



# Office of the City Clerk

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

## Legislation Text

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File #: SO2014-6678, Version: 1

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CHICAGO September 10, 2014

**To the President and Members of the City Council: Your Committee on**

**Finance having had under consideration**

A communication recommending a proposed substitute ordinance concerning the authority to enter into and execute a Loan Modification Agreement with TWG Kedzie LLC.

02014-6678

Having had the same under advisement, begs leave to report and recommend that your Honorable Body pass the proposed Ordinance Transmitted Herewith  
**of members of the committee with** **dissenting vote(s)**

**This recommendation was concurred in by**

**Respectfully submitted**

**(signed J^Q^ ^>**

**Chairman**

**Document No.**

**REPORT OF THE COMMITTEE ON FINANCE TO THE CITY COUNCIL CITY OF CHICAGO**

OFFICE OF THE MAYOR

CITY OF CHICAGO  
RAHM EMANUEL mayor

July 30, 2014

TO THE HONORABLE, THE CITY COUNCIL OF THE CITY OF  
CHICAGO

Ladies and Gentlemen:

At the request of the Commissioner of Planning and Development, I transmit herewith an ordinance authorizing the execution of a loan subordination and modification for TWG Kedzie.

Your favorable consideration of this ordinance will be appreciated.

Mayor

Very truly yours,

**SUBSTITUTE ORDINANCE**

WHEREAS, the City of Chicago (the "City") is a home rule unit of government under Section 6(a), Article VII of the 1970 Constitution of the State of Illinois and as such may legislate as to matters which pertain to its local government and affairs; and

WHEREAS, the City has determined that the continuance of a shortage of affordable housing to persons of low and moderate income is harmful to the health, prosperity, economic stability and general welfare of the City; and

WHEREAS, the City received certain funds from the United States Department of Housing and Urban Development to make loans and grants to expand the long-term supply of affordable housing through, among other things, acquisition, new construction, reconstruction and moderate and substantial rehabilitation in low- and moderate-income areas; and

WHEREAS, pursuant to an amending ordinance on July 24, 1991, and published at pages 3593 through 3597 of the Journal of the Proceedings of the City Council for that date, the City Council of the City authorized the making of a loan to LPSS Limited Partnership, an Illinois partnership (the "Original Borrower") in the principal amount of \$1,570,000, with an interest rate of one percent per annum and a term of approximately 15 years (the "Loan"); and

WHEREAS, on or about September 20, 1991, the City made the Loan to the Original Borrower; and

WHEREAS, the Loan was secured by, among other things, that certain Junior Mortgage Security Agreement and Financing Statement dated as of September 20, 1991, made by the Borrower in favor of the City (the "Mortgage"); and

WHEREAS, the Mortgage was subordinate to that certain Mortgage dated as of September 20, 1991, securing a loan in the amount of \$1,262,790 (the "Original Senior Loan"), made by the Borrower in favor of the Northern Trust Company (the "Original Senior Lender"); and

WHEREAS, the proceeds of the Loan were used to provide for the rehabilitation of a 65-unit building located generally at 4631-37 S. Lake Park Avenue, in Chicago, Illinois (the "Property"); and

WHEREAS, pursuant to an ordinance adopted on May 7, 2003, and published at pages 173 through 176 of the Journal of the Proceedings of the City Council for that date, the City approved a restructuring in connection with the Original Senior Loan in a manner which (1) extended the maturity date of the Loan, (2) altered the repayment terms of the Loan, (3) waived then-accrued but unpaid late charges, (4) forgave then due but unpaid interest, (5) ratified a replacement general partner of the Original Borrower, and (6) subordinated the Mortgage to all liens securing the new senior financing ("First Restructuring"); and

WHEREAS, the Original Borrower entered into the First Restructuring; and

WHEREAS, the Mortgage was subordinate to that certain Mortgage dated as of May 20,

**1**

2003, securing a loan not to exceed the amount of \$1,083,000 (the "Second Senior Loan"), made by the Borrower in favor of the Illinois Housing Development Authority ("IHDA"); and

WHEREAS, the Original Borrower met with certain financial difficulties in the operation of the Property, defaulted on the Loan and transferred the Property to TWG Kedzie LLC, an Illinois limited liability company (the "Current Borrower"); and

WHEREAS, the manager of the Current Borrower is The Wolcott Group Inc., an Illinois corporation (the "Manager"); and

WHEREAS, pursuant to an ordinance adopted on January 11, 2007 and published at pages 96227 through 96230 of the Journal of the Proceedings of the City Council for that date, the City approved a restructuring in connection with the Second Senior Loan in a manner which (1) did not alter the principal amount of the Loan, (2) reduced the interest rate on the outstanding principal amount of the Loan to 0% per annum, (3) extended the maturity date of the Loan, (4) altered the repayment terms of the Loan, (5) waived

the late charges accrued as of the closing date of the restructured Loan, (6) forgave the aggregate amount of the due but unpaid interest under the Loan, (7) authorized the assignment of the Loan and any instrument related to the Loan from the Original Borrower to the Current Borrower, and (8) subordinated the Mortgage to all liens securing the new senior financing ("Second Restructuring"); and

WHEREAS, the Current Borrower entered into the Second Restructuring; and

WHEREAS, pursuant to the Second Restructuring, the Mortgage is subordinate to that certain Mortgage dated as of February 27, 2007, securing a loan in the amount of \$2,000,000 (the "Third Senior Loan"), made by the Current Borrower in favor of ShoreBank, an Illinois banking corporation, now known as Urban Partnership Bank; and

WHEREAS, the Current Borrower now desires to refinance the Third Senior Loan by entering into a new senior loan in an amount not to exceed \$2,000,000 (the "New Senior Loan") and to execute a mortgage (the "New First Mortgage") in connection with the Property in favor of a new senior lender (the "New Senior Lender") and has requested that the City approve another proposed restructuring of the Loan; and

WHEREAS, the City's Department of Planning and Development ("DPD") desires to approve another restructuring (the "Third Restructuring") of the Loan in a manner which (1) will not alter the outstanding principal balance or interest rate of the Loan, (2) will consent to the New Senior Loan, (3) will extend the maturity date of the Loan, (4) will subordinate the lien of the Mortgage to the lien of the New First Mortgage, and (5) will alter the repayment terms of the Loan (collectively, the "Material Terms"); now, therefore,

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

SECTION 1. The above recitals are expressly incorporated in and made a part of this ordinance as though fully set forth herein.

SECTION 2. The Third Restructuring is hereby approved as described above. The

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

**SECTION I - GENERAL INFORMATION**

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

TWO KEDZIE LLC

Check ONE of the following three boxes?

-Indicate whether the Disclosing Party submitting this EDS is:

Applicant OR.

If a legal entity holding a director interest in the Applicant. State the legal name of file

Applicant in .which theDisclosing Parly holdsnb ibterestt^..

OR

3. [ ] a legaleuti^

Statethe legal naine of the entity .in

which the Disclpsing Baf ty boldS a. right oficontrol: .

935; W: Chestnut Street, Suite 600

B. Business address of the-Disclosing Party:

- ■

Ohloa^,, Illinois 60642

(3i2)477r28i23'

.. (312)226\*8900'

., victor@wblcotttdrotlp.rtet

<mailto:victor@wblcotttdrotlp.rtet>

C. Telephone:

Fax:

; Email:.. -

Victor Michel

D. Name or 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):

Applicant is seeking lthe City's approval.for resubordination of the Cityls Second Mortgage for 4631 S. Lake Park, Chicago; IL

, Department of Planning and' 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 U ;

and Contract #

Ver. 01-01-12

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## SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

### A.. NATURE OF THE DISCLOSING PARTY

I. Indicate the nature of the Disclosing Party:

[ ] Person

/rpjNL;iiiiited Ifability company

[ ] Publicly registered business corporation

[.j Limited liability-partnership

[ ] Privately held business corporation

.[ ] Joint .venture

[.] .Soleproprietorship

[ ] Not-lbivpipfir.cpipotaliori

t ] General partttership

(Js•jfre,nor-fi>>^^

also a 501(c)(3))?

F] Limited partnership ;[ 1 Yes [ j Np  
 { } Trust [;] Qotber (pltiia.se <http://pltiia.se> speci fy)

2, For legal entities;, the \$l\*i(&(dr Coreigri rfbuntfyj or organisation, if applicable'

Illinois .

3. FoJ' legal entities riot organized in-the Stat&.COf Illinois; Has the organization registered to do business bi- the State ciE111 iri6i& ^s:\*. fbreig^t ^ii

[JYes NNo ^N/A

## B. IF THE DISCLOSING PARTY TS A LLEGAL ENTITY:

1. List below lhe full names and.titles ofaliex.e,cUtiv,e officers- and all directors ofthe entity. NOTE: For notrfor-profit corporations, also, list belpAv all rhetribers, if any, which are legal: eiititres. 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 ilatne and title of each general partner, managing member, manager or any other person or entity that.corttrols the dayvto-day management ofthe Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name Title The Wolcott Group inc. Manager

Brinshore Development LLC

Member- Manager

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% ofthe 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 Dfeclosilvg Party
Andrew S. Goodman Revocable Trust dated January 15,. 2PQ2	% Chestnut. Suite GOP, Chicago, IL 60642	15.033%
Arl Gotson Revocable Trust dated August20,2004- 935W. Ches.triul, ^tiite 6Q0, Chicago, IL 606.42		-15:833.%

^idlo^; Michel, Declaralton#^ 15.833%

Brinshore Development LLC-666 Dundee Road;. Suite 1103/NQr3h'P^^ ■ 42,50%-

#### SECTION Ut- BUSINESS IIEJJA^

H-as the Disclosing Party had 4 "bustfifH^s/^ pf lthe Municipal  
Code, with any City elected official in the li months? before tfie dahi this EDS, is signed?

☐ Yes ☒ No

If yes, please identify below t)teVntime(5^ ofa^ rjelationship  
(s):

#### SECTION IV - DISCLOSURE OFSIIRGbNTR^^TjORS AND 6T/HE.R RETAINED PARTIES

The Disclosing Party must disclose the..name imti business, address, ofeach subcontractor, attorney, lobbyist, accountant, consultant .arid any other person Pf entity whbni the Disclosing Parly has retained or expects to retain in connection with the Mattei, as: weti as the nature of the'relationship, nnd the total amount ofthe fees paid or estimated to bjepaTd.- The; Disclasihg'Parity is; h'ot required to disclose employees who are paid solely through the Disclosing Party's regulai; payroll.

"Lobbyist" means any person or entity who undertalees to influence any legislative or administrative action on behalf of arty person or entity other thanf (!) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or ehfity 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, lthe 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 Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
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(Add sheets if necessary)

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

## SECTION VCERTIFICATIONS

### A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

UnderMuniQipai Code Section 2-92-415, substantial, owners of business entities that contract with (lie City must remain: in compliance With their child support obligatibiis 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' ofthe 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?

[JYes

### 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 Cily. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article 1 supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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2. The Disclosing Party and, if the Disclosing Parly is a legal entity, all of those persons or entities identified in Section H.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) contract under a public, transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; or any other illegal act; or receiving stolen property;

- p. are not personally or civilly charged by, a governmental entity (federal, state or local) with
- d. have not, within a five-year period preceding the date of the transactions (federal, state or local) terminated for cause or default; and
- e. have not\* within a five-year period preceding the date of this BDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

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

<sup>4</sup> 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 attempted 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 favor of officer's; or employee's official capacity, or otherwise;

b. agreed to collude with other bidders or prospective bidder or been, in party to any agreement, or been involved in any agreement or prospective bidders, to otherwise;

e. made any admission of conduct described in a. or b. above that is a matter of record have not been published; of

c. violated the provisions of Municipal Code Section 2-92-6iQ (giving Wage; Ordinance);.

4. Neither the Contractor, nor any agent or partner, is barred from engaging in or being involved in any bid-rigging in violation of 720 ILCS 5/33B-4; of any state or of the United States of America that contains all the same elements as the offense of bid-rigging.

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, the Bureau of Industry and Security of the U.S. Department of Commerce or their subsidiaries: 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.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago

(if ndnei indicate with "N/A" or "none").

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9.. Tb thejbestbftke:Dis^ complete list.of all gifts that jhe-.Disclosing Patty has giyen-pr caused to 'be.-  
giVteft,,^ IZ-menth peirbd preceding' the etfeputibn date of this EDS, to alt employee, pr elec^te^ .o^^^pihM  
offic)lal,.of the City of Chicago. For purppses of this, statement,, a "gifP daes nPt-^ made generally.available to  
Chyveniployees.or to the. general public, or (ii) food '6r/dfiujt'jifrbyjb!ed ih thev Course<sup>1</sup> of official City  
business andhaving a retail value of less Uiiin \$20 p.ei- reciipien((if npue^Jn >Vith"N/A^ or 'fnoie"). As to  
any gifr listed below,,please also list the name ot'theCity feci^ient;

#### C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1 v The Disclosing Party certifies that the Disclosing Party (check one) [Jis P^not a

"financial institution" asdefinedin Section 202-455(b) ofthe Municipal: Oode.

2. If the Disclosing Party IS a financial institution, then the Disclosing Parity pledge's;

" We are not and will not become a predatory lender as defined hi 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 tlhe-Municipal  
Code, explain here (attach additional pages if necessary):

i-32 of tlhe-Municipa

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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.

#### D. CERTIFICATION REGARDING INTEREST IN CtTY BUSINESS

Arty \words <file:///words> pr terms that are defined in Chapter-2-156 ofthe Municipal Code have,the,

same mfeoriiirgs when.irsed' in- this Pari p.:

1. in accordance \yith ;Secti^^ 0o#e^pqe#-.:a.n?p|[i\$3|to\*gmjflyeft-  
pftjjkCity h?w'»l\ft»n\$iatintsf^sfyt&fo oijvitbwiji name orin the namfe of miy^  
eutjty'bvtthe Matfef?- \ r

**H Yes |pb**

iteiTt'D. lproceed to Part Ev

2, Unless sold puisuanMp a process of competitive bidding, or otherwise perjuitted, h.6v!^iyy  
elected official'premployeeTsjiatHiawe a fmatieial interest in his,or iter o>vo;W9iae'pj; in .&ej-;pstfi&fc£  
any bther pcrspti or entity in tlte jpurcJiMe of any. property that (1) belongs fo the City'; or fji^^bld:  
for taxes>op assessments, or fiii) is;gq.l'a\ by Virtue pf legal process at theautof the-Qity; (cpjjectiyiily,,  
"City Property S<tie");. Conipeinsatipn fjtt prbpety taken.pufsuant tp tlte City's eiument dolbain gp'V/er.  
does hot constitute a flnaupia'l interest Vvitfiin the ineaiting of this Part D,

©pes the Matter involve a City Property Sale?

[JVes

3. If you,checked "Yes" to Item DU., provide the names and business addresses of the Ci.ty 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

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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 isclosing 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



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 in its capacity as the Applicant, in form and substance of paragraphs A.4. through A.4. -a& if the Applicant is a contractor, it must maintain all subcontractors for the duration of the contract.

#### PL CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations, require the Applicant to submit the following information with their bids or proposals for the award of negotiations.

Is the Disclosing Party the Applicant?

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action plans applicable to 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:

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SECTION VII- ACKNOWLEDGMENTS,  
COMPLIANCE, PENALTIES, DISCLOSURE

CONTRACT

INCORPORATION,

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, ETJS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, and the Municipal Code impose certain duties on public officials and employees in connection with business or transactions. The Disclosing Party understands that the City's Board of Ethics may be obtained from the City's Board of Ethics at [www.cityofchicago.org/Ethics](http://www.cityofchicago.org/Ethics) or by calling (312) 744-6660.

C. Sedgwick St., Suite 500, Chicago, IL 60604 (312) 744-9660: The Disclosing Party must comply with all applicable ordinances, rules, and regulations.

D. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, the City may pursue any remedies available under the contract, or agreement (if rescinded or voided), 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 or in equity, for a false statement of material fact may include incarceration and an award of damages.

E. 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.

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

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or oilier 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- lifted 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 connection with the Matter. certifications equal in : fprnvaaid substance to the foppjv gftjf ^.ajb^Vjft^d wilt n\$> Without the prior written, consent of the City,^ eettifi'catl.ous:'br;tha;t the Disclosing Party and its Affiliated Entities certify that the information provided is true and correct.

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 EOIS.

## CERTIFICATION

Under penalty of perjury, I certify that the information provided in this affidavit and Appendix certifications and statements; BPS and Appendix A (if applicable) are true and accurate; and complete as of the date furnished to the City.

TW(3 Kedzie LLC", by The Wolcott Group, Inc. on behalf of its Managers

(Print or type name of Disclosing Party) By:

(Sign here) Victor Michel

(Print or type name of person signing)

Treasurer of The Wolcott Group Inc.

(Print or type title of person signing)

Signed and sworn to before me on (date) July 10, 2014  
at Cook County, IL (state).  
Molai Public.

OFFICIAL SEAL" SHANNA Q. LOVE Notary Public. State of Illinois ' My commission expires 10/28/17 J

Commission expires: October 28, 2017



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

or any "Applicable Person" or 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 Person" or any spouse or Domestic Partner thereof is or was, at any time, 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, nephew, grandparent, grandchild

or stepfather, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister

"Applicable Person"

Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general 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. "Officer" 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 Person" 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.

## SECTION I -- GENERAL INFORMATION

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

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is: I. ☐ the

Applicant OR

2... HPL 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: TWG Kedzie LLC

OR

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

935 W. Chestnut. Suite 600

B. Business address of the Disclosing Party:

Chicago, Illinois 60642

C. Telephone: (312) 226-2200 Fax: (312) 226-8900 vtrtor@voto61lgr6op.ncl <mailto:vtrtor@voto61lgr6op.ncl> Email:

Victor Michel

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):

Applicant is seeking the City's approval for a re-subordination of the City's Second Mortgage as part of a refinance of the First Mortgage

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 for

and Contract for

## 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 .corp^faUoii [ ] Sole proprietorship [ ] General partnership [ ] Limited partnership { } Trust

### 2., For legal entities;- the state•^r.foife'ign t

t'ty:-

☐ Limited liability company

☐ Limited liability partnership

☐ Joint venture

☐ Not-for-profit corporation

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

☐ Yes

☐ No

☒ Other (please specify)

&iunl^

minors

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?

*LJ Yes i)Mo*

## B: IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full name and titles of all executive officers; and all directors of the entity.

NOTE: For not-for-profit corporations, 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 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 Ari Golson President

Andrew Goodman Secretary

Victor Michel Treasurer

No Directors

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
Art Golson.	935 W. Choslnut, Sle:\$o6, Chicago, H,'6Q643 "	,Disc;losing<Party ,33.33%
Andjey Goldman.	935.W,C^	33.33%
Victor Michel,	335 W.Chestnut, file 600^.Ctiie^^ip6P^2; -	. 33,33%

#### SECTION IU -- BUSINESS RELATE

#### ELECTED OFFICIALS

Has the Disclosing Party im&a ^ in Chapter 2^-156 of the Municipal Code, with any City elected pffieiaifn tlte. 12 ltlbnths-hefote the^date this EDS is signed?

☐ Yes ;/No

if yes, please identify below (he.tiM'toB^1)'^^a^tL-"Ci"fy. elected -wjESciaflfff) abd describe such relationsMp(s):

#### SECTION IV - DISCLOSURE ^F S^CO^TRACTORS AND OTHER RETAINED PARTIES'

The Disclosing Party must disclose thername.arid businossTiddress of each subcontractor, attorney,, lobbyist, accountant, consultant tnd.any\pt'henperspn or entity, whom the' Disclosing Party has retained or expects to retain in connection \yitlvfli'eJyfa'Uer^..as well as the nature of the relationship, and the total amount ofthe fees paidpr estimated tp b&p.aidi The Disclosing Party is not required to disclose employees who are paid solely through the DisGlosiig Party's regular payroll.

"Lobbyist" means any person Or entity Who undertakes to influence arty legislative or administrative action on behalf of any person pr entity other than; (1) a not-for-profit enlity, 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 Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: '-hourly rate' or 't.b.d.' is not an acceptable response.
--	------------------	--	--

(Add slicejs if necessary)

j^jch'eeek fieri' if the DTsdlosing jBaftjri'has.liOi reraine^, nor expects to regain, any such persons or entities

## SECTION V - CfIR^JFIGATIQISfSr

### A. CO.URT-QRDERRD CHILD S.UFjPOR.T COMPM A#C\$

Under Municipal Code Sefciian;^^ <5wners4f business, entities that contract \vh'h the City must remain in Compl^^ the contract's term.

Has any person who directly ^ Disclosing: Party been declared in arreage on any ohitd support obligatoris'by; any Illinois coiirLof;eornp/etent jurisdiction?

[ ] Yes t i'^d.^cctly>briiidireCtly owns 10% or more of the  
■ ,Disclositt^at|y.

If "Yes," has tlve person entered lAto.'ii-4M\j^^p^Ve^d\*a'gre^.eh.t fOr payment Of alt siipport owedand is the person in compliance with that agreement-?

[ ] Yes f/Jlo

### 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:
  - b. obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or
  - b. contracting under a public transaction, any violation of federal or state antitrust statutes; fraud;
  - b. entering into any agreement or contract with the federal, state or local government or any agency thereof; or
  - b. falsifying or making false records or documents;
- b. soliciting or receiving stolen property;
- c. are not presently indicted for, or ever have been civilly charged by a governmental entity (federal, state or local) with committing any violation of clause B(2)(b) of this Section.
- d. have not, within a five-year period preceding the date of this EDS, been involved in more public transactions (federal, state or local) that resulted in a default; and
- e. have not, within a five-year period, been found guilty, or found liable in a civil or criminal action including actions, or by the federal government; any state, or any other unit of local government.

3. The certifications in stipulations 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; Pt 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, Ownerships 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 political subdivision 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

b. agreement, or been convicted or adjudged guilty of collusion among bidders- or

b. prospective bidder, in restraint of trade, or bid a fixed price or

b. otherwise} or

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

d. violated (the provisions of § 2-92(b) (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is, in the past five years, or local government as a result of engaging in or being convicted of a violation of 720 ILCS 5/33E-4; or, in any political subdivision 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 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.

8. To the best of the Disclosing Party's knowledge; after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party <<http://Bisc.ioS.org>> party who were, at any time during the 12-month period preceding the execution of this EDS, an employee, or elected or appointed official, of the City of Chicago (if not, indicate with "N/A" or "none");  
N/A

9. To the best of the Disclosing Party's knowledge; after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party or its employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a gift does not include: \$ anything made generally available to City employees or to the general public or (it) food or drink provided in the course of official City business; and any gift listed below, please also list the name of the City recipient, N/A

## C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

Disclosing Party certifies that it is not a "financial institution" as defined in Section 2-321.455(b) of the Municipal Code.

2. If the Disclosing Party is a financial institution, 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

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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.

a. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-15,6 of the Municipal Code have the same meanings when used in this Part E.

1. In accordance with Section 2-15-64 of the Municipal Code, does the City have a financial interest in the Matter?

Yes

NOTE: If you checked "Yes" to Item D.1, proceed to Part F. If you checked "No" to Item D.1., proceed to Part E.

2. The interest in the City property is sold pursuant to the process of the City.
2. The elected official or employee shall have a financial interest in the name of the City or in the name of any other person or entity in the purchase, if any properly that (i) the City, or (ii) is sold for taxes or assessments, or (iii) is sold by the City for the benefit of the City (collectively "City Property Sale"), Compensation for the exercise of the City's eminent domain power.
2. does not constitute a financial interest in the City.

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
N/A		

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

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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: j above; the Disclosing Party has found records, profits from investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following disclosure of all, L-such records, including those records. ;N/A

#### SECTION: VI "CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, proceed to Section YTL Forfeiture and proceeds of debt obligations of the City are not fed

VT; if the Matter is apt federally allocated by the City

#### A. CERTIFICATION REGARDING LOBBYING

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

N/A

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

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

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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 it is not a person 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 its activities are not primarily for the purpose of influencing legislation.

5. If the Disclosing Party is the Applicant, then the Applicant is equal in

5. form and substance to paragraphs A. 1. through A. 4. and the Disclosing Party's duration of the Matter and its interest in the Matter shall be as follows: tollie Qity upon request;

## B: CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded\* federal regulatory contractors to submit the following information and negotiations.

Applicant and all proposed bids or in writing at the time of set Of

Is the Disclosing Party the Applicant?, ☒ Yes

If ☒ Yes answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41. CFR Part 60-2.) ☐ Yes ☐ No

2. Have you filed With the Joint Reporting Committee, the Director of the Office of Federal Contract

Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes / Sfo

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: This is not a federally funded matter

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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 resolutions on which this EDS is based.

B, The City's Code of Ethics, 2-15;6 and 3-164 of the City Code, impose certain duties on all City employees, including those who are involved in business, professional transactions. The full text of the City Code of Ethics is available on the City's Website at <http://www.cityofchicago.org/Ethics>, and may also be found at <http://www.cityofchicago.org/Ethics>.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9160. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this BPS is false, incomplete or inaccurate,

C. any contract or other agreement entered into by the Disclosing Party shall be rescinded or be void or

C. Voidable, and the City may pursue or

C. void), at law, or in equity to prevent the Disclosing Party's participation in the Matter and/or

C. declining to allow the Disclosing Party to do business with the City. Remedies at

C. law for a false statement of material fact may include an award of treble



By-...  
(Sign here) ^

Vfclor Michel  
(Print or type name of person signing)

Treasurer of The Wolcott Group Inc.  
(Print or type title of person signing)

S

Signed and sworn to before me on (date) July 11.2014  
Cook County, Illinois (state).

GxJ^ Notary Public.

"OFFICIAL SEAL" SHANNA Q. LOVE Notary Public. State of Illinois, My commission expires 10/28/17 ]  
Commission expires:

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT  
AND AFFIDAVIT  
APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS; AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) which has direct ownership interest in the Applicable Party or (b) Is a partner or sole proprietor of any legal entity which has only an indirect ownership interest in the Applicable Party.

Under Municipal Code of Chicago, any elected city official or department head, A "Partner" if, as of the date this EDS is signed by the Disclosing Party, the mayor, any alderman, the city clerk, the city treasurer, or any partner or as any partner of the following, whether by blood or adoption; parent, child, brother or sister, aunt or uncle, niece or nephew, grandchild or stepmother, stepson or stepdaughter; stepbrother or step-sister.

"Applicable Party" means (1) all officers and directors of the Applicable Party; (2) all partners of the Applicable Party; (3) all general partners of the Applicable Party; (4) all managers, managing members of the Applicable Party; (5) all officers and directors of the Applicable Party.

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, including any officer, director, chief executive officer, 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:

**Trivest Capital Management 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: *Trivest Capital Management LLC*  
OR »/
3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:

B. **Business address of the Disclosing Party:** *100 N. Dearborn Street, Suite 1000, Chicago, IL 60610*

C. Telephone: f>t>f)j2J?-S6\$3 Fax: (\$<f) \$»2.-^ H<sup>0</sup> f Email: R ch-SGk)r."Hf/tflH, uJVj

D. Name of contact person: k £ Q <vt"«\*\*v-D

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):

G. Which City agency or department is requesting this EDS? fo^fr

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

*Specification ft* *and Contract ft*

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## SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

### A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- |   |  |
|---|--|
| <input type="checkbox"/> Person                                   | <input type="checkbox"/> Limited liability company       |
| <input type="checkbox"/> Publicly registered business corporation | <input type="checkbox"/> Limited liability partnership   |
| <input type="checkbox"/> Privately held business corporation      | <input type="checkbox"/> Joint venture                   |
| <input type="checkbox"/> Sole proprietorship                      | <input type="checkbox"/> Not-for-profit corporation      |
| <input type="checkbox"/> General partnership                      | (Is the not-for-profit corporation also a 501(c)(3))?    |
| <input type="checkbox"/> Limited partnership                      | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <input type="checkbox"/> Trust                                    | <input type="checkbox"/> Other (please specify)          |

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

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

☐ Yes ☐ No fi\ 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

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
	I / i	a P'?'l°§.m'g Party ,

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

(Add sheets if necessary)

^ ^Check here if the 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                      bflNo                      ☐ 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

I. 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:

\Lt

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.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

ft/A-

,

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

#### C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) ☐ is p^isnot

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):

PP\*

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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.

#### 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.

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
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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

Page 8 of 13

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:

#### 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.

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

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

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

## B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes                      ☐ 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:

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

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

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

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

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must

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

The Disclosing Party represents and warrants that:

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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 Fd. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

## CERTIFICATION

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

(Sign here)

dUg~&. <^c r rA"Cu^r

(Print or type name of person signing)

frt\$)&\*~k-} RJS <W

(Print or type title of person signing)

(Print or type name of Disclosing Party) By

\*

*D-ev/<LUpn\*e\*vf, tut*

Signed and sworn to before me on (date) T ("1

at \_ County, i\$ (state).

Notary Public.

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Comrnilssion expires. ^j/^/lQ

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 ILB.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?

☐ 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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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:

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. fa a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the

2. Applicant in which the Disclosing Party holds an interest: ~T~vO 6 VLtAt^lt. Leg-

OR y

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

B. Business address of the Disclosing Party:

C. Telephone: 133\*1)5 VI-frS\* Fax: (f>]m)%l-£m°( Email:

£P krfrtf L>Y< • UTv\*i

D. Name of contact person: R.<

S^< Q^fox O

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):

wWc%{}ci^ p(~ (T-hj's <fcc<yufL M^y. (&r W'li/t-^e. Pu<L.,ckic\*

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 #*

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## SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

### A. NATURE OF THE DISCLOSING PARTY

☐ Limited liability company ☐ Limited liability partnership ☐ Joint venture ☐ Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))?

☐ Yes

☐ No

☐ Other (please specify)

1. Indicate the nature of the Disclosing Party: ☐ Person ☐ Publicly registered business corporation ☐ Privately held business corporation ☐ Sole proprietorship ☐ General partnership ☐

☐ Limited partnership

☐ Trust ☐

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

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

pi 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* » . .

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

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

Name	Business Address	Percentage Interest in the Disclosing Party *
•		

### 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.

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

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

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

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



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

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

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

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

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

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

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the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

>JA

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

k)A

#### C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

1. ☐ 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.

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

Page 8 of 13

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to

or injury or death of their slaves), and the Disclosing Party has found no such records.

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

## SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

### A. CERTIFICATION REGARDING LOBBYING

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

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(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.

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

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

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and

substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

## **B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY**

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

Is the Disclosing Party the Applicant?

☐ Yes ☐ 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:

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## **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)

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

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

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

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

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

The Disclosing Party represents and warrants that:

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

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

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

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

## **CERTIFICATION**

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and

Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

(Print or type name of Disclosing Party)

(Sign here)

(Print or type name of person signing) (Print or type

title of person signing)

Signed and sworn to before me on (date) ij i\*^

at CeC^~^ County, [[(\ U\_o t'5 (state).

Notary Public.

Commission expires: ^/~/r/C^

**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 ILB.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?

[ JYes

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:

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

2. Applicant in which the Disclosing Party holds an interest: | VO G~ ^Leck MC LLC-

OR ZJ

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: (g(flG D V/ t\$J&£ fi Qc^Sl ( Qu'ik- l/O-^L

C. Telephone: ( Z^^ZI-^oSLFax: ( 4+))Si>

I Email: AftO >'4 kQ fcv «\isluTy\*. , n



D. Name of contact person: !D<frJ'<dt 3y PWT~

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):

*p-f^ulgor L^^}rlcr^\ op Uj ^ ^.ca^J) crvhj^yL^-f ILeSu P<^U.f Citio^*

G. Which City agency or department is requesting this EDS? fo P f\*)

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

Specification #

and Contract #

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## SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

### A. NATURE OF THE DISCLOSING PARTY

☐ Person

☐ Publicly registered business corporation

Privately held business corporation

☐ Sole proprietorship

☐ General partnership

☐ Limited partnership

☐ Trust

☐ Limited liability company

☐ Limited liability partnership

☐ Joint venture

☐ Not-for-profit corporation

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

☐ Yes

☐ No

☐ Other (please specify)

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

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

☐ Yes

☐ No "JQN/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

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

t^lfl fer.vt- GOG Dv»aJ^ RooJf S^cilOZ NM^UoA./L fOO^i

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):

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

(Add sheets if necessary)

Check here if the 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:

MA -

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.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

MA

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

N/A

## C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

[ ] is                      T<sup>is</sup> 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):

*HA*

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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.

#### 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.

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

Page 8 of 13

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

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

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

#### SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

#### A. CERTIFICATION REGARDING LOBBYING

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

y\ pw-g--



(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.

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

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

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

## B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

If "Yes," answer the three questions below:

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

☐ Yes

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

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:

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

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

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

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

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a

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

The Disclosing Party represents and warrants that:

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

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

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

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

## **CERTIFICATION**

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

(Print or type name of Disclosing Party)

(Sign here)

(Print or type name of person signing)

(Print or type title of person signing)

Signed and sworn to before me on (date) \_\_ \_\_ \_\_\_\_

at f tr&t-- County, | (( fvio i \*> (state).

Commission expires: ^/fS~fl(^>

**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 ILB.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?

[ JYes

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 1 -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a if applicable: Ari H. Golson  
Revocable Trust dated August 20, 2004;

Check ONE- of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is? 1. [ ] the  
Applicant

2; M» a legal-entity holding a direct or indirect interest in the Applicant. State the legal entity in which the Disclosing Party holds an interest: twg Kedzie lie OR

3. [ ] a legal entity with/a right of control (see" Section ILB.I.) State the legal entity in which the Disclosing Party holds a right of control;

■ . fJ , , , . 935'W. Chestnut, Suite 600  
B. Business address of the Disclosing Party:

Chicago, Illinois 60642

(312)226-2260 (312)225-8900 ari@wolcottgraupirjet  
C. Telephone: Fax: Email:

Ari Golson

D-. Name of contact person.

NonG

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);

Applicant is seeking Ins City's approval for a re-subordination of the City's Second Mortgage as part of a refinance of the First Mortgage

DPD

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 ft

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## SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

### A. NATURE OF THE DISCLOSING PARTY

#### 1. Indicate the nature of the Disclosing Party:

- |   |   |
|---|---|
| <input type="checkbox"/> Person   | <input type="checkbox"/> Limited liability company                  |
| <input type="checkbox"/> Publicly registered-business corporation       | <input type="checkbox"/> Limited liability partnership              |
| <input checked="" type="checkbox"/> Privately held business corporation | <input type="checkbox"/> Joint venture                              |
| <input checked="" type="checkbox"/> Sole proprietorship                 | <input type="checkbox"/> Not-for-profit corporation                 |
| <input type="checkbox"/> General partnership                            | (Is the not-for-profit corporation also; a 501(c)(3)?)              |
| <input type="checkbox"/> Limited partnership                            | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> NO |
| <input type="checkbox"/> Trust  | <input type="checkbox"/> Other (please specify)                     |

Is the legal entity

of incorporation or organization?

M

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 the legal title (holder(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 Ari-Gblson Trustee

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

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

Name	Business Address	Percentage Interest in the Disclosing Party
Ari.Golson	W. Chestnut. Suite.600,-Chicago.Illinois 60642	100%

#### SECTION HIV- B BUSINESS RELATIONSHIPS WITH CITY ELECTED p;FPICliili\$:

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-1/5 § p/.the\M^fi^feat 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 officials) and describe the relationship(s)

#### SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PAJ^TIES:

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

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

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

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

(Add sheets if necessary)

I 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 2-415, substantial owners of business entities--the City must remain in compliance with their child support obligations throughout the term of the contract.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been delinquent in payment of 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

##### 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.



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

c. 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;

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 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 Certificate in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- "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 in Section II.B. I. of this EDS, "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; 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. of h. 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);

Neither the Disclosing Party, Affiliated Contractor, or any of their employees or agents or partners) is barred from contracting with any unit of state or local government that is engaged in or being convicted of (1) 'bid-rigging' in violation of 720 ILCS 5/33E-3.; (2) bid-rigging 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-roffing.

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 'U.S. 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 Chapter 2-55 (Legislative Inspector General), 2-50 (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.

8, To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed Official, of the City of Chicago (if none, indicate with "N/A" or "none"). None

9, To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or Caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed Official, of the City of Chicago. For purposes of this statement, a "gift" does not include; (i) anything made generally available to City employees or to the general public, or (ii) food or drink purchased in the course of official City business and having a retail value of less than \$20 per recipient. With "N/A" or "none". As to any gift listed below, please also list the name of the City recipient. None

### C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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):

**-N A fV -**

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 RJEGARJD1NQ 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,

I, in accordance with Section 2-156-110 of the Municipal Code: Do I, as 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

NOTE: If you Checked "Yes" to Item D.1., proceed, to Items D.2. and D.3. If you checked "No," then; if "DA," proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or Otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (1) 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 individuals who have been described as those records.

## SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

### A. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

5. If the Disclosing Party is a contractor or subcontractor, it 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. If the Disclosing Party is not a contractor or subcontractor, it 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.

## B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

[ ] Yes

If "Yes," answer the three questions below:-

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See. 41CFR Part 60-20)

[ ] 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 of taking other action With respect to the Matter. The Disclosing Party understands that it must comply with all statutes and ordinances that the EDS is based.

The City of Chicago, Illinois, Chapter 2-156 and 2-164 of the Municipal Code; impose certain duties and obligations on persons or entities seeking City contract work, business, or transactions. The full text of these ordinances and a training video may be obtained at [www.cityofchicago.org/Ethics](http://www.cityofchicago.org/Ethics) and may also be obtained from the City Clerk's Office. 740 %

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

G. If the City determines that any information provided in this BBS is false; incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be voidable, and the City may pursue any remedies available under the contract or applicable law, or in equity, including injunctive relief. The Disclosing Party is prohibited from 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.

U. 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. I. 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, properly 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 its 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.

E.3. If the Disclosing Party Is the Applicant, the Disclosing Party will obtain from any contractor/subcontractors hired or to be hired in connection with the project, without the prior written consent of the City, a statement from each contractor/subcontractor that the contractor/subcontractor does not have any outstanding judgments or liens against the City.

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 warrants that he/she is authorized to execute this EDS and Appendix A (if applicable), and the statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

An M. C. Golson Revocable Trust dated August 11, 2004  
(Print or type name of Disclosing Party)

(Sign here) Ari

Golson

(Print or type name of person signing) Trustee  
(Print or type title of person signing)

Commission expires

Signed and sworn to before me on (date) July 11, 2014  
Cook County, Illinois (state).

"OFFICIAL SEAL" of SHANNA Q. LOVE, Notary Public, State of Illinois /commission expires 10/28/17

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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.

Under Municipal Code, the Applicant is required to disclose any familial relationship between the Applicant or any spouse, partner, or domestic partner of the Applicant and any elected city official or department head. A "familial relationship" exists if, as of the date this BDS is signed, the Disclosing Party or any partner, spouse, or domestic partner of the Disclosing Party is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner of any of the following: (1) "parent" means father, mother, stepfather, stepmother, adoptive parent, or legal guardian; (2) "child" means son or daughter, stepson, stepdaughter, or legal ward; (3) "brother or sister" means biological brother or sister, stepbrother, stepsister, or half brother or half sister; (4) "niece or nephew" means biological niece or nephew, stepniece, stepnephew, or half niece or half nephew; (5) "grandchild" means biological grandchild, stepgrandchild, or legal grandchild; (6) "parent-in-law" means father-in-law, mother-in-law, stepfather-in-law, stepmother-in-law, or legal guardian-in-law; (7) "spouse" means husband or wife, stepfather, stepmother, or legal guardian; (8) "domestic partner" means a person with whom the Disclosing Party is in a domestic partnership as defined in the City of Chicago Ordinance 4-10-0010, as amended.

"Applicable Party" means all executive officers of the Disclosing Party listed in Section 3.3 of the Disclosing Party's charter or bylaws, 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 liability 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 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 any 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.

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:

Victor F. Michel be'claralipri of TrMSt.ddte^^P^tnbet'jl^Q^'

Check ONE of the following checkboxes:

Indicate whether the Disclosing Party submitting this EDS is: I. [ ] • the

Applicant OR

2pMi a legal entity having a direct or Indirect interest in the Applicant State the legal name of the  
Applicant in which the Disclosing Party holds an interest: twg Kedzie i,lc ■

OR

3, j: ] 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 - ,  
Chicago, Illinois 60642

(312)226-2200 w (312)226-8900 .

Victor@wbieotlgrOup.net <mailto:Victor@wbieotlgrOup.net> C. Telephone:

Fax:

Email:

Victor Michel

D. Name of contact person:

None

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):

Applicant is seeking City approval for a re-subordination of the City's Second Mortgage as part of a refinance of the First Mortgage

DPD

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 of

and Contract to

## SECTION 11 -- DISCLOSURE OF OWNERSHIP INTERESTS

### A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- |   |  |
|---|--|
| <input type="checkbox"/> Person                                   | <input type="checkbox"/> Limited liability company         |
| <input type="checkbox"/> Publicly registered business corporation | <input type="checkbox"/> Limited liability partnership     |
| <input type="checkbox"/> Private family limited partnership       | <input type="checkbox"/> Joint venture                     |
| <input type="checkbox"/> Sole proprietorship                      | <input type="checkbox"/> Not-for-profit corporation        |
| <input type="checkbox"/> General partnership                      | (Is the not-for-profit corporation also a SO 1 (c          |
| <input type="checkbox"/> Limited partnership                      | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| <input type="checkbox"/> Trust                                    | <input checked="" type="checkbox"/> Other (please specify) |

2. For legal entities in the state (Or foreign; if applicable)?

IL

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

I. 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 Victor Michel Trustee

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

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

Name	Business Address	Percentage Interest in the Disclosing Party
Victor.Michele	935 W. Chestnut; Suite 60b. Chicago, IL 60642	100%

#### SECTION XII - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing party had a "business relationship," as defined in Chapter 2-15.6 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):

#### 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 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.

retained or anticipated to be retained)	Address	(subcontractor, attorney, lobbyist, etc.)	paid or estimated.) NOTE; "hourly rate" or "t.b.d." is not an acceptable response.
--	---------	--	--

. (Add sheets if necessary:)

^jfc^eck here if the Disclosii^Party has not retamed;mbr expects to retain, any" such persons or entities.

## SECTION V --CERTIFICATIONS

### A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal CodeSec&on 2\*&Z?4 LS, s.abstanti^l bwiiefs of busmess.enU the City must remain in.  
compliance With their'child support obligations throughout the contract's term.

Mas: any. person who directly or indirectly owns 1,0%. or mora of the Disclosing.Party been declared in  
arrearage on any child support obligations by any Illinois court of competent jurjsdiciou?

[:] NO person directly, or indirectly owns 1.0% or more of the Disclosing Party.

If "Yes," has the person •entered into a court-approved agreement For payment of all support o^yed and.' is  
the person in compliance with that agreement?

☐Yes

### B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article 1 ("Article I")(\which the Applicant should consult for  
defined terms (e.g., "doing business^") and legal requirements), ifthe Disclosing Party submitting this EDS is  
the Applicant and is doing business with the City, then the Disclosing Parly 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 lhat compliance with  
Article I is a continuing requirement for doing business with the Cily. NOTE: Jf 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 ancL ifthe 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 perform 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 conversion of stolen property;
- c. are not presently indicted for, or criminally or civilly liable for (federal, State, or local); with any of the offenses set forth in Subsection B.1.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 the City or by the federal government, any state, or any other unit of local government,

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

- the Disclosing Party;

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

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

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

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

- a. bribed or attempted to bribe\* or been convicted or adjudged guilty of bribery or attempting to bribe, a public Officer or employee of the City, the State of Illinois or any agency of the federal government 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, or bid or attempted to bid, or been a party to any such
- b. agreement, or bribery or attempted bribery or collusion or conspiracy among bidders or
- b. prospective bidder in restraint of freedom by agreement to bid at a fixed price. or
- b. Otherwise; or
- e. 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
- d. violated the provisions of Municipal Code 10-2-06 (Wage Ordinance),

A. Neither the Disclosing Party, nor Affiliated Entity of Contractor, nor 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 5/33 E-3; (2) bid-rigging in violation of 720 ILCS 5/33 E-4; or (3) any offense of any state or of the United States of America that contains the same elements as the Offense of bid-rigging or bid-rigging:

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.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or-appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). None

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts given to any employee, elected or appointed official, of the City of Chicago, for purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. None

#### C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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



Page 7 of 13

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

#### D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any Words or terms that are defuied ih Chapter 2\*156 of the Mithicipal Code have the same iheanihgs when used in tliisPart Eh

i. In accordance with Section-2n 1.56-\1.Q of the, MhhifiipaiCOdei DbCaatty official or employee Ofthe City have a financial intorestih his orrier own Jtaine Or. in the haute of tiny other person Or entity u>'the Matter?

[ ] Ye s                      f^ N p

NOTE; If you checked "Yes" to Item■■.0.1., proceed.to Items D.2..ahd,D.3. tf you checked "Np" to.. Item D, 1,, proceed to Part E>

2; Unless sold pursuant to a process of^piiip\$ti|ly^^d4>n||U'Of otherwise perhiitted,JiO;City elected official Or employeessnail have a financial inteYeStin; his other own name or in the name of any other person or entity in tire purchase: of any property that (i) b'eippgs tb the;City, or (ii) is sold for taxes or assessments; or (iii) is sold by virtue of legal, prbcess at thpsuif of the City (aollectively, "City Property Sale"), Cpntpensation for property taken p'ufsuent'to tlte City's eminent domain power does no t constitute, a financial interest w ithin the meaning of this Part D.

Does the Matter involve a City Property Sale?

[JYes

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 I. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in

an attachment to this EDS all information required by paragraph 2. Failure to

Page 8 of 13

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

I J\ 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.

JZ. The Disclosing Party verifies that, as a result of 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, in those records;

## SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

### A. -certification regarding lobbying.

1. List below the names of all persons, of 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 "N/A" 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.

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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, U through AA above from all subcontractors before it awards any subcontract, and the disclosing Party must maintain such subcontractors' certifications for the duration of the Matter and must make such portions available to the City upon request.

## B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids 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 in place affirmative-action programs pursuant to applicable federal regulations? (See 4 L-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 under which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-456 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, services, business, or transactions; The full text of these ordinances 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

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 on any contract or other agreement (in whole or in part) which 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 future transactions with the City. Remedies at law for a false statement of material fact may include incarceration; and an award to the City of treble damages.

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

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must

update this EDS as the contract requires. NOTE: With respect to Matters subject to Article 1 of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

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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 fire 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 subcontractor to use, any facility listed by the U.S.; E.O. 12813 of 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 ^ City, use any such contractor/subcontractor that is a dba or dba and the Disclosing Party has reason to believe has not performed

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

#### CERTIFICATION

under penalty of perjury, the person signing below (X) 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.

Victor F. Michel Declaration of Trust Under Seal  
13^2004 (Print of type name of Disclosing Party) /

By: L^C^Ip^  
(Sign here)

Victor Michel

(Print or type name of person signing) Trustee

(Print or type title of person signing)

Signed and sworn to before me on (date) July 11.2014  
ok County County^Illinois^- (state):

Commission expires:

SHANNA Q.LOVE >ry Public. State ofcote ommlasion nxplres10J2Bnrj

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT  
AND AFFIDAVIT  
APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

Ilili Appendix is to be completed only, by (a) the Applicant, rind (b) any legal entity which lias a direct ownership interest In the Applicant exce^ It knot to. be epmplcted:by any legaLenfity which has only an ihdu'ecf bwkership interest in the Applicant.

Under Municipal Cod^ Sectipn. 2-1^015\* the Disclosing Parfy must disclose whether such Disclosing Party or any\* Applicable Party" or any Spouseor Domestic P^tner tliercOf currently has a "familial relationship^ whh

any elected city official or department head, A'TahWi^r^ ET3S is signed,, the Disclosing Parly or any applicable. Party 'of any Spouse,or Domestic Partner thereof is related to the maypr, any alderman, the city clerk, the ci^neasnrrer br any cjtj.d'eparjiment head as spquseor domestic partner or as any oflhe.fplltavjj^ Or adoption: paretic child\* brother or sister, aunt or uncle, nieceor nephew, grandparent,.grahdehild, falher-iitilavv, mpther-irt'laWj sdn-dn-law, daughter-in-law, stepfather, of stepmother, stepson of stepdaughter, stepbrother or stepsister ox half-brother or half-sister.

"Applicable Party" means (:1) alF^ ifthe Dis,clbsirtg Party is a corporation partnership; all general partnersand timiteb^partfiexs of the DisblpsmgParty^ ifthe'DiscIpsing Party is a limited: partnership; all managers, managing member^and members pf the DiSelosingParty, if the BfeclosmgParty isa limited 1 lability cbnjpanyi (-2) all pflnoipal offi^r^ pf the Pi^ljbsiing'Party; ;&ad (3).n»y-persofn having mor& than a 7,5 percent ownership interest in the Disclosing Party. 'TrmbipaI oflic.ei'S?nie'ans (he president,-chief operating officer^ executive director, chief financial officer, treasurer or secretaiy of a legal entity orarjly person exercising similar authority.

Does ihe Disclosing Party or any "Applicable Pafty" or any Spouse or Domestic Partnef.thcreof 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: Andrew S. Goodman Royceable Trust dated January 15, 2007

Check ONE of the following three boxes:

Indicate whether the Disclosing Party is submitting this EDS as: 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: twg Kedzie LLC

OR

3. [ ] a legal entity with a right of control (see Section 1.1.1) State the legal name of the entity in Which the Disclosing Party holds a right of control:

935 W. Chestnut, Suite 600

B. Business address of the Disclosing Party:

Chicago, Illinois 60642

C: Telephone: (312) 226-2200 Fax: (312) 226-8500 Email: aridy@WolcottQrdup.net

Andrew Goodman

D. Name of contact person:

None

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

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") (0-which this EDS pertains, (Include project number and location of property, if applicable):'

Applicant is seeking City Council approval for a re-subordination of the City's Second Mortgage as part of a refinance of the First Mortgage

DPD

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 U and Contract #

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## SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

### A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- |   |   |
|---|---|
| <input type="checkbox"/> Person                                   | <input type="checkbox"/> Limited liability company                  |
| <input type="checkbox"/> Publicly registered business corporation | <input type="checkbox"/> Limited liability partnership              |
| <input type="checkbox"/> Privately held business corporation      | <input type="checkbox"/> Joint Venture                              |
| <input type="checkbox"/> Sole proprietorship                      | <input type="checkbox"/> Not-for-profit corporation                 |
| <input checked="" type="checkbox"/> General partnership           | (Is the not-for-profit corporation a 4(c)(3) M?                     |
| <input type="checkbox"/> Limited partnership                      | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| ffist   | <input type="checkbox"/> Other (please specify)                     |

2. For legal entities, the state (or foreign country) of incorporation or organization: \$f^j^i^i^i^

N/A

-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?!

.T3Yes [jNo Q^/A

B. IS THE DISCLOSING PARTY A LEGAL ENTITY:

L. List below the full names and titles of all executive officers and all directors. 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 Andrew Goodman 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
Andrew Goodman	905 W- Chestnut; Suite 800. Chicago, IL 60642	100%

#### SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had \_\_\_\_\_ as defined in Chapter 2-154 of the City of Chicago, Illinois, as amended, within 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 the 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 retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated;) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	---

(Add sheets If necessary)

If the Disclosing Party has not retained, nor expects to retain any subcontractor, attorney, lobbyist, accountant, consultant or any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, the Disclosing Party shall so indicate.

SECTION V - CERTIFICATIONS A- CO-MUNICIPAL ORDERED CHILD SUPPORT COMPLIANCE:

Under Municipal Code Section 2-92-41.5, substantial owners of the City must remain in compliance with their child support obligations throughout the term of their ownership.

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

If "No" person directly or indirectly owns 10% or more of the Disclosing Party, the Disclosing Party shall so indicate.

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

[Yes]

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 ■co.nnee^lpflAylth;; obtaining, attempting to obtain, or. perforiping a public (federal, state or. local) ttanS.actmn<pf contract under a public transaction; a: violation of federal or state. antfu^St:-s^.tu4e^>:i:£r9!4dh jepibezblemtent;. theft; forgery^briberyi,.fal.sificatibn ordestnietioh b^-reccjft^^a^a^^j^r^l statements; or receiving stplen .property;
- c. are nbt presently ind&ted i^ state or 1) AVijli cottiiuiftixig nhy <?f the offenses set forth ft.plauSe-&\$jr.pf^^ffim^? \*
- d. have not, Within a five-year period preceding the date of this EDS, had ohe or more" public fransactlojffS'(federal, state or. local)-temnhated for cause or default; and
- e; haye Mtj within a fiv0-^ guilty:, or fpund liab'le in a civil proceeding. Of iri.any-Criminal of ciyU acttott, in^iv»y^i^iTQiipjts> •fcdftfce'ffrtng. ^i'rQ'nm^^il violations, instituted by tlte .City of bythexfede^3l;g^^ state, or. flny-btlier unit of local,government.

.3. The Certifications ih subparts 3<sub>a</sub> 4-and 5 concern.'

- the Disclosing Party;
- any 'Contractor'>'(hieaning any contractor or subcontractor used by the.Disclosihg Party id connection With the'Matter, including but not limited to all persons or legal entities dis'closejd tiudef Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that,.directly or indirectly: controls tire Disclosing Parly,

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 enti;y;

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

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Neither the Disclosing Party, nor any Contractor, nor any Affiliated Enlity of either the Disclosing Party or any Contraclor nor any Agents have, during lhe five years before the dale 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 Avith ihe Matter;

- a. bribed or attempted to bribe, or been convicted or adjudgesd guilty of bribery of attempting to; • bribe, a public officer or employee of the City, the State of I linois, Or any agency Of the federal government of of apy statepf local government in the United Stet'e\$ -pf Am^ric^;::i^.tKaitl%Cej^ d^emp[pyce<sup>f</sup>5 official capacity;
- b. -sjsreedrorcojiicled Willi- o.thVb«W.eJ& pr-pro,speic;tiv\$ bidders, or been a party to auy .^oi;,<sup>1</sup> •
- b. agreement, or been convicted or adjudged gujltyvof agreeipejit tfr OQllustoi^^^j^.lilil^i^gap
- b. prospective by agteeiWeUti0:bid4%xi?^r^W:'
- b. Oth.er\Vise; or
- c. oiadeart admission of such.conduOt described in a> or b. above that is a riiaatter of f^bbf^^ bnt . hays not beeh.pr0secuteblfor sucWconductj of
- d. violated; the provisions of Municipal Code Section 2\*92-610 (Living Wage Ofdiu&XQej).

4. Neitherthe Disclosing Party;, Affiliated Entity of Contractor, pr any of theirmn^l^^Mp^i^ agents or partners, is barred from conUticting with", any unit of state or local govefriment'.^^ ejigagingih or being convicted Of (1) bidr.rigging in violation of 720 ILCS S/SJEtSi^j'-^^^tatia'^it^ violation of 720 ILCS 5/33E-^lbr.(3)any Siimilar Offense of any stateor of the United St^feipf America that contains the same! elements as'tlie offense of bid-rigging or bid-rotating;.

5. Neither.the Disclosing Party nor any Affiliated Entity is listed on any of the followingl^stg maintained

by the Office of Foreign Assets Control of the U.S. Department of the Treasury; the Bureau of Industry and Security of the U.S. Department of Commerce of 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^J^I

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If the letters "NA," the Word "None," or no response appears on the lines above, it will be conclusively<sup>1</sup> presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none; indicate, with -WA" or "none"). None

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, during the 12-month period preceding the execution date of this EDS, to an employee\* or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if not, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. None

## C. CERTIFICATION OF STATUS AS-FINANCIAL INSTITUTION

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

☐ is or ☐ 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):

nj (ff)

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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.

#### 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 which are used in this Part D.

1. In accordance with Section 2-156 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?

I } 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 B.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no elected official or employee shall have a financial interest in, 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 by virtue of legal process at the suit of the City (including "City-Property Sale"). Condensation for property taken pursuant to the City's eminent domain does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

I } Yes

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
<a (fi*		-

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

Page 8 of 13

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

The Disclosing Party verifies that the Disclosing Party has searched any and all records of losing Party and any and all predecessor entities regarding records of investments, or profits from slavery or slaveholder insurance policies during the slavery era (including insurable policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and if the Disclosing Party has found such records.

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has no 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 slaveholders or slaveholders described in those records:

#### SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

#### A. CERTIFICATION REGARDING LOBBYING

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 the latter: (Add sheets if necessary):

- a (V :-:

(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.

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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 certification in form and substance to paragraphs A.1 through A.4. above, before it enters into any subcontract duration of the Matter and must make such certification promptly available to the City.

## 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 or No If "Yes," answer the three questions

below.

1. Have you developed and do you have in place affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 6Q-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:

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

The Disclosing Party understands, and agrees that:

At 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 Finance Practices, Chapters 2-15 of the Municipal Code, impose certain duties on any person who does business, or transactions with the City. The full text of the Code, ordinances and any training program is available on the City's website at [www.cityofchicago.org/Ethics](http://www.cityofchicago.org/Ethics). and may also be obtained from the City's Board of Ethics, 74 Franklin

Sedgwick St., Suite 300 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 voidable in whole or in part. The Disclosing Party may pursue any remedies under the contract or agreement (if not rescinded or voided), at law, in equity, including injunctive relief, and participation in the Matter and/or be deemed to have agreed to allow the Disclosing Party to participate in other transactions with the City. The Disclosing Party agrees to be liable for a false statement of material fact that includes 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 of claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article 1 Of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-1 54-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

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F. I. 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 ("BPLS") maintained by the U. S. General Services Administration.

F.3. if the Disclosing Party is the Applicant, the Disclosing Party will obtain from any subcontractor or subcontractors a certification of compliance with the Matter

form and substance to those in F.1, and F.2 above and without the prior written consent of the City, use any subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe is not providing truthful certification.

NOTE- If the Disclosing Party cannot certify 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 warrants that he/she is authorized to execute this Affidavit and Appearance of Party, and (2) warranty that all statements, contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

Andrew S. Goodman  
(Print Name of Disclosing Party)

(Signature) Andrew

Goodman

. My commission

11/1/11

(Print or type name of person signing) Trustee

(Print or type title of person signing)

Signed and sworn to before me on (date) July 11, 2014

at Cook County, Illinois, Wipos's (state).

Notary Public.

Comm

Commission expires: 1/1/11 ~?.

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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 by the 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 a

Under Municipal Code or any "Applicable Party" or any "Applicable Party" Partner thereof presently 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 the Applicant 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: by blood or adoption: parent, child, brother or sister, aunt or niece or nephew, grandparent and child, 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 (\$ all executive officers of the Disclosing Party listed in Section ILBVI, 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, trustees or 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 VY] 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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Commissioner of DPD (the "Commissioner") or a designee of the Commissioner (each, an "Authorized Officer") are each hereby authorized, subject to approval by the Corporation Counsel, to enter into and execute such agreements and instruments, and perform any and all acts as shall be necessary or advisable, in connection with the implementation of the Third Restructuring. Each Authorized Officer is hereby authorized, subject to approval by the Corporation Counsel, to enter into and execute such agreements and instruments, and perform any and all acts as shall be necessary or advisable in connection with any future restructuring of the Loan which does not substantially modify the Material Terms.

Section 3. Notwithstanding anything to the contrary contained in the Municipal Code of Chicago (the "Municipal Code") or any other ordinance or mayoral executive order, no parties other than the owners of the Property as of the date following the date of the closing of the Third Restructuring (collectively, the "Owner"), any legal entities which are direct owners in excess of 7.5% of the Owner which changed in connection with the Third Restructuring, and all legal entities who constitute the direct or indirect controlling parties of the Owner (as determined by the Corporation Counsel), shall be required to provide to the City the document commonly known as the "Economic Disclosure Statement and Affidavit" (or any successor to such document) in connection with the Third Restructuring.

SECTION 4. To the extent that any ordinance, resolution, rule, order or provision of the Municipal Code, or part thereof, is in conflict with the provisions of this ordinance, the provisions of this ordinance shall control. If any section, paragraph, clause or provision of this ordinance shall be held invalid, the invalidity of such section, paragraph, clause or provision shall not affect any of the other provisions of this ordinance.

SECTION 5. This ordinance shall be effective as of the date of its passage and approval

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Park\Substifute Ordinance..docx