliza; Betsey; Simon; Randall; Ann

plantation and the following individuals: Jim; Armstrong; Oeasen; Harriet; Alfred 1833

land and the following individuals: Peter Caffery; Moses; Osaac; Ceasor; Bill; 1839 Washington; Henry; Allen; Sarah;
Nancy; Julia; Rachel; Phoebe; June; Patsy; Minerva

land and the following individuals: Moses; Elijah; Lary; John; Jared; James; 1843 Charles; Butler; Philippe; Hubert;
Auguste; Andre; Victor; Zenon; Big George; Little George; William; Jacques; James; Francis; Martha; Thirezes; Manette;
Marine; Marionnette; Flore; Achilles; Sophy; Nancy; Rachel; Sense; Charlotte; Virginia; Charles; Betsey; Cecile Shedrick;
Lucinda; Emilie; Celeste; Edmond; Clemence

Source

St. Mary Parish, Mortgage Book 9, p. 227, 1838/07/06

St. Mary Parish, Mortgage Book 1837, Vol. 9, p. 390, 1839/04/13

St. Mary Parish, Mortgage Book 7, p. 420, 1835/03/21

St. Mary Parish, Mortgage Book 1832, vol. 6, p. 22, 1833/04/30; Mortgage Book 8, p. 476, 1837/06/09

St. Mary Parish, Mortgage Book 7, p. 300, 1834/09/19

St. Mary Parish, Mortgage Book 7, p. 36, 1833/07/29; Mortgage Book 10, 380, 1841/07/29

St. Mary Parish, Mortgage Book 6, 1832/07/14; Mortgage Book 8, p. 290, 1836/06/29

St. Mary Parish, Mortgage Book 9, p. 474, 1839/07/03

St. Mary Parish, Mortgage Book 9, p. 272, 1838/08/27

St. Mary Parish, Mortgage Book 7, p. 40, 1833/07/30

St. Mary Parish, Mortgage Book 9, p. 462, 1839/06/11 /

St. Mary Parish, Mortgage Book 11, p. 269, 1843/08/12

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Owner Mortgaged Collateral Dates Source

Fuselier, Gabriel L. ■ land and the following individuals: Sam; Vinah; Moses; Samuel; Benjamin; Lewis; 1843 St.
Mary Parish, Mortgage Book 11, p.

Hanna and her unnamed child; Joe; Nancy; Caroline; Joseph; Josephine; Nelson; 248, 1843/06/24 Peggy; Tony;
Christine; Nelson; Emilia; John; Janny; Johnson; EsopfMarius and Mary; Jim; Aline; Felix; Rhody; Dave; Guy; Henry;
Bartlet; Reuben; Billy; Edward; Jim; Dick; Daniel; Zenon; Gary; Jenny; Old Mary
Garret, Catherine

plantation and the following individuals: Bosor; Charles; Eliza; Martin; George; 1836 Louisa; Isam; Isaac; Gilbert; Mary;
Ephriam; Betsey; Morris; Callin; Susan; Allan

St. Mary Parish, Mortgage Book 8, p. 215, 1836/04/23

Garret, John

plantation and the following individuals: Lewis; 'Cage; Nelson; Bill; Peter; Harry; 1832-1838 st. Mary Parish, Mortgage
Book 5, p. 306, .

Lane; Nat; Sam; Joe; Littia; Loucas; Lavinia; Lucy; Betsey; Letitia; Caye; Sally; Bill; Lucinae; Laura; Charles; Henry; Lucy;
Washington; Saul; Tamer; Natt; Nelson; Peter; Dave; Lucy; Jeff; Eliza; George; Hannah; Sam; Joe; Betsey; Gilbert

1832/04/24; Mortgage Book 9, p. 186, 1838/05/23

Gerbeau, James

planation and the following individuals: Jim, Edmund, Joseph, George, Henriette, 1833 Rosette, Cilestin, Sam or Philip,
Adelaide, Margaret, Francoise, Sukey, Phil

St. Mary Parish, Mortgage Book 6, p. 289, 1833/06/10

Gerbeau, Joseph Grevenberg, Charles

land and the following: Charles; Jean; Peggy; Julie 1842

plantation and the following individuals: Grand Sam; Gros Sam; Billy; Little Jim; 1833 Jackson; Wilis; Jim; Arthur; Joseph;
Lewis; Frank; Reuben; Jordan; Ben; Alexis

St. Mary Parish, Mortgage Book 10, p. 349, 1841/06/05

St. Mary Parish, Mortgage Book 6, p. 250, 1833/05/18

Harding, Winthrop S.

land and the following individuals: Simon; Stephen; Wilks; Caleb; Major; Solomon; Carey; Captain; Toney; Emeline;

Maria; Betsey; Violet; Mary; Peggy; Tony; Captain; Dick; Bob; Carry; Eliza; Abraham; Eleonora; Mahala; Mary; William; Anna; Annette; Washington; Doctor; Harriett; Simon; Emiline; Sally; Rhoda; Memory; Abigail; Franky; Delia; Sam; Reason; Penny; Anthony; Mary; Tom Major; Jack; Fanny; Yama; Jacob; Lidia; Margaret; Maria; Prescilla; Almira; Elvy; Viney; Violet; Betzy; Solomon; Manuel; Charity; Hannah; Joe; Daniel; John; Ismail; Leah; Nathan; Julius

1836-1841 St. Mary Parish, Mortgage Book 8, p. 187,
1836/04/07; Mortgage Book 10, p. 337, 1841/05/15

Page 97

Owner

Haydel, George

Mortgaged Collateral Dates Source

plantation and the following individuals: Fanny and her unnamed child; William; 1832-1834 St. Mary Parish, Mortgage Book 6, p. 59,

Charles; Jordan; Pepe; Asan; George; Alexander; George; Aleck; David; Jim; Suzan and unnamed child; Bill; Sally; Washington; Perry; Henvre; Martin; Maria; John Louis; Rachel; Zenon; Bill; Joe; Baptiste; Augustin; Jim; Betty; Frank; Jesse; Linan; Jesmire; Billy; Gustave; Baptiste

Heydell, Francoise plantation and the following individuals: Marciss; Cilistrin; Vincent; Augustin; 1833

Laurel; Austin; Tenon; Marie Louisa and her unnamed children; Francois and her child Rosalie

Jeanerett, John W. and plantation and the following individuals: Jacob; Jim; Ephrom; John; Jack; Vinia; 1832 Constant E.

Gradless Celia and her unnamed child

1832/07/11; Mortgage Book 7, p. 230, 1834/05/24

St. Mary Parish, Mortgage Book 6, p. 291, 1833/06/10

St. Mary Parish, Mortgage Book 6, p. 78, 1832/08/07

Lacy, John O. and P. Vandorn

Lacy, Susan

Louviere, Louis Marsh, John C. Murphy, John B

A. plantation and the following individuals: Jefferson; Isaac; Hiram; Sidner; Bill; 1833 Dennis; King; Thomas; Oscar; Maria; Susan; Emeline; Maria; Jeanett; Harry; John; Saul; Betsy; Bis; Jane

plantation and the following individuals: Elliot; John; Cuffy; Murray; George; 1833 Silvesha; Maria; Eliza

land and the following individuals: Kesiah; Mary; unnamed individua 1840

•plantation and unnamed individuals 1832

plantation and the following individuals: Jim; Solomon; Charles; Hlip; Charles; 1836-1837 Stephen; Harry; Abraham; Little Sol; Washington; Jenny; Little Polly; Louise; Anny

St. Mary Parish, Mortgage Book 6, p. 217, 1833/04/30

St. Mary Parish, Mortgage Book 6, p. 260, 1833/05/24; Mortgage Book 7, p. 1, 1833/07/03

St. Mary Parish, Mortgage Book 10, p. 170, 1840/08/15.

St. Mary Parish, Mortgage Book 5, p. 318, 1832/05/16

St. Mary Parish, Mortgage Book 8, p. 210, 1836/04/16, p. 444, 1837/04/22

Nash, William J. Parkerson, John Pecot, Charles

plantation and the following individuals: Nathan; Will; Burrel; Phil; Washington; 1836 Norris; Maria; Harriet; Nancy

plantation and the following individuals: Betsey; Grace; George; Jackson; Sam; 1832 Mary

plantation and the following individuals: Bastien; George; Edmund; Celestin; .1838 Henry; Louisa; Eugene; Alsurdos;

Aime; Raphael; Antonio; Suzanne and children Daniel; Meathilda; Sophy; Augustine; Clasico; Liso; Pasino and her children John, Flora, and Isabelle; Helen; Erbasy and her son Prosper; Telesse with her child Adreinne; Adeline; Adelle;

Philamisi; Marie; Francaise; Eliza; Irenne; Laurett; Climeice

St. Mary Parish, Mortgage Book 8, p. 282, 1836/06/14

St. Mary Parish, Mortgage Book 6, p. 53, 1832/07/11

St. Mary Parish, Mortgage Book 9, p. 202, 1838/06/08

r

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Owner

Pecot, Marie Rose

Mortgaged Collateral

land and the following individuals: Henry; Pierre; Achilles; Jim; Charles; Ariane; Abram; Betsey; Dick; Joe; Jim; Sarah; Narcisses; Clementine; Caroline; Charlotte; Gabriel; Lanuile; Pierre; Adeline; Charlotte; Polidore; Victorin; Victorin; Victor

Dates Source

1843 St. Mary Parish, Mortgage Book 11, p. 266,

1843/08/11

Porter, James Robert, Peter H

Rome, Nicolas Royster, George Sanders, Jarrad Y. Shewing, George Smith, Boyd

Smith, James

Sparks, Daniel P.

land and the following individuals: Washington; Violet; Guilford; Judy; Steamboat; 1844 Big Ben; London; Elias; Milas; Patsey; Cheney; Willis; Osborne
plantation and the following individuals Mary; Lige; George; Maria; Tom; Allen; 1832-Nancy; Rose; Mary; Jon; Milly, Tom; Horace; Allen; Frank; Issach; Nancy; Little Mary; Maria; Milly
plantation and the following individuals: Louis; Charles; Betsey; Maria 1832
plantation and the following individuals: Bob; Mike; Collin; Lucy; Robin; Charlotte; 1833 Milly; Wilson; Mary; Rebecca
plantation and the following individuals: York; Sarah; Mathilda; Charles; Momra; 1832 Willy; Roselly; Amr; Posephinie
land and the following individuals: Reuben; Sarah; Cressey; Sam 1835
the following individuals: Adam; Albert; Ned; Dick; James; Anderson; Abraham; 1833-Henry; Dick; Dinah; Harriet; Eliza; unnamed infant; Libella

plantation and the following individuals: David; William; Isaac; Hector; 1833 Washington; Larry; Charlotte; Rachel; Porz; Cynthia; Jane; Betty; Phoebe; Henry; Ida; Jupiter; Frank; Romeo; Daniel; Michel; David; Lydia; Sarah; Bill; Mary; Sidney; Nanny; Massy; Lenis; Richard; Louis; Little Betty; Molly; Sam; Maria; Jerry; Milly; Jackson; Ellen; Jack; Joe; Jim /
plantation and the following individuals: Jack; Willam; Weston; Soloman; Ceasar; 1839 Simon; Sam; Adam; Molly; Rachel; Lucinda; Rhinah and her child Fanny; Mahrulia; Western; David; George; Solomon; Isaac; Jack; Molly; Rachel; Since

St. Mary Parish, 1844/12/21
■1833 St. Mary Parish, 314, 1832/05/03; 224, 1833/04/24;
St. Mary Parish, 1832/05/07
St. Mary Parish, 1833/07/12
St. Mary Parish, 1832/07/23
St. Mary Parish, 1835/04/03
■1845 St. Mary Parish, 298, 1833/06/14; 1841/05/05
■1840 St. Mary Parish, 236, 1833/05/03; 1840/05/15
Mortgage Book 11, p. 503,
Mortgage Book 5, p. Mortgage Book 6, p. p. 225; 1833/05/01
Mortgage Book 5 p. 331,
Mortgage Book 11, p. 199,
Mortgage Book 6, p. 65,
Mortgage Book 7, p. 432,
Mortgage Book 6, p. Mortgage Book 10 p. 322,
Mortgage Book 6, p. Mortgage Book 10 p. 118,
St. Mary Parish, Mortgage Book 9, p. 396, 1839/04/19, p. 397, 1839/04/19

Sterling, William

plantation and the following individuals: Jacob; Tom; Ned; Peter; Frank; 1853 Washington; Little Tom; Jim; Rawley; Sarah; Hannah; Nancy; Fanny; Lucinda and three children Richard; Alex; and John; Maria and her children Elijah, Bob, and Effy; Augustin; Levin; Milly; Lucy

St. Mary Parish, Mortgage Book 8, p. 229, 1853/5/13

Page 99

Owner

Theall, James F.

Vinson, Carroll

Mortgaged Collateral Dates

land and the following individuals: Evans; Dick; Miles; Susan; Lincey; Jesse; Elsy; 1832 Ellen; Jo

plantation and the following individuals: Lewis; Lydia; Larisa; Hosey 1838

Wilcoxon, Thomas plantation and the following individuals: Prinius; Ned; Andrew
1835

Source

St. Mary Parish, Mortgage Book 5 p. 329, . 1832/05/03
St. Mary Parish, Mortgage Book 9, p. 168, 1838/04/18
St. Mary Parish, Mortgage Book 8, p. 64, 1835/08/26

Terrebonne Parish

Boutelou de St. Aubin, the following individuals: Sam; Lenor; Davis; Rosette; Aggy and her two children 1841 Charles Amos and Agathe

Terrebonne Parish, Convenance Record Jan 8, 1841 - Apr. 2, 1845, p. 582, 1841/12/16

West Feliciana Parish

Atkins, James D. and Florann

land and the following individuals: Lucy; Maria; Caroline; Charlotte; Harriet; Patsey; John; Henry; Luke; Lewis; Jim; Moses; Mills; Mary; Eveline; Milly; Sam; Bill; Dan; John; Miles; Margaret; Louis; Milley

1835-1841 West Feliciana Parish, Mortgage Book L, p. 257-259, 1841/03/02; West Feliciana Parish, Mortgage Book J, p. 402, 1835/07/09

Austin, William A. and

Elizabeth

Barrow, Albert G.

Barrow, Alexander

land and the following individuals: Dave; Rachael; Silence; Milly and her unnamed 1835 daughter

land and the following individuals: Winney; Mary; Nancy; Jane; Ben; Elizabeth; 1840 Delphine; Thorn Coleman; Henry; Sylvia; Elizabeth; Nancy

plantation and the following individuals: Edmund, his wife Ginney, and children 1832 Lilina, Alexander, Hinderson, and Aronlien; George Hoat; Jane; Charles; Toby formerly Anthony; Susan and two children Rufus and Peter; Mary Jane and her three children Anaka, Nat, and Phillis; Richard; Gilbert; Henry; George; Harry Nearu; Harry Turpin; Bob Madry; Ephraim; Isaac Matthew; Little Bob; Rose; Sal; Abram; Charlotte; Lewis; John; Sarah; Abraham; Ritty; Mary; Ann; Julia; Amy; Mary; Rufus; Ben; Frank

Barrow, Bennet H. and tract of land and the following individuals: Eliza; Celia; Dorcas; Edney; Grace; Phil; 1834-1844

Emily Hannah; Lizzy; Kiah; Lucy; Atean; Lewis; Levina; Ceutne; Hetty; Israel; Ralph;

Lindy; Alfred; Betsey; Willey; Milley; Jack; Dennis; Cato; Esset; Nat; Sarah;

Easter; Phill; Lucy; Candy; Margaret; Leah and her child Littleton; Levi; Easter;

Adah; Jacob; Hannah; Jenny; Bartley; Jerry; Jim

West Feliciana Parish, Mortgage Book J, p. 412, 1835/08/14

West Feliciana Parish, Mortgage Book L, p. 58, 1840/02/07

West Feliciana Parish, Mortgage Book H, p. 393, 1832/04/21; West Feliciana Parish, Mortgage Book H, p. 527, 1832/12/29

West Feliciana Parish, Mortgage Book J, p. 209, ■ 1834/02/07; West Feliciana Parish, Mortgage Book M, p. 431, 1844/02/03

Page 100

Owner

Barrow, Robert James and Mary E. Craff

Barrow, William Ruffin

Mortgaged Collateral

land and the following individuals: Tom; Elsey; Adeline; Isac; Mary Hall; Amy; Lizzy; Charity; Elizabeth; Jenny; Lucinda; Patience; Yellow John; Henry; Harriet; Matilda; Peter; Andrew;"Drud; Wilson; Maria; July; Mary; Tilla; Milly; Kate; Nimrod; John; Juba; Willy

the following individuals: Island Harry; Soloman jempa and hertwo unnamed children; Hampton Stokes; Carter Hampton; Bill O'Connor; Ned Carter; Sam O'Connor; Giles; Joshua; Aaron; Roden; Edd Long; Peter; Overton; Ben; Walter; Bill; Nat; Solomon; Booker; Dan, chlid of Adeline; Lot; Joe; Joshua; Island Ben; Harry; Sophia; Kathy; Biddy; Stella and her child Rumsey; Nancy; Annette and her child Eveline; Rachael; Ellen; Lettie; Darcus and her child Rachael; Jane; Sally Carey; Patty; Beckey; Adeline; Harriett and her child Elizabeth; Lucy; Susan; Anny; David; Fanny; Nelson; Luckey;Nanny; Frank; Sail; Lancaster; Fubal; Jephsa; Archer; Jim; Easter; Mahala; Nathan; Princess; Manerva; Rachel; Hasty; Kittey; Little Pleasant; Lewis; Harry; Temple; Cloe; Aggy; John; Charlotte; Jackson;

Dates Source

1841 West Feliciana Parish, Mortgage Book L, p. 280-

282,1841/04/21;

1840-1857 West Feliciana Parish, Conveyance Record K, p. 299, 1851/08/26; West Feliciana Parish, Conveyance Record K, p. 297,1857/08/28; West Feliciana Parish, Mortgage Book M. 134, 1842/05/18; West Feliciana Parish, Mortgage Book L, p. 216, 1840/11/12

Barton, Edward H. and Eveline

Bergess, William and Elizabeth

Binghaman, Ms. Lorig

Blount, Levi

Boyle, William D. and Lucinda Jane

William;Ted; Brister; Ely; Yellow Dick; Arthur; Daniel; Jim; Joshua; Sandy; Big George; Anderson; Arthur; Little Henry; John; Amos; Littleton; Bill; Jake; Jubiter; Simon; Hampson; Big Henry; Big Jackson; Big Kitty; Big Hannah; Hannah; Ann; Little Kitty; Eliza; July; Dorcas; Sarah; Susannah; Maria; Creary; Cloze; Jenny; Penny; Adeline; Little Mary; Minta; Nan; Lemee; Nancy Lee; Charity; Patsy; Dinah Lane; Judy

land and the following individuals: Charles; Frank; Josias; Harriet

1832

1833

West Feliciana Parish, Mortgage Book H. p. 419, 1832/04/27

West Feliciana Parish, Mortgage Book J, p. 147, 1833/07/08

land and the following individuals: Prosper and his wife Susan, and their child Eliza; Tempe; Ellen and her child Fanny; Tempe's child Matilda

land and the following individuals: George Graves; Sandy; Richmond; Bill; Melford; 1832-1833 West Feliciana Parish, Mortgage Book H, p. 390, Moses; Dick; George; Abe; Alfred; Bob; Milford; Frank; Rod; Rachel; Dianah; Matilda; Mary; Mulatto Mary; Short Rachel; Alice; Celia; Fanny; Mariah; Chany; Alice; Christeen; Henrietta; Ann; Priscilla

land, plantation on Bayou Sarah, and the following individuals: Tom; Harry; Jacob; 1833 Bill; Lewis; Tempy; Lucinda; Daine: Ann: Adeline: Reuben: Henrv: Abner: Daniel: Anderson: Emilv: Sarah: Matilda

Brown, Fanny; Freeman, Rebecca; Henry, Esther; Parker, Fanny; Paragon, Emily; Sarah, Malvina

land and the following individuals: Henry; Isaac; Preston; Milly 1839

1832/04/14; West Feliciana Parish, Mortgage Book J, p. 84, 1833/04/06

West Feliciana Parish, Mortgage Book J, p. 96, 1833/04/13

West Feliciana Parish, Mortgage Book K, p. 408, 1839/05/27

Page 101

Owner

Bradford, David and Amanda

Brown, Asa

Mortgaged Collateral Dates

land and the following individuals: Bison; Elisha, his wife Nancy, and their children, 1837 Charity, Lubela, and Johan; Queen and her son John; Emma and her two children Harriet and Sampson

plantation, land, and the following individuals: Jim; George; Harry; Charles; Adam; 1833-1843 Little George; Henny; Dorcus; Caroline; Lucy; Bill; Eliza; L. Charles

Source

West Feliciana Parish, Mortgage Book J, p. 584, 1837/02/08

Burgess, William land and the following individuals: Jack; Carolin; Harriet; Tom; Malvina; Lucy; . 1837

Amy; Ellen; Fanny; Julie; Susan; Eliza; Ann; Louisa; Tempee; Matilda; Henderson; unnamed individual

Canfield, Zackariah and land and the following individuals: Mary; David; Sarah 1839 Julia

Clark, Maria land and the following individuals: Jim; Frank 1832

Cpbb, Stephen C. Croft, John and Susan

Davis, Charles H. and Ann M. .

Davis, Jesse

Davis, Lewis F. J.

Dawes, Salloman M. and Ann

Dawson, John B.

land and the following individuals: Roman; Lethy; Ann; Sally; Lethy Amis; George 1841 Washington; Allin; Henry; Frank; Peter; Adeline

the following individuals: January; Cuase; Peter; April; Cuase; Sithe; Sithe; 1832 George; Isaac; Andrew; Jinny and her child Caroline; Rose; Lucy; Hester and her children Jerry, Edmund, illegible, and William; Winny and her children Joe and Hester; Young Rose; Mary; Anthony; Jim

land and the following individuals: Isaac; Sal or Sarah; Alice; Alex or Alexander; 1840 Sylvia; Dick; Harriet; Rachel; Sam; Kentuck-Isaac; Tom; Betsey; Caroline; Little Sal; Caroline, Minor; Ellin; Little Sal; Vine; Bill

plantation, land, and the following individuals: Birt; Major; Perry; Frank; Willard; 1833 Louisa; Matilda; Clarisy

land and the following individuals: Eve and her two children Mincey and Jim; 1839 Fanny and unnamed child; Cato Virgil;

Flora and her unnamed child land and the following individuals: William; Nelly; John; Clara; Victor; Sylvia; 1833 Caroline; Prince; Betty

land, plantation, and the following individuals: Sam; Ishmael; Arch; William; Cato; 1833 Jane; Vine; Milley; Phillis; Charlotte; Adeline; Len; Lydia; Filler; Harriette; Charlotte; Allen; Cornelius; Virginia; Caroline; Martha; Eliza; Arch

West Feliciana Parish, Mortgage Book, p. 89, 1833/04/09; Pointe Coupee Parish, Legal and Conventional Mortgage Book C, 1711, 1839/03/11; West

Feliciania Parish, conveyance Record H, p. 458, 1843/09/12

West Feliciana Parish, Mortgage Book J, p. 583, 1837/02/07

West Feliciana Parish, Mortgage Book N, p. 296, 1839/02/27

West Feliciana Parish, Mortgage Book H, p. 414, 1832/04/24

West Feliciana Parish, Mortgage Book L, p. 299, 1841/05/18

West Feliciana Parish Mortgage Book H, p. 406, 1832/04/23

West Feliciana Parish, Mortgage Book L, p. 113; 1840/05/04

West Feliciana Parish, Mortgage Book J, p. 40, 1833/02/27 •

West Feliciana Parish, Mortgage Book K, p. 275, 1839/01/16

West Feliciana Parish, Mortgage Book J, p. 121, 1833/05/11

West Feliciana Parish, Mortgage Book J, p. 82, 1833/04/03

Page 102

Owner

Doherty, Anthony and Marsa

Mortgaged Collateral

plantation, land, and the following individuals: William; Dick or Yellow Dick; Jack; Milley; Ida; Long George; Abraham; Charles; Isaac; Robbin; Harry; Vine; Henry; Rose; Ginney; Easter; Hannah; Lewis; Christmas; Henry; Anthony; Samuel; Peter; Charles; Lean; Ann; Margaret; unnamed individuals; Levin; Margaret; Celia; Welloughty; Jan; Aurr; Margaret; Jack Goin; Dannis; Jack; Sophia; Adeline; Leah; Rachel; Ann; Kate; Stephen; Alfred; illegible; Couilla; Coth; Dicey; Neacy

Dates Source

1833 West Feliciana Parish, Mortgage Book J, p. 107,

1833/04/27; West Feliciana Parish, Mortgage Book n. 156 1833/07/26

1833/07/27, West Feliciana Parish, Mortgage Book K, p. 130, 1833/07/29

Doherty, Charlotte Doherty, Peter

Duir, Robert

Dupre, James R.

Edie, Charles M. Fair, James and Mary

land and the following individuals: Anthony; Peggy; Delphe; Aaron; Margaret; 1839 Maria; Sylvia; Renold; Tell

the following individuals: Peter and his wife Adaline; Sam; Short George; Mike; 1841 Maria; Bet; Stephen; Willis; Ollive;

Dice; Maria; Ellen; Phil; Long George; Thornton; Levin

land and the following individuals: Matt; Vine; Peter; Kitty; Nancy; Tom; Milley

West Feliciana Parish, Mortgage Book K, p. 325, 1839/02/15

West Feliciana Parish, Conveyance Record G, p. 208, 1841/04/27; West Feliciana Parish, Mortgage Book K, p. 387, 1839/04/27;

1834

land and the following individuals: Isaac; Otis; Anrster; Bob; Bob Oliver; Helen; Judy; Danferey; Sarah and her child

Margaret; Rena; Nancy; Charlotte; Ellis; Jim; Ann

plantation and the following individuals: Sharper; Betsey and her son; Isaac; Jim; 1848 Mary Ann; Emmeline; Tom; Bill;

Lucy and her son Peggy; Loudon; Lucy; Eliza; Patsey; Sarah; George; Reuben; George; Polly; Ann; Anderson; Hannah

plantation and the following individuals: Phileum and his wife Mary; Maria; 1835 Charlotte; Mary; Watty; Dick; Henry;

Charles and his wife Mary; Eady; Grace and her child Martha; Abraham and his wife Sylvia and Abraham's children

Stephen and Esther; Roderick and his wife Milly; Trilly and her child; Ginney; Tom; Dave; Rachael; Abraham; Jacob;

Nancy; Jack; Billy; Phillis; Fountain; Jake; Sam

1832-1842 West Feliciana Parish, Mortgage Book H, p. 386, 1832/04/19; West Feliciana Parish, Mortgage Book J, P. 125, 1833/05/18; West Feliciana Parish, Mortgage Book M, 111, 1842/04/11

West Feliciana Parish, Mortgage Book J, p. 259, 1834/04/12¹

West Feliciana Parish, Mortgage Book N, p. 453, 1848/05/25

West Feliciana Parish, Mortgage Book J, p. 310, 1835/01/22;

Farrar, Mary Ann

land and the following individuals: Esther and her children, Nace and Margaret; John; Manuel; Bob and his wife Sabra

and their children, Tenp and Jince; Sam and his wife Betty and their children, Patience and Cato; Sylvia and her daughter

Ann; Caroline; Martha; Maria; Little Bob; Sarah; Moses; William alias Banks

1836 West Feliciana Parish, Mortgage Book J, p. 492,

1836/03/12

Page 103

Owner

Fort, Ann

Fort, William

Mortgaged Collateral

land and individuals: Nace; John; Manure; Bob; Jane; Cato; Esther; Margaret; Sabra; Betsy; Sylvia; Jane (alias Fanur);

Tempe; Jinny; Patience; Ann; Carolin; Martha; Simon; Dennis; Daniel; Bob; Sam; Sidy; Mary; Esther; Fanny; Sisy; Ann;

Ben; Washington; Pharyly; Eiha; Judy; Dilsey; Josephine; Clever; Judy; Isaac; Sarah; Essex; Jim; Harry; Rhody; John;

Chloe; Tuolage; Mournany; Nelson; Lucy; Andrew; Sylvia; infant; Josephine

land and the following individuals: Edmond; Dick; Hank; Jake; Anthony; George; Moses; Jim; Tom; Lorenzo; Little

Anthony; Beck; Nance; Charlotte; Rose; Susan; Ellen; Chancy; Anthony; Arthur; Jerry; Jacob; Edmond; Hackless; James;

Andrew; Little George; Henry Dou; Little Harry; Kitty; Jane; Lucey; Silvey; Josephine; Julia; Nancy; Lacey; Betsey;

Valentine; Phil; Charity; Tennessee; Jerry; Lady and her child Joe; Allen; Lucky; Thomas; Gran; Sally; Jackson; Halifax;

Lucinda; Varny; Isaac; Monroe; Henry; Sam; Patty; Washington; Bytha; Jane Fisher; Josiah;. Cesar; Jenny; and three

unnamed

Dates Source

1832 West Feliciana Parish, Mortgage Book H, p. 425-

427, 1832/05/0.1

1832-1841 West Feliciana Parish, Mortgage Book H, p. 388, 1832/04/20; West Feliciana Parish, Mortgage Book J, p. 420, 1835/10/31; West Feliciana Parish, Mortgage Book L, p. 267-269, 1841/03/29

Gray, Josias

Guibert, Corelie B.

Haile, Robert

Harbour, John A.

land and the following individuals: Hannah; Dave; John; Ned; Clara; Toby; William; 1834-1847 West Feliciana Parish,

Mortgage Book j, p. 249,

Sophia and her child Delia; Sarah; Julia; Lodoiski; Flora; Miles

land and the following individuals: Stephen; David or Daniel; Theodore; Registe; Ned; Adelaide; Rosaline and her son

Edmund; Louisa; Amy; Harriet; William; Fanny; Mary Ann and two children Annette and Celia

land and individuals: Charles; George; Rouna; Matt; Harry; illeg. and her two children Tom and Jim; Hannah and her son

Phillin; Priss and her unnamed child; Dice and her unnamed child

Thomp, Miss and her unnamed child, Dore and her unnamed child

1842

1836

1834/04/09; West Feliciana Parish, Mortgage Book, p. 517, 1836/05/07; West Baton Rouge Parish, Mortgage Book Q, p. 504, 1831/05/07, Mortgage Book S, p. 480, 1847/06/10

West Feliciana Parish, Mortgage Book M, p. 78, 1842/01/18; West Feliciana Parish, Mortgage Book O, p. 116, 1851/06/26

West Feliciana Parish, Mortgage Book J, p. 1836/01/01

448,

L, p. 255, 1841/02/23; West Feliciana Parish, Mortgage Book M, p. 524, 1844/10/21

land and the following individuals: Aaron; Nicey and her child Rose; Sarah; Easter; 1834-1844 West Feliciana Parish, Mortgage Book J, p. 297, Esthma; Jesse; Frederick; Anthony; Caff; Ann; Adeline; Sam; Arch, his wife Phillis, 1834/10/24; West Feliciana Parish, Mortgage Book

and their children Martha, Caroline, Eliza, Little Arch, Henry, Robert and an unnamed infant; Ishmael, his wife Jane and their children Len, Lydia, Matilda, Harriet, Little Charlotte, Ellen, Little Ishmael, and Rachael; Abner; Big Charlotte and her unnamed infant child; Vine and her children Allen; Cornelius; Virginia; Clara; and orphan Mary Jane

Page 104

Owner

Hargadine, William

Harvey, M. A. Holmes, John

Hosia, Thomas N. Howell, Ebenezer

Jackson, Jesse K.

Jenkins, Sylvester B. Johnson, Charles G.

Joor, Emily

Leake, James and Mary; James and Ann C. Rucker

Mortgaged Collateral

land and the following individuals: Charles; Isaac; Sam; Wellington; Delia; Judy and her child Oscar; Milley; Victore; Rinos; Aggy; Caroline and her two children Betsey and Lafayette; Rosetta; Julett

land and the following individuals: Julia; Jack; Arey; Dancy; Nancey and her

unnamed daughter; Ritta and her son Jim; Daniel

the following individuals: Albert; Edmond; Wilson; Robin; Harriet

land and the following individuals: Hammond; Bill; Andrews; Betsey; Kittey; Joe; Alfred; America; Lucy; Ned; Maria;

Lucinda

land and the following individuals: George; Harry Nearn; Harry Turpire; Ephraim; Isaac Matthews; Guinea Bob; Elijah;

Esther; Rose and her two children Nullifier and Union; Sarah; Abraham; Charlotte; Lewis; Milley; Harriet and her two children Ann and Joe; Grace and her three children Anny and two unnamed children; Paul; Little Bob; John

plantation and the following individuals: Sam; Carey; Eliza; Matilda; Mariah; Mary; Tom; John; Henry; Emily; Sally; Bob; Ben; Sandy; Bill; Bridget; Rhody; Sarah; Jane; James; Elijah

land and the following individuals: Louisa and Elvey

land and the following individuals: Henry; Bartlette; Tom; Charles; Jim; Peter; Joe; 1833 Nelson; Sam; Edmond; Ned;

Tempe; Harriette; Jane; Lenese; Lucy; Old Lucy; Frank; Lucy; Gunny; Rayney; Susan; Clia; Francis; Betsey; Ellen; Rose; Maria; Lucinda; Nancy

land and the following individuals: Rose; Charles; Ruthy; Fever; Nance; Elic; Tom; 1840 Buddy; Sally; Daniel; Peggy;

Gabriel; Mary; Anthony; Linden; Rosette; Lucy; Selina; Ann; August; Lavinia; Lucky; Beck; Joe; Alex; Amy; Brister

land and the following individuals: Dick; Tom; Kitty; George; Edward; Madeline; Casey; Jane; Elizabeth and infant Tom;

Susey or Surry; Boston; Kitty; Charlotte; Isaac; Simon; Philip; Stephen; Sally and her two unnamed children; Rosan; Kelly

Dates Source

1834 West Feliciana Parish, Mortgage Book J, p. 258, 1834/04/12

1839 West Feliciana Parish, Conveyance Record I, p.

144, 1839/03/25

1843-1853 West Feliciana Parish, Mortgage Book M, p. 409, 1843/09/20; West Feliciana Parish, Mortgage Book O, p. 358, 1853/06/29

1834 West Feliciana Parish, Mortgage Book J, p. 265, • 1834/04/12

1835 West Feliciana Parish, Mortgage Book J, p. 326, 1835/03/03

1834-1837 West Feliciana Parish, Mortgage Book J, p. 238,

1834/03/20; West Feliciana Parish, Mortgage Book J, p. 593, 1837/03/01

1844 West Feliciana Parish, Mortgage Book M, p. 428,

1844/02/03

West Feliciana Parish, Mortgage Book J, p. 91, 1833/04/10,

West Feliciana Parish, Mortgage Book L, p. 98, 1840/04/07

1839-1844 West Feliciana Parish, Mortgage Record K 398, 1839/05/07; West Feliciana Parish, Conveyance Record H, p. 515, 1844/02/03

Leet, George H.

land and the following individuals: Mary; David; Sarah

1846 West Feliciana Parish, Mortgage Book N, p. 296,

1846/05/12

1840/03/12

Page 105

Owner

Marks, Francis and Mariah
Marshall, Brisbane

Mortgaged Collateral Dates

land and the following individuals: Jilsey; Patsey; Marieh; Philip; unnamed 1835

Source

West Feliciana Parish, Mortgage Book J, p. 404, 1835/07/10

land and the following individuals: Abraham; Harriett; Jane

McCaleb, Samuel and Sarah

plantation, land, and the following individuals: Richard; John; Cagen; Sam; Sylvia; Lewis; Betsey; Washington; Reason; Susan; Margaret; Joshua and his wife Celia and her two children Nancy and Simon; Phillis; Nena and her child Grace; Lidia; Abel, Matilda; Hards; infant; Tom; Century and his wife Lavinia; Tilla; Harriet; Kitten and her son Lewis

McDermott, Charles C. land and the following individuals: George; Mary Books; Joe; Bofonto; Franky; 1840

Davy; Elizabeth; Daniel; Henry; Edmond; John; Joe; Big Mary; Flora; Abel; Stephen; Eliza; Joe; Isaac; Violet; Louisa; Viney; Troy; Charles; Livia; Gabriel; Shadrock

land and the following individuals: Alick; Judah; Minerva; Margaret; illegible

1833-1834 West Feliciana Parish, Mortgage Book J, p. 141,

1833/07/02; West Feliciana Parish, Mortgage Book J, p. 251, 1834/04/10

1833-1841 West Feliciana Parish, Mortgage Book J, p. 88,

.1833/04/08; West Feliciana Parish, Mortgage Book J, p. 302, -1834/11/27; West Feliciana Parish, Mortgage Book M, p. 72, 1841/12/27

Muse, Daniel Paine, John Percy, Robert D.

Perkins, John and Julietta; Henry and Mary Perkins

Perry, Hardy

Phillips, Uriah B. and Edward

1832

land and the following individuals: Randal; Henry; Eliza; Eliza (alias Phillis); Mary 1832

plantation, land, and the following individuals: Toby; Heba; George; David; 1836 Charles; Nancy; Jane; Parker; Lewis; Millis; Ephram; Katy; George; Nancy Bell; Jim; Esther; Henry; Rachael; Frank; Joe; Rose; Jenny

plantation, land, and the following individuals: Harry; Priscilla; Will; Hetty; Ann; Harriett; Jim; Morris; Hiram; Burrell; Spencer; Jordan; John Brown; John Wilson; Joe; Ester and her child Aggy; Eliza; Judy; Anna; Judy; Alsey and her child Alvira; Amy; Hivau; Lanford; John Gray; Samuel; Josiah; Stephen; Martha; Sophia; Lucinda; Miley

plantation, land, and the following individuals: Henry; Edinborough; Lemmon; Caroline Cartwright; Jenny; Lucinda; Henry; Mary; Olivia; John; Clark; Amanda; Solomon; Hannah; Big Joe; Jim; Little Joe; Milly and her two children West and Lucretia; Melissa; Hillary; Jacob; Martha; George Catherine 1849

West Feliciana Parish, Mortgage Book L, p. 31, 1840/01/03

West Feliciana Parish, Mortgage Book H, p. 404, 1832/04/23

West Feliciana Parish, Mortgage Book H, p. 400, 1832/04/23

West Feliciana Parish, Mortgage Book J p. 467, 1836/01/27

1833-1834 West Feliciana Parish, Mortgage Book J, p. 144,

1833/07/05; West Feliciana Parish, Mortgage Book J, p. 254, 1834/04/10

1833-1842 West Feliciana Parish, Mortgage Book J, p. 104,

1833/04/25; West Feliciana Parish, Mortgage Book K, p. 256, 1838/12/14; West Feliciana Parish, Mortgage Book M, p. 179, 1842/06/10

West Feliciana Parish, Conveyance Record I, p. 559, 1849/03/21

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Owner

Pope, Martha

Randolph, Peter

Mortgaged Collateral Dates

plantation and individuals: Goin; Mike; Mark; Stephen; Wellington; Sally; Harriet; 1832-1834 Sally; George; Marie Goeu ; Bob; Thornton; Phillis; Jacob; Molly

land and the following individuals: Brutus; Nimrod; Robert; Hiram; Moses; Alfred; "1852 Frank; Katey; Harriet and her son John; Laura and her children Jesse and Belinda; Betsey and her child Rodolphus; Nancy and her child Nimrod; Little Harriet and her child Sarah; Tabby; Hannah; Eliza; Little Kattey, child of Hannah

Source

West Feliciana Parish, Mortgage Book H, p. 396, 1832/04/21; West Feliciana Parish, Mortgage Book J, p. 306, 1834/12/31

West Feliciana Parish, Mortgage Book O, p. 260, 1852/12/17

Ratliff, Ann

Ratliff, Cyrus

Richardson, Wade and Charlotte

Routh, Francis and Mary

ROUNT, FRANCIS and MARY

Simmons Anthony J. and Agnes Smith, Ira and Mary Ann

Sp'encer, Jace and Mary

plantation and the following individuals: Glacous; York; Barret; Dick; Jim; Reuben; 1832 Milford; Ben; Phebe; Nan; Tina; Ginny; Nelly; Chancy; Brackston; Jackson; Carral; Burr; Hule; Matilda; Milly; Amy; Rosetta; Patsy; Eliza; Gertrude;

Henrietta; Hetty; Rosathe; Susanna or Luretha; Josiah

land and the following individuals: Henry; Ningo; Harriet 1836

plantation, land, and the following individuals: Piere; Tener and her child; Sarah; 1833-1841 Mott; Pegge; Dave; Edmond; Washington; Frank; Mary; Hosea; Bob; Henny; Jennette; Richard; Lucy; Jim; Nat; Elcey

land and the following individuals: Luckey; Ellen and her unnamed child; Mary 1835 Harbor; Nelson; Jane Harbor; Eveline; Richard; Polly; Cotton; Jane Ferry; Harry Johnson; Caroline; Jenny Odum and her unnamed child; Penine; Lydia; Alfred; Louisia; Beckey Binch and her unnamed child; Matilda; Lissia; Jenny Bich and her unnamed child; Stephen; Harry Cotton; Beckey Mils; Yom; Alfred; unnamed infant; Jenny Liddy; Lydia

land and the following individuals: Malinda; Silas; Mordecai and his wife Fanny; 1836

Caroline; Eliza and her two daughters: Maria and Elizabeth; Jim

sugar plantation the following individuals: Rose; Wilson; Lyida; Causemell; Amos; 1833

Milley; Sylvia; Isaac; Sinah; Lewis; Purnel; Jinney; Priscilla; William; Marsha;

Daniel; Jinney Tiddy; Lynda; Henry; Lyttleton; Harry; Prince; Pleasant; Sally; Mary

Grace

land and the following individuals: Munday; Henry; Isaac; Dick; Bob; Tom; Jack; 1833 Elenor; Charlotte; Lydia; Sealey;

Leah; Phillis; Violet; Issabella; Mariah; Silvey; Lucinda; Lucy; Beck; Bedy; Annis; Charles

West Feliciana Parish, Mortgage Book H., p. 440, 1832/05/02

West Feliciana Parish, Mortgage Book J, p. 516, 1836/05/05

West Feliciana Parish, Mortgage Book J, p. 111, 1833/04/30; West Feliciana Parish, Mortgage Book L, p. 244, 1841/02/07

West Feliciana Parish, Mortgage Book J, p. 369, 1835/04/28

West Feliciana Parish, Mortgage Book J, p. 464, 1836/01/29

West Feliciana Parish, Mortgage Book J, p. 109, 1833/04/30

West Feliciana Parish, Mortgage Book J, p. 86, 1833/04/06; East Feliciana Parish, Mortgage Book C, p. 141, 1833/04/06

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Owner

Stirling, Lewis

Mortgaged Collateral

land and the following individuals: Sambo, his wife Ellin and her children: Black Dublin, Thomas, Susan, and Perry; Billey, his wife Silvia and their children: Dally, Harry, Nann, Martin, Magdalen, Celest, Billey, Walley, his wife Pender, and their children: Fortune, Nan, Patsey and Caroline; Penny and her children: Clarissa, Samson, Rachal, Munday; Clarissa's

children Celia and Levi; Big Ben, his wife Delia, and their children Little Ben, Sam, and Hester; Sidney and her son Julius;

Allin and his wife Miranda; Lige; Old Sam; Surry; Jim; Nan and her children Amy and Abia Philips; Prince; Jacob; Frank;

Bartlett and his wife Charlotte; Anderson; Jancy; Sampson; Monday; John, his wife Clarisse, and their children Celia and

Ginney; Dublin; his wife Rachel, and their children Polly, Clarisse, and Ellen; Big Ben, his wife Deliba, and her children

Jack, Joe, and Wiley; Little Ben, his wife Nan, and her child Thisanna; Sam Brown; Little Charles and his wife Hester;

Charles; Sambo; Ellen; Chester; Thomas; Susan; Jenny; Squire; Mike; Isaac; Josiah, his wife Fontaine

and her children Charlotte and Rose; Waley; Cinda; Caroline; Old Charles; Julia Ann and her children Rosetta and

Charles Boles; Necis; Old Nelly; Sam Jackson; Chamy; Muriata; Suckey and her children Eliza and Liddy; Liddy's

children Joshua, Hannah, Charles, and Suckey; Nan and her child Robert; Sambo; Harry; Catey; Little George; Sophy;

Alfred; Lucinda; Louisa; Barica; Sarah; Fanny; Adam; Rose; Nelly and her children Isabel, Barica, and Lucy; Wiley;

Winson; Tennessee; Little Tennessee; Fortunore; Big Judy; Long George; Linder; Cecile; Primus; George; Lewis; Rosalie;

Luk; Wilson; Eveline; Mariah; Sarah; Sarella; Baptiste; Joe; Mary; Clara; Liven; Maretta; Judy; Henrietta; Erven; Leven;

Nelson; Clarinda; Spencer; Affy; Amanda; Jane; Beck; Rinah; Fortune; Yanco; Little Judy; Hannah; Rosabel; Josephine;

Washington; Jack; Liddy; Franswaie; L. Charlotte; L. Hannah; Celia; Tempo; Wisley; Catherine; Frozene; Rimus; L. Joe

Dates Source

1833-1844 West Feliciana Parish, Mortgage Book J, p. 79,

1833/04/03; West Feliciana Parish, Mortgage Book M, p. 552, 1844/12/24, p. 558, 1844/12/30

Swift, Margaret Tenney, Henry Turnbull, John

land and the following individuals: Dave; Tom; Henry; Milly; Hetty; Clara; Elsey; 1840 George; William; Bob; Hiram; Edgar; Letty

land and the following individuals: Bob; John; Charlotte and her child 1840

land and the following individuals: Little Jenny; Clarice; Harry; Tennessee Harry; 1843 Betsy; Suckey; Oliver; Harris

West Feliciana Parish, Mortgage Book L, p. 59, 1840/02/07

West Feliciana Parish, Mortgage Book L, p. 89, 1840/03/19

West Feliciana Parish, Mortgage Book M, p. 322, 1843/04/24

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Owner

Owner

Wade, William C. and Olivia
Williams, James
Woods, Ezer E. Young, Sarah

Mortgaged Collateral Dates

land and the following individuals: Alexander; Lucy; Lenord; Wilson; James; , 1840 Thomas; Austin; Louisa; Emily; Samuel; Martha; Jerry; Milly; Bob; Viney; Becky; Nelly; Evelina; William; Thomas; William; Hester; illegible; Henry; Kitty; Bazel; Caroline; Clarissa; Nance; Nick; Henry; Henson; Jane; David; Ben; Kmby; and two unnamed children
plantation and the following individuals: Jim; John; August; Jim; Black Bill; Yellow 1832 Bill; Simon; Randal; Napoleon; Warner; Celia; Hannah; Frances; Winny; Hannah mother of other Hannah; Emeline

land and the following individuals: Sucky; George; Charlotte; Eliza; Wayne; Axis ; 1835 Joe; Susan; Frank; Polly and her child John

land and the following individuals: Gabriel; Joe; Luke; Simon; Sam; Dan; Henry; 1832-1833

Frank; Alexander; illegible ; Charles; Nancy and her three children Judy, Matila, and Julian; Jinney; Ellen; Aggy; Mary; Fally; Rebecca; Sophy; Lucinda; Clary; Daphny; Betty; Dinah; Lydia; Anny and her two children Isaac and David; Lelina and her three children Julian; Rhym and Susan; Maria and her three children Peter, Louisa, and Hariette; Dann; Ryan; Lucy; Malissa; Maria; Celest; Old Rym; Sally

Source

West Feliciana Parish, Mortgage Book L, p. 70, 1840/02/28
West Feliciana Parish, Mortgage Book H., p. 411, 1832/04/20
West Feliciana Parish, Mortgage Book J, p. 360, 1835/04/07
West Feliciana Parish, Mortgage Book H, p. 422, 1832/04/03; Mortgage Book J, p. 103, 1833/04/20

Bank of Kentucky (Lexington Branch)

Fayette County

Benton, Lloyd and Warren

Clay, J.B. Harrison, J. O. Morrison, R.

property and the following individuals: John; Kitty

property and the following individuals: Alfred; Levi; Lewis; Oliver

property and the following individuals: Sam; Isham; Henry; Fanny; Mary and her unnamed child; Mathilda and her unnamed child; Sarah Jane

property and the following individuals: Peter; Harry; Peter;. Jim; Aaron; Edmund; Reuben

1840 Fayette County, Deed Book 17, p. 325

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Fayette County, Deed Book 22, p. 162; Deed Book 1844 23, p. 558

1840 Fayette County, Deed Book 18, p. 5

Fayette County, Deed Book 14, p. 61; Deed Book 1837-1838 15, p. 212

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Owner

Mortgaged Collateral

Dates Source

Payne, Orlando F. Vance, William

property and the following individuals: Doctor; Dan; Sandford; Ned; John Lewis; Ellis; Edmund; Henry; George; Buck; Charles; William; Sally; Emily; Lucy; Polly; Susan; Winney; Pliney; Sarah; Julia Ann; Mary; Mary Ann; Jeff; Sidney; Jane
property and the following individuals: Henry; Alfred; Ben; Ben; Harrison; John

1842 Fayette County, Deed Book 20, p. 252

18.41 Fayette County, Deed Book 19, p. 141

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unenforceable for any reason, the invalidity or unenforceability of such provision shall not affect any of the other provisions of this ordinance.

SECTION 5. All ordinances, resolutions, motions or orders in conflict with this ordinance are hereby repealed to the extent of such conflict.

SECTION 6. This ordinance shall be in full force and effect immediately upon its passage and approval.

S:\Finance\Wilson <file:///S:/Finance/Wilson> Yard RDA\ordinance amendment - 4th AmendmentAordinance v2

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