

# Office of the City Clerk

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

# **Legislation Text**

File #: R2015-105, Version: 1

RESOLUTION FOR RENEWAL OF CLASS 6(B) REAL ESTATE TAX INCENTIVE FOR THE BENEFIT OF CF II 2700 ROOSEVELT, LLC, A DELAWARE LIMITED LIABILITY COMPANY, AND LOPIN ROOSEVELT, LLC, AN ILLINOIS LIMITED LIABILITY COMPANY, AND REAL ESTATE LOCATED GENERALLY AT 2700 WEST ROOSEVELT ROAD IN CHICAGO, ILLINOIS PURSUANT TO COOK COUNTY, ILLINOIS REAL PROPERTY ASSESSMENT CLASSIFICATION ORDINANCE

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

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

WHEREAS, CF II 2700 Roosevelt, LLC, a Delaware limited liability company ("CF II"), and Lopin Roosevelt, LLC, an Illinois limited liability company ("Lopin", and collectively with CF II, the "Applicant"), are the owner of certain real estate located generally at 2700 West Roosevelt Road, Chicago, Illinois 60612 as further described on Exhibit A hereto (the "Subject Property"); and

WHEREAS, U.S. Plastic Lumber Corporation (the "Prior Owner") was the prior owner of the Subject Property; and

WHEREAS, on November 3, 1999 the City Council of the City enacted a resolution supporting and consenting to the Class 6(b) classification of the Subject Property by the Office of the Assessor of Cook County (the "Assessor"); and

WHEREAS, the Assessor granted the Class 6(b) tax incentive in connection with the Subject Property in 2001; and

WHEREAS, the Prior Owner completed the construction of an approximately 106,720 square foot industrial facility on the Subject Property, and then sold the Subject Property to CF II on June 27, 2007; and

WHEREAS, on January 23, 2009, Lopin acquired an undivided 50% interest in the Subject Property from CF II; and

WHEREAS, the Applicant has filed an application for renewal of the Class 6(b) classification with the Assessor pursuant to the Ordinance; and

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

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

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

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

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

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

#### **EXHIBIT A**

Legal Description of Subject Property:

See attached

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

16-13-422-002 16-13-422-003 16-13-422-012 16-13-422-012 16-13-422-012

422-013 16-13-422-014

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# **EXHIBIT A**

# **LEGAL DESCRIPTION**

#### PARCEL 3,:

LOTS 24 TO 39, INCLUSIVE AND LOTS 41 .TO 51. INCLUSIVE. (EXCEPT THE SOUTH 17.00 FEET OF LOTS 41 TO 51. INCLUSIVE TAKEN FOR ROOSEVELT ROAD). IN FISH AND YOUNG'S .SUBDIVISION OF THE SOUTHEAST 1/4 OF THE WEST 1/2 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13. TOWNSHIP 39 NORTH. RANGE 13. EAST OF THE THIRD PRINCIPAL MERIDIAN. IN COOK COUNTY, ILLINOIS.

PARCEL "4:i

THAT PART OF THE EAST 10.00 FEET OF VACATED FAIRFIELD AVENUE. LYING WEST OF AND

ADJOINING LOTS 24 TO 39-AND WEST LINE OF LOT 39 PRODUCED SOUTH 17.00 FEET AND LYING WEST OF AND ADJOINING LOT 41. (EXCEPT THE SOUTH 17.00 FEET OF SAID LOT 41) IN FISH AND YOUNG'S SUBDI VISION OF THE SOUTHEAST 1/4 OF THE WEST 1/2 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST T/4 OF SECTION 13. TOWNSHIP 39 NORTH, RANGE 13. EAST OF THE THIRD PRINCIPAL MERIDIAN, IN COOK COUNTY. ILLINOIS.

#### PARCEL 5:

THAT PART OF THE EAST/WEST VACATED ALLEY, LYING SOUTH OF AND ADJOINING LOT 39 AND NORTH OF AND ADJOINING LOTS 41 TO 45 AND LYING WEST OF AND ADJOINING A LINE 15.00 FEET WEST OF AND PARALLEL WITH THE EAST LINE OF LOT 39 PRODUCED SOUTH 17.00 FEET IN FISH AND YOUNG'S SUBDIVISION OF THE SOUTHEAST 1/4 OF THE WEST 1/2 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13, TOWNSHIP 39 NORTH. RANGE 13. EAST OF THE THIRD PRINCIPAL MERIDIAN. IN COOK COUMY. ILLINOIS.

#### PARCEL G: ? ^ ,

THAT PART OF SOUTH FAIRFIELD AVENUE. LYING EAST OF AND ADJOINING A LINE DRAWN FROM-A POINT ON A LINE 17.00 FEET NORTH OF AND PARALLEL WITH ORIGINAL SOUTH LINE OF LOT 41 PRODUCED WEST, SAID POINT BEING 1.72 FEET EAST OF THE WEST LINE OF THE EAST 1/2 OF THE SOUTHWEST 1/4 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13 TO A POINT ON THE NORTH LINE OF LOT 20 PRODUCED WEST IN CHERRY'S SUBD I VISION-OF THE WEST 1/2 OF THE EAST 1/2 OF THE NORTHWEST 1/4 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13, SAID POINT BEING 5.3 FEET EAST OF SAID WEST LINE OF THE EAST 1/2 OF THE SOUTHWEST 1/4 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13, LYING SOUTH OF THE NORTH LINE OF LOT 24 AND LYING NORTH OF AND ADJOINING A LINE 17.00 FEET NORTH AND PARALLEL WITH ORIGINAL SOUTH LINE OF SAID LOT 41 IN FISH AND YOUNG'S SUBDIVISION OF THE SOUTHEAST 1/4 OF THE WEST 1/2 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13 PRODUCED WEST TO A POINT 1.72 FEET EAST OF SAID WEST LINE OF THE EAST. 1/2 OF THE SOUTHWEST 1/4 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13 AFORESAID. THE.EAST 10.00 FEET), TOWNSHIP 39 NORTH, RANGE 13, EAST OF THE THIRD PRINCIPAL MERIDIAN, IN COOK COUNTY, ILLINOIS.

#### PARCEL B:

#### PARCEL 1::

LOTS 20\* TO 25 INCLUSIVE IM CHERRY'S- SUBDIVIS10.fi <a href="http://ivis10.fi">http://ivis10.fi</a>.Of ';TJIE. WEST 1/2 ;0F THE,EAST 1/2 OF THE NORf+tef 1/4 OF 'THE ^OUTWEST OF THE S0OjfH£A5T 1/4. OF:SECT!<)N 13; TOWNSHIP 39 NORTH, i^ANGE 13. EAST OF Tive <a href="http://tive>.TH.IRO">http://th.IRO</a> WINCIPAL IaE^pTAN.. ACGORQ|NG TO',T HE; puyr THEREOF RECORDED JULY 27,, .1,883 AS OPCUMENT 484&&, CppK-COUNTY; ILLINOIS.

#### PARCEL 2:

LOTS 21 22 AND 23 IN FISH AND YOUNG'S SUBDIVISION OF THE SOUTHEAST 1/4 OF THE WEST 1/2 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13, TOWNSHIP 39 NORTH, RANGE 13 EAST OF THE THIRD PRINCIPAL MERIDIAN, IN COOK COUITY. ILLINOIS.-,

#### PARCEL C:

SAUL TfiAT^IAjfIS sOI^HB SO»^trr« ^K#^I^f LYI NG -£M £f TBI EAST LINE: OF- 45^IMW^,\*iB^ INCLUSIVE 0. 0^\$0mumW^M%^: W THE EAST- T/2 OF ^pMvEST 1/4 ;0F Trife

SOITTHMST i1<sup>Air</sup>: OF THE. ,Sp.UT}VEAST 174 OF

section T3> Unship- IdP?rth, rang! east Of T\*ife th i rd prinojpal -

LYING WEST OF THE WEST 01\*E: OF LOT\$. 'i6 ?T0 23, ALL INCLUSIVE IN- THE, (SUBP^IV)S1 ON COJF! THE EAST 1\*2 OF THE EAST T>2 OF THE NORTHWEST 1/4 OF THE SOUTHWEST OF THE 'SOUTHEAST 1/4 OF SECTION TOWNSHIP, 39 WORTH. RANGE 13. EAST OF TIFFI THIRD PR I NC I PAL MER I D I AN; AL'SO ,-; '

MjSSrM'WW^ WmWmffo. ^T&\$\$ST X/2 OF THE EAST 1/2/OF THE - NORTHWEST 1/4 OF THfe :SDUTm¥ESfi 1^4 iOF THE SOUTHEAST 1/4 OF SECTION 13 AFORESAID, EXCEPT railroad. Lying south Pf the -sopTH tJwe of. the north/south-i6.oo-foot vacated ALLEYI VACATED BY ORDI NANCE APROVED W TH E CITY COUNCIL OF THE CITY OF CH ICA60, MARCH 2\$, 1P20 AND RECOPDED MAY 28. 1920 AS DOCUMENT 6839023, BEING FURTHER DESCRIBED AS:

A LINIIIWI^^OIi': THE tNOJ^iteAST (CORNER' PF toT <2& IN iHSRW'S :S|)B^IMiSipN;^ AFPRES&il? TO THE NORTHWEST CORNER; 0F LOT 20 I N THE SUBD IV I.S I ON OF THE EAST 1/2 OF THE EAST- "1/2 OF TrViE.«bRT}ftVESf i/4 OF THE SOUTHWEST 1/4 OF THE SOUTHEAST 1/4 OF SECTION 13 AFORESAID AND LYING NO^TTI OF A LVn"e>DRAWN FROM THE SOUTHEAST CORNER OF LOT 25 IN CHERRY'S SUBD I VISION AFORESAID TO THE SOUTHWEST CORNER OF LOT 23 IN THE SUBDIVISION. OF THE EAST 1/2 OF THE )EA\$T 1/2 AFORESAID; ALSO, ■■

:;

PARCEL D:

A TRACT OF LAND DESCRIBED AS FOLLOWS:

BEGINNING AT A POINT WH/CH IS 73.3 FEET SOUTH OF THE NORTH LINE OF LOT 17 IN THE SUBDIVISION OF THE' EAST 1/2 OF THE EAST 1/2 OF THE NORTHWEST 1/4 OF THE SOUTHWEST W'uF'fH"§: -iSOOffief ST^W'#' ^Tiiiiikt -'TOWNSHIP 39 NORTH. RANGE 13, EAST OF THE THIRD PRINCIPAL MERIDIAN AND 23.37 FEET DUE EAST OF THE EAST LINE OF LOTS 19, 20.

21 AND 22 IN CHERRY'S SUBD IV IS I ON AFORESA10, BEING A POINT UPON A LINE DRAWN THROUGH THE CENTER OF THE EAST WALL OF THE BUILDING LOCATED MAINLY UPON LOTS 19 TO

22 IN CHERRY'S SUBDIVISION AFORESA10. EXTENDED SOUTHERLY; RUNNING THENCE NORTH ALONG SAID EXTENDED LINE AND A LINE RUNNING THROUGH CENTER OF SAID WALL A DISTANCE OF 73.3 FEET TO THE NORTH LINE OF SAID LOT 17; RUNNING THENCE WEST A DISTANCE OF 23.37 FEET TO THE EAST LINE OF SAID LOT 19 IN SAID CHERRY'S SUBDIVISION; RUNNING THENCE SOUTH ALONG THE EAST LINE OF SAIO LOTS 19, 20, 21 AND 22 IN CHERRY'S SUBDIVISION AFORESAID TO A POINT DUE W'~ST OF THE POINT OF BEGINNING; RUNNING THENCE EAST TO THE POINT OF BEGINNING (EXCEPTING THEREFROM SAID LAND THAT PART FALLING IN THE WEST 1/2 OF THE 16.00-FOOT ALLEY, LYING EAST OF AMD ADJOINING LOT 19 IN CHERRY'S SUBDIVISION AFORESAID). ALL IN COOK COUNTY, ILLINOIS.

# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

#### **SECTION I - GENERAL INFORMATION**

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

CF IT 2700 ROOSEVELT, M.C

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. P3 the Applicant

OR

| File #: R2015-105, Version: 1   |   |  |                |
|---|---|--|----------------|
| <ul> <li>2. [] a legal entity holding a direct or indir</li> <li>2. Applicant in. which the Disclosing Party OR</li> <li>3. [] a legal entity with a right of control (swhich the Disclosing Party holds a right of control of the Disclosing Party holds a right of control of the Disclosing Party holds a right of control of the Disclosing Party:</li> </ul>   | y holds an interest:  | <u></u> "  | "" '~          |
|   | rossmoot, Il  | linois eoois   |                |
| C. Telephone: (847) 588-56S5 Fax: <sup>184</sup>  | 71 588 <b>*</b> 0034  | Email: 3° el• ^iedlandstr                                    | anowestera.com |
| P. Name of contact person: aOBh   |   |  |                |
| E. Federal Employer Identification No. (if you  | have one):  | $\mathcal{M}_{X}$  |                |
| F. Brief description of contract, transaction or contract, transaction | location Of propert   | y, if applicable):   | ·              |
| G. Which City agency or department is requesting.  If the Matter is a contract being handled the following:   |   |  | -              |
| Specification # .   | and Contra  | ct #   |                |
| Page 1 of 13  |   |  |                |
| SECTION II - DISCLOSURE OF OWNER  | RSHIP INTEREST  | TS   |                |
| A. NATURE OF THE DISCLOSING PAR   | TY  |  |                |
| 1. Indicate the nature of the Disclosing [] Person [] Publicly registered business corporation [] Privately held business corporation [] Sole proprietorship [] General partnership [] Limited partnership [] Trust   | p_ Limited liab [ ] Limited liab f ] Joint venture [ ] Not-for-prof | ility partnership  it corporation  profit corporation also a | 501(c)(3))?    |

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

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|---|---|--|--|
| DELAWARE  |   |  |  |
|   | ities not organized in that as a foreign entity?  | ne State ofIllinois: Has the or  | rganization registered to do business in   |
| Yes   | [ ] No  | [ ] N/A  |  |
| B. IF THE DISCLO  | OSING PARTY IS A I  | LEGAL ENTITY:  |  |
| -for-profit corporat<br>members, write "no<br>If the entity is a g<br>partnership or joint<br>or any other person | ions, also list below all<br>o members." For trusts,<br>general partnership, lim<br>e venture, list below the | I members, if any, which are<br>estates or other similar enti-<br>nited partnership, limited lial<br>ename and title of each gene<br>the day-to-day management | all directors of the entity. NOTE: For no e legal entities. If there are no such ties, list below the legal tifleholder(s). bility company, limited liability eral partner, managing member, manager tofthe Disclosing Party. NOTE: Each |
| Name Title  |   |  |  |
| DOJ MANAGEMEN!  | F, LLC MANAGER RIEGEF   | R MANAGEMENT, LLC MANAGE   | ER .   |
| beneficial interest (   | including ownership) i  |  | on or entity having a direct or indirect closing Party. Examples of such an interest joint venture,  |
|   |   | D 2 C12  |  |

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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 COOK FINANCIAL REAL ESTATE POND II LLC 5600 N. RIVER ROAD, SUITE 150, ROSEMONT, IL 60018 100%

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 pq 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. |
|--|
| with any City elected official in the 12 months before the date this EDS is signed?  [] Yes pq 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  |
| 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   |
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|  |
|  |
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| Name (indicate whether Business retained or anticipated Address to be retained)  |
| Relalionship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)   |
| ATTORNEY Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.   |

(Add sheets if necessary)

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#### **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), ifthe 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.l. 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 6tolen 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 ofthe 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).
- 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 S/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 bidrigging 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.
- 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.
- 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: NONE

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Jf 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, tho 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 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.

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NONE

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

- 1. The Disclosing Parly certifies that the Disclosing Party (check one)
- 1. [] is [xj 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 Cily."

If the Disclosing Parly 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):

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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 REGARD INO INTEREST IN CITY BUSINESS

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

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

[JYes [XJNo]

NOTE: If you checked "Yes" to Item D.l., proceed to Items D.2. and D.3. If you checked "No" to Ttem D.l., 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 namo 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 (he Matter involve a City Property Sale?

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|---|--------|--|--|--|
| t] Yes  | [X] No |  |  |  |
| 3. If you checked "Yes" to Item D.l., provide the names and business addresses of the City officials or employees ha ving such interest and identify the nature of such interest: |        |  |  |  |

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

**Business Address** 

Name

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 Parly 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 iu step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insuiance 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 arc 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

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|---|
| 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 die 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 iu Paragraph A.l. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee ofany agency, as defined by applicable federal law, as 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,  Page 9 of 13 |
| 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which the occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.l, 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.l. through A.4. above from all subconbactors 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 die 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 feder regulations? (Sec 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

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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 tire Applicant and the City in connection with the Matter, whether procurement, City assistance, or othei' 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.citvofchicago.orR/Ethics <a href="http://www.citvofchicago.orR/Ethics">http://www.citvofchicago.orR/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request, Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Infonnation 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 lo 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.l. 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 brsales taxes.
- E.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 iby 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.l. 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 behVye has^

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, tho 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.

```
CF II 2700 R003EVKLT, LLC:

(Print or tyoe. nanre of Disciosing Party)
(Sign here)

By:

DAVID J. MITIDIERO
(Print or type name of person signing)

MANAGER
(Print or type title of person signing)
```

Commission expires:

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# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

#### FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as ofthe 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 ofthe following, whether by blood pr 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 | M No |
|-------|------|

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

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# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to Municipal Code Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code?

[ ]Yes [/]No

2. If the Applicant is a legal 'entity publicly traded; on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code?

[]Yes |X] No f] Not Applicable

3. If yes to (1) or (2) above, please identify below the name of the person or legal entity identified as a building code scofflaw or problem landlord and the address of the building or buildings to which the p¥ftinent code violations apply.

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

# GITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

# **SECTION I - GENERAL INFORMATION**

A. Legal name of the Disclosing Party submitting this EDS. Include c7b/a/ if applicable:

COOK FINANCIAL RBAL ESTATE VUBD II, LLC

Check ONE of the following three boxes:

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|--|--|--|-----------|
| Indicate whether the Disclosing Party submand 1. [] the Applicant >:  OR  2. p] a legalehtity holding a direct or incompart of the Disclosing Party submand of | lirect intcrestin the Applican               |  |           |
| OR ""' ""  | •  | <del>-</del>                           |           |
| 3. [] a legal entity with a right of control which the Disclosing Party holds aright of the property holds are property holds.  | •  | te the legal name of the entity in     |           |
|  |  | 800                                    |           |
| B. Business address of the Disclosing Party  | y: ROSEMONT, ILLIN                           | •                                      |           |
|  |  |  |           |
| C. <u>Telephone</u> : (e^7 > S88-S656 Fax; 1?  | <u>17</u> * S8a-o034                         | <u>:^aj . ^</u>                        |           |
| D. Name of contact person: JOEL gRIBOtofIMP  |  |  |           |
| •  |  |  |           |
| E. Federal Employer Identification No. (if y   | ou have one):                                |  |           |
| F. Brief description of contract, transaction pertains. (Include project number and location)  | •  |  | EDS       |
| CLASS 6B INCENTIVE RENEWAL FOR THE PROPER  | TY LOCATED AT 2700 WEST ROC                  | SEVELT ROAD, CHICAOO                   |           |
|  |  |  |           |
| G. Which City agency or department is requ   | esting this EDS? departmen                   | t of plmtotng and development          |           |
| If the Matter is a contract being handle following:  | ed by the City's Departmen                   | nt of Procurement Services, please com | plete the |
| Specification #;, .  | and Contract #                               | »,···,                                 |           |
| Page 1 of 13   |  |  |           |
| SECTION II - DISCLOSURE OF OWNER   | RSHIP INTERESTS                              |  |           |
| A. NATURE OF THE DISC.  [ ] Person  [ ] Publicly registered business corporation  [ ] Privately held business corporation  [ ] Sole proprietorship  [ ] General partnership  [ ] Limited partnership  t ] Trust  | LOSING PARTY 1. Indicat  [*] [ ] [ ] [ ] (Is | e the nature of the Disclosing Party:  |           |

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

[]Yes []No Other (please specify)

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

**DELAWARE** 

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

[3§ Yes []No []N/A

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

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

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

Name Title

DCJ MANAGEMENT LLC 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% 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 Ad   | dress         | Percentage<br>Disclosing | Interest in the Party |
|----------|-----------|---------------|---------------|--------------------------|-----------------------|
| JOEL I.  | FRIEDLAND | S600 N. RIVER | R ROAD, SUITE | 150, ROSEMONT,           | IL 6001B 40%          |
| DAVID J. | MITIDIERO | 5600 N. RIVE  | R ROAD, SUI   | TE 150, ROSEMON          | NT, IL 6001B 40%      |
| DAVID N. | FRIEDLAND | 5600 NS rivER | ROAD. SUITE   | 150. ROSEMONT.           | TI 60018 20%          |

#### 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 Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated to be retained)

Relationship to Disclosing Party Fees (indicate whether paid or estimated.) NOTE: lobbyist, etc.)

"hourly rate" or "t.b.d." is

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|------------------|-------------------------------------|---|
|                  |                                     | not an acceptable response.   |
|                  |                                     |   |
|                  |                                     |   |
|                  |                                     |   |
| (Add sheets if n | necessary)                          |   |
| [x] Check here   | e ifthe Disclosir                   | ng Party has not retained, nor expects to retain, any such persons or entities.   |
| SECTION V - 0    | CERTIFICATION                       | IS  |
| A. COURT-OF      | RDERED CHILD                        | SUPPORT COMPLIANCE  |
|                  | •                                   | 2-92^415, substantial owners of business entities that contract with the City must hild support obligations throughout the contract's term. |
| • •              | •                                   | adirectly owns 10% or more of the Disclosing Party been declared in arrearage on any Illinois court of competent jurisdiction?              |
| [] Yes           | [x] No                              | [ ] No person directly or indirectly owns 10% or more of the Disclosing Party.  |
|                  | e person entered in that agreement? | nto a court-approved agreement for payment ofall support owed and is the person in  |
| [] Yes           | [] No                               |   |
| B. FURTHER       | CERTIFICATION                       | NS  |

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, forgeTy, 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.l. 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 Iocal) with committing any ofthe 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 ofthe Disclosing Parly, any Contractor or any Affiliated Entity or any other official, agent or employee ofthe Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official ofthe 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 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 ofthe 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 U.S. Department of the Treasury or the Bureau of Industry and Security of 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 ofthe Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees ofthe 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, ofthe 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 ofall gifts that the Disclosing Party has given or caused Co 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" doe6 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 Cily 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)
- 1. [ 3 is [xj 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):

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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 Pari 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 of in the name of any other person or entity in the Matter?

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|--|---|---|
| []Yes  | [XJ No  |   |
| NOTE: If you che Part E.                                       | cked "Yes" to Item D.l., proceed to I   | tems D.2. and D.3. If you checked "No" to Item D.l., proceed to   |
| employee shall ha<br>purchased any pro<br>legal process at the | ve a financial interest in his or her over<br>operty that (i) belongs to the City, or (e suit of the City (collectively, "City le | e bidding^or otherwise permitted, no City elected official or vn name or in the name of any other person or entity in the (ii) is sold for taxes or aascssments,:or, (iii) is sold by virtue of Property Sale"), Compensation for property taken pursuant to the incial interest within the meaning of this Part D. |
| Does the Matter in   | nvolve a City Property Sale?  |   |
| [] Yes   | (XJ No  |   |
|  | eked "Yes" to Item D.L, provide the r<br>such interest and identity the nature  | names and business addresses of the City officials or of such interest:   |
| Name   | Business Address  | Nature of Interest  |
| 4. The Disclos<br>City official or em                          |   | rohibited financial interest in the Matter will be acquired by an   |
| B. CERTIFICATI   | ON REGARDING SLAVERY ERA  | BUSINESS  |
|  | nis EDS all information required by p   | g Party checks 2., the Disclosing Party must disclose below or in paragraph 2. Failure to Page 8 of 13  |
| comply with these<br>the Matter voidab                         |   | any contract entered into with the City in connection with  |

- 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 trio slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Parly has found no such records.
- JL. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments oj- 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 lo 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 lhe 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.l. 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 giant 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 AJ. and A.2. above.
- 4. The Disclosing Party certifies that either: (1) 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.l. 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

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|--|--|--|--|--|--|--|
| the following infonnation with their bids or in writing at the outset of negotiations.   |  |  |  |  |  |  |
| Is the Disclosing Patty the Applicant?   |  |  |  |  |  |  |
| [] Yes *[] No  | * [ ] No   |  |  |  |  |  |
| If "Yes," answer the three questions below:  |  |  |  |  |  |  |
| 1. Have you developed and do you have on file affirmative action programs regulations? (See 41 CFR Part 60-2.)  [] Yes  [] No  | s pursuant to applicable federal                                     |  |  |  |  |  |
| 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 eq clause?   | lual opportunity   |  |  |  |  |  |
| t] Yes [] No   |  |  |  |  |  |  |
| If you checked "No" to question 1. or 2. above, please provide an explanation:   |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Page 10 of 13  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| SECTION VII ACKNOWLEDGMENTS, CONTRA COMPLIANCE, PENALTIES, DISCLOSURE  | ACT INCORPORATION,   |  |  |  |  |  |
| The Disclosing Party understands and agrees that:  |  |  |  |  |  |  |
| A. The certifications, disclosures, and acknowledgments contained in this EDS will be agreement between the Applicant and the City in connection with the Matter, whether p other City action, and are material inducements to the City's execution of any contract of to the Matter. The Disclosing Party understands that it must, comply with all statutes, or which this EDS is based, | procurement, City assistance, or or taking other action with respect |  |  |  |  |  |

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

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

C. Tf tlie 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 Infonnation 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 ore 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 wiU'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 aijy 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 lhat the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If die Disclosing Party eannot certify as to any of the itoms in F.IF.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 (ifapplicable) are true, accurate and complete as ofthe date furnished to the City.

| COOK FIHAMCIM, REM. ESTATE FUND II, LLC (Print az type narn<&\$£ Disclosing Party)    |
|---|
| (ST^rJf here)   |
| DAVID J. MITIDIERO (Print or type name of person signing)                             |
| MANAGER ",, , ••; ^ (Print or type title of person signing)                           |
| Signed and swom to before me on (datc)_   |
| at cook County i^MNOjf.(slate) } OFFICIAL SEAL > Notary  ubliccATMF.RINE L LEifPER .£ |
| Commission expires:iwv>.  |

# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

#### FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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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 ofthe 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, sbh-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 HB.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the

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|--------------------------|---|--|
|                          | cipal officers" means the president,<br>cretary of a legal entity or any person | chief operating officer, executive director, chief financial n exercising similar authority.   |
| _                        | Party or any "Applicable Party" or with an elected city official or depart      | any Spouse or Domestic Partner thereof currently have a rtment head?   |
| [] Yes                   | [x] No  |  |
| is connected; (3) the na |   | sch person, (2) the name of the legal entity to which such person cial or department head to whom such person has a familial tionship. |
|                          |   |  |
|                          |   |  |
|                          |   |  |
|                          | Page 13 of  | 13   |
|                          |   | MIC DISCLOSURE STATEMENT AND AFFIDAVIT<br>ENDIX B  |
| BUILDING CO              | ODE SCOFFLAW7PROBLEM LA   | NDLORD CERTIFICATION   |
| ownership interest in th |   | Applicant, and (b) any legal entity which has a direct (an "Owner"). It is not to be completed by any legal Applicant.                 |
|                          | unicipal Code Section 2-154-010, soblem landlord pursuanU^                      | is the Applicant or any Owner identified as a building code  |
| [] Yes                   | M No  |  |
|                          | • • •   | on any exchange, is any officer or director of the Applicant* andlord; pufsuant to Section 2r92-416 of the Municipal Code?             |
| [] Yes                   | [)Q No  | [] Not Applicable  |

3. If yes to (1) or (2) above, please identify below the name of the person or legal entity identified as a building code scofflaw orproblem landlord and the address of the building or buildings to which the pertinent code violations apply.

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

# CITV 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:

• DOT MANAGEMENT, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

- 1. [] the Applicant OR
- 010 0 [] = 1==1 ==4:4= h=14:== = 4:==4 == :-
- 2. [] a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the:
- - a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity in which that TV is.^
- B. Business address of the Disclosing Party:

ROSEMONT, ILLINOIS 60018

C Telephone: ;SaB-56SiS-. jr^x: .(ft\*7\$ 5Ba-op34- Email:^^l^^i^^tranoweatera^aM

- D. Name of contact person: JOBti \*«BDiMto
- E. Federal Employer Identification No. (if you have one): r
- 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, ifapplicable):

CLASS SB INCENTIVE RENEWAL FOR THE PROPERTY LOCATED AT 2700 WEST ROOSEVELT ROAD, OIICAGO

G. Which City agency or department is requesting this EDS? DKt.ftRTWEMT OF plm<sup>TM1</sup>\*"\* and deve.

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 DI  | SCLOSURE OF OWNERSHIP INTERESTS  |     |
| [] Person  | hip []<br>ship (Is   |     |
| Not-for-profit corp<br>the not-for-profit co   | mpany Limited liability partnership Joint venture oration also a 501(c)(3))?  er (please specify)  |     |
|  | tities, the state (or foreign country) of incorporation or organization, if applicable:  |     |
| DELAWARE   |  |     |
| 3. For legal er State of llinois as a  | tities not organized in the State of Illinois: Has the organization registered to do business in the foreign entity?   |     |
| [J? Yes  | []No []N/A   |     |
| B. IF THE DISCLO   | OSING PARTY IS A LEGAL ENTITY:   |     |
| profit corporations<br>members." For trus<br>If the entity is a<br>venture, list below | ne full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-<br>also list below all members, if any, which are legal entities. If there are no such members, write "notes, estates or other similar entities, list below the legal titleholder(s).<br>general partnership, limited partnership, limited liability company, limited liability partnership or jointhe name and title of each general partner, managing member, manager or any other person or entity y-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an all. | int |
| Name Title   | JOEL I. FRIEDLAND MANAGER  |     |
| DAMTD T  | MITIDIERO 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% 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 A   | Address  |           | Percentage In<br>Disclosing Pa |              |
|----------|-----------|--------------|----------|-----------|--------------------------------|--------------|
| JOEL I.  | FRIEDLAND | 5600 N. RIV  | ER ROAD, | SUITE ISO | , ROSEMONT,                    | IL 60018 40* |
| DAVID J. | MITIDIERO | 5600 N. RIV  | ER ROAD, | SUITE 150 | , ROSEMONT,                    | IL 60018 40% |
| DAVID N. | FRIEDLAND | 5600 N. RIVI | ER ROAD, | SUITE 150 | ), ROSEMOUT,                   | IL 60018 20% |

# 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) arid 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 tlie 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

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|---|---|---|--|
| administrative action.  |   |   |  |
|   |   | whether a disclosui e is required un is required or make the disclosure.  | nder this Section, the Disclosing Party must   |
|   |   | Page 3 of 13  |  |
| Name (indicate whether  | Business  | Relationship to Disclosing Party  | Fees (indicate whether   |
| 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)   |   |   |  |
|   |   | earty has not retained, nor expe  | ects to retain, any such persons or entities.  |
| SECTION V - CERTIFIC  | CATIONS   |   |  |
| A. COURT-ORDERED  | CHILD SU  | PPORT COMPLIANCE  |  |
| _   |   | 92-415, substantial owners of busine support obligations throughout the   | ess entities that contract with the City must contract's term.   |
|   | •   | ectly owns 10% or more ofthe Disclois court of competent jurisdiction?  | osing Party been declared in arrearage on any  |
| [] Yes [x]  | No  | [] No person directly or indirectly or Disclosing Party.  | owns 10% or more of the  |
| If "Yes," has the person e compliance with that agree   |   | a court-approved agreement for pay  | ment of all support owed and is the person in  |
| []Yes []  | No  |   |  |
| B. FURTHER CERTIFI  | CATIONS   |   |  |
| (Add sheets if necessary)  [xj Check here ifthe I  SECTION V - CERTIFIC  A. COURT-ORDERED  Under Municipal Code remain in compliance wit  Has any person who directly child support obligations  [] Yes [x]  If "Yes," has the person ecompliance with that agree | Disclosing F CATIONS CHILD SUI e Section 2-9 th their child ctly or indire by any Illino No entered into a gement? No | Party has not retained, nor experience of the property of the | "hourly rate" or "t.b.d." is not an acceptable response.  ects to retain, any such persons or entities.  ess entities that contract with the City must contract's term.  osing Party been declared in arrearage on any owns 10% or more of the |

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 ILB.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 conlract 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

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controlled by it, or, with the Contractor, is under common control of another person or entity;

- any responsible official of the Disclosing Parly, 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 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 ofthe 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 ofthe 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 Universified 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 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 he 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 D isclosing Party certifies that the Disclosing Party (check one)
- 1. t ] is [x] is not
- a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
  - 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

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

If the Disclosing Parly 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):

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|---|---|---|--|--|
|   |   |   |  |  |
|   |   |   |  |  |
|   | the word "None," or no response a isclosing Party certified to the abo  | appears on the lines above, it will be conclusively ove statements.   |  |  |
| D. CERTIFICATIO   | N REGARDING INTEREST IN (   | CITY BUSINESS   |  |  |
| Any words or terms used in this Part D.                               | diat are defined in Chapter 2-156   | of the Municipal Code have the same meanings when   |  |  |
|   |   | funicipal Code: Does any official or employee of tlie City have a e of any other person or entity in the Matter?  |  |  |
| NOTE: If you checked Part E.  | ed "Yes" to Item D,L, proceed to  | Items D.2. and D.3. If you checked "No" to Item D. 1., proceed to   |  |  |
| employee shall have<br>purchase of any prop<br>legal process at the s | a financial interest in his or her overty that (i) belongs to the City, ouit of the City (collectively, "City | e bidding, or othorwise permitted, no City elected official or wn name or in the name of any other person or entity in the r (ii) is sold for taxes or assessments, or (iii) is sold by virtue of Property Sale"). Compensation for property taken pursuant to the ancial interest within the meaning of this Part D. |  |  |
| Does the Matter invo  | olve a City Property Sale?  |   |  |  |
| [] Yes  | ptj No  |   |  |  |
|   | d "Yes" to Item D.l., provide the r<br>ch interest and identify the nature                                    | names and business addresses of the City officials or 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 disclosuic requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

- \_x 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Parly 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 tp 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 VL Ifthe Matter is not federally funded, proceed to Section VU. 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 lhc 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 widi 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,l, above for his or her lobbying activities or to pay any person or. entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or lo 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,

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|---|
| 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.l. through AA, 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.) []Ycs []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:  |
|   |
| Page 10 of 13   |

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

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agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements lo the City's execution of any contract or taking other action with respect to the Mailer. The Disclosing Party understands that il must comply with all statutes, ordinances, and regulations on which tills 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.citvofchicago.org/Ethics <a href="http://www.citvofchicago.org/Ethics">http://www.citvofchicago.org/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N,

Sedgw ick 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 infonnation 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 INELIGD3ILITY 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.l. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor arc the Disclosing Party pr its Affiliated Entities delinquenthi paying any fine, fee", tax or other charge owed to the City. This includes, but is not limited to, all water charges, scwev 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.("EPI-S") maintained by the U. Si Generali^
- 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 (hat the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Parly cannot certify as to any ofthe Horns in F.1., F.2. or F.3. above, an capitulatory, statement-must be attached to this EDS.

#### **CERTIFICATION**

Under penalty of perjury, the person signing below: (I) warrants that.he/sbeis auuiorized'to execute • this ED S and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all ~ certifications und statements contained in this EDS and Appendix A (if applicable) arc true, accurate and compTete as of the date furnished to the City.

```
DOUMANAGEMENT, hi/C...,"

(Print or ry|ifehame of Inclosing Party)

(Sign here)

DAVID J. MITIQIERO

(Print or type name of person signing)

MANAGER

(Print or type title of person signing)

Signed and sworn to before mc on (date) :~*//3{(fat's)}

al__5°0K Connfew, ii-i'itiors (slate).f-^>ftw/wv^^A^*>>^

Commission expires:
```

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#### 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 Paity 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 ofthe 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 HB.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?

t] Yes [x] No

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

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# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to Municipal Code Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to Section4r92T4\*16 of the Municipal Code?

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|--|--|---|---|
| [JYe   | 3  | DC] No  |   |
|  |  |   | any exchange, is any officer or director of the Applicant landlord pursuant to Section 2-92-416 of the Municipal  |
| []Ye   | ı  | [X]No   | [] Not Applicable   |
| identi   |  | fflaw or problem  | me of the person or legal entity landlord and the address of the building or buildings to   |
| THAT<br>THE A                                    | THIS APPENDIX B IS INC<br>ASSOCIATED EDS, AND T            | CORPORATED BETHAT THE REPRICATION MADE                            | S ACKNOWLEDGMENT AND AGREEMEN T Y REFERENCE INTO, AND MADE A PART OF, ESENTATIONS MADE IN THIS APPENDIX B UNDER PENALTY OF PERJURY ON PAGE 12 CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT |
|  |  |   | STATEMENT AND AFFIDAVII   |
| SECTION 1  | - GENERAL INFORMATIO                                       | ON  |   |
| A. Legal nar                                     | e of the Disclosing Party su                               | bmitting this EDS   | Include d/b/a/ if applicable!   |
| RIEGER MA  | NAGEMENT, LLC V  |   |   |
| Check ONE  | f the following three boxes:                               | ,%  |   |
| 1. [] the A OR 2. [] a leg 2. Applic. OR ' 3. [* | al entity holding a direct or int in;wh\ch theDisOlosihgiF | indirect interest in Party'hdIds an inter '  control (see Section | the Applicant. State the legal name of the  rest:  "*"_!  on II.B.l.) State the legal name of the entity in   |
| B. Business                                      | ddress ofthe Disclosing Part                               | tv: 4001 west dev   | von, suite 4 o< ;   |
| _,,  | 2 10 10 1 m  | •   | AGO, IL 60646   |
| C. Telephone                                     | , < <sup>773)</sup> 286-3300 .1                            | Fax:. (773) 286-38  | S6 Email: lopiririga^ea'pi.com  |
| D. Name of c                                     | ontact person: sheila goods                                | and melynda lopir   | <u>l</u>  |

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|--|---|---|
| E. Federal Employer Identification No. (if you have  | <u>one):</u>                                      | <u></u>                                 |
| F. Brief description of contract, transaction or other pertains. (Include project number and location of pro   |   | elow as the "Matter") to which this EDS |
| CLASS 6B INCENTIVE RENEWAL FOR THE PROPER  | IY LOCATED AT 2700 WEST                           | ROOSEVELT ROAD, CHICAGO                 |
| G. Which City agency or department is requesting th  | is EDS? department of                             |   |
| If the Matter is a contract being handled by the following:  | ne City's Department of Pro                       | ocurement Services, please complete the |
| Specification ft   | and Contract //                                   |   |
| Page 1 of 13   |   |   |
| SECTION II DISCLOSURE OF OWNERSHIP II  | NTERESTS  |   |
| <ul> <li>[ ] Publicly registered business corporation</li> <li>[ ] Privately held business corporation</li> <li>[ ] Sole proprietorship</li> <li>[ ] General partnership</li> <li>[ ] Limited partnership</li> </ul> | PARTY 1. Indicate the nat [*] [ ] [ ] [ ] [ ] (Is | ture of the Disclosing Party:           |
| Limited liability company Limited liability partnersh Not-for-profit corporation the not-for-profit corporation also a 501(c)(3))?  [] Yes  [] No Other (please specify)   | nip Joint venture                                 |   |
| 2. For legal entities, the state (or foreign country   | v) of incorporation or organi                     | zation, if applicable:                  |
| ILLINOIS   |   |   |

3. For legal entities not organized in the State of lllinois: Has the organization registered to do business in the State

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|---------------------------------|--------|---------|
| ofIllinois as a foreign entity? |        |         |
| [] Yes                          | [ ] No | [*  N/A |

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

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

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

#### Name Title

SHEILA GOODE MANAGER MELYNDA LOPIN 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% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

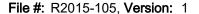
Page 2 of 13

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 | S             | Percentage Interest in the Disclosing Party |
|--------------------|------------------|---------------|---|
| SHEILA LOPIN-GOODE | 4001 W. DEVON    | , CHICAGO 50% |   |
| MELYNDA LOPIN      | 4001 W. DEVON    | , CHICAGO 50% |   |

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

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



[] Yes [x] No

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

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

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

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

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

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

Relationship to Disclosing Party Fees (indicate whether (subcontractor, attorney, lobbyist, etc.) paid or estime "hourly rate"

ndicate whether

paid or estimated.) NOTE:

"hourly rate" or "t.b.d." is

not an acceptable response.

(Add sheets if necessary)

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

SECTION V CERTIFICATIONS

#### A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

[] Yes [] No

#### B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, 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 dentified in Section II.B.l. of this EDS:
  - a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
  - b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
  - c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with

committing any of the offenses set forth in clause B.2.b. of this Section V;

- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 3. The certifications in subparts 3, 4 and 5 concern:
- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

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

- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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

8. To the best ofthe Disclosing Party's knowledge after reasonable inquiry, the following is a complete list ofall 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 ofall gifts that the Disclosing P.arty 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.

NONE ....

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|---|
|   |
|   |
| C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION   |
| 1. The Disclosing Party certifies that the Disclosing Party (check one)   |
| 1. [] is [x] is not   |
| a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.  |
| 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:   |
| "We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City." |
| If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):  |
| Page 7 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.   |
| D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS  |
| Any words or terms that arc defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.   |
| <ol> <li>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?</li> <li>Yes</li> <li>Yes</li> </ol>  |
| 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   |

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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.

| File #: R2015-105                             | , Version: 1   |  |  |  |
|---|--|--|--|--|
| Does the Matter involve a City Property Sale? |  |  |  |  |
| [] Yes  | F  No  |  |  |  |
| •   | cked "Yes" to Item D.l., provide the na<br>such interest and identify the nature of  | ames and business addresses of the City officials or of such interest:   |  |  |
| Name  | Business Address   | Nature of Interest   |  |  |
|   |  |  |  |  |
| 4. The Disclos<br>City official or em         | -  | ohibited financial interest in the Matter will be acquired by any  |  |  |
| E. CERTIFICATION                              | ON REGARDING SLAVERY ERA I   | BUSINESS   |  |  |
|   | his EDS all information required by pa   | g Party checks 2., the Disclosing Party must disclose below or in aragraph 2. Failure to Page 8 of 13  |  |  |
|   |  |  |  |  |
| comply with these<br>Matter voidable b        | •  | ny contract entered into with the City in connection with the  |  |  |
| the Disclosing Par<br>slaveholder insura      | rty and any and all predecessor entities<br>ance policies during the slavery era (in | g Party has searched any and all records of s regarding records of investments or profits from slavery or acluding insurance policies issued to slaveholders that heir slaves), and the Disclosing Party has found no such |  |  |
|   |  | conducting the search in step 1 above, the ofits from slavery or slaveholder insurance policies. The   |  |  |

## SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

and all slaves or slaveholders described in those records:

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.

Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any

| File #: R2015-1 | 05, Version: 1   |
|-----------------|--|
| A. CERTIFICA    | ATION REGARDING LOBBYING   |
|                 | ow the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who bying 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.l. 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 ofCongress, or an employee ofa 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.l. 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.l. 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 P | arty 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

| File #                               | File #: R2015-105, <b>Version:</b> 1  |  |  |  |  |  |
|--------------------------------------|---|--|--|--|--|--|
| regulations? (See 41 CFR Part 60-2.) |   |  |  |  |  |  |
| [                                    | [] No   |  |  |  |  |  |
| 2.                                   | ave you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements? |  |  |  |  |  |
| [                                    |   |  |  |  |  |  |
| 3.                                   | ave you participated in any previous contracts or subcontracts subject to the equal opportunity   |  |  |  |  |  |
| claus                                |   |  |  |  |  |  |
| [J                                   | [JNo  |  |  |  |  |  |

Tf 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.orR/Ethics <a href="http://www.cityofchicago.orR/Ethics">http://www.cityofchicago.orR/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N..

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

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

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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.l. 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 tlie 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 their subcontractors to use, any facility listed by the U.S. E.P.A. On the federal Excluded Parties Cist System

  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 thosein F.l. 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 thatthe 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.l., 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.

RIEGER MANAGEMENT, IXC
(Print of type name; of^Disclosing Party)

SHEILA COODE
(Print or type name of person signing)

MANAGER
(Print or type title of person signing)

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|---|-----------------------|
| Signed and sworn lo before me on (date) | $\sim X^i(\$QiS\sim.$ |
| Commission expires;                     | ■ •**•> <b>√</b> >))  |

# 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 ofthe 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 U.B. La., ifthe 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 linancial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

| [] Yes | [x] No |
|--------|--------|
| LJ     | L J    |

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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|---------|-----------|------------|---|

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# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| any | y legal entity which has only an ind  | lirect ownership inter | est in the Applicant.  |                |
|-----|---|------------------------|--|----------------|
| 1.  | <u>*</u>  |                        | Applicant or any Owner identified as 2-92-416 of the Municipal Code?     | a building     |
| •   | { ]Yes IV]No  |                        |  |                |
| 2.  | 11 0  |                        | any exchange, is any officer or disblem landlord pursuant to Section 2-9 |                |
|     | [] Yes  | [X]N6                  | [] Not Applicable  |                |
| 3.  | If yes to (1) or (2) above, please identified as a building code scoff which the pertinent code violation | flaw or problem land   | ne of the person or legal entity lord and the addressof the building or  | r buildings to |
|     | FILLING OUT THIS APPENDIX   | X B CONSTITUTES        | ACKNOWLEDGMENT AND   |                |

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

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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/ ifapplicable:  |
| LOPIW ROOSEVELT, 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:   |
| 3. [ j a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity ih  |
| which the Disclosing Party holds a right of control: .,,   |
| B, Business address of the Disclosing Party:  4001 WEST DEVON > SVZTS 404  |
| CHICAGO, IL 6064,6"  |
| C. Telephone: f <sup>773</sup> * 286-3300 Fax: <sup>(773</sup> ' 286-3856£^- a^s:^i.6p4n*5i^er<^6icom-  D. Name of contact person: sheila gqode and melynda lopin                                    |
| E. Federal Employer Identification No. (if you have one):  |
| F. Brief description of contract, transaction or other undertaking preferred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable): |
| CLASS 6B INCENTIVE RENEWAL FOR THE PROPERTY LOCATED AT 2700 WEST ROOSEVELT ROAD, CHICAGO   |
| G. Which City-agency or department is requesting this EDS? department of planning amp development  |

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|--|--|---|
| If the Matter is following:  | a contract being handled by th   | ne City's Department of Procurement Services, please complete the |
| Specification #  |  | and Contract #.   |
| Page 1 of 13   |  |   |
| SECTION II DISC  | CLOSURE OF OWNERSHIP II  | NTERESTS  |
| A. NATURE OF TH  | IE DISCLOSING PARTY  |   |
| partnership ] Limited [*] Limited liability of [ ] Limited liability partnership [ ] Joint venture [ ] Not-for-profit corp   | partnership ] Trust company artnership poration corporation also a 501(c)(3))? | held business corporation . ] Sole proprietorship ] General       |
| 2. For legal entit   | ies, the state (or foreign country   | v) of incorporation or organization, ifapplicable:                |
| 3. For legal entitions as a factor of Illinois as a factor of the state of the stat | •  | Illinois: Has the organization registered to do business in the   |
| []Yes  | []No ' [ijN/A  |   |
| B. IF THE DISCLOS  | SING PARTY IS A LEGAL EN   | TITY:   |
| 1 List below the   | a full names and titles of all avec  | outive officers and all directors of the entity NOTE: For not for |

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

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|-------------------------|-------------|--|--|
| RIEGER MANAGEMENT,      | LLC 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% 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 enlity. 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

JULIUS AND JANET LLC 4001 W. DEVON, CHICAGO 100%

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

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

[] Yes [x] 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.

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

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

### Page 3 of 13

| Name (indicate whet      | ther | Business | Relationship | to Disclosing Party | Fees (inc | dicate whether | er                        |
|--------------------------|------|----------|--------------|---------------------|-----------|----------------|---------------------------|
| retained or anticipate   | ed   | Address  | (subcontract | • • •               |           | -              | nated.) NOTE:             |
| to be retained)          |      |          | lobbyis      | st, etc.)           |           | •              | " or "t.b.d." is          |
|                          |      |          |              |                     |           | no             | t an acceptable response. |
| MUCH SHELIST (ESTIMATED) | 191  | N. WACKE | R, #1800,    | CHICAGO IL 606      | 06        | ATTORNEY       | , \$5,000                 |
|                          |      |          |              |                     |           |                |                           |

(Add sheets if necessary)

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

### **SECTION V - CERTIFICATIONS**

#### A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

[]Yes []No

#### B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), ifthe 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 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 Party is a legal entity, all of those persons or entities dentified in Section II.B.l. of this EDS:
  - a. arc 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.

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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 cither 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 ofthe 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;
- 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 ofthe 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.

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|---------|------|-----|------|----------|---|

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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Jf 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 ofall 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 [x] is not

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

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

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

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| If the Disclosing Parly 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 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 [Xj 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 puichase 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 Cily Property Sale?   |
| [] Yes p) No  |
| 3. If you checked "Yes" to Item D.L, provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:   |

Name Business Address Nature of Interest

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

# E. CERTIFICA TION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Parly 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 tlie City.

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

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

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

#### A. CERTIFICATION REGARDING LOBBYING

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 Parly 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.l. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee ofany agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue,

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|--|
| File #: R2015-105, Version: 1  renew, amend, or modify any federally funded contracl, grant, loan, or cooperative agreement.  Page 9 of 13   |
| 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.l. 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.l. 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.) [JYes [JNo   |
| 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 , [JNo  |
| 3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?  |
| [ J Yes [ J No   |
| Tf 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 contractor 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.cityofchicagQ.org/Ethics <a href="http://www.cityofchicagQ.org/Ethics">http://www.cityofchicagQ.org/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N,

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all ofthe 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 lax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated £n tides delinquent in paying any fine, fee, tax or other charge-

owed j<sub>0</sub> 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, die Disclosing Party and its Affiliated Entities will hot use, nor permit their subcontractors to usc> 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 Part/will obtain from any coritractors/subebhtractors hired or to

form and substance to those in F.l. 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 lhat the Disclosing Party has reason to believe has not pf o^i^ed 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**

LOPIN ROOSEVELT, LLC

^^\*M*^(^*ip* 

Commission expires:

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

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" Notary Publij ; $J \pounds^{^{\wedge}}$ i

# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

#### FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 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 ofthe 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 ofthe 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 limited partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

[ ]Yes [X] No

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

# CITYOFCHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

|   | BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION  |        |                     |  |
|---|--|--------|---------------------|--|
| This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent (an "Owner"). It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant; |  |        |                     |  |
| 1.  | . Pursuant to Municipal Code Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code?   |        |                     |  |
|   | (jYes [/JNo  |        |                     |  |
| 2. If the Applicant is a legal entity publicly tradedon any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 ofthe Municipal Code?   |  |        |                     |  |
|   | I]Yes  | tX] No | [] Not Applicable   |  |
| 3.  | 3. If yes to (1) or (2) above, please identify below the name of the person or legal entity identified as a building code scofflaw or problem landlord and the address of the building or buildings to which the pertinent code violations apply.  FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATIONS MADE IN THIS APPENDIX B ARE SUBJECT TO THE CERTIFICATION MADE UNDER |        |                     |  |
|   | PENALTY OF PERJURY ON PAGE 12 OF THE ASSOCIATED EDS.  CITY OF CHICAGO ECONOMIC DISCLOSURE  |        |                     |  |
|   |  | STAT   | EMENT AND AFFIDAVIT |  |
| SECTION I GENERAL INFORMATION   |  |        |                     |  |
| A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:  |  |        |                     |  |
| ,   | JULIUS ANDi'JANET LLC  |        |                     |  |
| Check ONE of the following three boxes:   |  |        |                     |  |
| fiidicate whether the Disclosing Party submitting this EDS is:  1. [] the: Applicant OR   |  |        |                     |  |

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|---|---------------------------------------|-----------------------------------|----------------------------|------------------------|
| 2. [jg a legal entity holding a direct or indire the Disclosing Party holds an interest: **  OR   | *** koossvelt, llc                    |                                   |                            |                        |
| 3. [] a legal entity with a right of control (see which the Disclosing Party holds a right of co  | · · · · · · · · · · · · · · · · · · · | tate the legal name               | ofthe entity i<br><u>■</u> | <u>n</u>               |
| B. Business address of the Disclosing Party:  | *ooi west devon, sı<br>CHICAGO, IL    |                                   |                            | ,;.                    |
| C. Telephone: (773) 286-3300 <a href="http://iopinriegeraaoi.com">http://iopinriegeraaoi.com</a>  | Fax: (773)                            | 286-3056                          | Email:                     | iopinriegeraaoi.com    |
| D. Name of contact person: sheila goods ano m   | elynda lopin                          |                                   |                            |                        |
| E. Federal Employer Identification No. (if you h  | ave one): ^                           |                                   |                            |                        |
| F. Brief description of contract, transaction or pertains. (Include project number and location o | •                                     | •                                 | as the "Matte              | er") to which this EDS |
| CLASS 6B INCENTIVE RENEWAL POR THE PROPERTY   | LOCATED AT 2700 WES                   | ST ROOSEVELT ROAD,                | CHICAGO                    |                        |
| G. Which City agency or department is requesting  | ng this EDS? depar                    | tment of wjuwimq                  | wm develop                 | <u>ment</u>            |
| If the Matter is a contract being handled by following:   | y the City's Depar                    | tment of Procurer                 | ment Services              | s, please complete the |
| Specification tt  | and Contr                             | ract it                           | ,                          | ;                      |
| Page 1 of 13  |                                       |                                   |                            |                        |
| SECTION II DISCLOSURE OF OWNERSH  | IP INTERESTS                          |                                   |                            |                        |
| A. NATURE OF THE DISCLOSING PARTY   | 1. Indicate the                       |                                   |                            |                        |
| nature of the Disclosing Party:   | FX7 T : 4. 11.                        | 1.11.                             |                            |                        |
| Person Publicly registered business corporation   | = =                                   | bility company bility partnership |                            |                        |
| Privately held business corporation   | [ ] Joint ventur                      |                                   |                            |                        |
| Sole proprietorship   | [] Not-for-pro                        |                                   |                            |                        |
| General partnership   |                                       | profit corporation                | also a 501(c)(             | (3))?                  |
| Limited partnership   | [] Yes [] No                          |                                   |                            |                        |
| Trust   | [] Other (pleas                       | se specify)                       |                            |                        |

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|--------------------------------|-------|---|
|--------------------------------|-------|---|

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

ILLINOIS

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

[] Yes [] No [\*] N/A

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

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

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

#### Name Title

RIEGER MANAGEMENT, LLC 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% 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

J. LOPIN TRUST 4001 W. Devon, Chicago 50%
LOPIN INVESTMENT GROUP, LLC 4001 W. Devon, Chicago 50%

| <b>File #</b> : R2015-105, <b>Version</b> : <i>1</i> | File | #: | R2015 | 5-105. | Version: | 1 |
|--|------|----|-------|--------|----------|---|
|--|------|----|-------|--------|----------|---|

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

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

[] Yes [x] No

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

#### 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 ofthe relalionship, 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)

Relationship to Disclosing Party

(subcontractor, attorney, paid or estimated lobbyist, etc.)

Relationship to Disclosing Party

(subcontractor, attorney, paid or estimated lobbyist, etc.)

paid or estimated.) NOTE:"hourly rate" or "t.b.d." isnot an acceptable response.

. (Add sheets if necessary)

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|---------|--------|------|----------|---|
|         |        |      |          |   |

[XJ Check here ifthe 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 ofthe Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

[ J Yes [x] No [ J 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.l. of this EDS:
  - a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
  - b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records;

making false statements; or receiving stolen property;

- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- c. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 3. The certifications in subparts 3, 4 and 5 concern:
- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

#### 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 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 hy 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 U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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

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, all 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 ofall gifts that the Disclosing Party has given or caused to be given, at any time during the 1 2-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

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|------------------------------|--|
| none, indicate with "N/A" or | "none"). As to any gift listed below, please also list the name of the C |

# C CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 1. [] is •. [x] is not
- a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
  - 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

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

If the Disclosing Parly 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):

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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 R No

NOTE: If you checked "Yes" to Item D.l., proceed to Items D.2. and D.3. If you checked "No" to Item D.l., proceed to PartE.

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

ty recipient.

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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 [X] 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.

#### 13. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Parly must disclose below or iii 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.

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

# SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to

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|--|
| 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 ofthe Disclosing Party with respect to the Matter: (Add sheets if necessary):  |
| (If no explanation appears or begins on the lines above, or ifthe letters "NA" or ifthe 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.L 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 ofCongress, or an employee of a member ofCongress, in connection with the award of any federally funded contract, making any tederally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.  Page 9 of 13 |
| 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.l. and A.2. above.   |
| 4. The Disclosing Parly 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 lo paragraphs A.l. 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:

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|---|-----|----|--------|------|----------|---|
|---|-----|----|--------|------|----------|---|

| 1    | . Have   | you  | developed | and    | do  | you | have | on | file | affirmative | action | programs | pursuant | to | applicable | federal |
|------|----------|------|-----------|--------|-----|-----|------|----|------|-------------|--------|----------|----------|----|------------|---------|
| regu | lations? | (Sec | 41 CFR Pa | rt 60- | 2.) |     |      |    |      |             |        |          |          |    |            |         |

[JYes [JNo

- 2. Have you filed with the Joint Reporting Committee, this 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

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.cityofchicaKO.orK/Ethics <a href="http://www.cityofchicaKO.orK/Ethics">http://www.cityofchicaKO.orK/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N.

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

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

of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the Cily 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.l. 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, oil water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disposing 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

eontractors^ubcOntractors hiredtor^W in conrteetjon ^th the'MattW-.^^cationii-equal in form and substance to those in F.l. and F.2. above and will not, without the prior written consent of the City, use any such conh-actor/sub contractor

Disclosing Party has reason to believe has not provided oi cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.l., 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 (ifapplicable) or. 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.

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|--|
| (Print or typo title of person signing) *  |
| Signed and sworn lo before mc on (date)  at cook County, iw^ors  CATHERINE L LEEPCR 5  NotaiyJPuh^VPL!^z - eyateor- itlinois |
| Page 12 of 13  |

# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

#### FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.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 | [x] No |
|--------|--------|
|--------|--------|

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

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# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| _  | •     | -   |        |               |      |                |
|----|-------|---|--------|---------------|------|----------------|
| 1. |       | unicipal Code Section oblem landlord pursuan      | •      | 1.            |      | ding code      |
|    | []Yes |   | DC] No |               |      |                |
| 2. |       | nt is a legal entity pul<br>a building code scoff | •      | •             |      |                |
|    | []Yes |   | [X]Ndi | [] Not Applic | able |                |
| 3. | •     | (2) above, please identi                          | •      | • •           | •    | on buildings t |

identified as a building code scofflaw or problem landlord and the address of the building or buildings to which the pertinent code violations apply.

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

# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

| SECTION I GENERAL   | INFORMATION  |  |  |
|---|--|--|--|
| A. Legal name of the Disc   | closing Party (submitting this EDS. I  | Include d/b/a/ ifapplicable:                         |  |
| JULIUS LOPIN REV  | OCABLE TRUST   |  |  |
| Check ONE of the following  | ng three boxes:  |  |  |
| <ol> <li>[] the Applicant         OR</li> <li>[3 a legal entity hold</li> <li>Applicant in which to OR</li> <li>[] a legal entity with</li> </ol> | losing Party submitting this EDS is:;  ling a direct or indirect interest in the the Disclosing Party holds an interest v.  the a right of control (see Section II.B. arty holds a right of control: . | e Applicant State the legal it: lopin roosevelt, llc | 3-23- <u>-</u> :                         |
| B, Business address of the  |  | von, suite 404 ^<br>O, IL 60646                      | <u>.,,,,,,,;,,i</u>                      |
| C. Telephone:,  | ax: _  | Email?-:   |  |
| D. Name of contact person   | : sheila goodf. and melynoa lqpim  |  |  |
| E. Federal Employer Ident   | cification No. (if you have one):  |  |  |
| pertains. (Include project n  | ntract, transaction or other undertaki<br>umber and location of property, if ap<br>WAL FOR THE PROPERTY LOCATED AT 27  | pplicable):  | , en |
| G. Which City agency or d   | department is requesting this EDS? de  | epartment of piling .and dev                         | veiopment                                |
| If the Matter is a contract following:  | et being handled by the City's Depart  | ment of Procurement Service                          | ces, please complete the                 |
| Specification #   | and Co   | ontract #,   | :  |

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

| ٨ | NIATI | IDE  | OE 7 | TIID | DICCI  | OCINIC | PARTY |
|---|-------|------|------|------|--------|--------|-------|
| Α | NAII  | JKE. |      | LHE. | 1018CI | OSINC  | PARIY |

| 1. Indicate the nature of the Disclosing Parly: |   |
|---|---|
| [ ] Person                                      | [] Limited liability company  |
| [ ] Publicly registered business corporation    | [] Limited liability partnership  |
| [ ] Privately held business corporation         | [] Joint venture  |
| [ ] Sole proprietorship                         | [] Not-for-profit corporation   |
| [] General partnership                          | (Is the not-for-profit corporation also a 501(c)(3))?   |
| [] Limited partnership                          | [] Yes [] No  |
| [*] Trust                                       | [] Other (please specify)   |
| ILLINOIS  | ery) of incorporation or organization, if applicable:  of Illinois: Has the organization registered to do business in the |

# 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

MELYNDA LOPIN - TRUSTEE
SHEILA GOODE 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 inlerest 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, stale "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

JANET LOPIN 4001 W. Devon, Chicago 100%

#### SECTION HI -- 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 fx] 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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|--|---------------------|---|--|--|
|  |                     | Page 3 of 13  |  |  |
| Name (indicate whether retained or anticipated to be retained) | Business<br>Address | Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)  | Fees (indicate whether  paid or estimated.) NOTE:  "hourly rate" or "t.b.d." is  not an acceptable response. |  |
| (Add sheets if necessary)                                      | 1                   |   |  |  |
| [x] Check here ifthe Disc                                      | closing Party       | y has not retained, nor expects to re                                       | etain, any such persons or entities. SECTION V   |  |
| CERTIFICATIONS   |                     |   |  |  |
| A. COURT-ORDERED   | CHILD SUI           | PPORT COMPLIANCE  |  |  |
| -  |                     | 92-415, substantial owners of busin<br>I support obligations throughout the | ess entities that contract with the City must contract's term.   |  |
| • •  | •                   | ectly owns 10% or more of the Discois court of competent jurisdiction?      | losing Party been declared in arrearage on any   |  |
| [] Yes [x  | ] No                | [] No person directly or indirectly DiscIosingParty.                        | owns 10% or more of the  |  |
| If "Yes," has the, person compliance with that agree           |                     | a court-approved agreement for pay  | yment of all support owed and is the person in   |  |
| []Yes []   | No                  |   |  |  |
| B. FURTHER CERTIFI   | CATIONS             |   |  |  |

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

  NONE

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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.

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|----------------------------|----|---|

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 ofthe Disclosing Party's knowledge after reasonable inquiry, the following is a complete list ofall 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 Cily 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)
- 1. [] is [x] is not
- a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
  - 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

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

If the Disclosing Parly 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):

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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 Parly certified to the above statements.

# D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

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|---|---|--|--|--|
| defined in Chapter 2-156 o  | of the Municipal Code have the same meanings when   |  |  |  |
|   | unicipal Code: Does any official or employee of the City have a of any other person or entity in the Matter?  |  |  |  |
| " to Item D.l., proceed to I  | tems D.2. and D.3. If you checked "No" to Item D.1., proceed to   |  |  |  |
| ial interest in his or her ow<br>t (i) belongs to the City, or<br>c City (collectively, "Cily I | bidding, or otherwise permitted, no City elected official or on name or in the name of any other person or entity in the (ii) is sold for taxes or assessments, or (iii) is sold by virtue of Property Sale"). Compensation for property taken pursuant to the nicial interest within the meaning of this Part D.   |  |  |  |
| ty Property Sale?   |   |  |  |  |
| Fl No   |   |  |  |  |
| -   | ames and business addresses of the City officials or of such interest:  |  |  |  |
| Business Address  | Nature of Interest  |  |  |  |
| further certifies that no pr  | ohibited financial interest in the Matter will be acquired by any   |  |  |  |
| RDING SLAVERY ERA   | BUSINESS  |  |  |  |
| -   | g Party checks 2., the Disclosing Party must disclose below or in aragraph 2. Failure to  |  |  |  |
|   | defined in Chapter 2-156 of ection 2-156-110 of the Mur own name or in the name [*] No " to Item D.l., proceed to It to a process of competitive real interest in his or her own to the City, or ecity (collectively, "Cily Par does not constitute a final fity Property Sale?  Fl No to Item D.l., provide the nest and identify the nature of Business Address  further certifies that no process of the City of the nature of the collectively."  RDING SLAVERY ERA |  |  |  |

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

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

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

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

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

#### A. CERTIFICATION REGARDING LOBBYING

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

(If no explanation appears or begins on the lines above, or ifthe 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.l. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee ofany agency, as defined by applicable federal law, a member of Congress, an officer or employee ofCongress. or an employee ofa member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering inlo 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.l. and A.2. above.
- 4. The Disclosing Party certifies lhat 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.l. through A.4. above from all subcontractors before it awards any subcontract and the

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|---|--|
| Disclosing Party must maintain certifications promptly available    | all such subcontractors' certifications for the duration of the Matter and must make such e to the City upon request.  |
| B. CERTIFICATION REGARI   | DING EQUAL EMPLOYMENT OPPORTUNITY  |
| · ·   | I, federal regulations require the Applicant and all proposed subcontractors to submit their bids or in writing at the outset of negotiations.                                   |
| Is the Disclosing Party the Appl                                    | licant?  |
| [] Yes []   | ] No   |
| If "Yes," answer the three quest                                    | tions below:   |
| 1. Have you developed ar regulations? (See 41 CFR Part 6 [JYes [JNo | nd do you have on file affirmative action programs pursuant to applicable federal 60-2.)   |
| Programs, or the Equal Employ                                       | Joint Reporting Committee, the Director of the Office of Federal Contract Compliance ment Opportunity Commission all reports due under the applicable filing requirements?  ] No |
| 3. Have you participated in clause?                                 | n any previous contracts or subcontracts subject to the equal opportunity  |
|   | J No   |
| Tf you checked "No" to question                                     | on 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.orR/Ethics <a href="http://www.cityofchicago.orR/Ethics">http://www.cityofchicago.orR/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any infoimation 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 ofthe 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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- E.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 nof limited to. all-water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 Tf the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not; use, nor permit their subcontractors to use. anyfaciJityHst^by^the-yiSi E.P.A. on the federal Excluded Parties List System ("EPjLS") maintained by the U. S. General Services Administration.
- F.3 if the Disclosing Party is the Applicant, the Disclosing Party will obtain from any

eontractoiis/suhcoh'trac to be hired in. connection with the Matter certifications equal in ibrm and substance to those in F. 1. and F.2. above uud 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.L, 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 dale furnished to the City.

```
JULIUS LOPIN REVOCABLE TRUST
(P^
SHEIM GOOOE
(Print or type name of person signing)
TRUSTEE
(Print or type title of person signing)
Signed and swom to before mc on (date) ^{/f} ^) ^7J)(
                         nty. ^"JMpis (state), ' " *'~&<sub>1f</sub>£j<
Notary Public! C/VTHGRIHclLEHPijR
                    County. ^"JMpis
     ŬMhA^(^i7)^
                                                 S MOTMfPUBiciC -*lMfc;<.<^*«J•
                                                   , 'k^s^^vig^w**^^
Commission expires:
                    ' // J
                                                                i OFHCWLSGAI
                                                 Notary Public
                                                 Page 12 of 13
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# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

# FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date diis 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

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|---------|------------|----------|---|
|---------|------------|----------|---|

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 IIB.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 [x] No

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

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# CITYOFCHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

| 1. | Pursuant to MunicipalCbde Section 2-154-010, is the Applicant or any Owner identified as a building code |
|----|--|
|    | scofflaw or problem landlord pursuant to Section 2-92-4r6 of the Municipal Code?                         |

[ j Yes |>(] No

2. If the Applicantis a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code?

[] Yes [X] No [] Not Applicable

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3. If yes to (1) or (2) above, please identify below the name of the person or legal entity identified as a building code scofflaw or problem landlord and the address of the building or buildings to which the pertinent code violations apply.

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

# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

#### **SECTION I - GENERAL INFORMATION**

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

LOPIN INVESTMENT GROUP, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

- 1. [j the Applicant
  - OR
- 2. [Jj a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the
- 2. Applicant ih which the Disclosing Party holds an interest: lopin rqosbvelt, llc OR
- 3. [] a legal entity wiUi aright 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. Busihess address of the Disclosing Party: :\*mj!^jTM^J&TM:\*?\*- ....

  CHICAGO, IL 60646
- C. Telephone: (773) 286-3300 p<sub>ax;</sub> t??3) 286-3856 Email: lopinriegeroaoi .com
- D. Name of contact person: sheila gqode and melvnpa lopin
- 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):

| File #: R2015-105, Vers   | File #: R2015-105, Version: 1 |   |  |  |  |
|---|-------------------------------|---|--|--|--|
| CLASS 6B INCENTIVE  | RENEWAL FOR THE PRO           | OPERTY LOCATED AT 2700 WEST ROOSEVELT ROAD, CHICAGO                                 |  |  |  |
| G. Which City agency  | or department is request      | ing this l-DS? department of planning and development                               |  |  |  |
| If the Matter is a confollowing:  | ontract being handled b       | by the City's Department of Procurement Services, please complete the               |  |  |  |
| Specification #   |                               | and Contract # '  |  |  |  |
| Page 1 of 13  |                               |   |  |  |  |
| SECTION II - DISCLO   | SURE OF OWNERSH               | IP INTERESTS  |  |  |  |
| A. NATU<br>Person<br>Publicly registered by<br>Privately held busin<br>Sole proprietorship<br>General partnership<br>Limited partnership<br>Trust | ousiness corporation          | ING PARTY 1. Indicate the nature of the Disclosing Party:  [X]  []  []  []  []  (Is |  |  |  |
| Limited liability compa<br>Not-for-profit corporate<br>the not-for-profit corpor<br>[] Yes<br>Other (please specify)                              | on                            | nership Joint venture   |  |  |  |
| 2. For legal entities   | , the state (or foreign co    | untry) of incorporation or organization, if applicable:                             |  |  |  |
| ILLINOIS  |                               |   |  |  |  |
| 3. For legal entities State of llinois as a fore  | ~                             | ate of llinois: Has the organization registered to do business in the               |  |  |  |
| [] Yes  | [ ] No                        | H N/A   |  |  |  |
| B. IF THE DISCLOSIN   | IG PARTY IS A LEGA            | L 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

REIGER MANAGEMENT, LLC 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% 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 |
|-----------|--------------------|---|
| MLE TRUST | 4001 W: DEVON, CH  | ICAGO 50%                                   |
| SLG TRUST | 4001 W- DEVON, CHI | ICAGO 50%                                   |

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

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

[] Yes [x] 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 ofthe relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

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

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

# Page 3 of 13

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

(Add sheets if necessary)

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

# **SECTION V - CERTIFICATIONS**

#### A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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|-------------------------------|---------------------------------------|--|--|--|
| , [ ] Yes                     | [x] No                                | [ J No person directly or indirectly owns 10% or more ofthe Disclosing Party.      |  |  |
|                               | e person entered ir h that agreement? | nto a court-approved agreement for payment ofall support owed and is the person in |  |  |
| [ J Yes                       | [ ] No                                |  |  |  |
| D EUDTHED                     | CEDTIEICATION                         |  |  |  |

# 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 1 applies to the Applicant, the permanent compliance timeframe in Article 1 supersedes some fiveyear compliance timeframes in certifications 2 and 3 below

#### Page 4 of 13

- The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.l. 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;
  - have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
  - have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations,

instituted by the City or by the federal government, any state, or any other unit of local government.

- 3. The certifications in subparts 3, 4 and 5 concern:
- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

# Page 5 of 13

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of 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 ofthe 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 ofthe following lists maintained by the Office of Foreign Assets Control of 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:

  NONE

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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 none, indicate with "N/A" or "none").

NONE

9. To the best ofthe Disclosing Party's knowledge after reasonable inquiry, the following is a complete list ofall 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)
- 1. [] is [x] is not

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|---|
| 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):

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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 lhc 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: Docs any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter? [JYes p) No

NOTE: If you checked "Yes" to Item D.l., proceed to Items D.2. and D.3. If you checked "No" to Item D.l., proceed to Part E.

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 p] 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:

**Business Address** Nature of Interest Name

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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 eilher 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.

- \_x I. 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 Parly 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 die 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.l. 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 office or employee ofCongress, or an employee of a member ofCongress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.  Page 9 of 13 |
| 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which ther occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.l. an 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.l. 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? [JYes [JNo  |
| 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 Cily 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.orR/Ethics <a href="http://www.cityofchicago.orR/Ethics">http://www.cityofchicago.orR/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection wilh 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 Infonnation 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.

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The Disclosing Parly represents and warrants that:

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- F. l. The Disclosing Parly is not delinquent in the payment of any lax administered by the Illinois Department of Revenue, nor are the Disclosing Party of its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to lhe Cily. 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 noi 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 (hat the Disclosing Party has reason to believe has not provided or cannol provide truthful certifications.

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

#### **CERTIFICATION**

Unffer penalty of p^ (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 dale furnished to the City. "\*

top in investment group, llc ".... (Print or type name of Disclosing Party)

f4yKGEft y

((SiguNierc)

.RIEGgR MAf^Ko&lKNT/}

SHEILA GOODE

(Print or type name of person signing)

MANAGER, RIEGER, MANAGEMENT LLC (Print or type title of person signing)

Signed and sworn lo before mc on (date) al cook County, ilmnois

Commission expires;

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

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

| [x] No |
|--------|
| Σ      |

If yes, please identify below (1) die name and title of such person, (2) the name ofthe 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**

|                             | APPEND   | IX B   |              |
|-----------------------------|--|--|--------------|
| BUILDING CODE SO            | COFFLAW/PROBLEM LANDLO   | ORD CERTIFICATION  |              |
| nership interest in the App |  | cant, and (b) any legal entity which has a direction of the completed by any legation icant: |              |
| <del>-</del>                | Code Section 2-154-010, is the A<br>andlord pursuant to Section 2-92rd | Applicant or any Owner identified as a building 416 of the Municipal Code?                   | g code       |
| [] Yes                      | DC] No   |  |              |
|                             |  | ny exchange, is any officer or director of the andlord pursuant to Section 2-92-416 ofth     |              |
| [] Yes                      | FX1N6  | [] Not Applicable  |              |
|                             | ng code scofflaw or problem la   | ow the name of the person or legal entity andlord and the address of the building or         | buildings to |

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

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|---|-----|----|-----|------|------|---|-------|------|---|

|  | STATEMENT AND AFFIDAVIT  |                   |
|--|--|-------------------|
| SECTION I GENERAL INFORM ATION   | \$: <b>≡</b> ,   |                   |
| A. Legal name of the Disclosing Party submitti   | ng.this EDS. Include d/b/a/ if applicable:   |                   |
| MLB TRUST  |  |                   |
| Check ONE of the following three boxes:  |  |                   |
| in which the Disclosing Party holds an in OR   | rect interest in the Applicant. State the legal name of the atterest: -^> &IN ROP. SBV «LT', ' ee Section II.B.l.) State the legal name of the entity in | e AppUcant        |
| Cv Telephone: (773) 286_3300 Fax: (  | (t"> 266-3856 Email: con>  |                   |
| D. Name of contact person: melynda lopin   |  |                   |
| E. Federal-Employer Identification No. (if you   | have one):   | <u>=</u>          |
| F. Brief description of contract, transaction or pertains. (Include project number and location of | other undertaking (referred to below as the "Matter") of propertyi if applicable):   | to which this EDS |
| CLASS 6B INCENTIVE RENEWAL FOR THE PR  | ROPERTY .LOCATED AT 2700 WEST ROOS2EVELT;,RO^,   | CHICAGO           |

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G. Which City agency or department is requesting this EDS?  $^{\circ eparTMe}$ ?t. PI.  $^{PLfINNING\ mo}$  development

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|--|---|---|--|
| If the Matter is a confollowing:   | ntract being handled  | by the City's Department of Procurement S   | services, please complete the  |
| Specification #  | <u>.</u> .  | and Contract # '  | <u></u>  |
| Page 1 of 13   |   |   |  |
| SECTION II - DISCLO  | SURE OF OWNERS  | SHIP INTERESTS  |  |
| A. NATURE OF THE D   | DISCLOSING PART   | Y   |  |
| 1. Indicate the natural [1] Person [2] Publicly registered by [2] Privately held busines [2] Sole proprietorship [2] General partnership [2] Limited partnership [3] Trust | usiness corporation   | Party:  [ ] Limited liability company [ ] Limited liability partnership [ ] Joint venture [ ] Not-for-profit corporation (Is the not-for-profit corporation also a 5 [ ] Yes [ ] No [ ] Other (please specify)  | 501(c)(3))?  |
| 2. For legal entities, ILLINOIS  | the state (or foreign   | country) of incorporation or organization, if app   | plicable:  |
| 3. For legal entities state of llinois as a forei  | •   | State of lllinois: Has the organization registered  | to do business in the  |
| [ ] Yes  | [ ] No  | ft N/A  |  |
| B. IF THE DISCLOSING   | G PARTY IS A LEG  | GAL ENTITY:   |  |
| corporations, also list be members." For trusts, est If the entity is a gener venture, list below the na   | low all members, if a<br>tates or other similar<br>ral partnership, limite<br>ame and title of each | all executive officers and all directors of the entany, which are legal entities. If there are no such entities, list below the legal titleholder(s). ed partnership, limited liability company, limite general partner, managing member, manager of the Disclosing Party. NOTE: Each legal entity list | n members, write "no<br>d liability partnership or joint<br>r any other person or entity |
| Name Title   |   |   |  |
| MELYNDA LOPIN T  | RUSTEE SHEILA GOO   | DE TRUSTEE  |  |

| File | #- | R201 | 5-105 | Version: | 1 |
|------|----|------|-------|----------|---|
|      |    |      |       |          |   |

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

MELYNDA LOPIN 4001 W. Devon, Chicago 100%

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

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

[] Yes pf] 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

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| person or entity any paradministrative action.  | rt of whose du                | ties as an employee of another inclu                                      | des undertaking to influence any legislative or                                      |  |  |
| •   | •                             | whether a disclosure is required und is required or make the disclosure.  | der this Section, the Disclosing Party must  |  |  |
|   |                               | Page 3 of 13  |  |  |  |
| Name (indicate whether                          | er Business.                  | Relationship to Disclosing Party  | Fees (indicate whether   |  |  |
| 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 necessar                         |                               | Party has not retained nor exn  | ects to retain, any such persons or entities.  |  |  |
| SECTION V - CERTII                              | _                             | - m.y   | colo to round, and but possess or onlines.   |  |  |
|   |                               |   |  |  |  |
| A. COURT-ORDERE                                 | D CHILD SUI                   | PPORT COMPLIANCE  |  |  |  |
| •   |                               | 92-415, substantial owners of busine support obligations throughout the   | ess entities that contract with the City must contract's term.                       |  |  |
| * *   | •                             | ectly owns 10% or more of the Discousies court of competent jurisdiction? | losing Party been declared in arrearage on any                                       |  |  |
| []Yes   | [x] No                        | [] No person directly or indirectly Disclosing Party.                     | owns 10% or more ofthe   |  |  |
| If "Yes," has the person compliance with that a |                               | a court-approved agreement for pay  | ment of all support owed and is the person in  |  |  |
| [] 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), ifthe 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.l. 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 ofthe 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 abusiness 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 ofthe 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:

| NONE   |
|--|
|  |
|  |
|  |
| 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 ofthe Disclosing Partyls 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, ofthe. 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 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 ihc City recipient. |
| C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION  |
| 1. The Disclosing Party certifies that the Disclosing Party (check one)  |
| 1. [] is 03 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 CUy."   |

(attach additional pages if necessary): Office of the City Clerk

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

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|  |   |   |
|  |   |   |
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|  |   |   |
| ,  | he word "None," or no response applisclosing Party certified to the above   | pears on the lines above, it will be conclusively re statements.  |
| D. CERTIFICATION   | N REGARDING INTEREST IN CI  | TY BUSINESS   |
| Any words or terms used in this PartD.                                 | that are defined in Chapter 2-156 of  | f the Municipal Code have the same meanings when  |
|  |   | nicipal Code: Docs any official or employee of the Cily have a of any other person or entity in the Matter?   |
| NOTE: If you check Part E.   | ted "Yes" to Item D.l., proceed to It   | ems D.2. and D.3. If you checked "No" to Item D.1., proceed to  |
| employee shall have<br>purchase of any prop<br>legal process at the st | a financial interest in his or her own<br>erty that (i) belongs to the City, or (<br>uit ofthe Cily (collectively, "City Pr | bidding, or otherwise permitted, no City elected official or name or in the name of any other person or entity in the (ii) is sold for taxes or assessments, or (iii) is sold by virtue of coperty Sale"). Compensation for property taken pursuant to the cial interest within the meaning of this Part D. |
| Does the Matter invo   | lve a City Property Sale?   |   |
| []Yes  | pj No   |   |
|  | d "Yes" to Item D. 1., provide the n<br>ch interest and identify the nature o   | ames and business addresses of the City officials or fsuch interest:  |
| Name   | Business Address  | Nature of Interest  |
|  |   |   |
| 4. The Disclosing City official or emplo                               | · -   | shibited financial interest in the Matter will be acquired by any   |

#### 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.

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

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

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

#### A. CERTIFICATION REGARDING LOBBYING

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 ofthe Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or ifthe 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 Parly 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 ofany agency, as defined by applicable federal law, a member of Congress, an officer or employee ofCongress, or an employee ofa 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 caus any event that materially affects the accuracy of the statements and information set forth in paragraphs A.l. and 2. above.   |
| 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal evenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 at 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 bstance to paragraphs A.l. through A.4. above from all subcontractors before it awards any subcontract and the isclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such retifications promptly available to the City upon request. |
| CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY   |
| the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit e following information with their bids or in writing at the outset of negotiations.   |
| 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 federa gulations? (Sec 41 CFR Part 60-2.) [JYes []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?

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

opportunity clause?
[] Yes
[] No

[] Yes

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

[] No

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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 conlract 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.orR/Ethics <a href="http://www.cityofchicago.orR/Ethics">http://www.cityofchicago.orR/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N.;

Sedgwick St., Suite 500, Chicago, IL 60610, (31.2) 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 ofthe infonnation 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 infonnation 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. V. The Disclosing Party js not delinquent in the; payment of any tax administered by the Illinois Department of Revemie, nor arc the Disclosing'Pdrty or its Affiliated F.ntitics delinquent hi.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 die 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 wilj not, without th^e 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 caiuiot 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.

MLB TRUST

(Sign here)

MELYNDA LOPIN

(Print or type name of t^closir^g Party) By:i. (Print or type name of person signing)

TRUSTEE/BENEFICIARY ... ..... (Print or type title of person signing)

Signed and sworn to before me on (date) % 1&0 I S

Notary Public. GfftClALSB^-. I

4  $^{\text{Muw}}$ -vytj $^{\text{J}}$ ;\* < at . CCOK County, "-i-ino-is " (state)  $\sim$ "

 $^{\wedge}UyWtf^{\wedge}$ .

Commission expires:

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# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

#### FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

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

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

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

. [] Yes [x] No

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

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

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

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| by an                | y legal entity which  | has only an indirect ownership in                      | nterest in the Applicant   |
| 1.                   |   |  | the Applicant or any Owner identified asa nt to Section 2-92-416 of the Municipal Code?  |
|                      | [] Yes  | DO No  |  |
| 2.                   |   | ed as a building code scofflaw                         | on any exchange, is any officer or director of the or problem landlord pursuant to Section 2-92-41                                     |
|                      | [] Yes  | [XI No   | f] Not Applicable  |
| 3.                   | identified as a b   |  | name of the person or legal entity<br>lem landlord and the address of the building o<br>ply.   |
|                      | AGREEMENT THE<br>AND MADE A PA<br>MADE IN THIS A  | HAT THIS APPENDIX B IS INC<br>ART OF, THE ASSOCIATED E | TES ACKNOWLEDGMENT AND CORPORATED BY REFERENCE INTO, CDS, AND THAT THE REPRESENTATIONS TO THE CERTIFICATION MADE UNDER ASSOCIATED EDS. |
|                      |   |  | IICAGO ECONOMIC DISCLOSURE<br>ATEMENT AND AFFIDAVIT  |
| SEC                  | ΓΙΟΝ Ι - GENERAL I  | NFORMATION   |  |
| A. Le                | gal name of the Disclo  | osing Party submitting this EDS. Inc                   | clude d/b/a/ if applicable:  |
| SL                   | G TRUST   |  |  |
| Chec                 | k ONE of the following  | ag three boxes:  |  |
| 1.<br>2.<br>2.<br>3. | [] the Applicant OR ''" [4 a legal entity holdi Applicant in which th OR [] a,legal entity with | a right of control (see Section ILB.                   | Applicant. State the legal name of the  LOPIW Roosevelt, llc , , , 5  1.) State the legal name of the entity in                        |
| В. <u>Ви</u>         | siness address ofthe D  |  | vom, suite 404  O, IL 60646;   |

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|   |   |   |                                    |  |
| C. Telephone: <773) <sup>2</sup>            | 86 <sup>113300</sup> , Fax: (?^) 206-38S6                       | Email: lo                                 | opinricgertsaoi.com                |  |
| D. Name of contact                          | person] sheilr gcope- " -                                       | <u>:</u>                                  |                                    |  |
| E. FederarErriploye                         | er Identification No. (if you hav                               | ve one):                                  | J';                                |  |
| •   | of contract, transaction or othe oject number and location of p | •   | as the "Matter") to which this EDS |  |
| CLASS 6B INCE                               | NTIVE RENEWAL FOR THE PRO                                       | PERTY LOCATED AT 27 00 WES                | T ROOSEVELT ROAD, CHICAGO          |  |
| G. Which City ages                          | ncy or department is requesting                                 | this EDS? dbpartmbht of plann             | ning ;and development              |  |
| If the Matter is a following:               | contract being handled by the G                                 | City's Department of Procureme            | ent Services, please complete the  |  |
| Specification tt                            | ,   | and Contract #                            |                                    |  |
|   |   |   |                                    |  |
| Page 1 of 13                                |   |   |                                    |  |
|   |   |   |                                    |  |
| SECTION II DIS                              | CLOSURE OF OWNERSHIP  | INTERESTS                                 |                                    |  |
| A. NATURE OF TH                             | HE DISCLOSING PARTY   |   |                                    |  |
| 1. Indicate the                             | nature of the Disclosing Party:                                 | [] Limited liability company              |                                    |  |
| [] Publicly registered                      | ed business corporation   | [] Limited liability partnership          | p                                  |  |
| [] Privately held bu                        | -   | [] Joint venture                          |                                    |  |
| [] Sole proprietorsh                        | -   | [] Not-for-profit corporation             |                                    |  |
| [] General partners                         | •   | (Is the not-for-profit corporation        | on also a 501 (c)(3))?             |  |
| [ ] Limited partners!<br>Trust              | nip   | [] Yes [] No<br>[] Other (please specify) |                                    |  |
|   |   |   |                                    |  |
| 2. For legal enti                           | ties, the state (or foreign count                               | ry) of incorporation or organiza          | tion, if applicable:               |  |
| ILLINOIS                                    |   |   |                                    |  |
| 3. For legal enti<br>State of Illinois as a | _   | ofIllinois: Has the organization 1        | registered to do business in the   |  |
| [] Yes                                      | [ ] No  | ft N/A                                    |                                    |  |

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|--|-----|------|--|
|--|-----|------|--|

#### 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

MELYNDA LOPIN TRUSTEE SHEILA GOODE 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,

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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

SHEILA GOODE 4001 W. Devon, Chicago 100%

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

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

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

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

#### Page 3 of 13

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

Relationship to Disclosing Party Fees (indicate whether paid or estimated.) NOTE:

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

(Add sheets if necessary)

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

#### **SECTION V - CERTIFICATIONS**

#### A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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|-----------------------------------|----------------------|--|
| • •                               | •                    | directly owns 10% or more of the Disclosing Party been declared in arrearage on any llinois court of competent jurisdiction? |
| [ ] Yes                           | [x] No               | [] No person directly or indirectly owns 10% or more of the Disclosing Parly.  |
| If "Yes," has the compliance with | •                    | ato a court-approved agreement for payment of all support owed and is the person in  |
| [ ] Yes                           | [ ] No               |  |

#### **B. FURTHER CERTIFICATIONS**

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

#### Page 4 of 13

- 2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities dentified in Section II.B.l. 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 ofthe 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 abusiness 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 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 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 Cily, the Stale 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 or4ocal 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 bidrigging or bid-rotating.

- 5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

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

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").

ŃONE

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 Cily 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 Cily 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)

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|---|-----|
| 1. [] is [x) is not   |     |
| a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.  |     |
| 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:   |     |
| "We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pled 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."   | lge |
| If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-3 2-45 5) 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):  | (b) |
| 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 (he Disclosing Party certified to lhc 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. Tn accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the Cily have a financial interest in his or her own name or in the name of any other person or entity in lhc Matter?  []Yes [XJNo  | a   |
| NOTE: If you checked "Yes" to Hem D.l., proceed to Items D.2. and D.3. If you checked "No" to Item D.l., proceed to Part E.   | 0   |
| 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?   |     |

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3. If you checked "Yes" to Item D.L, provide die names and business addresses of the City officials or

[]Yes

fXj No

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|------|----|------|--------|----------|---|
|------|----|------|--------|----------|---|

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 Parly 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 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 t conclusively presumed that the Disclosing Party means that N Disclosure Act of 1995 have made lobbying contacts on beha   | IO persons or entities registered under the Lobbying   |
| 2. The Disclosing Party has not spent and will not expendentity listed in Paragraph A.l. above for his or her lobbying acto influence an officer or employee of any agency, as defined for employee of Congress, or an employee of a member of Concontract, making any federally funded grant or loan, entering renew, amend, or modify any federally funded contract, grant Page 9  | tivities or to pay any person or entity to influence or attempt<br>by applicable federal law, a member of Congress, an officer<br>agress, in connection with the award of any federally funded<br>into any cooperative agreement, or to extend, continue,<br>, loan, or cooperative agreement. |
| 3. The Disclosing Party will submit an updated certific occurs any event that materially affects the accuracy of the A.2. above.   | cation at the end of each calendar quarter in which there statements and information set forth in paragraphs A.l. and  |
| 4. The Disclosing Party certifies that either: (i) it is not a Revenue Code of 1986; or (ii) it is an organization described but has not engaged and will not engage in "Lobbying Activit  | , , , ,  |
| 5. If the Disclosing Party is the Applicant, the Disclosing substance to paragraphs A.l. through A.4. above from all subconscious Party must maintain all such subcontractors' certifications promptly available to the City upon request.   | contractors before it awards any subcontract and the   |
| B. CERTIFICATION REGARDING EQUAL EMPLOYME  | NT OPPORTUNITY   |
| If the Matter is federally funded, federal regulations require the following information with their bids or in writing at the control of the following information with their bids or in writing at the control of the following information with their bids or in writing at the control of the following information with their bids or in writing at the control of the following information with their bids or in writing at the control of the following information with their bids or in writing at the control of the following information with their bids or in writing at the control of the following information with their bids or in writing at the control of the following information with the following information w |  |
| Is the Disclosing Party the Applicant?   |  |
| [] Yes [] No   |  |
| If "Yes," answer the three questions below:  |  |
|  |  |

regulations? (See 41 CFR Part 60-2.)
[] Yes [] No

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

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?

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|---|----------------|-------------------------------------|----------------------|--|
| [] Yes                                  | [] No          |                                     |                      |  |
| 3. Have you participopportunity clause? | pated in any p | revious contracts or subcontracts s | subject to the equal |  |
| [] Yes                                  | [] No          |                                     |                      |  |
| If you checked "No" to                  | question 1. or | 2. above, please provide an explan  | nation:              |  |
|   |                | Page 10 of 13                       |                      |  |
| SECTION VII                             |                | ACKNOWI EDGMENTS                    | CONTR & CT           |  |

.The Disclosing Party understands and agrees that:

COMPLIANCE, PENALTIES, DISCLOSURE

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

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

- C. If the Cily determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection wilh 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 Ircblc 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 lo this EDS may be made available to the public on the Internet, in response lo a Freedom of Infonnation 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 Parly represents and warrants that:

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- F.l. 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 iivpaying any fine, fee, tax or other charge owed to the Gity. This includes, but is not limited to, all water charges, sewer charges; license fees, parking tickets, property taxes pr sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affdiated 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 ("EPI.S") 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 Mattericertifications equal in form and substance to those in F.l. and F.2. above and will not, without the prior written consent of the Gity, 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/shefis auttvbfized to execute this EDS and Appendix A (ifapplicable) 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 lhc City.

SLG TRUST
(Print or type jiaroe of Diselotfing^Party)

SHEILA GOODE
(Print Or typeTname-of^person- signing')

TRUSTEE/BEN EFICIARY (Prinl or type title of person signing)

Signed and sworn lo before me on (date) ai cook . . ,County,, ilmhoxs

(Sign h\rc)

(state).^

OF°'CiAL SEAL '{ CATK£f;;nE llfe^c-r l
Notary Ptllv!>JV\*!;v:: • "" " ;; 1

Commission expires:

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

#### FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as ofthe 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 ofthe 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 U.B.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 Parly" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

[]Yes [x]No

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

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|---------|------|------|-------|----------|---|
|         |      |      |       |          |   |

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#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND **AFFIDAVIT** APPENDIX B

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

ow ent

|    |  | g 7.5 percent (an "Own               | t, and (b) any legal entity which has a direct ner"). It is not to be completed by any legal nt:                                      |   |  |
|----|--|--------------------------------------|---|---|--|
| 1. | Pursuant to Municipal Code Section 2-154-010, is the Applicant or/any Owner identified as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code? |                                      |   |   |  |
|    | [] Yes   | IV] No                               |   |   |  |
| 2. |  |                                      | xchange, is any officer or director of the ord pursuant to Section 2-92-416 of the  |   |  |
|    | []Yes  | [X]No                                | [] Not Applicable   |   |  |
| 3. |  |                                      | The person or legal entity identified as a building or buildings to which the pertinent co  |   |  |
|    | THAT THIS APPENDIX B IS INCO<br>THE ASSOCIATED EDS, AND TH   | ORPORATED BY REI<br>AT THE REPRESENT | KNOWLEDGMENT AND AGREEMENT<br>FERENCE INTO, AND MADE A PART OI<br>TATIONS MADE IN THIS APPENDIX B<br>ER PENALTY OF PERJURY ON PAGE 12 | · |  |