

Office of the City Clerk

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

Legislation Text

File #: SO2015-6394, Version: 1

FINAL FOR PUBLICATION

ORDINANCE

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

SECTION 1: That Title 17 of the Municipal Code of Chicago, Chicago Zoning Ordinance, be amended by changing all the DX-12 and DX-16 Downtown Mixed Use District symbols and indications as shown on Map No. 4-E in the area bounded by:

a line 134.28 feet south of and parallel to East 9th Street; South Michigan Avenue; a line 56.07 feet north of and parallel to East 1 l^{lh} Street; the alley next west of and parallel to South Michigan Avenue, the alley next north of and parallel to East 11th Street, the alley next east of and parallel lo South Wabash Avenue, a line 99.33 feet north of and parallel to East 1 lth Street; South Wabash Avenue; a line 135.40 feet north of and parallel to East 1 lth Street; a line 240.94 feet west of and parallel to South Michigan Avenue,

to the designation of DX-16 Downtown Mixed Use District and a corresponding use district is hereby established in the area above described.

SECTION 2: That Title 17 of the Municipal Code of Chicago, Chicago Zoning Ordinance, be amended by changing all the DX-16 Downtown Mixed Use District symbols and indications as shown on Map No. 4-E in the area bounded by:

a line 134.28 feet south of and parallel to East 9th Street; South Michigan Avenue; a line 56.07 feet north of and parallel to East 11th Street; the alley next west of and parallel to South Michigan Avenue, the alley next north of and parallel to East 11th Street, the alley next east of and parallel lo South Wabash Avenue, a line 99.33 feet north of and parallel to East 11th Street; South Wabash Avenue; a line 135.40 feet north of and parallel to East 11th Street; a line 240.94 feet west of and parallel to South Michigan Avenue,

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to the designation of a Residential Business Planned Development which is hereby established in the area above described, subject to such use and bulk regulations as are set forth in the Plan of Development attached herewith and made a part thereof and to no others.

SECTION 3: This ordinance shall take effect upon its passage and due publication.

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PLANNED DEVELOPMENT STATEMENTS

- 1. The area delineated herein as Residential Business Planned Development Number , ("Planned Development") consists of approximately 46,287 square feet of property which is depicted on the attached Planned Development Boundary and Property Line Map ("Property") and is owned, controlled or zoning consent has been received by the Applicant, 1000 South Michigan Equities, LLC.
- 2. The requirements, obligations and conditions contained within this Planned Development shall be binding upon the Applicant, its successors and assigns and, if different than the Applicant, the legal title holders and any ground lessors. All rights granted hereunder to the Applicant shall inure to the benefit of the Applicant's successors and assigns and, if different than the Applicant, the legal title holder and any ground lessors. Furthermore, pursuant to the requirements of Section 17-8-0400 of the Chicago Zoning Ordinance, the Property, at the time of application for amendments, modifications or changes (administrative, legislative or otherwise) to this Planned Development are made, shall be

under single ownership or designated control. Single designated control is defined in Section 17-8-0400 of the Zoning Ordinance.

3. All applicable official reviews, approvals or permits are required to be obtained by the Applicant or its successors, assignees or grantees. Any dedication or vacation of streets or alleys or grants of easements or any adjustment of the right-of-way shall require a separate submittal to the Department of Transportation on behalf of the Applicant or its successors, assign or grantees. Any requests for grants of privilege, or any items encroaching on the public way, shall be in compliance with the Plans.

Ingress or egress shall be pursuant to the Plans and may be subject to the review and approval of the Departments of Planning and Development and Transportation. Closure of all or any public street or alley during demolition or construction shall be subject to the review and approval of the Department of Transportation.

All work proposed in the public way must be designed and constructed in accordance with the Department of Transportation Construction Standards for Work in the Public Way and in compliance with the Municipal Code of the City of Chicago. Prior to the issuance of any Part II approval, the submitted plans must be approved by the Department of Transportation.

4. This Plan of Development consists of 16 Statements: a Bulk Regulations Table; an Existing Zoning Map; an Existing Land-Use Map; a Planned Development Boundary and Property Line and Sub-Area Map; Site Plan / Ground Floor Plan; Green Roof Plan; Landscape Plan and Details; Typical Parking Level Plan; Building Section Plan; and Building Elevations (North, South, East and West) prepared by J aim Architecture and dated April 21, 2016, submitted herein. In any instance where a provision of this Planned Development conflicts with the Chicago Building Code, the Building Code shall control. This Planned Development conforms to the intent and purpose of the Zoning Ordinance, and all requirements thereto, and satisfies the established criteria for approval as a Planned

Applicant. 1000 SOUTH MICIJ1GAN EQUITIES. LLC

Address. 920-1006 S. MICHIGAN AVE, 1011-1015 S. WABASH AVE

Introduced September 24. 2015 Plan Commission April 21, 2016

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Development. In case of a conflict between the terms of this Planned Development Ordinance and the Zoning Ordinance, this Planned Development Ordinance shall control.

5. The following uses are permitted in the area delineated herein as a Residential Business Planned Development. In each of the following Sub Areas, the following uses shall be permitted in this Planned Development:

Sub-Area A: residential uses, including up to 506 dwelling units, , general retail sales, eating and drinking establishments, liquor sales as an incidental use, accessory parking, of which 45% of the

required residential parking (maximum 219 spaces) may be leased out on a daily, weekly or monthly basis to persons who are not residents, tenants, patrons, employees or guests of the principal uses, co-location of wireless telecommunication and satellite facilities, related facilities and accessory uses.

Sub-Area B: office, , general retail sales, school, college, universities, day care, eating and drinking establishments, liquor sales as an incidental use, accessory parking, co-location of wireless telecommunication and satellite facilities, related facilities and accessory uses.

- 6. On-Premise signs and temporary signs, such as construction and marketing signs, shall be permitted within the Planned Development, subject to the review and approval of the Department of Planning and Development. Off-Premise signs are prohibited within the boundary of the Planned Development.
- 7. For purposes of height measurement, the definitions in the Zoning Ordinance shall apply. The height of any building shall also be subject to height limitations, if any, established by the Federal Aviation Administration.
- 8. The maximum permitted Floor Area Ratio ("FAR") for the site shall be in accordance with the attached Bulk Regulations Table. For the purposes of FAR calculations and measurements, the definitions in the Zoning Ordinance shall apply. The permitted Floor Area Ratio identified in the Bulk Regulations Table has been determined using a Net Site Area of 46,287 square feet and a base FAR of 16.00. The improvements to be constructed on the Property will utilize the following series of FAR bonuses:

Description (list of all bonuses applied for and calculations) FAR

Base FAR:

Concealed Parking Facade Setback Bonus Affordable Housing Bonus Total FAR:

16.000 1.575 2.493 1.017

21.085

9. The Applicant acknowledges and agrees that the rezoning of the Property from DX-16 Mixed Use District to this Planned Development triggers the requirements of Section 2-45-

Applicant:
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Introduced
Plan Commission'
1000 SOUTH MICHIGAN EQUITIES, LLC
920-1006 S MICHIGAN AVE., 1011 1015 S. WABASH AVE
Scptcmbei 24, 2015
April 21, 2016

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110 of the Municipal Code (the "Affordable Housing Ordinance" or "AHO"). Any developer of a

"residential housing project" within the meaning of the Affordable Housing Ordinance ("Residential Project") must: (i) develop affordable housing units as part of the Residential Project; (ii) pay a fee in lieu of the development of affordable housing units; or (iii) any combination of (i) and (ii). The Applicant further acknowledges and agrees that the project has received an affordable housing floor area bonus pursuant to Section 17-4-1004-B of the Zoning Ordinance, as set forth in the bonus worksheet attached hereto as Exhibit A ("Bonus Worksheet"), and as a result is also subject to the requirements of the former Section 17-4-1004-D of the Zoning Code (the "Density Bonus Provisions"). Like the ARO, the Density Bonus Provisions require on-site affordable housing or payment of a fee in lieu of providing affordable housing, but the formulas for calculating the number of required affordable units and the amount of the in lieu payment are different from the formulas in the ARO. If a planned development is subject to both the ARO and the former Density Bonus Provisions, the Applicant may elect to comply with either. In this case, the Applicant has elected to comply with the Density Bonus Provisions. In accordance with the formulas set forth in the former Section 17-4-1004-C and the Bonus Worksheet, the Applicant acknowledges and agrees that it must provide a minimum of 11,768.50 square feet of affordable housing floor area (the "Affordable Units") in the building receiving the affordable housing floor area bonus ("Eligible Building"), with an affordable unit mix comparable to the overall mix and approved by DPD's density bonus project manager, or make a cash payment in lieu of providing Affordable Units in the amount of \$828,502.40 ("Cash Payment"). Prior to the issuance of any building permits for the Eligible Building, including, without limitation, excavation or foundation permits, the Applicant must either make the required Cash Payment or, if providing Affordable Units, enter into an affordable housing agreement with the City pursuant to the former Section 17-4-1004-E9 ("Affordable Housing Agreement"). The terms of the Affordable Housing Agreement and any amendments thereto are incorporated herein by this reference. The Applicant acknowledges and agrees that the Affordable Housing Agreement will be recorded against the Eligible Building. The City shall execute partial releases of the Affordable Housing Agreement prior to or at the time of the sale of each Affordable Unit to an incomeeligible buyer at an affordable price, subject to the simultaneous execution and recording of a mortgage, restrictive covenant or similar instrument against such Affordable Unit. In addition to the Affordable Housing Agreement, the Applicant acknowledges and agrees that, pursuant to Section 17-4-1003-D3, the Bonus Worksheet will serve as an official record of bonuses and amenities. The Applicant must comply with the applicable affordable housing standards and requirements set forth in the former Section 17-4-1004, the terms of which are incorporated herein by this reference. Notwithstanding anything to the contrary contained in the former Section 17-4-1003-E, the Commissioner of DPD may enforce remedies for breach of the Affordable Housing Agreement, and enter into settlement agreements with respect to any such breach, subject to the approval of the Corporation Counsel, without amending the Planned Development. If this Planned Development does not receive city council approval by July 13, 2016, the project will be subject to Section 2-45-115 of the Municipal Code (the "2015 ARO"). In such event, the Applicant shall meet with the Department of Planning and Development to determine the application of the 2015 ARO to

Applicant- 1000 SOUT11 MICHIGAN EQUITIES, LLC

Address 920-1006 S MICHIGAN AVE., 1011-1015 S. WABASH AVE

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Ihe project, and the 2015 ARO requirements will replace and supersede the affordability requirements set forth in this Section.

- 10. Upon review and determination, "Part 11 Review", pursuant to Section 17-13-0610 of the Zoning Ordinance, a Part 11 Review Fee shall be assessed by the Department of Planning and Development. The fee, as determined by staff at the time, is final and binding on the Applicant and must be paid to the Department of Revenue prior to the issuance of any Part 11 approval.
- 11. The Site and Landscape Plans shall be in substantial conformance with the Landscape Ordinance and any other corresponding regulations and guidelines. Final landscape plan review and approval will be by the Department of Planning and Development. Any interim reviews associated with site plan review or Part II reviews, are conditional until final Part II approval.
- 12. The Applicant shall comply with Rules and Regulations for the Maintenance of Stockpiles promulgated by the Commissioners of the Departments of Streets and Sanitation, Environment and Buildings, under Section 13-32-125 of the Municipal Code, or any other provision of that Code.
- 13. The terms and conditions of development under this Planned Development ordinance may be modified administratively, pursuant to section 17-13-0611-A of the Zoning Ordinance by the Zoning Administrator upon the application for such a modification by the Applicant, its successors and assigns and, if different than the Applicant, the legal title holders and any ground lessors.
- 14. The Applicant acknowledges that it is in the public interest to design, construct and maintain the project in a manner which promotes, enables and maximizes universal access throughout the Properly. Plans for all buildings and improvements on the Property shall be reviewed and approved by the Mayor's Office for People with Disabilities to ensure compliance with all applicable laws and regulations related to access for persons with disabilities and to promote the highest standard of accessibility.
- 15. The Applicant acknowledges that it is in the public interest to design, construct, renovate and

11 buildings in a manner that provides healthier indoor environments, reduces operating costs and conserves energy and natural resources. At the time of a hearing before the Chicago Plan Commission, all developments must be in substantial compliance with the current City of Chicago Sustainable Development Policy set forth by the Department of Planning and Development. The proposed Planned Development shall be in compliance with the Sustainable Development Policy by obtaining LEED certification and by providing a green roof of at least 50% of Net Roof Area of the new building constructed in Sub-Area A containing a green roof of approximately 13,900 square feet and shall meet the applicable storm water requirements of the Department of Water Management.

Applicant: 1000 SOUTH MICHIGAN EQUITIES. LLC

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16. This Planned Development shall be governed by Section 17-13-0612 of the Zoning Ordinance. Should this Planned Development ordinance lapse, the Commissioner of the Department of Planning and Development shall initiate a Zoning Map Amendment to rezone the property to the DX-16 Downtown Mixed Use District.

Applicant- 1000 SOUTH MICHIGAN EQUITIES, LLC

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1000 S. Michigan - S. Michigan Avenue 111th Street | S. Wabash Avenue | 9th Street

PLANNED DEVELOPMENT

BULK REGULATIONS AND DATA TABLE

	Sub Area A 1000 S. Michigan	Sub Area B 1006 S. Michigan & S. Wabash Parcel	Total
Gross Site Area (Net Site Area - Area in R.O.W.)		21,388 SF	63,272 SF
Area in Public Right-of-Way	9,545 SF	7,440 SF	16,985 SF
Net Site Area	32,339 SF	13,948 SF	46,287 SF
Maximum Floor Area Ratio	• 27.74	5.66	21.085
FAR Area	897,080 SF	78,881 SF (existing)	975,961 SF
Maximum Number of Residentia Units	ıl 506	0	506
Number of Off-Street Parking Spaces Provided	486	12 (existing)	498
Minimum Number of Bicycle Spaces	506 Provided (50 Required)	0	506
Number of Off-Street Loading Docks	3	1 (existing)	4
Minimum Building Setbacks	As per Site Plan	None (existing)	-
Maximum Building Height	832'	102' (existing)	-
Green Features	Green Roof + LEED Certified	None	-

APPLICANT 1000 S. MICHIGAN AVE. LLC. IAHK1 ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE. J/MIPI CPC DATE: APRIL 21, 2016

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SCALE 1---120-O"

EXISTING ZONING MAP

APPLICANT: 1000 S MICHIGAN AVE. LLC. ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S WABASH AVE ANN

CPC DATE: APRIL 21. 2016 on hvc. *J/\ni>

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0 45 90 135 180

EXISTING LAND USE MAP

scale. r=w-o-

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S. WABASH AVE,

<u>SITE AREA SUMMARY</u> SUB AREA A-GROSS AREA: RIGHT-OF-WAY. NET AREA:

41,884 SF 9,545 Sr 32,339 SF

SUB AREA B-GROSS AREA: RIGHT-OF-WAY: NET AREA:

21,388 SF 7,440 SF 13,948 SF 46,287 SF

TOTAL NET AREA = (NET AREAS A+B)

PLANNED DEVELOPMENT BOUNDARY, PROPERTY LINE AND SUB AREA MAP

APPLICANT: 1000 S. MICHIGAN AVE. LLC.

ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE. CPC DATE: APRIL 21, 2016

J5 30 Ab 60 SCALE: 1"=60'-0-

JAHN

EXISTING DRIVEWAY

S. WABASH AVE.

EXISTING SURFACE PARKING LOT

EXISTING TREE AND PLANTER - SEE LANDSCAPE PLAN

20'-3 3/4"

EXISTING PARK

SURFACE PARKING LOT FOR 1006 S. MICHIGAN (12 SPCS)

PAVED VEHICULAR ACCESS

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111-10"

10' PUBLIC ALLEY

⊱¥-co

10 PUBLIC ALLEY

COLUMBIA COLLEGE

COLUMBIA COLLEGE GETZ THEATER

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1006 S. MICHIGAN

EXISTING 8-STORY BUILDING

CONDO ENTRY

APTJENTRY

LEASE ENTRY

1000"SIMrCFilGAN _

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QO

1014 S. MICHIGAN

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/ 113-4"

/S. MICHIGAN AVE.

Q Q Cn

EXISTING PLANTERS -SEE LANDSCAPE PLAN NEW RED GRANITE TREE PLANTERS

- SEE LANDSCAPE PLAN -

SITE PLAN / GROUND FLOOR PLAN

APPLICANT: 1000 S. MICHIGAN AVE. LLC.

ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE. CPC DATE: APRIL 21, 2016

HNAL I"UK PUbLIUAI SUN

S WABASH AVENUE (TWO-WAY)

24'' J'-3t_ «,

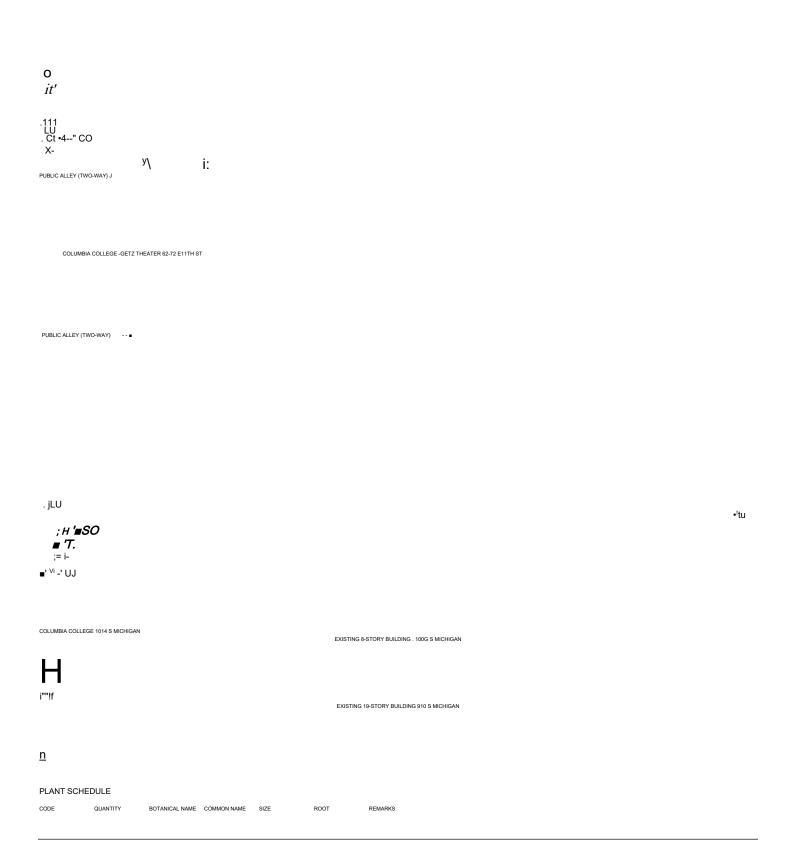
DRIVE./ •- ~!("...

, " EXIST ING CONCRrTp WAI K

- EXISTING TREE IN GRATE TO REMAIN
- FX1STIHG LIGHT POLE

EXISTING SURFACE PARKING 1.07

EXISTING PARK



AS	C8	Allium spi.ocrocefitia	lonDiumsKk Allium	hulb	Intiifplantfid	
KP	2	Robinia pscudocncia	'CChicngo Blues Blriek	B&B	matching h elite	
TS	an	Iull M S ip	Tulips	.T-5 cm	birft)	liili!n>fan1i!ij
VM	7b	Vinca minor	Periwinkle	1 ()i.l		1b"oc

NOTE

COORDINATE LOCATIONS WITH CITY OF CHICAGO 2. ANTICIPATED PLANTING DATE SPRING 2U1B

LANDSCAPE PLAN

APPLICANT: 1000 S. MICHIGAN AVE LLC.

ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S WABASH AVE. DATE: APRIL 21,2016

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TREE PIT AS WIDE AS POSSIBLE, GIVEN THE CONSTRAINED CONDITIONS (EDGES OF PIT TO BE ROUGHENED)

 REMOVE ALL TWINE, ROPE, WIRE, AND BURLAP FROM TOP HALF OF ROOT BALL (IF PLANT IS SHIPPED WITH A WIRE BASKET AROUND THE ROOT BALL, CUT WIRE IN FOUR PLACES AND FOLD DOWN 8" INTO PLANTING HOLE).

SHADE TREE IN PLANTER SECTION

NOT TO SCALE

NOTE:

1. TREE SPECIES SELECTION:

ROBINIA PSUEDOCACIA. BLACK LOCUST, 4" CALIPER

LANDSCAPE DETAILS scale:

as noted

APPLICANT: 1000 S. MICHIGAN AVE. LLC. site design

group, Itd.

ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE.

\D

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S. WABASH AVE.

BICYCLE PARKING- 506 TOTAL SPACES 50 BICYCLE SPACES AT LEVEL 04

TYPICAL PARKING PLAN

APPLICANT: 1000 S. MICHIGAN AVE. LLC.

ADDRESS 920-1006 S. MICHIGAN AVE AND 1011-1015 S. WABASH AVE. CPC DATE: APRIL 21, 2016

15 30 45 60

SCALE: V=60'-0^M

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1006 S. MICHIGAN

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ı- to

S. MICHIGAN AVE.

J

- 8 SF -2,525.9 SF
- 9 SF 13,903.5 SF 13,903.5 SF 0.0 SF 0.0 SF

BONUS: 0 SF

GREEN ROOF CALCULATION

- A TOTAL ROOF AREA = SUM (1-8)
- B LESS ROOF MECHANICAL AREA = -7
- C TOTAL NET ROOF AREA = (A+B)
- D REQUIRED GREEN ROOF AREA (50% OF NET ROOF)
- E TOTAL GREEN ROOF PROVIDED = (1+3+6)
- F TOTAL GREEN ROOF IN EXCESS OF 50% NET ROOF = (E-D) IF E>=D
- G FAR. BONUS = 0.0 / 46,287 X 0.40 X 16

GREEN ROOF PLAN

APPLICANT- 1000 S. MICHIGAN AVE. LLC. ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE. CPC DATE: APRIL 21, 2016

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J5 30 45 60 SCALE: V^eO'-O"

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832 -0" MAXIMUM HEIGHT OPEN METAL SCREEN FACADE

GLASS GUARDRAIL GLASS FACADE I- EXISTING 20-STORY RESIDENTIAL BUILDING 910 S. MICHIGAN AVE. nnnnnnnl

DDDDOODDDDO

nnnnnnnnnn

METAL SPANDREL nnoDDDDDnnnon nnnnDODnonnn glass guardrail open metal screen facade

uc on unj

GLASS AND METAL CANOPY

EAST ELEVATION - SOUTH MICHIGAN AVENUE

APPLICANT: 1000 S. MICHIGAN AVE. LLC. ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE. CPC DATE: APRIL 21, 2016

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EXISTING 4 & 7 STORY BUILDINGS COLUMBIA COLLEGE 62 E. 11TH STREET

S. WABASH AVE.

File #: SO2015-6394, Versio r	: 1						
OPEN METAL SCREEN FACADE -							
GLASS GUARDRAIL							
GLASS FACADE							
METAL SPANDREL							
METAL GUARDRAIL	₩₩₩	igritiDispiiB					
CONCRETE/ CONCRETE BLOCK PARTY WALL							
	giniSiHgiiniB						
f JiF ⁱ -"K-«-'K IV.£'S'i^ ELEVATION BE	EYOND						
	ATION	-	EAST	_	11TH	0 25 50 S	75 100 STREET
scale- ,-=,0^- APPLICANT: 1000 S. MICHIGAN A' ADDRESS: 920-1006 J/MI PI CPS DATE: APRIL 21, 2016 - DAND DNNNN	VE. LLC. IAHKI S. MICHIGAN	AVE.	AND	1011-1015	S.	WABASH	AVE.
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File #: SO2015-6394, Version: 1

EXISTING 20-STORY RESIDENTIAL BUILDING 910 S. MICHIGAN AVE.

METAL FACADE

n n a d n n n n a \square n

OPEN METAL

SCREEN FACADE

BEYOND

11TH ST.

WEST ELEVATION - SOUTH WABASH AVENUE

APPLICANT: 1000 S. MICHIGAN AVE. LLC.

ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE. CPC DATE: APRIL 21, 2016

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_25 50 75 100 SCALE: r=100'-0-

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\ ELEVATION BEYOND

^ GLASS AND METAL CANOPY

S. MICHIGAN AVE.

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NORTH ELEVATION - EAST 9TH STREET

APPLICANT: 1000 S. MICHIGAN AVE. LLC. ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE. CPC DATE: APRIL 21, 2016

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V 832'-Q"

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V 255'-4"

V 214-4"

V 133-6*. V 118-6"

V 18'-0"

S. MICHIGAN AVE.

BUILDING SECTION

APPLICANT: 1000 S. MICHIGAN AVE. LLC. ADDRESS: 920-1006 S. MICHIGAN AVE. AND 1011-1015 S. WABASH AVE. CPC DATE: APRIL 21, 2016

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CITY OF CHICAGO

DEPARTMENT OF PLANNING AND DEVELOPMENT BUREAU

OF PLANNING AND ZONING APPLICATION FOR ZONING

BONUS REVIEW

WORKSHEET: FAR BONUS CALCULATION

Property Address: 1000 S. Michigan Avenue_

ON-SITE BONUSES

Amenity Base FAR

Premium Factor

FAR Bonus I calculated Lot area (in sq.ft.)
Formula:

В

menity area (in sq.ft.)

(A/BVC-D
Affordable Housing -On-Site 4
Public Plaza and Pocket Park 1
Chicago Riverwalk 1
Winter Garden 1
Through-Block Connection (Indoor) 0.66

Through-Block Connection (Outdoor)	1
Sidewalk Widening	2
Arcade	1.25
Water Feature	0.3
Upper-Level Setbacks (-7 &-10 Districts)	0.3
Upper-Level Setbacks (-12 & -16 288,488.22 46,2	287 0.4 16 2.493
Districts) Lower-Level Planting Terrace	1
Green Roofs	0.3
Underground Parking (Levels -1 & -2)	0.15
Underground Parking (Level -3 or lower)	0.2
Underground Loading	0.15 i l
Parking Concealed by Occupiable 11,390 46,2 Space	287 0.4 16 1.575

FAR Bonus Cap

compare with 1.00 (-5) 1.75 (-7) 2.50 (-10) 3.60 (-12) 4.80 (-16) _

25% of D

30% of D

30%ofD

30%ofD

25%ofD

Total FAR Bonus On-Site Improvements

Page 1 of 2

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OFF-SITE BONUSES

Calculation of Financial Contribution

Formula: Cash contribution for 1 sq.ft. of FAR bonus = 0.8 x median cost of 1 sq. ft. of buildable floor area

median cost of		Bonused Square Feet Desire	ed		
			1 sqft. of buildable]	floor area (in \$):	i See City Survey of Land Cost I
Formula:				E=A"B*C	
Off-Site Park or Riverwalk		0.8	ii		
Street Lighting and Landscaping		0.8	/		
Transit Station Improvements		0.8	ii		
Pedwav Improvements		0.8			
lAdopt-A-Landmark ;		0.8			
Affordable Housing	47,074	0.8	J22.00	16	\$828,502.40
Education		08			
\$828,502.40 Formula: I = (F/G) • H					

Comparison to FAR Bonus Cap

Amenity	Total Bonused j FAR Desired /	LotArea I Square Feet	, I, i	Base FAR Bonus calcu	ılated FAR Bonus Cap:
Compare with jOff-Site Park or Riverwalk	,	i			20% of H
Street Lighting and Landscaping					20% of H
Transit Station Improvements					20% of H
Pedwav Improvements			1		20% of H
Adopt-A-Landmark					20% of H
Affordable Housing	47,074	46,287	16	1.017	20% of H (-5) 25% of H (-7 -10) 30% of H (-12,-16)
Education	İ ii				25% of H (-10) 30% of H (-1216)

If FAR Bonus calculated exceeds FAR Bonus Cap, the effective FAR Bonus for Off-Site Improvements is equal to the FAR Bonus Cap

Summary

Base FAR	16.00
FAR Bonus for On-Site Improvements	4.068
FAR Bonus for Off-Site Improvements	1.017
Total FAR	21.085
Ffotal Financial Contribution	

Maximum Floor Area with Base FAR $16.00 \times 46,287 \text{ sf} = 740.592 \text{ sf}$ Floor Area with FAR Bonus On-Site Improvements $4.068 \times 46,287 \text{ sf} = 188,295 \text{ sf}$ Floor Area with FAR Bonus Off-Site Improvements $1.017 \times 46,287 \text{ sf} = 47,074 \text{ sf}$ Total Maximum Floor Area $21.085 \times 46,287 \text{ sf} = 975,961 \text{ sf}$

Signature of Applicant Rev'. Aug. 2013

Date Received by (Dept. of Planning & Dev.) Date Page 2 of 2

Fi^AS FOR PMPI IP4'

Affordable Housing Profile Form (Rental)

Submit this form to the Department of Housing & Economic Development for each project that triggers an affordability requirement (including CPAN, ARO, and the Density Bonus).

This completed form should be returned (via e-mall, fax, postal service or interoffice mail), to: Kara Breems, Department of Housing & Economic Development, 121 N. LaSalte Street, Chicago, IL 60602. E-mail: Kara,Breems(5)cityofchicagp,org; Telephone: (312)744-6746.

For information, on these programs/requirements, visit www.cityafchtcago.org/hed http://www.cityafchtcago.org/hed

Date; April 21, 2016

SECTION 1: DEVELOPMENT INFORMATION

Development Name: 1000 South Michigan Avenue Development Address: 1000

S. Michigan Avenue, Chicago IL Ward: 4th

If you are working with a Planner at the City, what is his/her name? Daniel Kliaber

Type of City involvement: Lard write-down

(check all that apply) Financial Assistance (If receiving tif assistance, win tif funds be

used for housing construction? *

X Zoning increase, PD, or City Land purchase

*if yes, please provide copy of the TIF Eligible Expenses

SECTION 2: DEVELOPER INFORMATION

Developer Name: 1000 South Michigan Equities, LLC Developer Contact (Project Coordinator): Robert Singer

Developer Address: 55 Fifth Avenue, 15^{Xh} Fl., New York, NY 1G003

Email address: rsinger@timeequities.com <mailto:rsinger@timeequities.com> May we use email to contact you? Yes

Telephone Number: 212-206-6097

SECTION 3: DEVELOPMENT INFORMATION

a) Affordable units required

For ARO projects: x = 10% = \ (always round up)

Total units total affordable units required

*20% if TIF assistance is provided

i For Density Bonus projects: 47,074 X25%= 11,768.5

Bonus Square Footage* Affordable sq. footage required

'Note that the maximum allowed bonus is 20% of base FAR in dash-5: 25% in dash-7 or -10; and

30% of base FAR in dash-12 or -16 (www.citypfchj^ http://www.citypfchj%5e for zoning info).

b) building details

In addition to water, which of the following utilities will be included in the rent (circle applicable):

Cooking gas electric gas heat electric heat other (describe on back)

Is parking included in the rent for the: affordable units? yes no If parking is not included, what is the monthly cost per space? Estimated date for the commencement of marketing:

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Estimated date for completion of construction of the affordable units:

	Unit Type*	Number of Units	Number of Bedroo ms/Unit	f Total Square Footage/Unit.	Expected Market Rent	Proposed Affordable Rent*	Proposed Level of Affordability (60% or less of AMI)
Example	1 bed/1 beth	4	1	800	\$1000	759	60%
Affordab	belli						
							N/A
Market Rate	9					N/A	
						N/A	N/A
_						N/A j N/A	\

Month/Year

Number of total units in development X S100.000 = \$,, (round up to nearest whole number)

For Density Bonus prolects. use the following formula to calculate payment owed:

47,074 x 80% x \$22.00 = \$828,502.40

Bonus Floor Area (sq ft) median price per base FAR foot Amount owed

Submarkat (Table for use with the Density Bonus fees-in-lieu calculations)

Median Land Price per Base FAR Foot

Loop: Chicago River on north/wast; Congress on south; Lake Shore Dr on east North: Division on north; Chicago River on south/west; Lake Shore Dr on east

. \$31 \$43

South: Congress on north; Stevenson on south', Chicago River on west; Lake

\$22

Shore Dr. on east

West: Lake on north; Congress or, south; Chicago River on east; Racine on west \$29

Authorization to Proceed (to be completed by Department of HEP)

Kara Brcems, date Department of Housing & Economic Development

Developer

Department of Planning and Development CITY OF CHICAGO

MEMORANDUM

Alderman Daniel S. Solis Chairman, City Council, Committee on Zoning

David L. Reifman Secretary Chicago Plan Commission

DATE: April 22, 2016

RE: Proposed Planned Development for property generally located at 920-1006 South Michigan Avenue.

On April 21, 2016, the Chicago Plan Commission recommended approval of the proposed planned development submitted by 1000 South Michigan Equities, LLC. A copy of the proposed planned development is attached. I would very much appreciate your assistance in having this introduced at the next possible City Council Committee on Zoning hearing.

Also enclosed is a copy of the staff report to the Plan Commission which includes the Department of Planning and Development, bureau of Planning and Zoning recommendation and a copy of the Resolution. If you have any questions in this regard, please do not hesitate to contact me at 744-5777.

cc: Steve Valenziano

PD Master File (Original PD, copy of memo)

121 NORTH LASALLE STREET, ROOM 1000, CHICAGO, ILLINOIS 60602

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REPORT to the CHICAGO PLAN COMMISSION from the DEPARTMENT OF PLANNING AND DEVELOPMENT APRIL 21, 2016

APPLICANT: 1000 SOUTH MICHIGAN EQUITIES, LLC

LOCATION: 920-1006 SOUTH MICHIGAN AVENUE; 1011-1015 SOUTH

WABASH AVENUE

FOR APPROVAL: 1) REZONING FROM DX-12 (DOWNTOWN MIXED USE

DISTRICT) and DX-16 (DOWNTOWN MIXED USE DISTRICT) to a DX-

16 (DOWNTOWN MIXED-USE DISTRICT); and,

2) ESTABLISHMENT of a RESIDENTIAL BUSINESS PLANNED

DEVELOPMENT; and,

3) APPROVAL OF LAKE MICHIGAN AND CHICAGO LAKEFRONT

PROTECTION DISTRICT APPLICATION NO. 677

INTRO DATE: SEPTEMBER 24, 2015

PD THRESHOLD: MANDATORY PLANNED DEVELOPMENT - THE PROJECT

EXCEEDS THE HEIGHT THRESHOLD OF 440' (832') AND THE UNIT

THRESHOLD OF 400 (506) IN A DX-16 ZONING DISTRICT PER SECTIONS

17-8-0512-B and 17-8-0513-B, RESPECTIVELY

PROJECT SUMMARY

The project is located across the street from Grant Park at 920-1006 South Michigan Avenue and 1011-15 South Wabash Avenue in Chicago's Near South Side Community Area and the Michigan Boulevard Historic (Landmark) District. The project is also located within the Lake Michigan and Chicago Lakefront Protection District.

The overall 46,287 square foot site is currently zoned DX-12 (Downtown Mixed-Use District) and DX -16 (Downtown Mixed-Use District) and will be rezoned to a unified DX-16 prior to establishing the proposed Residential Business Planned Development. The Applicant intends to create two subareas within the boundaries of the proposed planned development.

Subarea A, located at 920 South Michigan Avenue will be redeveloped with a 73-story (832')

residential building with 506 dwelling units, 486 parking spaces and ground floor

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commercial space. Subarea B, located at 1006 South Michigan Avenue and 1011-15 South Wabash Avenue is currently improved with an 8-story (102') commercial building and 12 space parking area, respectively, and will remain as such.

The proposed residential building to be located within Subarea A is planned to consist of a 62-story tower on top of an 11-story base. The base primarily includes the parking levels, with 486 parking spaces, concealed behind the front facade of the building. Residential units will be located in front of the concealed parking floors on levels 2-11 and throughout the remainder of the tower. The first floor will consist of the main pedestrian entrance and residential lobby spaces as well as an approximately 2,700 square foot commercial space that will front on Michigan Avenue.

Vehicular access to the tower will be achieved via an easement accessed from East 9th Street. The easement will lead to the internal drive aisle and internal porte cochere inside the building. This internal porte cochere will provide access to the building's parking levels, loading as well as a dropoff area.

The building will contain a mix of efficiency, one, two, three and four bedroom units, including apartments and condominiums. The overall average unit size will be approximately 1,272 square feet. The building will contain various indoor and outdoor amenity levels, including private balconies, totaling approximately 56,000 square feet. The project will provide a 13,000 square foot green roof and will achieve LEED (Leadership in Energy and Environmental Design) certification. As part of the LEED certification, the project will provide 506 bike parking spaces, or one per residential unit. (See Exhibits)

BULK/USES/DENSITY/ARO

The PD would cap the total (overall) FAR for the project at 21.085 which includes the base FAR of 16 plus the following bonuses:

-1.017 FAR from the Affordable Housing Bonus -2.493 FAR from the Upper-Level Setback Bonus -1.575 FAR from the Concealed Parking Bonus

The FAR for Subarea A (the proposed tower) would be 27.74 while for Subarea B (existing commercial building) it would be 5.66. The PD would allow for residential, commercial and accessory parking uses. The Minimum Lot Area (MLA) for the project is 91.4. (see attached Bulk Table for further details)

The Applicant filed the project within the deadline established under the City of Chicago's 2007 ARO

(Affordable Requirements Ordinance). The Applicant is seeking the Affordable Housing Bonus and will be complying with the ARO by paying an in-lieu fee of \$828,502.40.

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ZONING CONTEXT (site in green):





i pos-i / t

PROPOSED PLANNED DEVELOPMENT:

•jimrm

i r

EXISTING AERIAL (site in yellow):

PROPOSED RENDERING

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RECOMMENDATION

The Department of Planning and Development has reviewed the project materials submitted by the Applicant and compared this proposal to existing development in the community. The area around this project consists of a mix of downtown zoning districts and planned developments and the project

represents an opportunity to construct a

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compatible residential infill project along South Michigan Avenue within the Michigan Boulevard Historic (Landmark) District, Chicago and Lake Michigan Lakefront Protection District and Near South Side Community Area.

Based on that analysis, the Department of Planning and Development has concluded that this proposal is appropriate for this site and supports this development for the following reasons:

- 1. The proposed rezoning of the subject property is appropriate under Chapter 17-13 of the Zoning Ordinance. Specifically, the proposed DX-16 underlying zoning classification and the project is 1) consistent with plans for the area, including the Central Area Action Plan (17-13-0308-A); 2) appropriate because of growth and development trends (17-13-0308-B); 3) compatible with surrounding zoning districts (17-13-0308-D); and 4) the public infrastructure facilities and city services will be adequate to serve the proposed development at the time of occupancy (17-13-0308-E).
- 2. The project meets the purpose and criteria set forth in Chapter 17-8 of the Zoning Ordinance and its adoption would not have any adverse impact on the public's health, safety or welfare. Specifically, this project meets the following provisions:
 - a. Provides adequate bicycle parking and vehicle parking, while minimizing the adverse visual impact of any off-street parking areas (per 17-8-0904-A7) as evidenced by the proposed bicycle storage space (506 bikes) devoted on site and concealed parking structure;
 - b. Provides street-level spaces within buildings that are designed to accommodate active uses or to otherwise engage pedestrian interest (per 17-8-0905-A2) as evidenced by the project's street level facade composed primarily of glass providing an engaging experience for pedestrians entering or moving past the building lobby or commercial space;
 - c. All sides and areas of the buildings that are visible to the public are treated with materials, finishes and architectural details that are of high-quality and appropriate for use on primary street-facing facade (17-8-0907-A-4), as evidenced through the material callouts in this report and on the elevations;
 - d. Provides that buildings have a clearly defined vertical appearance, comprised of a base, midsection and top (per 17-8-0907-B1) as evidenced by the overall design of the structure:
 - e. Provides that upper-story setbacks should be used to reduce the apparent mass and bulk of tall buildings and should be used to convey a sense of sculpting to the tower and the top floors of the building (per 17-8-0907-B3) as evidenced by the tower's

proposed uniquely sculpted design; and,

f. Promotes green design by conserving non-renewable energy and scarce materials (per 17-8-0908-A) as evidenced by the project's proposed green roof and LEED certification.

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3. The project has been reviewed and approved by CDOT, MOPD and the Fire Department.

Based on the foregoing, it is the recommendation of the Department of Planning and Development that this application for a Residential Business Planned Development be approved and that the recommendation to the City Council Committee on Zoning, Landmarks and Building Standards be "Passage Recommended".

The Department of Planning and Development has also reviewed the project materials submitted by the Applicant with regards to the Policies and Purposes of the Lake Michigan and Chicago Lakefront Protection Ordinance and has concluded that the proposed development would be in compliance with the applicable Policies of the Lakefront Plan of Chicago and the Purposes of the Lake Michigan and Chicago Lakefront Protection Ordinance, as they apply to development in the Private Use Zone, specifically:

- 1. Policy No. 8 (Increase personal safety): The proposal will activate an underutilized piece of valuable urban land bringing new residents and activity to this part of South Michigan Avenue;
- 2. Policy No. 10 (Ensure a harmonious relationship between lakeshore parks and community edges but in no instance allow private development east of Lake Shore Drive): The proposal consists of an appropriate residential infill project that will appropriately frame Grant Park directly to the east; and,
- 3. Policy No. 14 (Coordinate all-public and private development within the water, park and community zones): This site is located within the Private-Use Zone, and the development has been coordinated with the appropriate City departments and community to minimize the impact of construction and to ensure it remains in context with the surrounding neighborhood.

With respect to the Policies not enumerated here, the Department of Planning and Development has determined that they are either not applicable to development in the Private Use Zone or that the proposed project will not have a detrimental effect on the Lake Michigan shoreline or any wildlife habitats therein. This is because the proposed project is separated from the shoreline, does not reduce existing open space or wildlife habitat and does not interfere with existing access to, or use of, the lake and its parks.

Based on the foregoing, it is the recommendation of the Department of Planning and Development

that this development application, being in conformance with the provisions of the Lake Michigan and Chicago Lakefront Protection Ordinance, be approved, subject to compliance with the exhibits including site and Landscape Plans and elevation drawings dated April 21, 2016 and presented before you today.

Bureau of Zoning and Land Use Department of Planning and Development

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DEPARTMENT OF PLANNING AND DEVELOPMENT CITY OF CHICAGO

RESIDENTIAL BUSINESS PLANNED DEVELOPMENT 920-1006 SOUTH MICHIGAN AVENUE; 1011-1015 SOUTH WABASH AVENUE

RESOLUTION

- WHEREAS, the Applicant, 1000 South Michigan Equities, LLC, proposes to establish a Residential Business Planned Development at 920-1006 South Michigan Avenue and 1011-15 South Wabash Avenue; and,
- WHEREAS, The Applicant intends to create two subareas within the overall 46,287 square foot site. Subarea A, located at 920 South Michigan Avenue will be redeveloped with an 832' residential building with 506 dwelling units, 486 parking spaces and ground floor commercial space; and,
- WHEREAS, Subarea B, located at 1006 South Michigan Avenue and 1011-1015 South Wabash Avenue is improved with a 102' commercial building and 12 space parking lot, respectively, and will remain as such; and,
- WHEREAS, The overall site is currently zoned DX-12 (Downtown Mixed-Use District) and DX-16 (Downtown Mixed-Use District) and will be rezoned to a unified DX-16 prior to establishing the proposed Residential Business Planned Development; and,
- WHEREAS, the Applicant's request to rezone the property was introduced to the City Council on September 24, 2015; and,
- WHEREAS, proper legal notice of the hearing before the Plan Commission was published in

the Chicago Sun-Times on April 6, 2016. The Applicants were separately notified of this hearing and the proposed zoning application was considered at a public hearing by this Plan Commission on April 21, 2016; and,

WHEREAS, the Plan Commission has reviewed the application with respect to the provisions of the Zoning Ordinance and finds that the proposal will be consistent with said provisions; and

WHEREAS, the Department of Planning and Development recommended approval of the

121 NORTH LASALLE STREET, ROOM 1000, CHICAGO, ILLINOIS 60602

FINAL

application, with the recommendation and explanation contained in the written report dated April 21, 2016, a copy of which is attached hereto and made a part hereof; and,

WHEREAS, the Plan Commission has fully reviewed the application and all informational submissions associated with the proposed amendment, the report and recommendation of the Commissioner of the Department of Planning and Development and all other testimony presented at the public hearing held on April 21, 2016, giving consideration to the Zoning Ordinance;

NOW, THEREFORE, BE IT RESOLVED BY THE CHICAGO PLAN COMMISSION:

THAT the above-stated recitals to this resolution together with the report of the Commissioner of the Department of Planning and Development be adopted as the findings of fact of the Plan Commission regarding this zoning map amendment application; and,

THAT this Plan Commission recommends approval to the City Council Committee on Zoning, Landmarks and Building Standards of the final zoning application dated April 21, 2016; and, Martin Cabrera, Jr. Chairman Chicago Plan Commissio

RBPD No.

Approved: April 21, 2016

121 NORTH LASALLE STREET, ROOM 1000. CHICAGO, ILLINOIS 60602

SEP 2 4 2015

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CITY OF CHICAGO

APPLICATION FOR AN AMENDMENT TO THE CHICAGO ZONING ORDINANCE

- 1. ADDRESS of the property Applicant is seeking to rezone:
- 1. 920-1006 S. Michigan Ave, and 1011-1015 S. Wabash Ave.
- 2. Ward Number that property is located in; 4th Ward
- 3. APPLICANT 1000 South Michigan Equities LLC

ADDRESS 55 Fifth Avenue, 15th Floor

CITY New York

STATELY

ZIP CODE J 0003

PHONE 212-206-6097

EMAIL rsinger@timaeguiiies.com <mailto:rsinger@timaeguiiies.com>

CONTACT PERSON Robert

Singer

4. Is the applicant the owner of the property? YES

NO x

If the applicant is not the owner of the property, please provide the following information regarding the owner and attach written authorization from the owner allowing the application to proceed.

OWNER Please see Exhibit A attached hereto.

ADDRESS CITY

STATE ZIP CODE PHONE.

EMAIL CONTACT PERSON

If the Applicant/Owner of the property has obtained a lawyer as their representative for the rezoning, please provide the following information:

ATTORNEY Jonry J. George/Chris A. Leach, Schuyler, Roche & Crisham, P.C

ADDRESS "180 N. Stetson Ave. Suite 3700

File #: SO2015	5-6394, Vers	ion: 1						
	CITY Chic	cago	STA	TE JL	Z	IP CODE 6060	1	
	PHONE <mailto:ge< th=""><th>(312)</th><th>565-8439 ttorneys.com></th><th>FAX</th><th>(312)</th><th>565-8300</th><th>EMAIL</th><th>]george@srcattorneys.com</th></mailto:ge<>	(312)	565-8439 ttorneys.com>	FAX	(312)	565-8300	EMAIL]george@srcattorneys.com
COUNTY OF being first duly				above				cleach@ s rcattorney s .co m
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statemdnJU ar		nents conta				d herewith are gaft Equities l		correct.
bscri								
Subscribed and day of Sep		efore me t , 20 ¹⁵						
'By*; 1000 Stj. Qualified tn Nauaa		n Manage	r LLC ^J r\JCm	/y^fLL. I	Manager			
Comnilaslon Expir	nty re* July 20,201		CHAT-FEE No	otary Public	c, State, of N	low Yorfe No. 0	1CH6328026	5
Date of Introdu	action:.							
File Number:								
Ward:								
			ZONIN	G AME	NDMENT	APPLICATION	ON EXHE	BIT A
	LIST OF A	ADDITIO	NAL PD PRO	PERTY	OWNERS	S		
APPLICANT:		1000 SOU	TH MICHIG	AN EQU	ITIES, LI	LC		
ADDDECC.	ú	20 1006	S Michigan /	\ vo	1011 101	5 C		

ADDRESS: 920-1006 S. Michigan Ave., and 1011-1015 S.

Wabash Ave, Chicago, Illinois

SUB-AREA A:

First American Bank, not personally, but as trustee U/T/A dated April 6, 2009 and known

as Trust number 1 -09-111
218 West Main Street
West Dundee, IL 60176
Contact: Dawn Griffin
847-403-8109
dgriffin@firstambank.com <mailto:dgriffin@firstambank.com>

SUB-AREA B TENANTS IN COMMON OWNERS:

33.d Sheet 1006 Michigan LLC 55 Filth Avenue, 15° Floor New York, New York, 10003 Contact: Robert Singer 212-206-6097 rsinger@timeequities.com <mailto:rsinger@timeequities.com>

RK 2011 Trust 1006 Michigan Avenue LLC 55 Fifth Avenue, 15th Floor New York, New York, 10003 Contact: Robert Singer 212-206-6097

rsinger@timeequities.com <mailto:rsinger@timeequities.com>

131 West 33^{r<1} 1006 Michigan Avenue, LLC 55 Fifth Avenue, 15th Floor New York, New York, 10003 Contact: Robert Singer 212-206-6097 rsinger@timeequitics.com <mailto:rsinger@timeequitics.com>

1006 S Michigan LLC 2 Seaview Blvd. Port Washington, NY 11050 Contact: Jordan Karlik 516-622-7500 Jordan@j kequities.com http://kequities.com

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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

1000 South, Michigan Equities LLC.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. [xl the Applicant

OR

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

OR

- 3. [] a legal entity with a right of control (see Section 11.6.1.) .State the legal name of the entity in which the Disclosing Party holds a right of control:
- B. Business address of the Disclosing Party:

55 Fifth Avenue, 15th Floor New York; New York, 10003

C. Telephone:

(212)206-6097

Fax:

Email:

rsinger@timeequities.com

<mailto:rsinger@timeequities.com>

- D. Name of contact person: Robert Singer
- 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):

Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash;

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

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

Specification #

j and Contract #

Pago 1 of 13

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

Person

Limited partnership

Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership

File #: SO2015-6394, \	Version: 1		
Trust Xl Limited liability co [] Limited liability par [] Joint venture [] Not-for-profit corpo (Is the not-for-profit co [J Yes ' [] Other (please'specify	rtnership oration orporation also a 501(c)(3 []] No))?	
_	, -	ntry) of incorporation or organization, if applicable: Illinois	
3. For legal entitie Illinois as a foreign en		tte of Illinois: Has the organization registered to do business in the St	ate of
[JYes	[]No	DO N/A	
B. IF THE DISCLOSI	NG PARTY IS A LEGA	L ENTITY:	
profit corporations, als members," For trusts, of If the entity is a gen venture, list below the	o list below all members estates or other similar enteral partnership, limited name and title of each gooday management.of the	l executive officers and all directors of the entity. NOTE: For not-for if any, which are legal entities. If there are no such members, write 'tities, list below, the legal titleholder(s). partnership, limited liability company, limited liability partnership or neral partner, managing member, manager or any other person or ent Disclosing.Party. NOTE: Each legal entity listed below must submit	'no joint ity
Name Title 1000 South Michigan Ma 1000 South Michigan TE		<u>Manager</u>	
1000 S Michigan JK Oak		concerning each person or entity having a direct or indirect beneficia	

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

Page 2 of 13

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

Name	Business Address		Percentage Interest in the Disclosing Party			
1000 South Michigan TE1 Equ	uities LLC	55 Fifth Avenue, 15th Floor New York. New Yor	50%	,		
1000 S Michigan JK Oak LLC	_	55 Fifth Avenue, 15th Floor New York7fiewT57ICT0~60		"	; ~	

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 MNo

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 cither ask the City whether disclosure is required or make the disclosure.

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

File #: SO2015-6394, Version : 1						
John J. George		er, Roche & Crisham, P.C Stetson Ave, Suite 3700	Attorney	\$5,000 e	estimate	
*	,	, 	Gnieagor^Um	ois/\OGOI	-	
(Add sheets if nece	essary)					
[] Check here i	f the Disclosing	g Party has not retained,	nor expects to re	etain, any such	n persons or en	atities
SECTION VCEF	RTIFICATIONS					
A. COURT-ORDI	ERED CHILD S	UPPORT COMPLIANCE1				
		2-92-415, substantial owners ild support obligations throug			with the City mus	t
• •	•	irectly owns-10% or more of inois court of competent juris	-	ty been-'declarc	d in arrearage on	ı any
[] Yes	[Xl No	[] No person directly or in Disclosing Party.	directly owns 10%	or more of the		
If "Yes," has the pe compliance with th		o a court-approved agreemen	t for payment of al	l support owed a	and is the person	in
[J Yes	[No					
B. FURTHER CE	RTIFICATIONS	3				
terms (e.g., "doing doing business with person is currently supervision for, any perjury, dishonesty understands and ac City. NOTE: If Art	business") and le in the City, then the indicted or charge y criminal offens or deceit against knowledges that icle I applies to the	Chapter 1-23, Article I ("Article I ("Article I ("Article I ("Article I ("Article I ("Explain I ("Article I ("Article I ("Article I ("Article I ("Article I ("Article I is the Applicant, the permanent offications 2 and 3 below."	closing Party submas follows: (i) neither tof, or has ever been, or conspiracy to be City or any sister a continuing require	her the Applicanteen convicted of commit bribery, ragency; and (increment for doing	is the Applicant at nor any control or placed uiider theft, fraud, forg the Applicant g business with the	and is lling gery,

Page 4 of 13

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, stale 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 guity 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
- b. agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or
- b. prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or
- b. otherwise; of
- c. made an admission of such conduct described in a. or b. above that is a matter of recortl,-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 islisted on any ofthe following lists maintained by the Office of Foreign Assets-Control of U.S. Department of the Tre'asury or the Bureau of Industry and Security Of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
 - 6. 'The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
 - 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A

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

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 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): N/A

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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.

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.

		icipal Code: Docs any official or employee of the City have a of any other person or entity in the Matter?
NOTE: If you checked Part E.	ed "Yes" to Item D.I., proceed to Ite	ems D.2. and D.3. If you checked "No" to Item D. 1., proceed to
employee shall have a purchase of any prope legal process at the su	a financial interest in his or her ownerly that (i) belongs to the City, or (it of the City (collectively, "City Pa	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 roperty Sale"). Compensation for property taken pursuant to the cial interest within the meaning of this Part D.
Does the Matter invol	ve a City Property Sale?	
[] Yes	[] No	
•	d "Yes" to Item D.l., provide the nature of	ames and business addresses of the City officials or f such interest:
Name .	Business Address	Nature of Interest
4. The Disclosing City official or employ	-	hibited financial interest in the Matter will be acquired by any
E. CERTIFICATION	REGARDING SLAVERY ERA B	USINESS
	EDS all information required by par	Party checks 2., the Disclosing Party must disclose below or in ragraph 2. Failure to age 8 of 13
comply with these dis the Matter voidable by	•	y contract entered into with the City in connection with
		Party has searched any and all records of regarding records of investments or profits from slavery or

records.

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

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

SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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 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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ě ·	intain all such subcontractors' certifications forthc duration of the Matter and must make such ailable to the City upon request.
B. CERTIFICATION REG	GARDING EQUAL EMPLOYMENT OPPORTUNITY
	unded, federal regulations require the Applicant and all,proposed subcontractors to submit with their bids or in writing at the outset of negotiations.
Is the Disclosing Party the	Applicant?
[]Yes	[] No
If "Yes," answer the three	questions below;:
Have you develop regulations? (See 41 CFR Yes	ed and do you have on file affirmative action programs pursuant to applicable federal Part 60-2.) [] No
•	th the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance inployment Opportunity Commission all reports due under the applicable filing requirements? [] No
3. Have you participa opportunity clause? [] Yes	ited in any previous contracts or subcontracts subject to the equal
If you checked "No" to qu	estion 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 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.citvofchicago.org/Ethics http://www.citvofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all 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 v/ith the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information'submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of-Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use. any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form arid'substance to those in F.1. and F.2. above and will not. without the prior written¹ consent of the City, use any such- contractor/subcontractor that does nofjprovide such certifications or that the . Disclosing Party has'reason to believe has not provided dr 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: (l)-warrants that he/she is authorized to execute this EDS arid 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.

1000 South Michigan EquitleyfeLC

Robert Kantor.

(Print or type name of person signing)

Manager of 1000 South Michigan, LLC, Manager of Disclosing Entity (Print or type title of person signing)

JOSEPHINE CINQUEMAN1 Notary Public, Stale o! Wow York No. 49113831 Qualifier! in Bronx County & Commission Exotas July 8, ?0 /y.

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 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?

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I]Yes	x] No	
is connected; (3) the nam		ch person, (2) the name of the legal entity to which such person al or department head to whom such person has a familial tionship.
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		MIC DISCLOSURE STATEMENT AND AFFIDAVIT ENDIX B
BUILDING CO	DE SCOFFLAW/PROBLEM 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 entity icant.
	icipal Code Section 2-154-010, is em landlord'pursuant to Section 2-	the Applicant or any Owner identified as a building code 92-41.6 of the Municipal ' Code?'
[1 Yes	1 [X] No	
2. If the Applicant	is a legal entity publicly traded on	any exchange, is any officer or director of
the Applicant identi	fied-as a building code scofflaw o	r problem landlord pursuant to Section
2-92-416 of the Mu	nicipal Code?	
[] Yes	[]No	[X]iNot Applicable
	ilding code scofflaw or problem la	y below the name of the person or legal entity, , and lordahd the address of the building or ■ . ■ ' 1 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.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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

1000 South Michigan Manager, 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
- 2. Applicant in which the Disclosing Party holds an interest:

OR

- 3. fxl a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control: 1000 South Michigan Equities LLC
- B. Business address of the Disclosing Party: 55 Fifth Avenue, 15th Floor New York, New York."10003
- C. Telephone: .(2,12) 206-6097 Fax: , ^ Email: rsinger@timeequities.com

<mailto:rsinger@timeequities.com>

D. Name of contact person: Robert Singer

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):

Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.

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

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

Specification U and Contract it

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SECTION II DISCLOSURE OF OWNERSHIP INTERESTS
A. NATURE OF THE DISCLOSING PARTY
I. Indicate the nature of the Disclosin
[] Publicly registered business corporation ,{]Privately held business corporation [.]Sole proprietorship [] General partnership [] Limited partnership [] Trust
Party: fX] Limited liability company [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? []Yes []No [] Other (please specify)
2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:.
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?
[X] 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 joir 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 Francis Qr&enburger , Manager

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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
		¹ Disclosing Party
Francis Greenburger	, ,	55 Fifth Avenue, 15th Floor i New York. New York, 10003 ~J~ '.~
Robert Kantor	55 Fifth Avenue, 15th Floor	
<i>‡</i>	~~	flew York, New York, 10003 ; - ■"'
Jerry Karlik		55 Fifth Avenue, 15th Floor '
= '!		New YorkT New"VorkT
		10003 """" ' ~~ "
Elias Abubeker		55 Fifth Avenue, 15th Floor
	1	New York, New York. 10003" ": ^

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 |xl 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.

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of any person or en any person or entit or administrative a	ntity other than: (1 by any part of whose action. g Party is uncertain) a not-for-profit entity, on an unpair se duties as an employee of another n whether a disclosure is required u	ny legislative or administrative action on behalf id basis, or (2) himself. "Lobbyist" also means includes undertaking to influence any legislative ander this Section, the Disclosing Party must
cither ask the City	whether disclosur	e is required or make the disclosure	
		Page 3 of 13	
Name (indicate wl	hether Business	Relationship to Disclosing Part	y Fees (indicate whether
retained or anticip to be retained)	ated Address	(subcontractor, attorney, lobbyist, etc.)	paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
(Add sheets if nec	essary)		
fx] Check here is	if the Disclosing	Party has not retained, nor exp	pects to retain, any such persons or entities
SECTION V - CE	RTIFICATIONS		
A. COURT-ORD	ERED CHILD SU	PPORT COMPLIANCE	
•		-92-415, substantial owners of busing support obligations throughout the	ness entities that contract with the City must e contract's term.
	•	rectly owns 10% or more of the Disc nois court of competent jurisdiction?	closing Party .been declared in arrearage on any
[]Yes	EKl No	[] No person directly or indirectly	owns 10% or more of the

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

Disclosing Party.

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 1 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. 1. 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 concent;
 - 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 Parly, 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
- b. agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or
- b. prospective bidders', ^Jih restraint of freedom of competition by agreement to bid a fixed price or
- b. 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 Contractof, 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 ri'or any Affiliated Entity¹ 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 fo certify to any ofthe 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 of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date-of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). N/A
- 9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, ofthe City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public; or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 1. t] is 1X1 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, thenthe 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

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Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in. the loss of the privilege of doing business with the City."
If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary): N/A -
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 PartD.
1. In accordance with Section 2-156-110 of the Municipal Code: Docs any official or employee
1. ofthe City have a financial interest in his or her ow.n;name or in the name of any other person or
1. entity in the Matter?, .,. I] Yes fx] No
NOTE: If you checked "Yes" to ftem D.I., proceed to Items D.2. and D.3. If you checked "No" to Item D. 1., proceed to Part E.
2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit ofthe City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminentidomain power does not constitute a financial interest within the meaning of this Part D.
Does the Matter involve a City Property Sale?
[]Yes []No
3. If you checked "Yes" to Item D.I., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

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Nature of Interest

Business, Address

Name

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. I f 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 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 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be

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* *	at the Disclosing Party means that NO persons or entities registered under the Lobbying ave made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)
entity listed in Paragraph to influence an officer or officer or employee of Co funded contract, making a	A.l. above for his or her lobbying activities or to pay any person or entity to influence or attempted to any agency, as defined by • applicable federal law, a member of Congress, an employee of a member of Congress, in connection with the award of any federally my federally funded grant or loan, entering into any cooperative agreement, or to extend, or modify any federally funded contract, grant, loan, or cooperative agreement. Page 9 of 13
_	rty will submit an updated certification at the end of each calendar quarter in which there atterially affects the accuracy of the statements and information set forth in paragraphs A.l. and
Revenue Code of 1986; o	arty certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 will not engage in "Lobbying Activities".
substance'to paragraphs A Disclosing Party must ma	Party is the Applicant, the Disclosing Party must obtain certifications equal in form and A. 1. through A.4. above from all subcontractors before it awards any subcontract and the aintain all such subcontractors' certifications for the duration of the Matter and must make such vailable to the City upon request.
B. CERTIFICATION RE	GARDING EQUAL EMPLOYMENT OPPORTUNITY
· · · · · · · · · · · · · · · · · · ·	funded, federal regulations require the Applicant and all proposed subcontractors to submit a with their bids or in writing at the outset of negotiations.
Is the Disclosing Party th	e Applicant?
[]Yes []No If "Yes," a	nswer the three questions below:;
Have you develop regulations? (See 41 CFR [] Yes	ped and do you have on file affirmative action programs pursuant to applicable federa Part 60-2.) [J No
•	th the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance imployment Opportunity Commission all reports due under the applicable filing requirements? [] NO
3. Have you paiticipate opportunity clause? [] Yes	atcd in any previous contracts or subcontracts subject to the equal [1 No

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

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

The Disclosing Party understands and agrees that:-.

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

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

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 1 of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, lax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the-Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F,3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.l. and F.2. above and will hot, without the prior written consent of the City, use aijy such contractor/subcontractor that does hot provide such certifications or that 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 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) wan-ants 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) arc true, accurate and complete as of the date furnished to the City.

1000 South Michigan ly)qnager, LLC » ' I

Robert Kantor

(Print or type name of person signing)

Manager of Disclosing Entity

(Print or type title of person signing) Notary Public.

JOSEPHINE CINQUEMANI Notaiy Public. State of New York No. 4883831 Qualifinal in Bronx County, Commission Expires July S. 20

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 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 Ex] 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 CH ICAGO 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.

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 Pursuant lo 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? 			
f Yes	[X No		
		exchange, is any officer or director of the Applicant identified as a ection 2-92-416 of the Municipal Code?	
[] Yes	[j"No	[X] Not Applicable	
	please identify below the name o code scofflaw or problem landlor	fthe person or legal entity rd and the address of the building or buildings to which the pertinent	
APPENDIX B IS INCO AND THAT THE REP	REPORATED BY REFERENCE RESENTATIONS MADE IN TH LTY OF PERJURY ON PAGE 1 CITY OF	CKNOWLEDGMENT AND AGREEMENT THAT THIS INTO, AND MADE A PART OF, THE ASSOCIATED EDS, IS APPENDIX B ARE SUBJECT TO THE CERTIFICATION 2 OF THE ASSOCIATED EDS. CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT	
SECTION I - GENERAL IN	FORMATION		
A. LegaJ name of the Disclo	sing Party submitting this EDS	. Include d/b/a/ if applicable: 1006 Mich Office,	
LLC			
Check ONE of the following	three boxes:		
 [] the Property Owner OR [X] a legal entity holdi Owner in which the DiOR 	sclosing Party holds an interestright of control (see Section I	in the Property Owner. State the legal name of the Property	
B. Business address of the	Disclosing Party: 111 f Warkı Chicaç	or nriw ap.no <http: ap.no=""> go, IL 60601</http:>	

File #: SO2015-6394, Version: 1		
C. Telephone: 312 819 4444	Fax: 312 819 5410	Email: msiemer@bradleyassoc.com
<mailto:msiemer@bradleyassoc.com< td=""><td><u>n></u></td><td></td></mailto:msiemer@bradleyassoc.com<>	<u>n></u>	
D. Name of contact person: Mika Si	emer	
E. Federal Employer Identification	No. (if you have one): 26 18	13279
F. Brief description of contract, tran	saction or other undertaking	(referred to below as the "Matter") to
which this EDS pertains. (Include p	roject number and location o	of property, if applicable): Planned
development application for 920-10	06 S Michigan Avenue and	1011-1015 South Wabash
G. Which City agency or departmen	t is requesting this EDS?Dep	partment of Planning and Development
If" the Mnttp.r is a contract being complete the following:	handled by the City's Depar	tment of Procurement Services, please
Specification ft	and Contr	ract #
Page 1 of 13		
SECTION II » DISCLOSURE OF	OWNERSHIP INTERESTS	
A. NATURE OF THE DISCLOSIN	IG PARTY	
1. Indicate the nature of the Discl I] Publicly registered business corporatnership [] Limited partnership [oration [] Privately held bus	iness corporation ['] Sole proprietorship [] General
[X] Limited liability company [] Limited liability partnership [] Joint venture		

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

[] Not-for-profit corporation

(Is the not-for-profit corporation also a 501(c)(3))? []Yes []No [] Other (please specify)

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?

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[]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 MHSR LLC C/O Michael Siemer Manager

SNJL LLC C/O Sherwin .larol Manager

BMJ Investment Holdings LLC c/o Bradley Jarol Manager VJP Management LLC c/o Luke Jacob Pascale 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 Percentage Interest in the

Disclosing Party

MHSR LLC 111 EWACKER DRIVE #900 CHICAGO IL 60601 40%

SNJL LLC 111 E WACKER DRIVE #900 CHICAGO IL 60601 40%

BMJ Investment Holdings LLC 111 E Wacker Drive #900 Chicago IL 60601 15%

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 retained or anticipated to be retained)

Relationship to Disclosing Party Fees (indicate whether subscription of the contractor)

Relationship to Disclosing Party Fees (indicate whether subscription of the contractor)

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

"hourly rate" or

paid or estimated.) NOTE:

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

not an acceptable response.

N/A

(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.

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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?

[] 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 Il.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 Partyi Affiliated Entity dr 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)

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any similar offense of any state or ofthe 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 DiscIosing 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 ofthe above statements in this Part B (Further Certifications), the Disclosing Party must explain below: N/A

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

- 8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees 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, of the City of Chicago (if none, indicate with "N/A" or "none"). N/A

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C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION
1. The Disclosing Party certifies that the Disclosing Party (check one)

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

[X] is not

1. [] is

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 ofthe privilege of doing business with the City."

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

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

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?

U Yes' [X] No ...; ...,,...

NOTE: If you checked "Yes" to Item D,. 1,, .proceed to Items D. % and D.3. If you. checked "No" to Item D.i., proceed.to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name'of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold'by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

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Docs the Matter involve a City Property Sale?

□ Yes []No

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

Name

Business; Address

Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City

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are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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 hot an organization described in section
 - 4. 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section
 - 4. 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying
 - 4. Activities". '-
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A A.-through. A. 4. above from alfsubcontractors 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

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subcontractors to submit the following information with their bids or in writing at the outset of negotiations.; • : ' : '.
Is the Disclosing Party the Applicant?, ,.
[]Yes [X]No
If "Yes," answer the three questions below:
1. Have you developed arid'do you have on file affirmative action programs pursuant to applicable federa regulations? (See 41 CFR Part 60-2.) . []Yes []No
2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements? [] Yes []No
3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause? [] Yes [] No
If you checked "No" to question 1. or 2. above, please provide an explanation:

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

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at wwWiCitvbfchicago.offe/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all 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 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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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party of its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will hot use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.' S. General-Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications;

NOTE: If the Disclosing Party cannot certify as to any ofthe 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: (l)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 ofthe date furnished to the City. '

1006 Mich Office LLC

(Print or type name of Disclosing Party)

(Sign here)

MICHAEL SIEMER

(Print or type name of person signing)

MANAGER OF MHSR LLC, MANAGER OF DISCLOSING PARTY (Print or type title of person signing)

Sighed and sworn to before me on (date) jf' \(\)JC

»LWk county, minus ">:M-

Notary Public.

Commission expires:

AWSONT.KING

NOTARY PUBLIC • STATE OF ILLINOIS

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

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B. 1 .a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers,

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

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

[] Yes [X] No

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

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT 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 2-154r010, is the Applicant or any Owner identified as a

building code scofflaw or problem landlord pursuant to Section 2-192-416 of the Municipal

Code? , 'V '' .';

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

[] Yes [] No : [X] Not'Applicable

3. If yes to (1) or (2) above, please identify below the name oTthe'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/ if applicable;: 1000 S

Michigan JK OAK, LLC

Check ONE of the following three boxes:;

Indicate whether the Disclosing Party submitting this EDS is:

1. [] the; Applicant

OR

2. [X] a legal entity holding a direct.or indirect interest in the Property Owner. State the legal name of the Property Owner in which the Disclosing Party holds an interest:

OR

- 3. [] a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control:
- B. Business address of the Disclosing Party: ? SftaviRw RlvH, m?
 Port Washington, NY 11050

C. Telephone: 516 622 7500 Fax: 516 224 7259 Email: jordan@jkequities.com

<mailto:jordan@jkequities.com>

D. Name of contact person: .inrrian Karlik

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): Planned development application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.

■-

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G. Which City agency or department is requesting th	is EDS?Department of Planning and Development
D Tf thr; Mnttpr is n contract being handled by the C following:	City's Department of Procurement Services, please complete the
Specification #	and Contract #
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SECTION II - DISCLOSURE OF OWNERSHI	P INTERESTS
A. NATURE OF THE DISCLOSING PARTY	1.
Indicate the nature of the Disclosing Party: Person Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership - Limited partnership Trust	[X] Limited liability company [] Limited liability partnership [] Joint venture ? [] Not-for-profit corporation (Is the not-for-profit corporation also a 501 (c)(3))? [] Yes [] No [] Other (please specify)
2. For legal entities, the state (or foreign con	untry) of incorporation or organization; if applicable:
2. <u>Delaware</u> <u>■,;</u> ■	
3. For legal entities not organized in the Stathe State of Illinois as a foreign entity?	te of Illinois: Has the organization registered to do business in
[]Yes [X]No []N/A	
B. IF THE DISCLOSING PARTY IS A LEGAI	L ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not -for-profitcorporations, 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.

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Name Title JK Eq	uities LLC Manager	
OAK Capitals LLO	C Manager	
beneficial interest	<u> </u>	ing each person or entity having a direct or indirect 5% ofthe Disclosing Party. Examples of such an interest partnership or joint venture,
	Page 2	of 13
other similar entity Chicago ("Munici	y. If none, state "None." NOTE: Pursu	mpany, or interest of a beneficiary of a trust, estate or lant to Section 2-154-030 of the Municipal Code of such additional information from any applicant which is
Name	Business Address	Percentage Interest in the Disclosing Party
JK Equities LLC	- 2 SEA VIEW BLVD #102, PORT V	VASHINGTON, NY 11050 - 50% OAK
	Capitals LLC - 1250 S Michi	igan Ave, #1902, Chicago, IL 60605 50%
SECTION III BU	JSINESS RELATIONSHIPS WITH C	CITY ELECTED OFFICIALS
	sing Party had a "business relationshi ted official in the 12 months before th	p," as defined in Chapter 2-156 of the Municipal Code e 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 Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, lobbyist, etc.)

Thought paid or estimated.) NOTE:

Thought paid or estimated.) NOTE:

Thought paid or estimated.) not an acceptable response.

N/A.

(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; arid (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
 - b. offense, adjudged guilty, or had a civil judgment rendered against them in connection with:
 - b. obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or
 - b. contract under a public transaction; a violation of federal or state antitrust statutes; fraud;
 - b. embezzlement; theft; forgery; bribery; falsification or destruction of records; making false
 - b. 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 Overyear 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 Cityj 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. ¹ 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 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 ofthe above statements in this Part B (Further Certifications), the Disclosing Party must explain below: N/A

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

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

N/A

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

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): _ N/A

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

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.

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

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

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, ho City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or(iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the 'meaning of this Part D.

Does the Matter involve a City Property Sale?

[] Yes []No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

Page 8 of 13

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

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

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

File #: SO2015-6394, V	ersion: 1			
	Code of 1986; or (ii) it is a 6 but has not engaged and	•		
and substance to para arid the Disclosing Pa	ng Party is the Applicant, graphs A.l. through A.4. a rty must maintain all such fications promptly availab	bove from all subc subcontractors' ce	contractors before, it a crifications for the du	awards any subcontract
B. CERTIFICATION	REGARDING EQUAL I	EMPLOYMENT C	PPORTUNITY	
If the Matter is federa	lly funded, federal regulat	tions require^the A	pplicant and all prope	osed i
subcontractors to subi	mit the following informat	tion with their bids	or in writing at the o	utset of
negotiations.		,	:.	• *
Is the Disclosing Part	y the Applicant?			
[] Yes	[XJ No•			
If "Yes," answer the the	hree questions below:		,	
-	oped and do you have on	file affirmative ac	ction programs pursu	ant to applicable federa
regulations? (See 41 C	CFR Part 60-2.) [] No			
[] Tes	[]NO			
	with the Joint Reporting , or the Equal Employmen			
[] Yes	[] No			
•	cipated in any previous co	ontracts or subcont	racts subject to the eq	ıual
opportunity clause? [] Yes	[] No			
If you checked "No" t	o question 1. or 2. above,	please provide an	explanation:	
		Page 10 of 13		
SECTION VII	ACKNOW	LEDGMENTS,	CONTRACT	INCORPORATION,
COMPLIANCE, PENA		LEDUIVIEN 13,	CONTRACT	INCORPORATION,
The Disclosing Party un	derstands 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 Cityls Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics http://www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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/br 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.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 or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party'and its Affiliated Entities will not use, nor

permit their subcontractors to use, any facility listed by the U'.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.l. and F.2. above and will hot, 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 hot provided or cannot provide truthful certifications.

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

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to 'execute this EDS arid 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) aire true; accurate and complete as of me'date furnished to the City.

1000 S Michigan JK OAK, LLC

(PrintyOTNjJype name of^D/lsclosing Party)

JERRyKARLIK

(Hrinj/6r type nariie of person signing)

MANAGER OF JK EQUITIES LLC, MANAGER OF DISCLOSING PARTY (Print or type title of person signing)

Signed and sworn to before me on (date) Artist 2kim
County, Estate).

Jo . a:,

kkS Notary Public. iJS^S^SS^k

Commission expires: (TuJ^ Vd, TOR . OomniukMExf^fy^mQ

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer, or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother_rin-law, son-in-law, daughter-in-rlaw, 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. La., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity, or any person exercising similar authority.

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

[] Yes [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

File #: SO2015-6394, Ver s	sion:	-1
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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 exceedirtg[7.5 percent (an "Owner*'). It is not to be completed by any legal entity which has only an indirect ownership interest' iii the Applicant.

	-		, is the Applicant or any Owner identified as a ant to S'ection 2-92-416 of the Municipal
[]Yes	111	[X]No '	
	entified as abiii		bn any excharige, is any officer or director of the or, problem landlord pursuant to Section 2-92-416
[]Yes		[]No :'-	[X] Not Applicable

3; If yes to (1) or (2) above, please identify below the name of the person or legal entity - identified; as a building code scofflaw or problem landlord and the address of thebuilding or buildings to which the pertinent<icode violations!appl.y;

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

File #: SO2015-6394, Version: 1
A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:
1000 South Michigan TEI Equities LLC -
Check ONE of the following three boxes:
Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR
2. Ix] a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the2. Applicant in which the Disclosing Party holds an interest: 1000 South Michigan Equities LLC OR
3. [] a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control;
B. Business address of the Disclosing Party: 55 Fifth Avenue. 15th Floor . New York, New York, 10003
C. Telephone: (212)206-6097 Fax: \(\sum_{\text{mailto:rsinger@timeequities.com}} \)
D. Name of contact person: Robert Singer
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): .
Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesting this EDS? Department of Planning and Development,
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification # and Contract # .
Page 1 of 13
SECTION II DISCLOSURE OF OWNERSHIP INTERESTS

File #: SO2015-6394,	Version: 1	
A. NATURE OF THE	DISCLOSING PARTY	
1. Indicate the na [] Person [] Publicly registered [] Privately held busin [] Sole proprietorship [] General partnership [] Limited partnership [] Trust	ness corporation .	[X]Limited liability company [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No [] Other (please specify)
2. For legal entities	, the state (or foreign cou	untry) of incorporation or organization, if applicable: Illinois
3. For legal entition of Illinois' as a foreign	-	ate of Illinois: Has the organization registered to do business in the State
[]Yes	[]No	DO N/A
B. IF THE DISCLOSI	NG PARTY IS A LEGA	L ENTITY:
profit corporations, als members." For trusts, If the entity is a gen venture, list below the	to list below all members estates or other similar enteral partnership, limited name and title of each god-day management of the	Il executive officers and all directors of the entity. NOTE: For not-for- i, if any, which are legal entities. If there are no such members, write "no intities, list below the legal titleholder(s). partnership, limited liability company, limited liability partnership or join meneral partner, managing member, manager or any other person or entity Disclosing Party. NOTE: Each legal entity listed below must submit an
Name Title Francis Greenburger Robert Kantor Manager		Manager
nterest (including owr		a concerning each person or entity having a direct or indirect beneficial of ofthe Disclosing Party. Examples of such an interest include shares in a propriet 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
Francis .Greenburger	, 55 Fifth Avenue, 15th Floor New York, New York, 10	
GT Holdings, LLC	* 55 Fifth Avenue, 15th Floo	or
•	New"York" New YorKTT	000S ~
RK 2011 Trust	55 Fifth Avenue. 15th Fl	oor _j J ;
	New York, New Yor	k, 10003

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 1x3 No

If yesi 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.

FIRE #. SUZUTO-0384. VEISION. T	File #:	SO2015-6394,	Version:	1
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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address (subcontractor, attorney, paid or estimated.) NOTE: to be retained) lobbyist, etc.) "hourly rate" or "t.b;d." is not an acceptable response.

(Add sheets if necessary)

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

SECTION V- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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 arid 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 undersupervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee ofthe City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article 1 is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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

 N/A.

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

- 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, of the City of Chicago (if none, indicate with "N/A" or "none"). N/A
- 9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, ofthe 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 ofthe City recipient. N/A

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): N/A

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

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 Sect	ion 2-156-110 of the Muni	cipal Code: Does any	official or employee	of the City have a
financia	l interest in his or her ov	vn name or in the name of	any other person or en	tity in the Matter?	
[] Y	es	W No			

NOTE: If you checked "Yes" to Item. D.I., 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 of entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[] Yes	[] No
LJ	

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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 50!l(c)(;4) of the Iriternal 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 Ap	plicant?	
[]Yes .	[]No	• (
If "Yes," answer the. three que	estions below:	
1. Have you developed regulations? (See 41 CFR Part	and do you have on file affirmative action programs t 60-2.)	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? [1 Yes []No
- 3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

 [1 Yes [] No

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

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

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business,, or transactions. The. full text of these ordinances and a training program is available on line at www.citvofchicago.ofg/Ethics http://www.citvofchicago.ofg/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article 1 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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- 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 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 thetfederal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party iis .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 believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

1000 South Michigan TEI Equities LLC

Robert Kantqr

(Print or type name of person signing)

Manager

(Print or type title of person'signing)

JOSEPHINE CINQUEMANI NnInry Public, State of New York No. 1083831 Qualified in Bronx County fomrois. Simi Expires July 8, 20 jLJ

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 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?

I	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 Or CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

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violations; apply. !

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.

	-	Section 2-154-010, is the Appropursuant to Section' 2-92-416 or	licant or any Owner identified as a building cof the Municipal	de
	[] Yes	' [X]No		
2. If the Applicant is a'legal entity publicly traded on any exchange; is any officer or director of the Applicant identified as a building code scofflaw or problem'landlord'pursuant to Section 2-92-416 of the Municipal Code?				
	[] Yes	[] No	[X] Not Applicable	
3.	• • • • • • • • • • • • • • • • • • • •	identify below the name of the	e person or legal entity identified as a building	e

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

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: 1006 S Michigan,

LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

- 1. [X] the Property Owner
- 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. [] a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control:
- B. Business address of the Disclosing Party: ? RRaviRw Blvri, 10? Port Washington, NY 11050
- C. Telephone: 516 622 7500 Fax:.516 224 7259 Email: jordan@jkequities.com <mailto:jordan@jkequities.com
- D. Name of contact person: jprdan Karlik
- 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): Planned development application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.
- G. Which City agency or department is requesting this EDS? Department of Planning and Development

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

Specification # and Contract #

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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

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Indicate the nature of the Disclosin	ng Party:		
Person Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership Limited partnership Trust	[X] Limited liability company		
2. For legal entities, the state (or fore	eign country) of incorporation or organization, if applicable:		
2. Delaware , ,,,,,,,,,,, ; i3. 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?. [X]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 Jerry Karlik Manager

Elias Abubeker 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

JK 1006 S MICHIGAN LLC - 2 SEAVIEW BLVD #102, PORT WASHINGTON, NY 11050 - 50% OAKS

CAPITAL LLC -1250 S MICHIGAN AVE #1902 CHICAGO, IL 60605 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 retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.)'NOTE: "hourly rate" or "t.b.d." is not an acceptable response
(Add sheets if necessary))		
[X] Check here if the	Disclosing	Party has not retained, nor ex	pects to retain, any such persons or entities
SECTION V - CERTIFIC	CATIONS		
A. COURT-ORDERED	CHILD SU	PPORT COMPLIANCE	
•		92-415, substantial owners of busing support obligations throughout the	ness entities that contract with the City must e contract's term.
		ectly owns 10%'or more of the Disc	closing Party been declared in arrearage on any
[] Yes [X	X] No [No person directly or indirectly ov Disclosing Party.	wns 10% or more of the
If "Yes," has the person ecompliance with that agree		a court-approved agreement for pay	yment of all support owed and is the person in
[] Yes [J	l No'	11	

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 ofthe City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article 1 is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article 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 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 a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe; a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such
- b. agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or
- b. prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or
- b. 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 ¹
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance);
- 4. Neither the Disclosing Party, Affiliated Entity or Contractor, or ariy^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 tor 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: N/A

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

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

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):

N/A

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

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, [X] No, \ldots , \ldots , \ldots

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

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation forproperty taken; pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[]Yes, [] No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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.

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

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- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event'that materially affects the accuracy of the statements and information set forth in paragraphs A.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 al 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 federaPregulatidris 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 Part	y the Applicant?	
L J Yes	[X] No	

If "Yes," answer4he three questions: below:

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

[] Yes

[] No

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

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

[]Yes [INo

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, jmpp.se 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.ciiy6fchicago.orR/Ethics http://www.ciiy6fchicago.orR/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate,
- C. any contract or other agreement in connection with which it is submitted may be rescinded or be void or
- C. voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or
- C. void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or
- C. declining to allow the Disclosing Party to participate in other transactions, with the City. Remedies at
- C. law for a false statement of material fact may include incarceration and an award to the City of treble
- C. 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.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 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 Sys'tem² ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Tarty is the Applicant; the Disclosing Party will obtain from ^fariy ^r contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those iri F.l. and F.2:-abbve and will not, without the prior written consent of the City, use- any- such cohtractbr/subcdhtf actor that does not provide such certification's of that the Disclosing Paftyhas ⁵ reason ¹ to ¹ Believe has riot provided of 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 sighing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) ori'behalf of the Disclosing Party, and (2> warrants that'all certifications and stateiherits contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furrii'shed to'the City.

1006 S MICHIGAN LLC

J/ERJKY' KARLIK

or type name of person signing)

MANAGER

(Print or'type title of person signing) (PripTor type name q^Bisclosing Party)

Signed and sworn to before me on (datc)yfe^^(// fi~<20}5

at NO-^&U Cor

County, kl^{*}i (state).

C^jb U.^'^(2^0L~

Notary Public.

Commission expires: $\underline{^{x}} \sim J\{Jil^{\wedge}j\ 1A\}j\ l^{\wedge}Dj^{\wedge}\}$

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KHJLEYR. CHAFFEE Wotoy Pubtto, Stole of Now Y«fc . No. 01CH6328028 Qualified In Nassau County Commission Exptroa JiJy20,2019

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed .only by (a) the Applicant, arid (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 Parry" 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 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 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.

[]Yes •

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

[]No

This Appendix is to ownership, inieresjfin the A entity which has only an inc	applicant exceeding 7.5.	percerit (an "Own	er"), it is not to be	el entity which has a direct completed by any legal	;t
1. Pursuant to Municip	oal Code Section 2-154-	010, is the Applic	ant or any Owner	identified as a	
1. building code' scoff.	law of problem landlord	d pursuant' to Sect	ion 2-92-416 of th	e Municipal	
1. <i>Code? '''</i>		"•].,	,	r '=	
[]Yes	"," " [X] No				
				any officer or dureetorsuant to Section 2-92-	

■ 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 problemiandlord and the address of the building or buildings to whichthe pertinent code violations apply. .>>.

- [X] Not Applicable

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.

File	#:	SO20	15-6394	Version:	1

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

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

A. L	egal name of the Disclo	sing Party submi	tting this EDS.	Include d/b/a/	if applicable;	
131	West 33rd 1006 Michig	gan.Avenue,. LLO				
Chec	k ONE of the following	g three boxes:				
1. 2. 2. 3.	eate whether the Discloson fx] the Owner of proportion OR [] a legal entity holding Applicant in which the OR [] a legal entity with the Disclosing Paragraphs	erty, located at 10 ng a direct or indi e Disclosing Party a right of control	one South Mich rect interest in the symbol of the section II.1	igan Avenue he Applicant. est:		
В. В	usiness address of the I	Disclosing Party:		nue, 15th Floor ork, New Yor		
C.	Telephone:	(212)	206 _T 6097	Fax:	Email:	rsinger@timeequities.com
<mai< td=""><td>lto:rsinger@timeequiti</td><td>es.com></td><td></td><td></td><td></td><td></td></mai<>	lto:rsinger@timeequiti	es.com>				
D. N	ame of contact person:	Robert Singer	,			

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):

Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.

File #: SO2015-6394, Vers	sion: 1	
G. Which City agency or c	lepartment is requesting	this EDS? Department of Planning and Development
If the Matter is a cont following:	cract being handled by	the City's Department of Procurement Services, please complete the
Specification #	·	and Contract #
Page 1 of 13		
SECTION II - DISCLOS	URE OF OWNERSHIP	INTERESTS
A. NATURI [] Person [] Publicly registered business [] Sole proprietorship [] General partnership [] Limited partnership [] Trust	iness corporation	IG PARTY 1. Indicate the nature of the Disclosing Party: [x] [] [] [] [] [] (Is
Limited liability company Not-for-profit corporation the not-for-profit corporati [] Yes Other (please specify)		rship Joint venture
2. For legal entities, the	e state (or foreign count	ry) of incorporation-or organization, if applicable:
Illinois ' 1	" '	" :
3. For legal entities no of Illinois as a foreign enti	_	e of Illinois: Has the organization registered to do business in the State
[]Yes	[]No DON/A	
B. IF THE DISCLOSING	PARTY IS A LEGAL	ENTITY:

corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no

1. List below the full names and titles of all executive officers and all directors ofthe entity. NOTE: For not-for-profit

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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 Francis Greenburger Robert Kantor Manager

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

Percentage Interest in the Disclosing Party

131 West 33rd Street Holdings, LLC

55 Fifth Avenue, 15th Floor New York, NY 10003 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 Parly'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 to be retained)

Relationship to Disclosing Party Fees (indicate whether fees (indicate whether statement)

(subcontractor, attorney, paid or estimated.) NOTE:

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

(Add sheets if necessary)

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

CERTIFICATIONS <

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE ■

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

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

File #: SO2015-63	94, Version: 1	
[] Yes	[] No	[.] No person directly or indirectly owns 10% or more of the Disclosing Party.

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

[]Yes []No-

B. FURTHER CERTIFICATIONS

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

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- 2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section 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 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 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
- b. agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or
- b. prospective bidders, iri:restraint of freedom of competition by agreement to bid'a fixed price or
- b. 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 Cbde^JSection 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or

File #: SO2015-6394, Version: 1

N/A

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 5/33 E-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 Universified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands' and shall comply with the a'pplicable requirements of Chapters 2-55 (Legislative Inspector General)', 2-56 (Inspector General) and 2-1 56 (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

 N/A

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

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

File #: SO2015-6394, Version: 1				
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION				
1. The Disclosing Party certifies that the Disclosing Party (check one)				

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

fed is not

1. [] is

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

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

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

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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 arc 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 nanie or in the name of any other person or entity in the Matter?

[] Yes

[X] No.

NOTE: If you checked "Yes" to Item D. i., 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, of (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit ofthe 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 #: SO2015-6394, Version: 1 Does the Matter involve a City Property Sale?		
	ked "Yes" to Item D.I., provide the na such interest and identify the nature of	mes and business addresses of the City officials or f such interest:
Name	Business Address	Nature of Interest
4. The Disclosin		hibited financial interest in the Matter will be acquired by any
E. CERTIFICATIO	ON REGARDING SLAVERY ERA B	USINESS
	ther 1. or 2. below. If the Disclosing is EDS all information required by particular the second control of the	Party checks 2., the Disclosing Party must disclose below or in ragraph 2. Failure to
	Pa	ge 8 of 13
comply with these the Matter voidable	•	e any contract entered into with the City in connection with
the Disclosing Part slaveholder insurar	y and any and all predecessor entities are policies during the slavery era (inc	Party has searched any and all records of regarding records of investments or profits from slavery or luding insurance policies issued to slaveholders that provided and the Disclosing Party has found no such records.
Disclosing Party had Disclosing Party versions	as found records of investments or pro	conducting the search in step 1 above, the fits from slavery or slaveholder insurance policies. The ull disclosure of all such records, including the names of any and

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

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- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.l. and A.2. above.
- 4. TheiDisclosing Party certifies that either: (i) his hot 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 submitthe following information with their bids or in writing at the outset of negotiations,. f , π , χ

Is the Disclosing Party the Applicant?..

[JYes []No

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If "Yes," answer the three qu	estions below:
1. Have you developed regulations? (See 41 CFR Pa	and do you have on file affirmative action programs pursuant to applicable federal rt 60-2.)
[J Yes	[] No
•	he Joint Reporting Committee, the Director of the Office of Federal Contract Compliance loyment Opportunity Commission all reports due under the applicable filing requirements? [] No
3. Have you participated opportunity clause?	d in any previous contracts or subcontracts subject to the equal
[] Yes	[] No
If you checked "No" to quest	tion 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.citYofchicaRo.org/Ethics http://www.citYofchicaRo.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

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

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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 1 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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- 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 or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.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.

131 West 33rd Street 1006 Michigan Avenue, LLC (Print or type name of Disclosing Party) ^.

By:

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(Sign here)	
(Print or type name of person signing)	
(Print or type title of person signing) Commission expires: y	

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_rin-law, daughterrin-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	Dc] 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 hot 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
- 1. building code scofflaw or problem landlord pursuah't'to Section 2-92-416 ofthe Municipal

1.	Code?	·•	
	[] Yes	'[X] No ¹	
2.			exchange; is any officer or director of the Applicant sursuant to Section 2-92-416 of the Municipal Code?
	;[]Yes	[] No	[x] Not Applicable

.3. If yes to- (1) or (2) above, please identify below the name of the person or legal entity , identified as a building code scofflaw or problem landlord and the address of the building 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 INFORM ATION
A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:
2003 Francis Greenburger Trust
Check ONE of the following three boxes:
Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR 2. [Xl a legal entity holding a direct or indirect interest in the Owner . State the legal name of the Applicant in which the Disclosing Party holds an interest: 131 West 33rd Street 1006 Michigan Avenue, OR 3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: ' '
B. Business address of the Disclosing Party: 55 Fifth Avenue, 15th Floor New York, New York, 10003
C. Telephone: (212) 206-6097 Fax: Email: rsinger@timeequities.com
<mailto:rsinger@timeequities.com></mailto:rsinger@timeequities.com>
D. Name of contact person: Robert Singer/
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):
Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesting this EDS? Department of Planning and Development
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification if - and Contract # .
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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS
A. NATURE OF THE DISCLOSING PARTY
I. Indicate the nature of the Disclosing Party: [] Person
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
 2. <u>Delaware</u> 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 fx] 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-prof 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 joir 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 Discipsing Party. NOTE: Each legal entity listed below must submit-an EDS on its own behalf.
Name Wilmington Trust Company Trustee

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial

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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

J^MeJaLeeiibuigf Noah Greenburger •€iaire-Greenburger Julia Greenburger

Morgan Greenburger

Business Address Percentage Interest in the

Disclosing Party

SjlEiflliAy^nueJ 5th Flojl New YorJUmflflDi 55 Fifth Avenue, 15th Floor, New York, NY 10003 SSiTftrrAvenaer^trr^fOT 55 Fifth Avenue, 15th Floor, New York, NY 10003

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

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cither ask the City who	ether disclosure	e is required or make the disclosure.	
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Name (indicate wheth	ner Business	Relationship to Disclosing Party	y Fees (indicate whether
retained or anticipated to be retained)	d Address	(subcontractor, attorney, lobbyist, etc.)	paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
(Add sheets if necessar	nry)		
[X] Check here if the	Disclosing Par	ty has not retained, nor expects to r	retain, any such persons or entities. SECTION V
CERTIFICATIONS <	<		
A. COURT-ORDERI	ED CHILD SU	PPORT COMPLIANCE	
*		92-415, substantial owners of busing d support obligations throughout the	ness entities that contract with the City must e contract's term.
		ectly owns 10% of more of the Disc nois court of competent jurisdiction?	closing Party been declared in arrearage on any
[] Yes	X] No	[] No person directly or indirectly Disclosing Party.	owns 10% or more of the
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 CERT	TIFICATIONS		
1. Pursuant to Mu	nicipal Code C	Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined

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,

terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is

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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
 - 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

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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 bribera-public officeror 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, dr 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.S1 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:

N/A

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

- 8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). N/A
 - 9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a, "gift" does not include: (i) anything. made generally available to City employees or to the general public or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. 1 1 1: 11 1

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- The Disclosing Party certifies that the Disclosing Party (check one)
- 1. [] is Fx] is not

N/A

- a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.
 - If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

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

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

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	the word "None," or no responsions Party certified to the	nse appears on the lines above, it will be conclusively above statements.
D. CERTIFICATIO	ON REGARDING INTEREST	IN CITY BUSINESS
Any words or terms used in this Part D.	s that are defined in Chapter 2-1	156 of the Municipal Code have the same meanings when
		he Municipal Code: Does any official or employee of the City have a name of any other person or entity in the Matter?
NOTE: if you chec	ked "Yes" to Item D.I., proceed	d to Items D.2. and D.3. If you checked"No" to
Item D.I proceed t	o Part E.	."•
employee shall have purchase of any pro- legal-process at the	e a financial interest in his or he perty that (i) belongs to the City suit of the City (collectively, "C	etitive bidding, or otherwise permitted, no City elected official or er own name or in the name of any other person or entity in the ty; or (ii) is sold for taxes-or assessments, or (iii) is sold by virtue of 'City Property Sale"). Compensation for property taken pursuant to the a financial interest within the meaning of this Part D.
Does the Matter inv	rolve a City Property Sale?'	
[]Yes []No		
•	ted "Yes" to Item D.I., provide a uch interest and identify the nat	the names and business addresses of the City officials or ature of such interest:
Name	Business Address	Nature of Interest
1 The Disclosir	og Party further certifies that n	no prohibited financial interest in the Matter will be acquired by any

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

an attachment to this EDS all information required by paragraph 2. Failure to Page 8 of 13

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

- 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 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 ofthe 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 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 Party t	ne Applicant?
[]Yes	[JNo
If "Yes," answer the three	ee questions below:
1. Have you develoregulations? (See 4] CFF	oped and do you have on file affirmative action programs pursuant to applicable federal R Part 60-2.) [] No
	with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Employment Opportunity Commission all reports due under the applicable filing requirements?
3. Have you participopportunity clause?	pated in any previous contracts or subcontracts subject to the equal
[] Yes	[] No
If you checked "No" to o	ujestion 1 or 2 above please provide an explanation:

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

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics http://www.cityofchicago.org/Ethics, 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 arid 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 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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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any ofthe 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.

2003 Francis Greenburger Trust
(Print or type name of Disclosing Party)

i

 $ByXJ)^{\ }$ {fiaw^L :

ftsignhere) (Print or type name of person

signing)

JW>^W Vic* 7^)^

(Print or type title of person signing)

Signed and sworn to before me on (date) Hhollb at W&A

Ccl[^] [It County, WlcaOOf-[^] (state).

Commission expires:

WENDY Y.COOK Notary Public - State of Delaware PaSc 3 3 of 13 My Commission Expires July 22,2019

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-rin-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 IX] 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 SCO	OFFLAW/PROBLEM LAND	DLORD CERTIFICATION	
This Appendix is to be o	completed only by (a) the Ap	oplicant, and (b) any legal entity	
which hais a direct owner	ership interest in the Applica	ant exceeding 7^5 percent (an!"Owner"j.	
It is nbt to be completed	by any legal entity which ha	as only an indiYec^bwnefship initerest in	
the Applicant.		111 1	
•	dlord pursuant to Section 2-9	the Applicant or any Owner identified as a '192-416 of me Municipal	ouilding code
[] Yes [X]No			
**	• • •	on any exchange, is any officer'or director of addord pursuant'to Section, 2-92-416 of the Munic	* *
[] Yes '	•[] No	[x] Not Applicable	
3 If yes to (1)	or (2) above please identify	below the name of the person or legal entity	

- identified as a building code scofflaw of 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/ if applicable:
- A. 33rd Street 1006 Michigan Avenue, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

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1. fx] the Owner of property located at 1006 OR	South Michigan Avenue
2. [] a legal entity holding a direct or indirect2. Applicant in which the Disclosing Party holding	et interest in the Applicant. State the legal name of the olds an interest:
	ee Section II.B.l.) State the legal name of the entity, in
B. Business address of the Disclosing Party:	.55 Fifth Avenue, 15th Floor New York, New York, 10003
C. <u>Telephone:</u> (212) 206-6097 <u>Fax:</u>	. Email: rsinger.@timeequities.com
<mailto:rsinger.@timeequities.com> ■'</mailto:rsinger.@timeequities.com>	
D. Name of contact person: Robert Singer	
E. Federal Employer Identification No. (if you h	nave one): ■
F. Brief description of contract, transaction or pertains. (Include project number and location o	other undertaking (referred to below as the "Matter") to which this EDS of property, if applicable):
Planned Development Application for 920-1006	6 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesti	ing this EDS? Department of Planning and Development
If the Matter is a contract being handled b following:	by the City's Department of Procurement Services, please complete the
Specification tt	and Contract #
Page 1 of 13	
SECTION II DISCLOSURE OF OWNERSH	IIP INTERESTS
A. NATURE OF THE DISCLOS	SING PARTY 1. Indicate the nature of the Disclosing Party:
Person	[x]
Publicly registered business corporation	[]
Privately held business corporation	
Sole proprietorship	
General partnership Limited partnership	(Is

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Trust	[]
Not-for-profit corpora	oration also a 501(c)(3))?
-	s, the state (or foreign country) of incorporation or organization, if applicable": Illinois! es not organized in the State of Illinois: Has the organization registered to do business in the State entity?
[]Yes	[]No [X]N/A
B. IF THE DISCLOS	ING PARTY IS A LEGAL ENTITY:
profit corporations, al members." For trusts, If the entity is a ge venture, list below the	full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-so list below all members, if any, which are legalentities. If there are no such members, write "no estates or other similar entities, list below the legal titleholder(s). neral partnership, limited partnership, limited liability company, limited liability partnership or joint name and title of each general partner, managing member, manager or any other person or entity o-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an f.
Name Title Francis Greenburger Robert Kantor Manager	Manager
_	the following information concerning each person or entity having a direct or indirect beneficial nership) in excess of 7.5% ofthe Disclosing Party. Examples of such an interest include shares in a

corporation, partnership interest in a partnership or joint venture,

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

intended to achieve full disclosure.

Name Business Address Percentage Interest in the

Disclosing Party

33rd Street Holdings, LLC 55 Fifth Avenue, 15th Floor

New York, NY 10003

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

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

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

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to be retained)	lobbyist, etc.)	"hourly rate" or "t.b.d." is not an acceptable response.
(Add sheets if necessary)		
[X] Check here if the Dis	sclosing Party has not retained, nor expects	to retain, any such persons or entities. SECTION V
- CERTIFICATIONS ;		
A. COURT-ORDERED	CHILD SUPPORT COMPLIANCE	. •' '■
-	e Section 2-92-415, substantial owners of b th their child support obligations throughou	usiness entities that contract with the City must the contract's term.
	etly-of indirectly owns 10% or more of the by any Illinois court of competent jurisdict	Disclosing Party been declared in arrearage on any ion? '■■'''•'
[] Yes []	No [.] No person directly or indire Disclosing Party.	ctly owns 10% or more ofthe
If "Yes," has the person e compliance with that agree	11 0	payment of all support owed and is the person in
[]Yes []	No	
B. FURTHER CERTIFIC	CATIONS	
terms'(e.g., "doing busine	ss") and legal requirements), if the Disclosi	I")(which the Applicant should consult for defined ng Party submitting this EDS is the' Applicant and is bllows: (i) neither the Applicant nor any controlling

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms'(e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the' Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article 1 is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article 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 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 ED.S.bcen 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 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 lo 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 of 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, of been'a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in festraint of freedom of competition by agreement'to bid a fixed price of 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 dr of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 5. Neithef the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maihtained 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:

<u>N/A</u>

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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

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"none"). N/A		•		•		

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 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 ofthe privilege of doing business with the City."

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

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

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.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a

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financial interest-in his or her own name or in, the name of any other person or entity in the Matter?

NOTE: lif you checked "Yes", to Item D.I., proceed tp Items D.2., and D.3. If yp,u checked "No" to , Item D.I., 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 of 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?

11	Yes] No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 sjaves), 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

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all slaves or slaveholders described in those records:

SECTION VI ~ CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

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

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

File #: SO2015-63	le #: SO2015-6394, Version : 1					
B. CERTIFICATION	ON REGARDING EQUAL I	EMPLOYMENT OPPORT	UNITY			
If the Matter is fed	erally funded, federal regulat	ions require.the Applicant a	and.all proposed .			
subcontractors to s	ubmit the following informat	ion with their bids or in wr	iting at the outset of			
negotiations.	>	. ,,	, .:			
Is the Disclosing P	arty the Applicant?	٠,				
[] Yes	[] No	,				
If "Yes," answer th	e three questions below:					
1. Have you or regulations? (See 4	•	e on file affirmative acti	ion programs pursuant to applicable fed	era		
•			the Office of Federal Contract Compliance due under the applicable filing requirements	?		
3. Have you p	articipated in any previous co	ontracts or subcontracts sub	eject to the equal			

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:

opportunity clause? []Yes []No

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions.

The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics http://www.cityofchicago.org/Ethics. and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue; any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 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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- 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 or sales taxes.
- F.2' If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not' use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System'("EPLS") maintained by the U.S. General Services Administration'-.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certification's 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)¹ oh behalf ofthe 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.

33rd Street 1006 Michigan Avenue, LLC (Print or^typ^n^^ (Sign here)

VSSS&S y^^TCXg-(Print or type name of person signing)

/W>^A<j£g-(Print or type title of person signing)



> before me on (dale) County, p[\Jlbr Y estate).

Notary Public.

Commission expires: JV^{\land} $^{\land}IjO \mid \{$

KICH^RQViEQT Notary Fiiblic, Stelei of New York . NO.02VI6131040 Qualified In New York County ; ~t Ctavttssiah Expires ..K:!y:W;'2i)..i /

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any

"Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, fatherrin-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 n.B.l.a., if the Disclosing Party is acorporation; 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 DO 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 MunicipalCode Section 2-154-010, is me Applicant or any	Owner	identified	as a	building	code
	scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal	1				
	: Code? -;		:1			

: []'Yes " [X]No

		d on any exchange, is any officer or director of the Applican landlord pursuant to Section' 2-92-416 of the Municipal Code?
[] Yes	[]Nb	[X] Not Applicable ¹
	offlaw or problem	ntify below the name ofthe person or legal entity a landlord and the address of the building or ■ buildings to which
THIS APPENDIX B IS INCORASSOCIATED EDS, AND TH	RPORATED BY R IAT THE REPRES CATION MADE U	UTES ACKNOWLEDGMENT AND AGREEMENT THAT REFERENCE,INTO, AND MADE A PART OF, THE SENTATIONS MADE IN THIS APPENDIX B ARE UNDER PENALTY OF PERJURY ON PAGE 12 OF THE OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
CECTION I CENERAL DIFORMA	TION	STATEMENT AND AFFIDAVII
SECTION I GENERAL INFORMA	ATION	
A. Legal name of the Disclosing Party	submitting this E	DS. Include d/b/a/ if applicable:
33rd Street Holdings, LLC		
Check ONE of the following three box	ces:	
 Indicate whether the Disclosing Party at 1. [] the Applicant OR 2. fx] a legal entity holding a direct the Disclosing Party holds an interest of the Disclosing Party holds and Disclosing Party holds an interest of the Disclosing Party holds and Disclosing Party holds are the Disclosing Party holds and Disclosing Party holds are the Disclosing Party holds and Disclosing Party holds are the Disclosing Party holds and Disclosing Party holds are the Disclosing Party holds and Disclosing Party holds are the Disclosing Party holds and Disclosing Party holds are the Disclosing Party holds and Disclosing Party holds are the Disclosing Party holds	t or indirect interes	st in the Owner . State the legal name of the Applicant in which
OR	ontrol (see Section	n II.B.l.) State the legal name of the entity in
B. Business address of the Disclosing		Avenue, 15th Floor w York, New York, 10003
C. Telephone: (212)206-6097	<u>Fax:</u>	Email: rsinger@timeequities.com
<pre><mailto:rsinger@timeequities.com></mailto:rsinger@timeequities.com></pre>		

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D. Name of contact person: Robert Singer	
E. Federal Employer Identification No. (if)	you have one): i. '.
F. Brief description of contract, transaction pertains. (Include project number and location)	n or other undertaking (referred to below as the "Matter") to which this EDS on of property, if applicable):
Planned Development Application for 920-	1006 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requ	uesting this EDS? Department of Planning and Development
If the Matter is a contract being handl following:	led by the City's Department of Procurement Services, please complete the
Specification 11	and Contract U
Page 1 of 13 SECTION II - DISCLOSURE OF OWNER A. NATURE OF THE DISCLOSING PAR	
Indicate the nature of the Disclosing Party Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership [] Yes [] No	y: Person [> [[[f
[] Other (please specify) Limited partnership Trust	
country) of incorporation or organization, if	fapplicable:
Delaware	
3. For legal entities not organized in State of Illinois as a foreign entity?	the State of Illinois: Has the organization registered to do business in the
[]N/A	
B. IF THE DISCLOSING PARTY IS A LE	EGAL ENTITY:

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1. List below the full names and titles of all executive officers and all directors of the entity. NOTE: For not-forprofit 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 Francis Greenburger Robert Kantor Manager

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**

West Willows Equities; LLC 55 Fifth Avenue, 15th Floor

New York, NY 10003

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?

100%

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

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

Has any person¹ who'directly 'or indirectly owns 10% or more of the Disclosing Parly been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

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[] Yes	X] No	[] No person directly or indirectly owns 10% or more of the Disclosing Party.	
If "Yes," has the compliance with	•	nto a court-approved agreement for payment of all support owed and is the person in	
[] Yes	[J 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") arid 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 slate 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 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 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:

 N/A

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

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 1. [] is W 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:

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

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

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

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

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

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

[J Yes fx] No

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

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

t] Yes [] No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

Page 8 of 13

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

- 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 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.)

entity listed in Paragraph A.l. to influence an officer or empor employee of Congress, or a contract, making any federall	has not spent and will not expend any federally appropriated funds to pay any person or above for his or her lobbying activities or to pay any person or entity to influence or attempt ployee of any agency, as defined by applicable federal law, a member of Congress, an officer an employee of a member of Congress, in connection with the award of any federally funded y funded grant or loan, entering into any cooperative agreement, or to extend, continue, federally funded contract, grant, loan, or cooperative agreement. Page 9 of 13
	will submit an updated certification at the end of each calendar quarter in which there ally affects the accuracy of the statements and information set forth in paragraphs A.l. and
Internal Revenue Code of 19	certifies that either: (i) it is not an organization described in section,' 501 (c)(4) of the 86; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of ad will not engage in "Lobbying Activities".
substance to paragraphs A.l.	ty is the Applicant, the Disclosing Party must obtain certifications equal in form and through A.4- above from all subcontractors before it awards any subcontract and; the in all such subcontractors' certifications for the duration of the Matter and must make such able to the City upon request.
B. CERTIFICATION REGA	RDING EQUAL EMPLOYMENT OPPORTUNITY
	led, federal regulations require the Applicant and all proposed subcontractors to submit th their bids or in writing at the outset of negotiations.
Is the Disclosing Party the A	pplicant?
[] Yes	[] No
If "Yes," answer the three que	estions below:
1. Have you developed regulations? (See 41 CFR Par	and do you have on file affirmative action programs pursuant to applicable federal et 60-2.)
[] Yes	[] No
•	ne Joint Reporting Committee, the Director of the Office of Federal Contract Compliance oyment Opportunity Commission all reports due under the applicable filing requirements? [] No
	l in any previous contracts or subcontracts subject to the equal
opportunity clause? [] Yes	[] No

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

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

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.citvofchicago.org/Ethics http://www.citvofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in: connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Parly 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:

Page 1 1 of 13

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

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

CERTIFICATION

Under penalty of perjury,⁵ 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.

```
33rd Street Holdings, LLC
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```
(Print o^^e^narne^^ Party)
```

(Sign here)

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

ned im'd s\vprn to before me ph (date)

| 'j^.^\is ,
| 'f V' lir 1>\subseteq County, ji/fW/orV-Csiatc). '1

| lti-Lt<\(^-\)- vjfiJ

Notary Publicoisry feSc\(^+\)tete\(^+\)fNewYcr!:

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- Q(\(^+\)a im\(^+\)bo. 02\(^+\)16131040

n New York County i ri
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Commission expires.J/_ v A, J I _/_.

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(Print or type title of person signing)

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Apperidix 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" sor 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, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother onhalf-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 ECO	NOMIC DISCLOSURE STATEMENT AND APPENDIX B	O AFFIDAVIT
BUILDING COD	DE SCOFFLAW/PROBLEM	I LANDLORD CERTIFICATION	
est in the Applicant		the Applicant, and (b) any legal entity, which Owner"). It is hot to be completed by any lega	
		0, is the Applicant or any Owner identified as tion 2-92-416'of the Municipal ';/.7"V	a building' code'
[] Yes [X]No			
		aded on any excharige, is any officer or dir lem landlord pursuant to Section 2-92-416 oft	
[] Yes'	[]N0	[X] Not Applicable	
-identified asi a bu		w the name of the person or legal entity blem landlord and the address^ ofthe building ns apply.	gor
THIS APPENDIX ASSOCIATED E	K B IS INCORPORATED B'DS,, AND THAT THE REP IE CERTIFICATION MAD DS.	ITUTES ACKNOWLEDGMENT AND AGR Y REFERENCE INTO, AND MADE A PAR PRESENTATIONS MADE IN THIS APPENI E UNDER PENALTY OF PERJURY ON PA HICAGO ECONOMIC DISCLOSURE STATEME AFFIDAVIT	T,OF, THE DIX B ARE AGE 12 OF THE
TION I - GENERAL I	NFORMATION		

SEC

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

American Real Estate Investments No. 2, LLC

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Check ONE of the following three boxes:				
Indicate whether the Disclosing Party submitting the 1. [] the OR 2. (xJ ft legal entity holding a direct or indirect in 2. Applicant in which the Disclosing Party holds OR 3. [] a legal entity with a right of control (see See which the Disclosing Party holds aright of control to the disclosing Party holds are disclosing Party	nterest in thos an interest:			ît e
B. Business address of the Disclosing Party: 7nn 1	nnssn RnnrT Fik	z.Rflww A/iiihqh,:tiiiri	'ni«r finnnV	<u></u>
C. Telephone: .847-586-2583 <mailto:droubltchek@tirstambahk.com>,</mailto:droubltchek@tirstambahk.com>	Fax:	847-586-2583	Email:	droubltchek@tirstambahk.com
D. Name of contact person: Donald Roubitchek		.; 1		
E. Federal Employer Identification No. (if you have	e one): <			
F. Brief description of contract, transaction or oth (Include project number and location of property, if		(referred to below as	the "Matte	er") to which this EDS pertains.
Planned Development Application for 020-1006 So	uth Michigan Av	enue and 1011-1015 S	outh Wabas	sh.
G. Which City agency or department Is requesting to	this EDS? Depar	tment of Planning and	.Developms	<u>snt</u>
If the Matter is a contract being handled by the C	City's Departmen	nt of Procurement Serv	rices, please	e complete the following:
Specification #	^_ and Contrac	et #		
Vcr, oi-ot-n DM2\6066331.1				
SECTION II - DISCLOSURE OF OWNERSH	IP INTEREST	rs		
A. NATURE OF THE DISCLOSING PARTY				
 Indicate the nature of the Disclosing Par Person , ' Publicly registered business corporation Privately held business corporation Sole proprietorship General partnership 	X]Limited [] Limited [] Joint ver [] Not-for-	liability company liability partnership nture profit corporation for-profit corporation	also a 501	1(c)(3))?

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[] Limited partnersh		Yes [] No Other (please specify)
2. For legal entiti	ies, the state (or foreign country)	of incorporation or organization, if applicable;
Illinois i	-	"- •.
3. For legal entiti Illinois asa foreign en	<u> </u>	linois: Has die organization registered to do business in-the State of
[]Yes	[]No [x]N/A	
B. IF THE DISCLOS	SING PARTY ISA LEGAL ENT	ITY:
profit corporations, a members." For trusts If the entity is a go venture, list below th	lso list below all members, if any, estates or other similar entities, eneral partnership, limited partnership en ame and title of each general pto-day management of the Disclo	utive officers and all directors of the entity. NOTE: For not-for- y, which are legal entities. If there are no such members, write "no list below the legal titleholder(s). rship, limited liability company, limited liability partnership or joint partner, managing member, manager or any other person or entity osing Party. NOTE: Each legal entity listed below must submit ah
Name <i>BrsLAnieriranJ^an</i>	" • 'Title ak ■	■■ -Snlg Mamtor-atifrMrtnrftGT
interest (including ov	vnership) in excess of 7.5% ofthe hip inlerest in a partnership or joi	erning each person or entity having a direct or indirect beneficial e Disclosing Party. Examples of such an interest include shares in a ant venture,
similar entity. If none	e, state "None." NOTE: Pursuant	company, or interest of a beneficiary of a trust, estate or other to Section 2-154-030 ofthe Municipal Code of Chicago ("Municipal rmation from any applicant which is reasonably intended to achieve
Name	Business Address	Percentage Interest in the Disclosing Party
First,Amfirimn.Rank	IfififI I-riuls Ava , Fik Rrnvn Villngf), It fin	•

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SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2t156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?.

IX! No [] Yes

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 to be retained)

Address

Relationship to Disclosing Party Fees (indicate whether (subcontractor, attorney, ' . 'lobbyist, etc.)

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?
[1 Yes M No [] No person direptly 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 defihed

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defihed 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: jlf 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. aTe 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

- b. offense, adjudged guilty, or had a civil judgment rendered against them in connection with:
- b. obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or
- b. contract under a public transaction; a violation of federal or state antitrust statutes; fraud;
- b. embezzlement; theft; forgery; bribery; falsification or destruction of records; making false
- b. 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, includingbut not limited to all. persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties"); ¹
- 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; j
- 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 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

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o^. 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 attemptingito 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 irccord, 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 of the following lists maintained'by the Office of Foreign Assets Control of the U.S. Department of 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 ofthe above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

-N/A : : **■** ___,

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ruge o or r

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

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

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

[] is |Xl 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 lo make this pledge because it or any of its affiliates (as¹ defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

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i.: 1^ - : : : : : -•i

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.'

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	ce with Section 2-^56-110 of the Munic c. own name or in the name of any other fx] No	cipal Code: Does any official or employee of the City have a financial, or person or entity in the Matter?
NOTE: If you chec	ked "Yes" to Item D.I., proceed to Iten	ns D.2. and D.3. If you checked"No" to Item D.I., proceed to Part E.
have a financial inte belongs to the City, "City Property Sale"	erest in his or her own name or in the n or (ii) is sold for taxes or assessments,	idding, or otherwise permitted, no City elected official or employee shall ame of any other person or entity in the purchase of any property that (i) or (iii) is sold by virtue of legal process at the suit of the City (collectively irsuant to the City's eminent domain power does not constitute a financial
Does the Matter inv	olve a City Property Sale?	
[]Yes	[x] No .	
~	xed "Yes" to Item;D.l., provide the nan entify the nature of such interest:	nes and business addresses of the City officials or employees having
Name	Business Address	Nature of Interest
4. The Disclosin or employee	g Party further certifies that no prohi	bited financial interest in the Matter will be acquired by any City officia
E. CERTIFICATIO	N REGARDING SLAVERY ERA BU	ISINESS
	ther 1. or 2. below. If the Disclosin DS all information required by paragra	
		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 i:

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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 I

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

Is the Disclosing Party the A	Applicant?
[•] Yes .	[]No •'
If "Yes," answer .the thrce;c	questions below: }
Have you developed regulations? (See 41 CFR P [] Yes	d and do you have on file affirmative action programs pursuant to applicable federal art 60-2.) [] No
Programs, or the Equal Emp	the Joint Reporting Committee, the Director of die Office of Federal Contract Compliance ployment Opportunity Commission all reports due under the applicable filing requirements? [J No . •
3. Have you participate clause?	ed in any previous contracts or subcontracts subject to the equal opportunity
[] Yes	[] No
If you checked "No" to ques	stion 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..citvofchicago;orgyBthicSi http://www..citvofchicago;orgyBthicSi 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 khy attachments to this EDS may be made available to the public on the Internet, in response to aFreedlofri of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and release's 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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1

- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, butilis not limited to, all water charges, sewer charges, license fees, parking tickets, properly laxes or sales taxes.
- F.2 . If. the Disclosing Party, is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U, S. General Services Administration;

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection wifh the Matter certifications equal in form and. substance to those in F.1. and F.2..abovetand 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.Partyhas reason to believe has not provided or cannot provide, truthful certifications.

NOTE;- If therDisclosing Partyicannot 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 i

Under-penalty of. perjury, the-person signing below: (1) warrants, that he/she is authori7.c'd-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.

American Real Estate Investments No. 2, LLC

(Sign here):

Frederick ,.M. Snow.

(Print or type name of person signing) Executive Vice President and

General Counsel (Print or type title of person signing) 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 Pa^^"^erebfcnitenfly:has a "fanriliVlrelationship" with any elected city official or department head. A "familial reiau^nship¹"eXiSts ifv .as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother -in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

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

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

[] Yes DO No

If yes, please identify below (1);the name;and title ofsucfrnersph,.(2iJ the name of the legal entity to which

such person is connected; (3) the name and Uitleiof me e^ 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

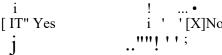
,. APPENDIX B

.1 I..:
BTJELDING 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 Applicantor'any Owner identified as a building code scofflaw or problem landlord pursuant to Section-2-92-416 of the Municipal Code?'



2. If the Applicant is a legal entity publicly traded on any exchangejs 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?

[] Ycs ' [.] No [X] Not Applicable

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- 3. If yes to (1) or (2) above, p'lease identify below the name of the person or legal entity
- 3. identified-asra*bnj.\$

and the address of the building or

3. buildings to which ^

FTLLING OUT THIS APPENDLX 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 BDS. Include d/b/a/ if applicable:

Carolyn'C.. Wells Trust under agreement dated 4/7/88

Check ONE of the foHowlhg three boxes;

Indicate whether the Disclosing Party submitting this BDS is:

1. [] the

OR

2. for a legal entity -holding direct orindiie ot interest in the

- Slato the legal name of the
- 2. Applicant in which the Disclosing Party holds an'falte'restr
- 3. [a legal entity with "a right of control (see Section H.B. I.) State the legal name of the entity in which the Disolosing Party holds a right of control:
- B. Business address of the Disclosing Party: I bWi pM^flwnn^^ finiift
- C. <u>. Telephone: (847) 586-2586 Fax: (847) 586-2586 .. Email: . hyellsjvigtoatnbapk.com</u>
- D. Name of contact person: Thomas B. Wells IV.
- F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number apd location of property, if applicable):

Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 6outh Wabash.

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G. Which City agency or department is requesti	ing this EDS7 Department of	Planning and Development-	
If the Matter is a contract being handled by t	the City's Deportment of Prod	curement Services, please comple	ete the following;
Specification #	and Contract #	I	
Vor, oi-on2 DM2\6067749.1 :	Page 1 of 13		
SECTION II - DISCLOSURE OF OWNER			
Indicate the nature of the Disclosing Person Publicly registered business corporation Privately held business corporation. Sole proprietorship General partnership Limited partnership Trust	Party: , [] Limited liability of [] Limited liability p •[■] Joint.venture. [] Not-for-profit cor (Is the not-for-profit	artnership	
2. For legal entities, the state (or foreign 3. For legal entitles not organized in the llinois'asa foreign entity? -, .,	• / •		
[] Yes ' . [J.No,''		<u>.'</u> •	
1. List below the full names and titles of NOTE: For not-for-profit corporations, at there are no such members, write "no me the legal titleholder(s). If the entity is a general partnership,, limple venture, list below the name and title of each hat controls the day-to-day management of EDS on its own behalf.	of all executive officers an also list below all .membe embers." For trusts, estate nited partnership, limited li th general partner, managi fthe Disclosing Party. NO	rs,.if any, which are.Iegal entires or other similar entities, list liability company, limited liabing member, manager or any o	below lity partnership or join ther person or entity
Name '	'Title		

	94, Version: 1		File #: SO2015-6394, Version : 1		
Thomas E. Wells IV	V :	Trusted . '	;		
interest (including o		erning each person or entity having a Disclosing Party. Examples of such int venture, Page 2 of 13			
similar entity. If no	ne, state "None." NOTE: Pursuant	company, or interest of a beneficiary to Section 2-154-030 of the Municipormation from any applicant which is	al Code of Chicago ("Municipal		
similar entity. If no Code"), the City ma	ne, state "None." NOTE: Pursuant	t to Section 2-154-030 of the Municipormation from any applicant which is Percentage Interest in the	al Code of Chicago ("Municipal		
similar entity. If no Code"), the City mafull disclosure.	one, state "None." NOTE: Pursuant ay require any such additional info Business Address	t to Section 2-154-030 of the Municipormation from any applicant which is	al Code of Chicago ("Municipal		

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 qt 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) '

Address; ' (subcontractor, attorney, paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.

(Add sheets if necessary)

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

CERTIFICATIONS i

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 personjWho 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 M^o [] 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 incompliance 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

i i

- 2. identified in Section ILB.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, witboutlimitation: ihterlockuig. managerticnt or:ownership; identity of interests among,

family mcmbers, shared facilities and equipment;; common use bf•; 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! ijintity, 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 lpcal 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 UiS. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List^.the Unverified List, the Entity List and the Debarred List. •
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156. (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A
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If the letters "NA," the word "None," ot no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.
8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). N/A
9. To the best ofthe 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 S20 per recipient (if none, indicate
with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A,
N/A,
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION
1. The Disclosing Party certifies that the Disclosing Party (check one)
1. [] is M 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."

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

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

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 DO No, -'

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

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall 'hayera finiancial interest in his or her Own hanie or in;the name of any other, person or entity in the puirohase,;pf any property that (i) belongs to the City, br.'(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 . $[x]No \ ,$

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check cither 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 verities 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, procee,d 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 fed I

A. CERTIFICATION REGARDING LOBBYING - i

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

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

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

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. 1);•
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.
JB. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY
If the Matter is jfederally 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:belpw:
1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.) [] Yes [] No '
2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements? [] Yes [] No

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

[] No

3. equal opportunity clause?

[] Yes

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

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 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 tp 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 dutiesand 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/Ethic8 http://www.citYofchicago.org/Ethic8, 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 qr 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 maybe 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 offense-s), thain.farma.tion http://thain.farma.tion 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:

Page 11 of 13



- 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 or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City, This includes, but is not limited to, all water charges, : sewer charges, license fees, parking tickets, property taxes or sales taxes. :
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed'by the U.S; E.P.'A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S'. General Services Administration.
- F.3 If the Disclosing Party is the-Applicant, the*Disclosing Party will obtain from any xontrac,tors/subcontractors; hired or to be-hired in.connection .with'the Matter certifications equal in . form and substance to-thqsem F.l. and,F»2. above and; will not, without ithe prior-written consent of the City, use any such contractor/subcontractor that does not provide such certifications.orthat the Disclosing Party has reason to behove has not provided or cannot provide truthful certifications,

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

CERTIFICATION

Urider 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 ofthe date furnished, to the City.

^-(-Sign here):

Thomas E. Wells IV ... (Print or type name of person signing)

. Trustee

(Print or type title of person signing)

Si'ghedl.ariU sworn to before me on (date) //&&l£*f/ •^Lj&'i

at Gfrf' County, """ok (state).

<£0^^^y%7 s^4:>^*'

Notary Public.

OFFICIAL SEAL JAMES M BERTON NOTARY PUBLIC - STATE OF ILLINOIS MY COMMISSION EXPIRES 10*5/16

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 \$xc'ecd'ng 7.5 percent. It is not to be completed by any legal entity which has only ail/Indirectpwnershirmjterestin the Applicant.

Under Municipal Code Sccubn.S[^] or any "Apphcab]e,Part.y" or any SpousciotBpmesuc Parmer fhere[^]ftcurrieM with any elected[^] 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, grandclnld, famer-in-law, mother-m-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 uie Disclosing: \(^\) if the Disclosing Party is a corporation; all partners of the Disclosing Party, tf the Disclosing Party is a general partnership; all general piarmere hmited \(^\) Partyy; if the Disclosing Party is a limited partnership; all managers, managing members and members of me-Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the \(^\) is than a 7.5; percent ownership interest in the Disclosing Party. "Principalo\(^\) operating officer, executive director, chief 'financial officer,;\(^\) or any person exercising similar authority.

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

[] Yes	IXl No	

lfy.es , please identify bclpw,(.1);thc.name,:aiid title of such person, (2)'jhc hanic of the legal entity to which such person is connected; (3) tile nnmc and title of tlic:elected city official or- department head to whom such person has a fahiilial relationship, and;(4);.me,;precis.c-nature of such familial relationship.

Page 13 of 13

CITY OF CHI	APPENI	DIX B	NI AND AFFIDAVII
BUILDING CODE SCOFFLAW	V/PROBLEM LANDL	ORD CERTIFICATION	
This Appendix is to,be completed wnership.interest in the Applicant exce hichhas only an'ndirect ownership' int	eeding 7i5 p'ercent(an '	"Owner"). It is not to be con	
Pureuant to, Municipal Code Sec scofflaw or problem landlord.purs	ction>2-154-010, is the suant to Section 2T927	ne Applicantor any Owner Γ416 of the Municipal	identified as a , building code
[j] Yes 'j .' [X]]'no		
2. If the Applicant is a legal entity _r p	publicly, traded .on .an	y exchange;, isany.iofficer of	or dhector of
2. the Applicant identified as a build	ding code scofflaw or p	problem landlord pursuant to	Section
2. 2-92-416 of the Municipal Code?	, '	,	
[]Ycs •	[] No	[X] Not Applicable,	
3. If.yes to (1) or (2)"abbv'e/piease_scofflaw or problem lahdlprd'and '• buildihjgs thwhich the'pertirieht of	the address ofthe build		identified as a building code"
FILLING OUT THIS APPENDIT THIS APPENDIX B IS INCORP ASSOCIATED EDS, AND THA SUBJECT TO THE CERTIFICA ASSOCIATED EDS.	PORATED BY INFER AT THE REPITESENT'. ATION MADE UNDE CITY OF CHICAGO E	ENCE INTO, AND MADE AITONS MADEIN THIS A	iA PART OF, THE PPENDIX B ARE Y ON PAGE \I OF THE
ECTION I - GENERAL INFORMATION	Г		
Legal name of the Disclosing Party sub	mitting this EDS. Include	e d7b/a/ if applicable:	
irst American Bank			
heck ONE of the following three boxes:			

SI

A Legal name of the Disclosin	ng Party submitting this EDS. Include d7b/a/ if applicable:
First American Bank	-

C

File #: SO2015-6394, Version: 1
Indicate whether the Disclosing Party submitting this EDS is: 1. [] the OR 2. x] a legal entity holding a direct or indirect interest in the 2. Applicant in which the Disclosing Party holds an interest: OR
3. [] a legal entity with a right of control (see Section H.B.1.) State the legal name of the entity In which the Disclosing Party holds a right of control!■
B, Business address of the Disclosing Party: iimi nuts ftvpryin, eft pmva vlllarjei Illinois bm in
C. Telephone: (847) 586-2583 • Fax: v(847).586-2583 . Email: df6uT)itchek@rJrstanibank:com,
D. Name of contact person: ». Donald Roubitchek
E. Federal Employer Identification No. (if yon have one):!
F. Brief description.of contract,- ttansactionorother undertaking (ieferred to belbwasthe "Matter") to which this EJOS pertains (Include prdjcot.nuhibex.and location of proporty, If applicable):
Planned Development Application for 920-1006 South Michigan Avenue and 1011-1016 South Wabash. '_
G. Which City agency or department is requesting this EDS? Department of Planning and Development
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following;
Specification # and Contract #
Ver, 01-01-12 DM2\505640S.I
SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS
A. NATURE OF THE DISCLOSING, PARTY
[] Person [] Publicly registered business corporation [X] Privately held business corporation [] Sole proprietorship [] General partnership [] Limited partnership [] Trust [] Limited liability company [] Limited liability partnership [] Joint venture

File #: SO2015-63	394, Version : 1	
[] Not-for-profit c (Is the not-for-proficed [] Yes [] Other (please specified)	fit corporation also a 501(c)(i	3))?
2. For legal en	ntities, the state (or foreign co	ountry) of incorporation or organization, if applicable:
Illinois		
3. For legal er State of Illinois as	_	State, of Illinois: Has the organization registered to do business in the
[] Yes	. [] N.o •	[yj N/A
B. IF THE DISCL	OSING PARTY IS A LEGA	AL ENTITY:
NOTE: For not there are no suc the legal titleho If the entity is a venture, list below that controls the' d	t-for-profit corporations, also ch members, write "no membolder(s). I general partnership, limited their; thei-namejand title of each ay-to-day-management of the mit http://sub.mit an EDS	ll executive officers and all directors of the entity. list below all members, if any, which are legal entities. If oers." For trusts, estates or other similar entities, list below partnership, limited liability company, limited liability partnership or join general partner, managing member'; manager-pr any other person or entite Disclosing Party. NOTE: Each le gal entity listed below-must S on its own behalf. • Title
interest (including		n concerning each person or entity having a direct or indirect beneficial % of the Disclosing Party. Examples of such an interest include shares in a p or joint venture, Page 2 of 13
similar entity. If no	one, state "None," NOTE: Pu "), the City may require any s	ability company, or interest of a beneficiary of a trust, estate or other arsuant to Section 2-154-030 of the Municipal Code of Chicago such additional information from any applicant which is reasonably Percentage Interest in the Disclosing Party

■First Arrintran Bank r.rirpnrnllnn IBRD I mils Aya. Fifr Rrnvn V»la₀n, 11 firinhj

100**0**/0

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 KINo

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

'
i.

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 otheT 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 inflnenbe 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 retained or anticipated to be retained) • Relationship to Disclosing Party Fees (indicate whether paid or estimated.) NOTE:

| lobbyist, ef^c.) | 'hourly rate' or "tb.d." is not an acceptable response.

File #: SO2015-6394, Version : 1			
(Add sheets if necessary)			
jXj Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities. SEC	ΓΙΟΝ 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 m remain in compliance with their child support obligations throughout the contract's term.	ust		
Has any person .who' directly'orJha^*ectly.oWh's^rb"%:or more of the Disclosing Party been declared in arreara any-child support obligations By any-Illinois court of competent.jurisdiction?	ige on		
[] Yes M 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 compliance with that agreement?	on 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 of 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 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 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 ot 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: ¹
- 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 ail persons or legal entities disclosed under Section TV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a-business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Page 5 of 13

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

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;.
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such

agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or

- otherwise; or '» i
- 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 2V92-610 (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 yiolation 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 of the following lists maintained by the Office'of Foreign Assets Control Ofthe U.S. Department of the Treasury or the Bureau of Industry and Security ofthe U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List,'the Unverified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

 N/A

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

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 01 appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

<u>N/A</u> ... _

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the

12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include; (i) anything made generally, available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

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

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

N/A'

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1

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

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 M No . \blacksquare

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

2. Unliiss spld-pursuant to a process of competitive bidding, or. otherwise permitted} vno Gity' elected official or employee shall have a financial interest inhiSiOr 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 "\sessments, Or (iii) is sold by virtue of Jegal process at the suit of the City (collectively, "Gity Property Sale"). C6mpensatiWf#,pij|pj?jEly taken pursuant to the City's eminent dbmain 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.I., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name Business, Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

Page 8 of 13

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

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. j

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING-LOBBYING,

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

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

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

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 Disclo	osing Party'the Applicant?:,	
[] Yes	[] No	
If "Yes," ans	swer the three questions below,:,	
	(See 41 CFR Part 60-2.)	ave on file affirmative action programs pursuant to applicable federa
	r the Equal Employment Opportu	g Committee, the Director of the Office of Federal Contract Compliance nity Commission all reports due under the applicable filing requirements?
3. Have clause?	you participated in any previous	contracts ot subcontracts subject to the equal opportunity
	' [] No	
If you check	red "No" to question -1. or 2. above	ve, please provide an explanation:

Page 10 of 13

SECTION VII - ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE $^{\rm 1}$

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.tp 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 w.ww.citvofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be resclinded or void or voidable and uhe City May pursuethe contract or agreement (if not'rfc'scinded or void), at law,; ordnscquity, including te'nhlhating the Disclosing Party's participation in the Matter and/or declining to allow ffic-Disclosing-Party'tp; paiticipate in oilier transactions with the Gity. Remedies at law for a false statement of material fact may include incarceration and an award to'the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site'and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or. claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any (information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1 -23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

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- F.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 or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General'Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired ot to be hired'iri 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 DisclosingrParty has reason to believe has not provided or cannot provide truthful-certifications",

NOTE: If the Disclosing Party cannot certify as to any oftheitems in F.l., F.2. or F.3. above, an explanatory statement must be

attached to this EDS. -

CERTIFICATION

Underipenalty 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.

First American.Bank.- ''.•
(Print or type name of Disclosing Party)

(Sign here) Frederick M. Snow

(Print or type name of person signing)

Executive, Vice President and General Counsel (Print or type title of person signing)

County, Illinois

aı

Signed nn'd^worn to before me on (date) $C^{^c}i^{^c}IY$ (state).

Notary Public.

OFFICIAL SEAL JAMES M BERTON NOTARY PUBLIC - STATE 0? ILLINOIS . MY.COMMISSION EXPIRES 10/09/16

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 indh*pct'Q^n'iei^hl^\!^. in the Applicarifc

Under Municipal. Gdde.Section 2-15:4r'0T 5i the Disclosing P!an^--musj:'d^clQ8e'Whe^iBi:\$ucB[Disctosing;.Party orany-'ADphcabie Patty*

any elected city, official or departmenthead; A "ftnnllaltelShonsInp^'e^^.^ asdf the date Uife EDS is signed, tlie: 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, motlier-in-law, spn-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter,' stepbrother or stepsister or half-b'rbffi'ex 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

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general partners and limited partners of ffie Disblpsing. Party, if tjfie I^scto^i&^-^P'att/ is ^limited partnership; all managers, managing members and members of the Discto

limited liability company; (2) all principal officers of the Disclosing; Party; ^4"^^:any.p.efS9{|c j^yh^ mpre than, a 7:5 percent ownership.interest in 1h6'B&1sid^M^-P^y; '^rln^ipal'-pMc^n^nje^^e president, chief operating'officer, executive director, chief Snanciaf officer, treasurer ofcsecretafy Of a-legal entity or any person exercising similar authority.

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

[] Yes [] No

If yes; please identify below {. 1) the riaqic and/title of suchperson, (2)Vthe narnfcof the legal entity to which such person; is connected; (3) the name and; tide of tlicelected cityofficiai.or depailment head tQ whom such < perspn.has a familial relationship, and (A) the precise nature of such familial relationship.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCbFFLAW/PROBLEM LANDLORD CERTIFICATION

Th is Appendix is to be CAi^jeted only by (a) the Applicant, and?(b)-any legal entity which has a direct ownership interest-in the Applicant exceeding 7.5 pefceht'(an''''0wn!Er;;)"i-It is not to be completed by any legal entity.which has only ah indirect ownership interest in the Applicant.

1. Pursuant to Municipal G.ode 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? .;

[j]Yes] . [X]:No ! : ■' i

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

[] Yes [] No [X] Not Applicable

3: Ify.es http://Ify.es; to (1) or (2)"abdve, please identify below the name ofthe person or legalentity identified asa'building cp'd'e scqffldw or p'rpbicrii landlord and the address ofthe 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 Appendix C First American Bank

Directors:

Martin J. Carmody Michael F. Kashtan William H. Kerdyk James M. Lynch Frederick M. Snow John B. Ward Thomas E. Wells, IV

Executive Officers:

Martin J, Carmody Gene M. Coots Brian T. Hagan Robert L. Horsman Kim M. Kohon Noel R. Levasseur James M. Lynch Eduardo Monteagudo Jane Nagel John L. Olsen Linda Overbey Donald Roubitchek Frederick M. Snow Adelbert Spaan John B, Ward James Wargas Thomas E. Wells, IV Lawrence Zydowsky

Senior Executive Vice President

Executive Vice President

Vice Chairman

Executive Vice President

Executive Vice President & General Counsel

Executive Vice President

President

Executive Vice President Chairman, Chief Executive Officer Executive Vice President

DM3\CC85508.I

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND

SECTION II - DISCLOSURE OF O	WNERSHIP INTERESTS
A. NATURE OF THE DISCLOSING	G PARTY
1. Indicate the nature of the Disciples	[] Limited liability company ration [] Limited liability partnership
	oreign country) of incorporation or organization, if applicable: Delaware
	'in the State, of Illinois: Has the organization iegisteied.jto do business in the State of
Yes XNo.	[]N/A "
B. IF THE DISCLOSING PARTY IS	S A LEGAL ENTITY:
NOTE: For not-for-profit corporate there are no such members, write the legal titleholdcr(s)'. If the entity is a general partnershit-venture, listbelow the name and title	titles of all executive officers and all directors of the entity. tions, also list below all members, if any, which are legalten titles. If "no members." For trusts, estates or other similar entities, list below p, limited partnership, limited liability company, limited liability partnership or joint of each general partner, managing member, manager or any other person orentity ment of the Disclosing Party. NOTE: Each legal entity listed below must submit an
Name ■	• Title

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

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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

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("Municipal Code"), intended to achieve		uch additional in	formation from any applican	nt which is reasonably
Name	Business Address	Per	centage Interest in the Disclosing	; Party
Firs) Amnrlcan Bank Co Employee Stock.Own	orporation 1 fiSO. I hi iIr Ava crslnp Plan	Hk flrovn Villngr-, l	1 Rhnh7 '.	<u>'</u>
; Carolyn C. Wells Trust	under agreement dated -4/7/88 16	550 Louis Ave., Elk	Grove Village, IL 60007 [fr'_/	
SECTION UI - BUS	SINESS RELATIONSHIPS	S WITH CITY E	LECTED OFFICIALS	
	ng Party had a "business re in the 12 months before the		efined, in Chapter 2-156 oftles signed?	he Municipal Code, with any
[]Yes	MNo	'/		
If yes, please identi relationship(s):	fy below the rjame(s) of suc	ch City elected o *	fficial(s) and describe such:	
SECTION IV - DIS	SCLOSURE OF SUBCONT	ΓRACTORS AN	D OTHER RETAINED PAR	RTHSS
accountant, consult connection with the	ant and any other person'or e Matter, as well as the natu	entity whom the relation	ddress of each subcontractor, e Disclosing Party has retaine aship, and the total amount-of yees who are paid solely thro	ed or expects to retain in f the fees paid or estimated to
of any person or er	ntity other than: (1) a not-for y any part of whose duties a	r-profit entity, or	fluence any legislative or adn n an unpaid basis, or (2) hims of another includes undertaking	self. "Lobbyist" also means
	g Party is uncertain whether e City whether disclosure is		required under this Section, the the disclosure.	he Disclosing Party
	F	Page 3 of 13		

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Name (indicate whether retained or anticipated to be retained)	Business., . Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated:) NOTE: "hourly rate" or "t.b.d." is not an acceptable respons	se.
(Add sheets if necessary)				
[X) Check here if the	Disclosing P	arty has not retained, nor expec	ets to retain, any such persons or entities. SECTION	V
CERTIFICATIONS				
A. COURT-ORDERED	CHILD SUP	PORT COMPLIANCE		
•	-	»,415, substantial owners of busine ft^61)ligatittM throughout the cont	ss entities that cdhtfactvWith the City must ijemam in ract?s teim.	
Has any person who dire obUgations by any Illino			closing Party been declared in arrearage on any child supp	ort
[]Yes . DO) No [] No person directly or indirectly Disclosing Party.	owns 10% or more of the	
If "Yes," has the person e with that agreement? ■	entered into a	court-approved agreement for pay	ment of all support owed and is the person in compliance	
[]Ycs []]	N,o ."			
B. FURTHER CERTIFI	CATIONS			
"doing business") and leg City, then the Disclosing charged with, or has adm actual, attempted, or cons of the City or any sister a requirement for doing bu	gal requireme Party certifie itted guilt of, spiracy to con- gency; and (i siness.with the	nts), if the Disclosing Party submit is as follows: (i) neither the Application or has ever been convicted of, or particularly the property, theft, fraud, forgery, i) the Applicant understands and account of the property of the Applicant understands and account of the property of the p	which the Applicant should-consult for defined terms (e.g. ting this EDS is the Applicant and is doing business with ant nor any controlling person is currently indicted or blaced under supervision for, any criminal offense involving perjury, dishonesty or deceit against an officer or employecknowledges that compliance with Article I is a continuing to the Applicant, the permanent compliance timeframe in ons 2 and 3 below.	the ng ee g

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2. The Disclosing Party and, if the Disclosing Patty 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 dato 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. Y;
- 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 ot 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 TV, "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 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

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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
- b. agreement, or been convicted pi.adjudged guilty of agreementor collusion among bidder's or
- b. prospective bidders, in restraint of freedom of competition bytagreement to. bid a fixed price or
- b. otherwise; or .'
- c. made an admission of snokcoh^uct ,dcscrjbed 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 CodeSection2-92-610 (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 (lj) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33B-4; or (3) any similar offense of any state, or ofthe United States of America that contains the same elements as thio; 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 th.e.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 ofthe above statements .in this Part B (Further Certifications), the Disclosing Party.must explain below:

 N/A.

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

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

N/A . . . =

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected of appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (f) anything made generally available to City employees or to the general public, or (if) 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. Uia Mia 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 oecoming 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 tho Municipal Codo) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

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

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

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entity in the Matter?
[] Yes
K] No "

NOTE: If you checked "Yes" to Item D.I., proceed to Items D.2. and D.3. If you checked "No" to Item D.I:, proce'ed 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 other own name oi 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 Stile"). 'Gompeaifi'tffioiii 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 rx] No . \blacksquare

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

Name Business Address

Nature of Interest

4. The Disclosing Party further Certifies that noprohibited financial interest in the Matter will be acquired by any City official or employee,

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

;' Page 8 of 13

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

- 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 VTI. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING.

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

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

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

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- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.l. and A.2. above.
- 4. The Disclosirig.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 mustmaKe 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 ail reports due under the applicable filbg requirerh'ents? [] Yes ' [INo"
- 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 agreehiejif between the Applicant and the City in connection with Vthe Matter, whether procurement, City, assistance, or Other City.action, and afo ijciaferial induc.cmenits. to .the. City's execution of any contract or .taking .pther action with respect to the Matter; The Disclosing P.raty-undr Jrstands that it must.comply with all statutes', ordinances, and regulations on which this BDS 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 w ww.cl tyofchicagb.org/Ethics. and may also be obtained from the City's Board of Ethics, 740 N.

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

C. If the City determines that any information provided in this EDS is false, mcomplete dr inacourate, any contract or other agreement in connection with which it is submitted may be rescinded or be Yoid 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 tho City's policy to make this document available to the publib on its Internet site and/or upon request. Some or all of the information provided on .this EDS and and, 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 haudled'by the City's Department of Procurement Services, the Disclosing tarty 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 ofthe 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 jof Revenue, nor arc the Disclosing Party or its Affiliated Entities delinquent in paying any firic, fee, tax or other charge owed lo 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, tho Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to vise, 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 h'ired in connection with the Matter certifications equal in form and substance-fo those in F.l', and F;2. above and will not, without the prior written consent ofthe City -use any such-contractor/subcontractor that- dbes not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful-certificatioris.

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 '

Under penalty of perjury,, the person signing below;'(!) warrants that he/she is authorized to execute this EDS and App endix 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 datefurnish.ed'to.the City. ,.

First American Bank Cocporalipri

(Print or typ e name of Disclosing Party). (Sign here)

By;'

Frederick M. Snow

(Print or type name of person signing)

Executive Vice President and General Counsel (Print or type title of person signing) Commission expires:

Signed and is sworn to before me on (date) at Osteal County, IUJtioJs

D.vmsoje-t 06,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 .Gpd\ whether siich DispldsMg Parry or any "Applicablefarjy'or .any;Spaus&!c>x Dornestic\Paxmei: thereofcuiferitlyhas.. a;"faMiial rctetionship" with any elected city bin\ A "familial relationship" exists if, as ofthe date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Parmer thereof is related to the mayor, any aldenhan, the city clerk, 1he city treasurer or any city dejartocnthcad as spouse or domestic partner or as. any of the following, whether by blood or adoption: patent, child, brother or sister, aunt or uncle, niece or nephew, .groridp&rcnt\\ paother-rin-law, .so;n-ihJaw, daughtcrrin-la,w, \f\f\M&fst orstepmbfficrj Stepsbh'p\\

"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 algeneral 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 meDisclosihg-Party is a

limited liability cpmpanj^,(2) all pm and (3) any person having more than a 7.5 percent ownership interest in the Dkclosihg 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 fx! 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 tho 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 CERTD7ICATION

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 winch has only an indirect ownership interest in . the Applicant.

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of

the Applicant identified*as a bunding code scofflaw or problem landlord pursuant to Section

2-92-416 of the Municipal Code?

[];Yes ["]No ' r • fXINotApplicable

3. If yesip (1) or (2) above, please.idcnu^ below die nanie entity identifjed.as a building code scofflawor proW buildingsito which the pertinent code violations apply.

ofme: building or

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE APART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATION S 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 Appendix C First American Bank Corporation

Directors:

William Y. Bogle Martin J. Carmody Caren M. Furbeyre Michael F. Kashtan William H. Kerdyk James M. Lynch Richard R. Matthias Adelbert P.C. Spaan John B. Ward Thomas E. Wells, IV

Executive Officers:

Martin J. Carmody James M. Lynch Donald Roubitchek Frederick M. Snow John B. Ward Thomas E. Wells, IV Senior Executive Vice President

President

Executive Vice President

Executive Vice President & General Counsel

Vice Chairman

Chairman, Chief Executive Officer

DM2W097907.I

CITY 017 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;

First American Bank Corporation Employee Stock Ownership Plan

Check ONE of the following threp boxes;

Indicate whether the Disclosing Party submitting tbis"ED3 is;

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1. [] the OR	
2. W a legal entity holding a dlieet or indirect interest in the i 2. Applicant in which the Disclosing Party holds on interest: OR • - •••	
3. [] a legal entity witWrightof oontrol(seo Sectionn.B.I^ State the legal name of the entity In which the Disclosing Party holds a right of control:	
B, Business address of the Disclosing Party: ibrd inula AvBniift.Fiknrm/nviUnrjB, minnh Bhi m.	
C. Telephono: (847)586-8075,, . j . Fax: P47) 586-8075- Email:]nagel@firstambank.co <mailto:nagel@firstambank.com> J</mailto:nagel@firstambank.com>	m
D. Name of oontact person; JaneNagel j	
; E. FedeTal Employer Identification No, (if you have one): ^0'''''	
F. Brief description of contract, transaction ox other undertaking (refeired to below a6 the "Matter") to which the EDS pertains. (Include project number and location of property, if applicable):	iis
Planned Development Application for 920-1006 South Michigan Avenue and 1011-1016 South Wnboah.	
G. Which City agenay or department is requesting this EDS? Department of Planning and Development	
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete t following:	he
Specification # and Contract #	
Vor. oi-oi-n Page 1 of 13 □ M2\3007748.1 :	
SECTION II -, DISCLOSURE OF OWNERSHIP INTERESTS	
A. NATURE OF THE DISCLOSING PARTY	
1. Indicate the nature of the Disclosing Party;	
[] Person [] Limited liability company	
[] Publicly registered business corporation [] Limited liability partnership	
[] Privately held business corporation [] Joint venture [] Note for profit corporation	
f] Sole proprietorship [] Notrfor-profit corporation [] General partnership (Is the not-for-profit corporation also a 501(c)(3))?	
[] Limited partnership []; Yes • [] No	
f] Trust x] Other (please specify)	
. Erhplbyea.Stock Ownership Plan '	

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2 For leg	gal entities, the state (or foreign country) of inc	corporation or organization, if applicable:
, Illinois.	•	
-	gal entities not organized in the State of Illino a foreign entity? .	is: Has the organization registered to do business in the State
[] Yes	[] No fo	og N/A
B. IF THE D	ISCLOSING PARTY IS A LEGAL ENTITY	:
profit corpora members." Fo If the entity venture, list b	ations, also list below all members, if any, whom trusts, estates or other similar entities', list by is a general partnership, limited partnership below the name and title of each general partnership the day-to-day management of the Disclosing	officers and all directors of the entity. NOTE: For not-for- ich are legal entities. If there are no such members, write "no below the legal titleholder(s). , limited liability company, limited liability partnership or joint er, managing member, manager or any other person or entity Party. NOTE: Each legal entity listed below, must submit an
Name Sa'fl a	■ Tit ttaehflri AppgndiV'C'fbr;list:of mBiTibfirs of Admihis	
interest (inclu	ading ownership) in excess of 7.5% of the Dispartnership interest in a partnership or joint ve	g each person or entity having a direct or indirect beneficial sclosing Party. Examples of such an interest include shares in a enture, ge 2 of 13
similar entity, ("Municipal C	, if none, state "None." NOTE: Pursuant to Se	any, or interest of a beneficiary of a trust, estate or other ction 2-154-030 of the Municipal Code of Chicago nal information from any applicant which is reasonably Percentage Interest in the Disclosing Party
Mm Ward James Lynch	<u>IBBO I puis Avp , Flkftrnvri Villagn,- II fiOi 18</u> 1650 Louis Ave., Elk Grove Village, IL 60118	

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 R)No

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

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

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

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

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

Page 3 of 13

Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated Address' (subcontractor, attorney, to be retained)

' lobbyist, etc.)

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

"hourly rate" or "t.b.d." is not an acceptable response.

(Add sheets if necessary)

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

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SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT.COMPLIANCE

Under Municipal Code Section 2-9.2-415, 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 M 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 1 applies to the Applicant, the permanent compliance timeframe in Article I supersedes sorrie 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 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 ofthe 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 Parly, 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
- a. bribe, a public officer or employee of the City, the. State of Illinois, or any agency of the federal
- a. government or of any state or lpcal government in the United States of America, in that officer's
- a. 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 jsuch 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-Totating 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 Affih^ted Entity is listed on any of 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_r56 (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").

N/A

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed • official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything

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made generally available to City employees or to the general public, or (ii) food or drink provided in the
course of official City business and having a retail value of less than \$20 per recipient (if none, indicate
with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient,
N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one) 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 2-3 2-45 5(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

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

D. CERTIFICATION REGARDING.INTEREST IN CITY BUSINESS

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

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

[J Yes 1X3 No'

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

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2. Unless sbld 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 takenipiirsuant 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 1

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

;; Page 8 of 13

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

- 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 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 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 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 P'arty.must obtain certifications equal in form and substance to paragraphs A.l. through A.4. above from all subcontractorshefore 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

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

negotiations. , \bullet 1 . \bullet . \blacksquare

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Is the Disclosing Party the Applicant?

[] Yes [] No,

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

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

[]Yes []No

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

[] Yes

I] No

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

[]Yes []No

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

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained jn 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 pei;sons 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;citvofchioagO;org/Eth.ibSv 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,

C. any contract or other agreement in connection with which it is submitted may be rescinded or be void or

- C. voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or
- C. void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or
- C. declining to allow the Disclosing Party to participate in other transactions with the City.. Remedies at
- C. law for a false statement of material fact may include incarceration and an award to the City of treble
- C. 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.

: I

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 die 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:

 $js.\text{-}ws\text{+-.'*-**}\bullet^{\wedge}\text{'}V.\text{'}Vr^{\wedge}\text{'}w^{\wedge}.\text{*}>\blacksquare\text{-}\bullet\text{-}\sim\text{-}*\blacksquare^{w>\text{''''}-\text{''}*,\text{'}}$

- 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 taxesior sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F,3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired br'tb be hired in connection with the Matter certifications equal in form and substance to those in:F.I. 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.oi 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

UndeT 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. - '

First American Bank Corporation Empttoyee.Stock Ownership Plan " " " " (Print or "type-name of person signing)

(Print or type title of person signing)

SignccLand sworn to before me on at C'&OtC . County, Illinois (store).

i^^,- ^&i&> Notary Public.

Commission expires:

OFFICIAL SEAL

Pieel2ofl3 \ JAMES M BERTON

age LZ 01 u £ NOTARY PUBLIC ■ STATE OF ILLINOIS

MY COMMISSION EXPIRES 10/09/16

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 a 'TMihiaL^elationship" with any. elected city official ordepartment head; A'Tamih'al relationship" exists if, as of the datejthis 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) aU; execu^ve-j)'£Bcet\$'ofiho Disclosing'Ph^'lkted^ni' Section ILB.1.&,, if the Disclosing Party; is a corporation; all pai'toers 'df 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 ofthe Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers ofthe 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. :

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	g Party or any "Applicable Party" or any Spou se or Domestic Parmer thereof curr with an elected city official or department head?	ently have a
f]Yes	(X]No;	
person is connected;	cify below (1) the name and title of such person, (2) the name of the legal entity to (3) the name and title of the elected city- official or department head to whom such and (4) the precise nature of such familial relationship.	

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIXB

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

This Appendix is to be completed only by (a)jtho:AppIicant^nud (b) any legal entity which has a direct ownership;iirtcr£\$t in the Appjicant <«cee It is not to be completed by any legal entity whijlvjhasVo the Applicant.

1. Pursuant to Municipal Code Section 2-154-010, is the Applicant or any Owner identified as a

building code scoff	law or;problen	n landlord pursuant to Section 2-92-416 of the Munic	cipal
' Code?',			
:"	; I,		
[!] Yes	i!	[X] No.	

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

[]Yes' []No .' [X] Not Applicable

3. : Ifiyes tp (1) or (2) above, 'plc&'se:^
identified as a'buil'dihgcd^
Buildings to which'tiie'pei^iiie'nfS

of.the building or

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCLVTED 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 ¹ Economic Disclosure Statement and Affidavit Appendix C First American Bank Corporation Employee Stock Ownership Plan

Administrative Committee.Members:

Susan Berchiolli Jane Nagel Linda Overbey Lauren Baldwin Daniel O'Connor Senior Vice President Executive Vice President Vice President Vice President Vice President

DM2*60S9C23.)

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STATEMENT AND AFFIDAVIT

SECTION I GENERAL INFORMATION
A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable;
GT Holdings, LLC
Check ONE of the following three boxes:
Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR 2. (xj a legal entity holding a direct or indirect interest in the Owner . State the legal name of the Applicant in which the Disclosing Party holds an interest: 131 West 33rd Street 1006 Michigan Avenue, OR 3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:
B. Business address of the Disclosing Party: 55 Fifth Avenue,. 15th Floor New York, New York, 10003
C. Telephone: (212) 206-6097 Fax: <u>Email: rsinger@timeequities.com</u>
<mailto:rsinger@timeequities.com></mailto:rsinger@timeequities.com>
D. Name of contact person: Robert Singer ■-
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):
Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesting this EDS? Department of Planning and Development
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification It and Contract ft

Page 1 of 13 SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

File #: SO2015-6394, Version: 1			
A. NATURE OF THE DISCLOSING	PARTY		
	D D		
1. Indicate the nature of the Disclosing Publicly registered business corporation			
Privately held business corporation	11		
Sole proprietorship			
General partnership			
Limited partnership			
Trust			
arty:			
D<] Limited liability company [] Limited liability partnership			
[] Joint venture			
[] Not-for-profit corporation			
(Is the not-for-profit corporation als	o a 501(c)(3))?		
[] Other (please specify)		[] Yes	[] No
country) of incorporation or organization	on, if applicable:		
Delaware			
3. For legal entities not organized State of Illinois as a foreign entity?	l in the State of Illinois: Has	s the organization re	egistered to do business in the
[]N/A			
B. IF THE DISCLOSING PARTY IS A	A LEGAL ENTITY:		
1. List below the fujl names and tit corporations, also list below all member members." For trusts, estates or. other so If the entity is a general partnership, venture, list below the name and title of that controls, the day-torday management EDS on its own behalf.	ers, if any, which are legal entitions; if any, which are legal entitions is similar entities, list below the list limited partnership, limited list feach general partner, managing	ties. If there are no sulegal titleholder(s). ability company, liming member, manager	ited liability partnership or joint r or any other person or entity
LDS; OII ItS OWII DEHAII.			
Name Title			
Francis Greenburger Robert Kantor Manager	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 coiporation, partnership interest in a partnership or joint venture.

Page 2 of 13

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

Name Business Address Percentage Interest in the
Disclosing Party

2003 Francis Greenburger Trust 55 Fifth Avenue, 15th Floor ! '
New York, NY 10003 "

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

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either ask the City wh	ether disclosur	e is required or make the disclosure.	
		Page 3 of 13	
Name (indicate wheth retained or anticipated to be retained)		Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response
(Add sheets if necess		rty has not retained, nor expects to r	retain, any such persons or entities. SECTION V
- CERTIFICATIONS			, ,
A. COURT-ORDER	ED CHILD SU	PPORT COMPLIANCE	
•		-92-415, substantial owners of busind support obligations throughout the	ness entities that contract with the City must e contract's term.
• •	•	rectly owns 10% or more of the Disc nois court of competent jurisdiction	closing Party been declared in arrearage on any?
[] Yes	[X] No	[] No person directly or indirectly Disclosing Party.	owns 10% or more of the
If "Yes," has the personal compliance with that		a court-approved agreement for pay	yment of all support owed and is the person in
[]Yes []No			
B. FURTHER CERT	TIFICATIONS		

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 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. 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. 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 crimpetition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. ab'dve tha't'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, of 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 DisclosingParty 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 Univerified List, the Entity List and the Debarred List.
- 6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A

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

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

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 1. [] is [x] is not

N/A

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

2. If the Disclosing PaTty 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 Part D.
 In accordance with Section 2-156-110' of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter? Yes No
NOTE: If you checked "Yes" to Item D.I., proceed to Items D.2, and D.3. If you checked "No" to Item D.I., proceed to Part E.
2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.
Docs the Matter involve a City Property Sale?
[]Yes []No
3. If you checked "Yes" to Item D.I., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:
Name Business Address Nature of Interest.
4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.
E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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

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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 ah 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? []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 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 wwwicityofchicagb.org/Ethic's, 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 Gity. 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 Parly 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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F.I. The Disclosing Party is not delinquent in the payment ofany tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes. •

. . .

- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S." E.P.A. oh the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and Will not, without the prior written consent of the City, use any. such: contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

Under penalty ofperjury, 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.

6T Holdings, LLC

(Si'jgh; here)

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

type title of person signing) •

Signed ajRysvvoj-n to before me on yJate) at Piy/ brlC t Cpu^ ln^hr-k State).

Notary Publii?.n/Fi;blic,State.6f.K'eivVr,;
- (-j No.02v76131C40

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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, arid (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-hvlaw, mother-in-law, son-in-la\v, 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

File #:	SO2015-6394,	Version:	1
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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 (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 2-154-016, is the Applicant or any Owner identified as a

building ¹ code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal

Code? ' "'

- ⁷ 2. If the Applicant is alegal eritity publiclytraded on any exchange, 'i&any'officer or directior of the Applicant identified'as a building code scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code?
 - . []Yes

 ' []No
 [x] Not Applicable
 - 3. Ifyes u>(1¹) 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/ if applicable: JK 1006 S

File #: SO2015-6394, Version: 1
Michigan, LLC
Check ONE of the following three boxes:
 Indicate whether the Disclosing Party submitting this EDS is: [.] the Applicant OR [X] a legal entity holding a direct or indirect interest in the Property Owner. State the legal name of the Property Owner in which the Disclosing Party holds an interest: 1006 S. Michigan, LLC OR. [] a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control:
B. Business address of the Disclosing Party: ? Sc;avifiw Rlvri, m? Port Washington, NY 11050
C. <u>Telephone: 516 622 7500</u>
D. Name of contact person:. Jc_xlariJla_lik , '. ■.
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): Planned
development application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesting this EDS?Department of Planning and Development
D If the Mattf r i<; n contract being handled by the City's Department of Procurement Services, please complete the following:
Specification # and Contract #
Page 1 of 13
SECTION II - - DISCLOSURE OF OWNERSHIP INTERESTS
A. NATURE OF THE DISCLOSING PARTY

File #: SO2015-6394, Version: 1
Person
Publicly registered business corporation
Privately held business corporation
Sole proprietorship
General partnership
Limited partnership
Trust
[X] Limited liability company
[] Limited liability partnership
[] Joint venture
[] Not-for-profit corporation
(Is the not-for-profit corporation also a 501(c)(3))?
[] Yes [] No
[] Other (please specify)
2. For legal entities, the state (or foreign country) of incorporation or organization'.'if applicable:
Delaware
3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?
[]Yes [X]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 Jerry Karlik Manager
Michael Siemer 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

JK Equities 1006 LLC - 2 SEA VIEW BLVD #102, PORT WASHINGTON, NY 11050 - 25% 1006 Mich Office,

LLC -111 EWacker Drive, #900 Chicago, IL 60601 75%

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?

: j

[1 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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		Page3;of 13	
Name (indicate whether retained or anticipated to be retained) N/A	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
(Add-sheets if necessary)		, ■• .	
[X] Check here if the	Disclosing	Party has not retained, nor exp	ects to retain, any such persons or entities;
SECTION V CERTIFIC	CATIONS		
A. COURT-ORDERED	CHILD SUI	PPORT COMPLIANCE	
•		92-415, substantial owners of busing support obligations'throughout the	ess entities that contract with the City must contract's term.
* *	-	ectly owns 10% or more of the Discoust court of competent jurisdiction?	losing Party beert declared in arrearage on any
[] Yes [X] No	[] No person directly or indirectly Disclosing Party.	owns 10% or more of the
If "Yes," has the person e compliance with that agree		a Court-approved agreement for pay	rment 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.

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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 U.B.I, of this EDS:
 - a. are not presently debarred, suspended, proposed for debarment,, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
 - b. have not, within a five-year period'preceding the date of this EDS, been convicted of a criminal
 - b. offense, adjudged guilty, or had a civil judgment rendered against them in connection with:
 - b. obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or
 - b. contract under a public transaction; a violation of federal or state antitrust statutes; fraud;
 - b. embezzlement; theft; forgery; bribery; falsification or destruction of records; making false
 - b. 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

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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 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: N/A

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

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

N/A

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 1. []is [X] is not
- a "financial institution" as defined in Section 2-32-45 5(b) of the Municipal Code.
 - 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 ofthe privilege of doing business with the City."

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

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If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.
D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS
A 1 4 4 4 1 6 1 0 1 4 2 15 C 64 M 1 1 1 C 1 1 4 4 1 1 1 1

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 , [X] No,

NOTE: If you checked "Yes" to Item D.i., proceed to Items D.2. and D.3. If you checked "No" to Item D.I., 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 legalprocess at the suit of the City (collectively, "City Property Sale"). Compensation .for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[]Yes []No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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

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•	federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, lify any federally funded contract, grant, loan, or cooperative agreement. Page 9 of 13
_	Party will submit an updated certification at the end of each calendar quarter in which there materially affects the accuracy of the statements and information set forth in paragraphs A.l. and
Revenue Code of 198	g Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal 6; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 and will not engage in "Lobbying Activities".
substance to paragrap Disclosing Party must	ng Party is the Applicant, the Disclosing Party, must obtainicertifications equal in form and hs A. L through A"4; above from all subcontractors before it awards any subcontract and the maintain all such subcontractors' certifications for the duration of the Matter and must make such y available to the City upon request.
B. CERTIFICATION	REGARDING EQUAL EMPLOYMENT OPPORTUNITY
	lly funded, federal regulations require the Applicant and all proposed mit the following information with their bids or in writing at the outset of
Is the Disclosing Part	y the Applicant?^
[] Yes	[X]No .'.
If "Yes," answer the the	nree questions below:
1. Have you dev regulations? (See 41 C	eloped and do you have on file affirmative action programs pursuant to applicable federa CFR Part 60-2.) [] No
2. Have you filed	I with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance all Employment Opportunity Commission all reports due under the applicabl'e filing requirements? [] No
3. Have you part opportunity clause? [] Yes	icipated in any previous contracts or subcontracts subject to the equal
If you checked "No" t	o 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.itvofchicaRO.org/EthiCs http://www.itvofchicaRO.org/EthiCs, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all 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 1 of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

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- F.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 or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in' F.l. arid¹ F.2. above and will hot, 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 6f perjury, the person sighing belbw: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) oh behalf ofthe 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!

JK 1006 S MICHIGAN LLC (Print or wrte name of disclosing Party)

JERiRYKARLIK

(PrirVf or type name of person signing) MANAGER (Print or type title of person signing)

Signed and sworn to before me on (date) $Al/1^{i}/J\sim^{\wedge} |^{\wedge} < J, |) fD$, $\blacksquare w$ at W^6MJ County, 'MCj/state).

Notary Public. 8^5??&S^&^*!*

!» • O1CH6328026

Commission expires:\JhClLyj <file:///JhClLyj> \]\\J (AJX \

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any 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 orstepdaughter, 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.

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 lias a direct

ownership interest in the Appli entity which has only ah indire	0 1	Applicant
1. Pursuant to Municipal Code	e Section 2-154-010, is the A	pplicant or any Owner identified as fa 1
"" ' buildingcodescofflaw or'p	orohlem'landiord pursuant to	Section 2-92-416 of me'Municipai •'
Code?'	'' ' - .<	
[]Yes .	- '■[X] No '•'	
		nded oh any exchange, is any officer or director of the or problem landlord pursuant to Section 2-92-416 of the
[]Yes	' []'No	[X] Not Applicable*
	•	me of the:person or legalentity

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

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

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable; JK Equities 1006,

LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. [] the Applicant..

OR

- [X] a legal entity holding a direct or indirect interest in the Property Owner. State the legal name of the Property
 Owner in which the Disclosing Party holds an interest: 1006 S. Michigan, LLC
 OR
- 3. [] a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control: .
- B. Business address of the Disclosing Party: p Review Rivri, m?
 iPort Washington, NY 11050
- C. Telephone: 516 622 7500 Fax: 516 224 7259 Email: jordan@jkequities.com <mailto:jordan@jkequities.com>
- D. Name of contact person: Jordan Karlik
- 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): Planned development application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.
- G. Which City agency or department is requesting this EDS?Departmentof.Planning and Development
- D 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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THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party:	
Person [X] Limited liability company	
Publicly registered business corporation [] Limited liability partnership	
Privately held'busihess corporation [] Joint venture	
Sole proprietorship [] Not-for-profit corporation	
General partnership (Is the not-for-profit corporation also a 501(c)(3))?	
Limited partnership [] Yes [] No	
Trust [] Other (please specify)	
2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:	
2. <u>Delaware / ■ _ '' ■:.</u>	
3. For legal entities not organized in the State of Illinois: Has the organization registered to do	
3. business in the State Of Illinois hs aforeign entity?	
[]Yes [X]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: profit corporations, also list below all members, if any, which are legal entities. If there are no such mem 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 paventure, list below the name and title of each general partner, managing member, manager or any other p that controls the day-to-day management pf the Disclosing Party. NOTE: Each legal entity listed below reEDS on its own behalf.	nbers, write "no artnership or join person or entity
Name Title	
JK Equities LLC Manager/Class B Member	
Sikelele Investment Holdings LP Class A Member	

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

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

Name

Business Address

Percentage Interest in the Disclosing Party

JK Equities LLC - 2 SEA VIEW BLVD #102, PORT WASHINGTON, NY 11050 - 90% Sikelele Investment

Holdings, LP, 6015 Yorkville Court, Dallas, TX 75248 10%

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.

		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
N/A			not an acceptable response.
(Add sheets if necessar	y)		1:
[X] Check here if the I	Disclosing P	arty has not retained, nor expects to	retain, any such persons or entities. SECTION
V - CERT IFICATION	S " ⁷		
A. COURT-ORDERE	D CHILD S	UPPORT COMPLIANCE	
•		2-92-415, substantial owners of busing ld support obligation is throughout the	ess entities that contract with the City must contract's term.
		rectly owns 10% or more of the Disc nois 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	entered into	,	ment of all support owed and is the person in

B. FURTHER CERTIFICATIONS

[] No

compliance with that agreement?

[]Yes

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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 ofthe 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
 - 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:?, 4 and 5 concern: -
 - the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in c'onnection 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 such¹ Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery of 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, 'iri 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
- c. have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living-Wage Ordinance).
- 4. Neitherthe Disclosing Party, Affiliated Eritity 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. Neitherthe¹ 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 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: N/A

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

- 8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). N/A
- 9. To the best ofthe 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 ih'the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 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): N/A

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

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

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

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

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

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[]Yes []No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

_____1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or.death of their slaves), and the Disclosing Party has found no such

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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

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

and all slaves or slaveholders described in those records:

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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

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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 PartySis-.the Applicant., the Disclosing Party must obtain ertifications; equal in form and substance to, paragraphs A.l. through A.4. above from all subcontractors beforerit 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. 'federakergulations 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 [X] No

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

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

[]Yes []No

- 2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements? []Yes []N6
- 3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

[]Yes []No

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

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

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or

other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

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

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 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 2-1 54-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. oh the feaeralExciudec 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.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 "DisclosingjP^arty- has.reason to, believe has not provided or cannot provide truthful certifications.

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

CERTIFICATION

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

JK Equities 1006 LLC

(Print or type name of Disclosing Party)

JERRYKAROK

(Print or type name of person signing)

MANAGER OF JK EQUITIES LLC, MANAGER OF DISCLOSING PARTY

Page 12 of 13 (Print or type title of person signing)

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

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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 halfrbrother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section H.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) alkpriheipal 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 diereof 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.

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLAVWPROBLEM 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 legalentity which has only an indirect ownership interest hi the Applicant.

1. Pursuant to Municipal Code Section 2-154\^010, is the Applicant or arty Owner identified as a building

code's cofflaw or problem landlord pursuant to Section 2^92-416 of the Municipal Code? •

- [] Yes ' •■' [X]No
- 2. If the Applicant is adegal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw onproblem landlord pursuant to Section 2-92-416 of the Municipal Code?
- [,] Yes .! ... [].Nb , [X] Not Applicable
- 3. 'If .yes to (1) or (2) above, please: identify below the name of the person or legal entity identified as a building code scofflaw or problem landlprdand 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/if applicable:

JK Equities, LLC -Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is: >

- 1. [•] the. Applicant OR
- 2. [X] a legal entity holding a direct or indirect interest in the Property Owner. State the legal name of the Property Owner in which the Disclosing Party holds an interest: 1006 S. Michigan, LLC

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OR 3. [] a legal entity with a right of control (see So which the Disclosing Party holds a right of control (see So which t	ection II.B.l.) State the legal name of the entity m-rol:
B. Business address of the Disclosing Party: ? Sp	paviflw Rivri, m? Port Washington, NY 11050
C. Telephone: 516 622 7.500 , , , <a href="mailto:jordan@</td><td>Fax:. 516 224.7259, , ,Email: jordan@jkequities.cpm</td></tr><tr><td>D. Name of contact person: Jordan Karlik</td><td>] ;</td></tr><tr><td>E. Federal Employer Identification No. (if you have</td><td>e one): , V x V</td></tr><tr><td>F. Brief description of contract, transaction or other</td><td>r undertaking (referred to below as the " matter")="" td="" to<="">	
which this EDS pertains. (Include project number as	and location of property, if applicable): Planned
development application for 920-1006 South Michigan	igan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesting the	his EDS?Department of Planning and Development
D If the Mailer is a contract being handled by the Cifollowing:	ity's Department of Procurement Services, please complete the
Specification #	and Contract #
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SECTION II DISCLOSURE OF OWNERSHIP	INTERESTS
A. NATURE OF THE DISCLOSING PARTY	
Indicate the nature of the Disclosing Party: [] Person [] Publicly registered business corporation [] Privately held¹ business corporation [] Sole proprietorship [] General partnership [] Limited partnership [] Trust	[X] Limited liability company [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No [] Other (please specify)

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

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Delaware;.- r . ■■

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 eritity?-

[]Yes [X]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 no't-fbr-prbfiit 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).

Name

Jerry Karlik Jordan Karlik

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

Title.

Manager/Member Member

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

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

Name Business Address Percentage Interest in the Disclosing Party

Jerry Karlik - 2 SEA VIEW BLVD #102, PORT WASHINGTON, NY 11050

/1 is

Jordan Karlik - 2 Seaview Blvd #102, Port Washington, NY 11050

■/" •*

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

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

N/A

(Add sheets if necessary)

[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 (eg,., "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 EPS, 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 pr6s'pective-bidders, in restraint of freedom of competition by agreement-to bid a fixed price or 6therwise.br http://6therwise.br

- 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 tKe'Disclbsihg Party, Affiliated* Entity or 'Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any nnit 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 ofthe above statements in this Part B (Further Certifications), the Disclosing Party must explain below: N/A

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

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

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 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): N/A

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

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
- 1. of the City have a financial interest in his or her own name or in the name of any other person or
- 1. entity in the Matter? ... ,. ([] Yes . . ; IX] 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.I., 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 of entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold"by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[]Yes []No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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
 - 4. 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section
 - 4. 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying
 - 4. 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 hefpre it awards any, subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

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B. CERTIFICATION	REGARDING EQUAL EMPLOYMENT OPPORTUNITY
	ly funded, federal;regulations require the Applicant and: all proposed nit the following information with their bids or in writing at the outset of
Is the Disclosing Party	the Applicant?
[] Yes	[X] No
If "Yes," answer the th	ree questions below:
1. Have you devergulations? (See 41 C	loped and do you have on file affirmative action programs pursuant to applicable federal FR Part 60-2.)
•	with the Joint Reporting Committee, the Director of the Office of Federal Contract or the Equal Employment Opportunity Commission all reports due under the applicable filing
3. Have you particopportunity clause? [] Yes	cipated in any previous contracts or subcontracts subject to the equal
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.

EL The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations; on persons, or entities seeking City contracts, work, business, or.

transactions. The full text of these ordinances and a training program is available on line at www.citybfchiCago.org/Ethics http://www.citybfchiCago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the. City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing PERMANENT INELIGIBILITY for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter. 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

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- F.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 or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant the Disclosing Party will obtain from any-' contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such⁵ contractor/subcohtfa'ctor that does hot provide such Certifications or that the Disclosing Party has reason to believe-h'as-rtdt 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 sighing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) oh behalf ofthe Disclositig-Party, and (2) warrants¹ that all certifications and statements contained in this EDS and Appendix A (if applicable) arc true, accurate and complete-as of the date furnished to the City. .JERRY KARLIK

(pPrint or type name of person signing)

MANAGER

(Print or type title of person signing)

Signed and sworn to before me on (date) *ic-i< at A/lrSS^l/ County, A/W Estate).

Notary Public.

Commission expires: \J(jjuj I/O, J-'O I

ta^giffR. CHAFFEE Koi*y P^etate of New Vo* Commission B<pinS% J2o%19

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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 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 die 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 SCOFFLAW7PROBLEM 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 hot to be completed by any legal entity which has only ah indirect ownership interest in the Applicant.

1. Pursuant	to Municipal	Code Section	2454-010, is the	Applicant	or My Owner	identified	as a building	code
scofflaw	or problem lar	ndlord pursuant	to Section 2-92-4	16 of the M	Iunicipal			
'Code?	; ' _t '	'':;'V ;			■•			

[] Yes "" TX]Nb'

2. If the Applicant is a egal entity in bull to ded on any exchange, is any office or diffect of the Applicant identified as a building code scofflaw of problem landlord pursuant to Section 2-92-416 of the Municipal Code?

[.] Yes " [']No - pe] 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/ if applicable: MHSR, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

- 1. [,] the Property Owner
- 2. [X] a legal entity holding a direct or indirect interest in the Property Owner. State the legal name of the Property Owner in which the Disclosing Party holds an interest: 1006 S Michigan, LLC
- 3. [] a legal entity with a right of control (see Section II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control:
- B. Business address of the Disclosing Party: m f Warkpr nrivp apnn Chicago, IL.60601

C. <u>Telephone: 312 819 4444</u> <u>Fax: 312 8.19.5410. ...</u> <u>Email: msiemer@bradleyassoc.com</u> <mailto:msiemer@bradleyassoc.com>...

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D. Name of contact person: Mike Siemer	<u></u>
E. Federal Employer Identification No. (if you have	e one):
F. Brief description of contract, transaction or other	r undertaking (referred to below as the "Matter") to
which this EDS pertains. (Include project number a	and location of property, if applicable): Planned
development application for 920-1006 S Michigan	Avenue and 1011-1015 South Wabash
G. Which City agency or department is requesting t	this EDS?Department of Planning and Development
LfJhe.MaftciLis a contract being handled by the complete the following:	City's Department of Procurement Services, please
Specification #	and Contract #
Page 1 of 13	
SECTION II DISCLOSURE OF OWNERSHIP	INTERESTS
A. NATURE OF THE DISCLOSING PARTY	
1. Indicate the nature of the Disclosing Party:	
] Person	[X] Limited liability company
Publicly registered business corporation	[] Limited liability partnership
] Privately held business corporation] Sole proprietorship	[] Joint venture [] Not-for-profit corporation
General partnership	(Is the not-for-profit corporation also a 501(c)(3))?
Limited partnership	[] Yes [] No
] Trust	[] Other (please specify)
2. For local antition the state (or foreign country	y) of incorporation or organization if applicables Delaysers
2. For legal entities, the state (or foreign country	y) of incorporation or organization, if applicable: Delaware
3. For legal entities not organized in the State of State of Illinois as a foreign/entity?	of Illinois: Has the organization registered to do business iri the
[X] Yes [] No	[] N/A
B. IF THE DISCLOSING PARTY IS A LEGAL E	NTITY:

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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 Tegal 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

Michael Siemer

Sole Member

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

Page 2 of 13

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

Name

Business Address

Percentage Interest in the

Disclosing Party

Michael Siemer

111 E WACKER DRIVE #900 CHICAGO IL 60601 100%

SECTION III BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

[X] No

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

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

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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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N/A

(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

Al COURT-ORDERED CHILD SU-pRORT'CbMPIilANCE '

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 nibfe 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 ' Ij No

B. FURTHER CERTIFICATIONS

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

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- 2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B. 1. of this EDS:
 - a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
 - b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
 - c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
 - d. have.not, within a fiveryear 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, of 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, of 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 comp'etition by agreement to bid a fixed price or otherwise; or
 - c. made ah admission of such conduct described in a. 'or b.-above that is a matter of record, ^jbut 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 offense¹ 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

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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 ofthe above statements in this Part B (Further Certifications), the Disclosing Party must explain below: N/A

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

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

N/A . L'......

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 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): N/A

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

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

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

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

NOTE: If you checked "Yes" to Item D.I., proceed to Items' 6.2. 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 perm itted, ho City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[]Yes []No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

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

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be

conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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 paragraph's A.l. through A.4. above from all subcontractors' be fore⁵ 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 Applicant⁵ 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 [X] No $> \blacksquare .'. \blacksquare ./ \blacksquare \blacksquare \blacksquare \bullet j' \blacksquare$

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 underthe applicable filing requirements? []Yes []No
 - 3. Have you participated in any previous contracts or subcontracts subject to the equal

opportunity clause? []Yes []No

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

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

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City!s Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these, ordinances and a ttaining program is available on line at www.xitvofch icago.org/Etliics http://icago.org/Etliics, 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 rparticipation 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 tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes:
- Fj2 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") maintairied 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 tothosein F.lVand F.2. above and will not, w-ithoutthe prior written consent of the City, use any'su'ch contractor/subcontfactor that does not provide such certifications or that the Disclosing Partyhas reason to believe has not provided of cannot 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

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

```
MHSR, LLC
(Print or type name of Disclosing Party)

By; ^^^^.^-^- (Sign here)

MICHAEL SIEMER
(Print or type name of person signing)

Sole Member
(Print or type title of person signing)

at
```

Estate). Notary Public.

Signed and sworn to before me on (date)

County,

S Jsfr

Ifrn 4 'kW-

Commission expires:

AU1SONTWNG NOTARY PUBUC - STATE OF tU.iN&S

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 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, sonrihrlaw, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

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

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

[] Yes [X] No

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

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT 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 (ah "Owner"). It is riot 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 of any Owner identified as a building Code scofflaw of problem landlord pursuant to Section 2-92-416 of the Municipal Code? "

[] Yes - [X]No

- < 2. If the Applicant is a legal entity publicly traded on any exchange, is any officer.or director of the Applicant identified as a building codeiscofflaw or problem; landlord pursuant to Section 2-92-416 of the Municipal Code?
 - 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 probleni landlord and the address pf,the building or . buildings to which the pertinent code, violations apply.;

FILLING OUT THIS APPENDIX B CONSTITUTES¹ ACKNOWLEDGMENT AND AGREEMENT THAT THIS APPENDIX B IS INCORPORATED BY REFERENCE INTO, AND MADE A PART OF, THE ASSOCIATED EDS, AND THAT THE REPRESENTATIONS MADE IN THIS APPENDIX B ARE SUBJECT TO THE CERTIFICATION MADE UNDER PENALTY OF PERJURY ON PAGE 12 OF THE ASSOCIATED EDS.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I ~ GENERAL INFORMATION

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

New Regime Co. LP

File #: SO2015-6394, Version: 1
Check ONE of the following three boxes:
Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant OR 2. [x] a legal entity holding a direct or indirect interest in the Owner . State the legal name of the Applicant in which
the Disclosing Party holds an interest:. 33rd Street 1006 Michigan Avenue, LLC OR
3. [] a legal entity with a fight of control (see Section II. B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control:; '
B. Business address ofthe Disclosing Party: 55 Fifth Avenue, 15th Floor New York, New York, 10003
C. <u>Telephone: (212)206-6097</u> <u>Fax: Email: rsingef@timeequities.com</u>
<mailto:rsingef@timeequities.com></mailto:rsingef@timeequities.com>
D. Name of contact person: Robert Singer '_
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 ED pertains. (Include project number and location of property, if applicable):
Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesting this EDS? Department of Planning and Development
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification it and Contract #
Page 1 of 13
SECTION II DISCLOSURE OF OWNERSHIP INTERESTS
A. NATURE OF THE DISCLOSING PARTY
Indicate the nature of the Disclosing Party: [] Person [] Limited liability company

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[] Publicly registered business corporation [] Privately held business corporation [] Sole proprietorship [] General partnership [x] Limited partnership [] Trust	 [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No [] Other (please specify)
2. For legal entities, the state (or foreign	country) of incorporation or organization, if applicable:
New.'York,	
3- For legal entities not organized in the of Illinois as a foreign entity?	State of Illinois: Has the organization registered to dp business in the State
[] Yes [X3 No ;	[] N/A
B. IF THE DISCLOSING PARTY IS A LEG	GAL ENTITY:
profit corporations, also list below all member members." For trusts, estates or other similar If the entity is a general partnership, limite venture, list below the name and title of each	all executive officers and all directors/of the entity: NOTE: For not-for- ers, if any, which are legal entities. If there are no such members, write "no entities, list below the legal titleholder(s). ' ed partnership, limited liability company, limited liability partnership or joint general partner, managing member, manager or any other person or entity the Disclosing Party. NOTE: Each legal entity listed below must submit an
Name Title Francis Greenburger _ Robert Kantor	
-	on concerning each person or entity having a direct or indirect beneficial 5% ofthe Disclosing Party. Examples of such an interest include shares in a nip 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.

File #: S	SO2015-6394.	Version:	1
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Name	Business Address	Percentage Interest in the			
		Disclosing Party			
<u>Lillian Jaffe Trust</u>	<u>5</u> 5	5 Fifth Avenue, 15th Floor, New York, NY 10003		<u>i .</u>	
RKP Revocable Declaration of	Trust 55	5 Fifth Avenue, 15th Floor, New York, NY 10003 j			
∎Eileen We stbau m	55 Fifth	n Avenue^tbJ^c^Mvlew Ybr4vNY-400Q3.	,	f	
Patricia and Thomas Carren	55	5 Fifth Avenue, 15th Floor, New York, NY 10003 i			
Debra ChwastKevbcaWTfOsT	55	5"TfTffTAvenue, 15th Roof; New York, NY-10003	-		
Jeffrey Newmark	<u>55</u>	5 Fifth Avenue. 15th Floor. New York, NY 10003 i			
Johnathan Newmark Living Tru	ust 5	5 Fifth Avenue, 15th Floor, New York:NY 10003		i	" "

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

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(Add sheets if n	necessary)	
[x] jCheck here	e if the Disclosing	Party has not retained, nor expects to retain,-any such; persons or entities. SECTION V
CERTiFiC A	TiONS '	
A. COURT-OF	RDERED CHILD	SUPPORT COMPLIANCE
	•	n 2-92-415, substantial owners of business entities that contract with the City must child support obligations throughout the contract's term.
• 1	•	adirectly owns 10% or more of the Disclosing Party been declared in arrearage on any Illinois court of competent jurisdiction?
[] Yes	[;] 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 of all support owed and is the person in
[] Yes	[J No	
B. FURTHER	CERTIFICATION	NS .
terms (e.g., "doi doing business values of the person is curren supervision for, perjury, dishone understands and City. NOTE: If	ing business") and with the City, then thy indicted or cha any criminal offeresty or deceit again acknowledges the Article I applies to	le Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling arged with, or has admitted guilt of, or has ever been convicted of, or placed under use involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, ast an officer or employee ofthe City or any sister agency; and (ii) the Applicant at compliance with Article I is a continuing requirement for doing business with the othe Applicant, the permanent compliance timeframe in Article I supersedes some five-

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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 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
- d. 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
- e. guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions
- e. concerning environmental violations, instituted by the City or by the federal government, any
- e. state, or any other unit of local government. ".,
- 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, Of 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 of otherwise; Of'
- c. niade ah 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 Parry, Affiliated Entity 'of 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 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'of 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 arid 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 ofthe above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

 N/A

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

the Disclosing Party certified to the above statements.

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

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 1. [] is fX1 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 ofthe privilege of doing business with the City."

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

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

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

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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?

;'[']'Y'es .. [X] No '

NOTE: If you checked "Yes" to Item D.I., proceed to Items D.2. and D3. If you checked "No" to. Item p. 1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit ofthe City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City'Property Sale?

[]Yes []No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

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

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- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.l. arid 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 arid¹ will riot engage hi "Lobbying Activities".
 - 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and

Disclosing' Party must main	through A.4. above from all ntairi all such subcontractors' clable to the City upon request	certifications' for the	· · · · · · · · · · · · · · · · · · ·	
B. CERTIFICATION REG	ARDING EQUAL EMPLOY	MENT OPPORTU	NITY	
subcontractors to submit the	nded, .federal, regulations requestions requestion with the second secon	heir bids or in writi	ng at the outset of	1 ,
Is the Disclosing Party the	Applicant?,			
[] Yes	[] No			
If "Yes," answer the three q	uestions below:			
1. Have you developed regulations? (See 41 CFR P	d and do you have on file art 60-2.)	affirmative action	n programs pursuant to	applicable federal
•	the Joint Reporting Committed cloyment Opportunity Commi [] No			•
3. Have you participate opportunity clause? [] Yes "	ed in any previous contracts of	r subcontracts subje	ct to the equal	
If you checked "No" to ques	stion 1. or 2. above, please pro	ovide an explanation	n:	
	Page 10	of 13		
SECTION VII A PENALTIES, DISCLOSUI	ACKNOWLEDGMENTS, RE	CONTRACT	INCORPORATION,	COMPLIANCE,
The Disclosing Party under	stands 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.wvcityofchicago.org'/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 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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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Ehtities'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 arid substance to those in F. l. arid F.2. above and will not, without the prior written Consent of the' City, use any such contractor/subcontractor that does not provide such

Commission expires: 1/y \\^ \~~"S \/ 1/0 i 1

certifications or that the Disclosing Party has reason to believe has riot provided or cannot 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 rhust 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 ofthe 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.

New Regime Co. LP

(Print or type name of D isclosing Party)

(.Si'gn "here)

(Print or type name of person signing)

(Print or type title of person signing)

at

Signed and,sworn to before me an (date) /y - -y.t &, <J'Wr it- punty, fitM Y&A\£ (dzitc)

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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

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

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose-whether such Disclosing Party or any

"Applicable.Party" or any Spouse or .Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any ofthe following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-irt-law, mother -in-law, son-in-lawj 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 Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

[] Yes fc] 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 lias only-an' indirect ownership interest in the Applicant.

- , I... 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? ; .• -^u ■■

File #: S	O2015-6394, Version: 1			
[] Yes	[X]No •		
i	f the Applicant is a legal entity p dentified as a building code scot Code?			
[]Yes	[JNo	[x] Not Applicable	
	3. If yes to (1) or (2), above, dentified as, a building code; scof which the pertinent code violations	fflaw or problem lan	the name ofthe pein-n-or Je al.en. dlord and the address of the bui	
T T A	FILLING OUT THIS APPENDIX INTO THAT THIS APPENDIX BIS INCOME ASSOCIATED EDS, AND THE SUBJECT TO THE CERTIFING THE ASSOCIATED EDS.	ORPORATED BY REHAT THE REPRESED CATION MADE UND	EFERENCE INTO, AND MADE ANTATIONS MADE IN THIS APP	A PART OF, PENDIX B IN PAGE 12
SECTIO	ON I - GENERAL INFORMATION	N		
A. Lega	al name of the Disclosing Party sub	omitting this EDS. Incl	lude d/b/a/ if applicable: OAK Cap	vitals,
LLC				
Check C	ONE of the following three boxes:			
1. [] 2. [X O	whether the Disclosing Party subnormal the; Applicant OR (a) a legal entity holding a direct or swher in which the Disclosing Party OR (b) a legal entity with a right of control the Disclosing Party holds a right	indirect interest in the holds an interest: 100 ol (see Section II.B.l.	06 S. Michigan, LLC	
B. Busi	ness address of the Disclosing Part	ry: i?sn s Michigan Chicago, IL	Awmm - SuitR lan? 60605	÷(;
	ohone: ,312,617,,9249, ,Fax:,8 eli@oakcapitals.com> . ■	<u>84,4.61,8.9288</u>	Email: eli@oakcapitals.com	<u>m</u>

to

File #: SO2015-6394, Version: 1				
D. Name of contact person: _£lias_Abutekej:				
E. Federal Employer Identification No. (if you ha	ave one):;			
F. Brief description of contract, transaction or of	her undertaking (referred to below as the "Matter") to			
which this EDS pertains. (Include project numbe	er and location of property, if applicable): Planned			
development application for 920-1006 South Mic				
G. Which City agency or department is requestin	g this EDS?Departmenl of Planning and Development			
f) If tli£_MLalter_is.ja contract being handled by following:	the City's Department of Procurement Services, please complete the			
Specification #	and Contract #			
Page 1 of 13 SECTION II - DISCLOSURE OF OWNERSHIP	P INTERESTS			
A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party [] Person [] Publicly registered business corporation [] Privately held business corporation [J Sole proprietorship [] General partnership [] Limited partnership [] Trust	[X] Limited liability company [] Limited liability partnership [] Joint venture- [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [] Yes [] No [] Other (please specify)			
	try) of incorporation or organization, if applicable: Illinois . r of Illinois: Has the organization registered to do ntity?,; w			
D. M. EVILL DIGGLOGDIG DADELLIGA A A F. C. 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

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If the entity is a general partner venture, list below the name and to	tle of each general partner, managing m	titleholder(s). ty company, limited liability partnership or joint nember, manager or any other person or entity Each legal entity listed below must submit an
Name Title		
Elias Abubeker	Managing M	ember
Min Ouyang	Managing M	ember
interest (including ownership) in excorporation, partnership interest in Name (indicate whether Busine retained Or anticipated Address to be retained)' N/A	a partnership or joint venture, Page 2 of 13 Relationship to Disclosing Party	Examples of such an interest include shares in a Fees (indicate whether paid orestimated.) NOTE: "hourly rate" or "t.b.d;" is not an-acceptable response.
(Add sheets if necessary)	i-'	,,
[X] Check here if the Disclosing	ng Party has not retained, nor expe	ects to retain, any such persons or entities.
SECTION V CERTIFICATION	S	
A. COURT-ORDERED CHILD S	SUPPORT COMPLIANCE	, ■
•	2-92-415, substantial owners of busines aild support obligations throughout the control of the c	ss entities that contract with the City must contract's term.
Has any nerson who' directly or inc	directly owns 10% of more of the Discl	osing 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.

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If "Yes,"'has the pers compliance with that	son entered into a court-approved agreement for payment Of all'-support owed arid is the person in agreement?			
f]Yes	[] No			
B. FURTHER CER	TIFICATIONS			

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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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

Elias Abubeker 1250 S Michigan Ave, #1902, Chicago, IL 60605 Min Ouyang -

1250 S Michigan Ave, #1902, Chicago, IL 60605

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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- 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
 - 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, of any agency of the federal government of 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
- b. agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or
- b. prospective bidders, in 'restraint¹ of freedom of competition by agreement'to bid a' fixed price 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 ochduct; of
- d. violated the provisiotis' 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 governmenfas 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.

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- 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 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: N/A

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

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

N/A '

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than S20 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.

<u>N/A ...</u> <u>V ..</u> <u>' '</u>

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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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 that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender or becoming an affiliate or become a predatory lender or becoming an affiliate or become a predatory lender or becoming an affiliate or become a predatory lender or becoming an affiliate or become a predatory lender or become	2-32 of the
If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in S of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Co (attach additional pages if necessary): N/A	, , ,
Page 7 of 13	
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusive presumed that the Disclosing Party certified to the above statements.	ely
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 meaning used in this Part D.	s when
1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee financial interest in his or her own name or in the name of any other person or entity in the Matter? [] Yes '[X]No	of the City have a
NOTE: If you checked "Yes" to Item D.L, proceed to Items D.2! and D:3. If you checked "No" to It Part E.	em D.L, proceed to
2. Unless sold pursuant to a process of Competitive bidding, or otherwise permitted, no City ele employee shall have a financial interest in his or her own name or in the name of any other person or purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property ta City's eminent domain power does not constitute a financial interest within the meaning of this Part I	entity in the sold by virtue of aken pursuant to the
Does the Matter involve a City Property Sale?	
[] Yes [] No	
3. If you checked "Yes" to Item D.L. provide the names and business addresses of the City office	vials or

employees having such interest and identify the nature of such interest:

Name Business Address

Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

- 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 1 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

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necessary):		
conclusively presumed that	the Disclosing Party mea	ove, or if the letters "NA" or if the word "None" appear, it will be ans that NO, persons or entities registered under the Lobbying s on behalf of the Disclosing Party with respect to the Matter.)
entity listed in Paragraph A attempt to influence an offi an officer or employee of C federally funded contract, r	a.l. above for his or her lol cer or employee of any ag Congress, or an employee making any federally fund	ot expend any federally appropriated funds to pay any person or bbying activities or to pay any person or entity to influence or gency, as defined by applicable federal law, a member of Congress, of a member of Congress, in connection with the award of any ded grant or loan, entering into any cooperative agreement, or to rally funded contract, grant, loan, or cooperative agreement. Page 9 of 13
_	•	ed certification at the end of each calendar quarter in which there ey of the statements and information set forth in paragraphs A.l. and
•	(ii) it is an organization d	it is not an organization described in section 501(c)(4) of the Internal lescribed in section 501(c)(4) of the Internal Revenue Code of 1986 ng Activities"
substance to paragraphs A.	l. through A.4. above from the all such subcontracted	Disclosing Party must obtain certifications equal in form and m all subcontractors before it awards any subcontract and the ors' certifications for the duration of the Matter and must make such quest.
B. CERTIFICATION REG	GARDING EQUAL EMPI	LOYMENT OPPORTUNITY
•		require the Applicant and all proposed with their bids or in writing at the outset of
Is the Disclosing Party the		
[] Yes	[X] 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 #: SO2015-6394, Vers	sion: 1			
regulations? (See 41 CFR	Part 60-2.)			
[] Yes	[] No			
2. Have you filed with	h the Joint Reporting Committee	, the Director of th	ne Office of Federal Contr	act Compliance
Programs, or the Equal En	nployment Opportunity Commiss [] No	sion all reports due	under the applicable filir	ig requirements?
3. Have you participa opportunity clause?	ted in any previous contracts or	subcontracts subje	ct to the equal	
[] Yes	[] No			
If you checked "No" to que	estion 1. or 2. above, please prov	ide an explanation	::	
	Page 10 c	of 13		
SECTION VII PENALTIES, DISCLOSU	ACKNOWLEDGMENTS, URE	CONTRACT	INCORPORATION,	COMPLIANCE,
TI D' 1 ' D . 1				

The Disclosing Party understands and agrees that:

- A. The certifications,:disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or, other City action, and are material inducements to the City's execution, of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156.and 2-164, of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts,, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics http://www.cityofchicago.org/Ethics and may also be obtained from the City's Board of Ethics, 740 N.

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

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

Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information, contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 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:

Page 11 of 13

- 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 or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, horpermit 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: l. and'F;2. above and will not, without the prior written Consent of the City, use any such cbritfactdr/subcontractbf that does not provide such certifications or that the*¹ Disclosing Party has reason to believe has hot provided of cannot provide truthfurcertifications.

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 arid statements contained in this EDS. and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

• *' """ ■"" '

OAKCApitaJs, LLC (PrinrCo^^^^nic^* Disa^ng Party)^ ^

(Sign here) Elias

Abubeker

(Print or type name of person signing)

Signed and sworn to before me on (date) $^iyJ^7$)ot \$,

```
at C^{\circ} oc <r County, J^{-*-} (state). a iii 'iii «' n mm » < i * ** 1 \blacksquare < OFFICIAL SEAL < 6UILLERMO D. BUENROSTRO < \blacksquare NOTARY PUBLIC, STATE OF ILLINOIS ' < • My Commission Expires 03-04:2018
```

Commission expires: $Q ^{\wedge}/_{\circ} f^{\wedge}/_{\circ} i! ^{\wedge}$

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, grandchildj 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?

File#: S	6O2015-6394, Version: 1					
[]Y	es	[X] No				
person i	s, please identify below (1) the s connected; (3) the name and relationship, and (4) the prec	d title of the electe	d city offic	ial or department head		
		Рама	12 of 12			
		Page	13 of 13			
	CITY			DISCLOSURE STAT FIDAVIT B	EMENT AND	
]	BUILDING CODE SCOFFL	AW7PROBLEM I	LANDLOR	D CERTIFICATION		
ownersh	This Appendix is to be compl tip interest in the Applicant exity which has only an indirec	xceeding 7.5 perce	ent (an "Ow	ner"). It is not to be co		,
1. I	Pursuant to Municipal Code S	Section 2-154-010,	is the App	licant or any Owner ide	entified as a '	
1. ł	building code scofflaw of pro	blem landlord purs	suant to Sec	etion 2-92-416 of the M	Iunicipal	
1. (Code? ;' ' '.	•	""		n:	
[] Yes '	[X]No	• 1			
	f the Applicant is a legalent dentified as a building code s					
[JYes	[]No		[X] Not Applicable		
iden	If yes to (1) or (2) above, pleatified as a building code scofflings to which the pertinent c	flaw or problemlar	ndlofd and 1	_	-	

FILLING OUT THIS APPENDIX B CONSTITUTES ACKNOWLEDGMENT AND AGREEMENT THAT

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

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: A. Park Place Equities, LLC Check ONE of the following three boxes: Indicate whether the Disclosing Party submitting this EDS is: 1. [] the Applicant 2. \x\ a legal entity holding a direct or indirect interest in the,Owner . State the legal name of the Applicant in which the Disclosing Party holds an interest: 33rd Street 1006 Michigan Avenue, LLC 3. [] a legal entity with a right of control (see-Section II.B.l.) State the legal name of the entity in which the Disclosing Parly holds a right of control: B. Business address of the Disclosing Party: 55 Fifth Avenue, 15th Floor New York, New York, 10003 C. Telephone: (212)206-6097 Fax:. Email: rsinger@time;equities.com : D. Name of contact person: RobertSinger

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

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

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

Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.

File #: SO2015-6394, Ver	sion: 1						
G. Which City agency or o	lepartment is requestin	ng this	EDS? Department o	f Planning.and De	velopme	nt	
If the Matter is a confollowing:	tract being handled by	y the	City's Department o	of Procurement So	ervices, p	olease comple	ete the
Specification #			and Contract #				
Page 1 of 13							
SECTION II	DISCLOSURE	OF	OWNERSHIP	INTERESTS	A.	NATURE	OI
THE DISCLOSING PAR	TY						
1. Indicate the nature of the Person Publicly registered busines Privately held business console proprietorship General partnership Limited partnership Trust	ess corporation orporation	[x] [] [] (Is					
Limited liability company Not-for-profit corporation the not-for-profit corporation []Yes []No Other (plea	ion also a 501(c)(3))?	nership	Joint venture				
2. For legal entities, th	e state (or foreign cour	ntry) o	f incorporation or or	ganization, if appl	icable: N	ew York	
3. For legal entities n of Illinois as a foreign ent	_	te of Il	linois: Has the organ	nization registered	to do bu	siness in the S	tate
[]Yes	fx] No ■ []N/A						
B. IF THE DISCLOSING	PARTY IS A LEGAI	L ENT	ITY:				

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

Francis Greenburger . Manager

Robert Kantor 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	Percentage Interest in the
		Disclosing Party
Rupertsland Holdings, Inc New Regime Co, LP	55 Fifth Avenue, 15th Flo 55 Fifth Avenue, 15th Flo	· · · · · · · · · · · · · · · · · · ·
New Regime Co, Li	33 i illi Avende, 13ti i io	or, new rork, nr 10000 j
Robert Kantor Francis Greenburger	55 Fifth Avenue, 15th Flo 55Tifth Avenue, 15th Floo	· · · · · · · · · · · · · · · · · · ·

SECTION III - BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

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

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

SECTION IV - DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in

connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

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

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

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Name (indicate whether retained or anticipated to be retained)

Relationship-to Disclosing Party ' Fees (indicate whether retained or anticipated to be retained)

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

| be retained or anticipated (subcontractor, attorney, paid or estimated.) NOTE:

| be retained or anticipated (subcontractor, attorney, paid or estimated.) NOTE:

| be retained or anticipated (subcontractor, attorney, paid or estimated.) NOTE:

| be retained or anticipated (subcontractor, attorney, paid or estimated.) NOTE:

| be retained or anticipated (subcontractor, attorney, paid or estimated.) NOTE:

| be retained or anticipated (subcontractor, attorney, paid or estimated.) NOTE:

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

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- 2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.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; cornmon 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 of employee ofthe City, the State of Illinois, or any agency ofthe 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
- b. agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or
- b. prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or
- b. Otherwise; or ; •'■
- c. made an'admission'of'such conduct described ina. 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, Of 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 nbr 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:

 N/A'

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

- 8. To the best 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 die execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none"). N/A
- 9. To the best ofthe 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, ofthe City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City erhployees of to the general public, or (ii) food or drink provided in the, course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

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

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

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

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.

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 " (X]N°

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

... <

Item 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 name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[] Yes [] No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 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 if the letters "NA" or if the word "None" appear, it will be

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• •	ed that the Disclosing Party means that NO persons or entities registered under the Lobbying 95 have made lobbying contacts on behalf ofthe Disclosing Party with respect to the Matter.)
entity listed in Paragi to influence an office or employee of Cong contract, making any	g Party has not spent and will not expend any federally appropriated funds to pay any person or raph A.l. above for his or her lobbying activities or to pay any person or entity lo influence or attempt or or employee of any agency, as defined by applicable federal law, a member of Congress, an officer ress, or an employee of a member of Congress, in connection with the award of any federally funded federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, dify any federally funded contract, grant, loan, or cooperative agreement. Page 9 of 13
	g Party will submit an updated certification at the end of each calendar quarter in which there at materially affects the accuracy of the statements and information set forth in paragraphs A.l. and
Revenue Code of 19	ng Party certifies thaf either: (i) it is not an organization described in section 501(c)(4) of the Internal 86; or (ii) it is ah organization described in section 501(c)(4) of the Internal Revenue Code of 1986 and willnot engage in "Lobbying Activities".
substance to paragra Disclosing Party mu	sing Party is the Applicant; the Disclosing Party must obtain certifications equal in form and phs A. 1'. through Ai.4. above from' all subcontractors before it awards any"" subcontract and the st maintain all such subcontractors' certifications for the duration of the Matter and must make such thy available to the City upon request.
B. CERTIFICATION	N REGARDING EQUAL EMPLOYMENT OPPORTUNITY
	ally funded, federal regulations require the Applicant and all proposed omit the following information with their bids or in writing at the outset of . ■.
Is the Disclosing Par	ty the Applicant?
[] Yes	[] No
If "Yes," answer the	three questions below:
regulations? (See 41	•
[] 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 []No

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

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- 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 2rl56 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/EthiCs http://www.cityofchicago.org/EthiCs, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 74,4-9660. 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 contractjor 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 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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- 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 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. oh 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.L ahd'F.2. above and'will'not,'without the prior writteri'consent of the City, use a ony such o'Con actdf/sub'con ctorthit db'es' ndt'provide's u'ch'ce Mfic nos'b'r'uarthe 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 bf perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2)"warrants that all certifications and statements contained in this EDS and Appendix A (if applicable)' are true, accurate' and complete as of the date furnished to the City. '

(Sign here)

(Print or type name of person signing)

(Print or type title of person signing)

Signed and sworn to before mc on (dale) N^M U,i 'JOaL_ Cpunty, JMMAL (fc

AjjL^V <**^ Notary PubH^^^_w>,.,
**C-y'CN,^ //. ->alif?9d In New York Court*,n

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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 Party⁵-' 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?

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

	irect ownership interest in the Applicant.
1.	Pursuant to MunicipalGode Section 2-154-010, is the Applicant or any Owner identified as a
1.	building code scofflaw or problem landlord pursuant to Section'2-92-416 of theMunicipal.

1. Code?'	 ' -	. •• =	•'• •
[1 Yes [X]No			

2. If the Applicant is a legal entity publicly tradedron 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 []Nb [x] Not Applicable

3. If yes to (1) or (2) above, please identify below the jname of the person or legal entity identified as a building code scofflaw or problem landlord and theaddress 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.

- 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 sol forth in paragraphs A. 1. and A.2. above. -
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4)-of the Internal Revenue Code of 1986; or (ii) it istan 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".

paragraphs A.lthro	oughA.4. above from all subcuch subcontractors' certificat	the Disclosing Party mustobtain certifications equal in form and substance.to contractors before.it awards any subcontract and the Disclosing Party tions for the duration of the Matter and must make such certifications promptly
B. CERTIFICATIO	'N REGARDING EQUAL F	EMPLOYMENT OPPORTUNITY
	_	tions require the Applicant and all proposed subcontractors to submit the iting -at the outset'of negotiations.
Is the Disclosing Pa	rty the Applicant?	
[]Yes []No If "Y	es," answer the three question	ons below:
1. Have you-dev CFR Part 60-2,)	reloped and do'you have on-	- file-affirmative action'programs pursuant to' applicable federal regulations? (See 4)
[] Yes	[] No	
•		Committee, the Director of the Office of Federal Contract Compliance Programs, or on all reports due under the applicableifiling requirements? .

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

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

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 Partyverifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

-. _ i

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SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally
funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City
and proceeds of debt obligations of the City are not federal funding *!
A. CERTIFICATION REGARDING LOBBYING j .:
1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf ofthe 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, 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
If the letters "NA," the word "None," or ho response appears on the lines above, it will be conclusively presumed that the Disclosing Purly certified Lo 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.
1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee
1. of the City have a financial interest in his or her own name or in the name of any other person or
1. entity in the Matter? '' [] Yes DO No ■•-

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

' Item D',1.,'proceed to Part E.

•" '*

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2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a-financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within/the meaning of this Part D.

Docs the Matter involve a City Property Sale?

[]Yes MNo

3. If you checked "Yes" to Item D.I., 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 Displosirig Party further certifies that no prohibited financial interest in the Matter will be acquired by ^ny 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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If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

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

N/A

1- .-!

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 of 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.

<u>N/A</u> ...

....?' . . <u>.</u>

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION ..

- 1. The Disclosing Party certifies that the Disclosing Party (check one);,
- 1. [] is fx] is not
- a "financial institution" as defined in Section 2-32-4<55(b) of the Municipal Code.
 - 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

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

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

N/A

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Neither the Disclosing Party, nor any Contractor,- nor any Affiliated Entity of either the Disclosing Pariy 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 willythe Matter:

- a-.- bribed or attempted .to bribe, or been convicted or adjudged: guilty of bribery-or attempting to .mbribe.,-a public officer, or employee of lhe; Gity, the: Stnte 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 bidderSi, 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. madc;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.-. r
- 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 prolocal governmentas 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 estate 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 thefollowing lists maintained by the Office of ForeignrAssets 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:

N/A	_				
	_	•	•	,	

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- 2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities
- 2. 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 thi6 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; ";-1"
- 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
- 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 of 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

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Disclosing Party, or is without limitation: int equipment; common ubusiness with federal principals as the ineligindirectly controls the any responsible offi of the Disclosing Part	s, with the D erlocking m use of emplo or state or logible entity); Contractor, icial ofthe D y, any Contractor	isclosing Party, under common con anagement or ownership; identity of yees; or organization of a business ocal government, including the City with respect to Contractors, the te is controlled by it, or, with the Con isclosing Party, any Contractor or a	r indirectly: controls the Disclosing Party, is controlled by the atrol of another person or entity. Indicia of control include, of interests among family members, shared facilities and entity following the ineligibility of a business entity to do a using substantially the same management, ownership, or a management, ownership, or a filliated Entity means a person or entity that directly or antractor, is under common control of another person or entity; any Affiliated Eritity or any other official, agent or employee ag pursuant to the direction or authorization of a responsible try (collectively "Agents").
		Page 5 of	13
Name (indicate whether retained or anticipated	Business Address	Relationship to Disclosing Party (subcontractor, attorney,	pees (indicate whether paid or estimated.) NOTE:

retained or anticipated Address (subcontractor, attorney, to be retained) lobbyist, etc.)' - K paid or estimated.) NOTE:

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

not an acceptable response.

(Add sheets if necessary)

jX] 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°/o or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

٠ ;٠

[] Yes IX) 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 arid is the person in compliance with that agreement?

■ [] Yes [] No

Office of the City Clerk

B. FURTHER-CERTIFICATIONS

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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 ofthe City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article 1 is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

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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

Anwiran Rfial.FstahvlnwsImftnts-Nn •?\ LI ft 700 Riig^Rrtrtrl.-Flk firnvn Villanfi, Ij. fiºflf)7-'_inn"/; hpnpflhtal--Interest

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

Ofl No "

If yes, please identify below the namc(s) of such City elected pfficial(s) and describe such relationship (s): •;

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name ami-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.

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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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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE LIBRARY AS A SOCIETY AS A S	company [] 01(c)(3))?			ership [] Joir	nt venture	f]Not-f	or-profit co	orporation (Is	the not-for-	-profit
I. Indicate the [] Privately held bu M Trust [[]Yes	siness corpo _[]No	oration [j S	Disclosing Sole proprieto se specify)	•			Publicly	registered	business	corporation

2. ir'or legal entities, the slate (or foreign country) of incorporation or organization, if applicable:

Illinois

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

11 Yes

13, 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 lillebolder(s). First American Bank is the Trustee of Trust ft 1-09-111.

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 oh its own behalf.

Name Title

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

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

A. Legal	l name of the	he Disclosing	Party	submitting	this EDS.	Include d	1/b/a/ if	applicable:
				500011111001115		1110107070		

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. - M the Property Owner

OR

- 2. [] a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the
- 2. Applicant jn which the Disclosing Party holds an interest: 'OR
- 3. [] a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:
- B. Business address of the Disclosing Party: piBWesi -Wain Strang WftstnimHftR, Illinois 6D11R
- C. <u>Telephone: (847)403-8109</u> <u>Fax: (847) 4Q3-8'109.</u> <u>Email: dgrlffin@flr5tambank.com</u> <mailto:dgrlffin@flr5tambank.com>
- D. Name of contact person: Dawn Griffin

i'•

- 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):

Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.

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

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

Specification # and Contract # :

Ver. 01-01-12 DM2\S056J9fi.1

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 exceed^
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 2M54-010, is the/Applicant or any Owner identified as a
- building code scofflawor problem landlord pursuant 'to'Section 2-92-41'6 of the. Municipal
 Code? ■' '-[X]No
 If the Applicant is a legal eritity publicly tradedbri any exchange, is any officer br-director of the Applicant identified as a building code scofflaw or problem'landlord pursuant to Section 2-92-416 of the Municipal Code?
 Yes
 Not Applicable
 - 3. If yes to (1) or (2) above, please identify^below the name of the person or legalentity i identified as abuilding code sco'fflaw-of problem; landlord'andithe address of the building or buildings to which the pertinent codeiviolations apply.¹

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 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. Tt is not to be completed by any legal entity which has

only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-15.4-015, 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 cleric, 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-jin-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 titleof 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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- 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 it's Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit fheirsubcontractors'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 artd substance to those in F.l. and F.2. above and wilfnot, without the prior written consent of the City, 'use any sucH chaftractor/subcontractor that dbes-'not provide such certifications or that the Disclosing Party has reason to believe has hot 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/sh'e'is authorized to execute this EDS and Appendix A'*(if applicable) oh behalf of the Disclosing Party, and (2) warrants that all certifications arid statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

SNJL LLC *yj (Print or type riaM^of Disclosing PartyY^

(Sign-here) \y Sherwin Jarol (Print or type name bf'person signing)

Sole Member (Print or type title of person signing)

Notary Public.

Commission expires:

ttifeONTKING NOTARY PtiftJC - STATE OF ILLINOri

Page 12 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 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 2t156. and 2-1.64 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.citybfchicago.org/EthiCs http://www.citybfchicago.org/EthiCs, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in. connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 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 2-1 54-020 ofthe Municipal Code.

The Disclosing Party represents and warrants that:

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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 arid 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

File #: SO2015-6394, Version: 1	
substance to paragraphs; A.l. through A:4. above from all subcontractors before itawards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make s certifications promptly available to the City upon request.	uch
B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY	
If the Matter is federally funded, federal regulationsirequire 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 [X]No	
If "Yes," answer the three questions below:	
1. Have you developed and do'you have On file affirmative action programs pursuant to applicable fregulations? (See 41 CFR Part 60-2.) [] Yes [] No	ederal
2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Complian Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirement [] Yes . N No	
3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause? []Ycs []No	
If you checked "No" to question 1, or 2, above, please provide an explanation:	

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

Page 10 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 ⁵ 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 ofthe 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 of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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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.

File #: SO2015-639	4, Version: 1		
		icipal Code: Does any official or employname of any other person or entity, in. the	
NOTE: If you chec Part E.	ked "Yes" to Item D.I.,,proceed, to. I	tems D.2. and D.3. If you checked "No" t	to Item D.I., proceed to
employee shall have purchase of any pro- legal process at the	e a financial interest in his or her own perty that (i) belongs to the City, or (i suit of the City (collectively, "City Pr	bidding, or otherwise permitted, no City of name or in the name of any other person (ii) is sold for taxes or assessments, or (iii) roperty Sale"). Compensation for ^proper ial interest within the meaning of this Par	or entity in the) is sold by virtue of ty taken pursuantto the
Does the Matter inv	olve a City Property Sale? []Yes []No)	
*	ted "Yes" to Item D.I., provide the na uch interest and identify the nature of	mes and business addresses of the City of Such interest:	fficials or
Name	Business Address	Nature of Interest	
4. The Disclosin City official or,emp		hibited financial interest in the Matter v	will be acquired by any
	N REGARDING SLAVERY ERA B	USINESS	
	s EDS all information required by par	Party checks 2., the Disclosing Party moragraph 2. Failure to age 8 of 13	ust disclose below or in
	the word "None," or no response ap	opears on the lines above, it will be con-	clusively presumed that
current employees o	of the Disclosing Party who were, at a	ter reasonable inquiry, the following is a ny time during the 12-month period prece ficial, of the City of Chicago (if none, inc	eding the execution
<u>N/A</u> ■	<u>.</u>	<u>:</u>	<u></u>
9. To the best of	f the Disclosing Party's knowledge af	ter reasonable inquiry, the following is a	

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

N/A • ' ''

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION'

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

N/A •

Page 7 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 officeror 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, irt'restraint of freedorh 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 or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosing Party; Affiliated Entity brContracfor, 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 Disclbsing'Parfy 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 Oommerce-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) arid 2-156 (Governmental Ethics) of the Municipal Code;
- 7. If the Disclosing Parly is unable to certify to any of the above statements in this Part B (Further Certifications); the Disclosing Party must explain below: N/A

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- 2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities dentified in Section 1I.B.1. of this EDS:
 - a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
 - b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

- c. are not presently indicted, for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any 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 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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Name (indicate whether Business Relationship to Disclosing Party Fees (indicate whether retained or anticipated to be retained)

Address (subcontractor, attorney, paid or estimated.) NOTE: lobbyist, etc.)

"hourly rate" or "t.b.d." is not an acceptable response.

<u>N/A</u> <u>:</u> <u>■</u>

(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 -

File #: SO2015-6	394, Version: 1	
- CERTIFICATIO	ONS '	
A; COURT-ORD	DERED 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.
	•	directly owns 'l 0% 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 Party.
If "Yes," has the properties of the state of	•	nto a COurt-approved agreement for payment of all support owed and is the person in
[]Yes	[] No	
B. FURTHER CE	ERTIFICATION	S
terms (e.g., "doing doing business wi person is currently supervision for, as perjury, dishonest understands and a City. NOTE: If A	g business") and ith the City, then y indicted or cha ny criminal offer ty or deceit again acknowledges tha rticle I applies to	e Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is the Disclosing Party certifies as follows: (i) neither the Applicant nor any'controlling reged with, or has admitted guilt of, or has ever been convicted of, or placed under use involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, ast an officer or employee of the City or any sister agency; and (ii)'the Applicant at compliance with Article I is a continuing requirement for doing business with the or the Applicant, the permanent compliance timeframe in Article I supersedes some five retifications 2 and 3 below.
		Page 4 of 13
similar entity. If a	none, state "None e"), the City may	n a limited liability company, or interest of a beneficiary of a trust, estate or other e." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago require any such additional information from any applicant which is reasonably ex.

Name Business Address Percentage Interest in the Disclosing Party

Sherwin Jarol 111 E WACKER DRIVE #900 CHICAGO IL 60601 100%

File #: SO2015-6394, Vo	ersion: 1				
SECTION III - BUSINE	ESS 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 be relationship(s):	low the name(s) of such	City elected official(s) and describe such .;			
SECTION IV - DISCLO	SURE OF SUBCONTR	RACTORS AND OTHER RETAINED PARTIES			
accountant, consultant as connection with the Mat	nd any other person or enter, as well as the nature	and business address of each subcontractor, attorney, lobbyist, ntity whom the Disclosing Party has retained or expects to retain in of the relationship, and the total amount ofthe fees paid or estimated to disclose employees who are paid solely through the Disclosing Party's			
of any person or entity o	ther than: (1) a not-for-p	ndertakes to influence any legislative or administrative action on behalf profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means an employee of another includes undertaking to influence any legislative			
If the Disclosing Part either ask the City wheth	•	disclosure is required under this Section, the Disclosing Party must lor make the disclosure.			
		Page 3 of 13			
SECTION II - DISCLO	SURE OF OWNERSHI	P INTERESTS			
A. NATURE OF THE I	DISCLOSING PARTY				
1. Indicate the natu [] Person [] Publicly registered by [J Privately held busines [] Sole proprietorship [] General partnership		y: [X] Limited liability company [] Limited liability partnership [] Joint venture [] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))?			

[] Yes [] No

[] Limited partnership

File #: SO2015-6394	Version: 1
[] Trust	[] Other (please specify) '
2. For legal entiti	s, the state (or foreign country) of incorporation or organization, if applicable:
Delaware-	■ ■'• ^κ J.! ■■
3. For legal enti- Illinois as a foreign of	es not organized in the State of Illinois: Has the organization registered to do business in the State'of tity?
[X]Yes	[]No []N/A
B. IF THE DISCLO	NG PARTY IS A LEGAL ENTITY:
corporations, also lis members." For trusts If the entity is a g joint venture, list bel	full names and titles of all executive officers and all directors of the entity. NOTE: For not-for-profit below all members, if any, which are legal entities. If there are no such members, write "no estates or other similar entities, list below the legal titleholder(s). meral partnership, limited partnership,; limited liability company, limited: liability partnership or we the name and title of each general partner, managing member, manager or any other person or day-to-day management of theiDisclosing Party. NOTE: Each legal entity listed below must own behalf.
Name Title	
SherwinJaroI	Sole. Member
interest (including ov	he following information concerning each person or entity having a direct or indirect beneficial nership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a p interest in a partnership or joint venture, Page 2 of 13
	CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
SECTION I GEN	RAL INFORMATION,
A. Legal name of th	Disclosing Party submitting this EDS. Include d/b/a/if applicable: SNJL, LLC
Check ONE of the fo	owing three boxes:

Office of the City Clerk Page 372 of 452 Printed on 5/19/2022

Indicate whether the Disclosing Party submitting this EDS is:

- 1. [J the Property Owner OR
- [X] a legal entity holding a direct or indirect interest in the Property Owner. State the legal name of the Property
 Owner in which the Disclosing Party holds an interest: 1006 S Michigan, LLC
 OR ..
- 3. [] a legal entity with a right of control (see Section. II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control:
- B. Business address of the Disclosing Party: -i 11 f Warfrfir DrivR tfflfin Chicago, IL 60601

C. Telephone: 312 819 4444 Fax: 312 819 5410 Email: sjarol@bradleyassbc.com

<mailto:sjarol@bradleyassbc.com>

- D. Name of contact person: snarwin .laml
- 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): Planned development application for 920-1006 S Michigan Avenue and 1011-1015 South Wabash
- G. Which City agency or department is requesting this EDS? Department of Planning and Development

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

Specification #

and Contract #

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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

File #: SO2015-6394, Version: 1			
Code?	II • 1 :		
[]Yes	■ ' [X] No		
	a legal entity publicly traded on any excharige, is any officer or director of d as a building code scofflaw or problem landlord pursuant to Section pal Code?		

[.] Yes [] 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 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 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 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 H.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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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permif 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 tb'thdse in F'. l. and'F.2. above and will hot, without the prior writteh consfent of the City, use any such'cbritractor/subcbhtractor that ddes 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 ofthe 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 sighing below: (!) warrants that he/she[:] is authorized to execute this EDS and Appendix A (if applicable)i'bh behalf of the DiscIosing'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.

Rupertsland Holdings, Inc

File #: SO2015-6394, Version: 1 (Sign here)

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

title of person sighing)

Signcd^nd,ivswori5tp before mc on (date) ii(.'\
$$^{V}W^{\wedge}$$
 \(^{V}U^{\wedge}W^{\wedge}\), at \(^{V}V^{\wedge}ICcounty\), $j \neq (>hl\#^{N}W^{\wedge}7\sim\sim^{-1}\sim")$

Noury Pub.ic. \(^{g}\%8^{*TM}"

Commission expires: \(^{W}\) j \(^{\}

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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_r 1.5,6 and 2_rl,64, 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,.citvbfchicagO;or'g/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.
- Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully, with the applicable ordinances.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contractor 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

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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:		
Page 11 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.		

If "Yes," answer the three questions below:

[]No

Is the Disclosing Party the Applicant?

[J Yes

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	ne Joint Reporting Committee, the Director of the Office of Federal Contract Compliance	e
Progra	ams, or the Equal Empl	oyment Opportunity Commission all reports due under the applicable filing requirement	ts?
[J	Yes	[]No	
	Have you participated tunity clause?	in any previous contracts or subcontracts subject to the equal	
[]	Yes	[] No	

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

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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 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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conclusively presume	pears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be ed that the Disclosing Party means that NO persons or entities registered under the Lobbying 95 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)
entity listed in Paragr to influence an .office or employee of Cong contract, making any	g Party has not spent and will not expend any federally appropriated funds to pay any person or raph A.l. above for his or her lobbying activities or to pay any person or entity to influence or attempter or employee of any agency, as defined by applicable federal law, a member of Congress, an officer ress, or an employee of a member of Congress, in connection with the award of any federally funded federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, dify any federally funded contract, grant, loan, or cooperative agreement. Page 9 of 13
	he word "None," or no response appears on the lines above, it will be conclusively isclosing Party certified to the above statements.
D. CERTIFICATION	N.REGARDING INTEREST IN CITY BUSINESS
Any words or terms used in this Part D.	that are defined in Chapter 2-156 of the Municipal Code have the same meanings when
	e with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a is or her own name or in the name ;of any other person or entity .in. the Matter? [Xj.No http://Xj.No '
NOTE: If you check Part E , j	ted "Yes" to Item D.I., proceed to Items D.2. and D.3. If you checked "No" to Item D.I., proceed to
employee shall have purchase of any prop legal process at the st	ursuant to a process of competitive bidding, or otherwise permitted, no City elected official or a financial interest in his or her own name or in the name of any other person or entity in the erty that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of uit of the City (collectively, "City Property Sale"). Compensation, for property taken pursuant to the in power does not constitute a financial interest within the meaning of this Part D.
Does the Matter invo	olve a City Property Sale?
[] Yes	[] No
	d "Yes" to Item D.I., provide the names and business addresses of the City officials or ch interest and identify the nature of such interest:

Nature of Interest

. Business Address

Name

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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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 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").
- 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, ofthe City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 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 ofthe privilege of doing business with the City."

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

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

- a-, bribed or attempted to bribe, or been convicted or adjudged-guilty of-bribery Of 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, irt'restraint of freedom of competition by agreement to b'id'a' fixed price or otherwise; or -
- c. made an'admission Of such conduct described in av of b. above that is a matter of record, but have not been prosecuted 1 for such conduct; or 1
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
- 4. Neither the Disclosirig Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unif of state or local government as "1" 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-Eoreign 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 ofthe above statements in this Part B (Further Certifications), the Disclosing Party must explain 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
 - 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

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

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

Indicate whether paid or estimated by the p

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 iii arrearage on any child support obligations by any Illinois court of competent jurisdiction?

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

If "Yesj" 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 [J No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article 1 ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), 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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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 2-154-03.0 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

Francis Greenburger 55 Fifth Avenue, 15th Floor .

New York, NY 10003

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156.of.the http://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.

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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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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS
A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [] Person
Limited liability company Limited liability partnership Joint venture Not-for-profit corporation •the not-for-profit corporation also a 501(c)(3))? [] Yes [J.No Other (please specify)
2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:
2. New York ; 1 J
3. For legal entities not organized in the State of Illinois: Flas the organization registered to do business in the State of Illinois as a foreign entity?
[]Yes - MNo []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 orother similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited .liability partnership or

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joint venture, list below the name and title of entity, that controls the day-to-day management submit an EDS on its own behalf.	• •		
Name <u>Francis Greenburger</u> Robert Kantor Manager		itle . <u>anager</u>	<u>-</u>
2. Please provide the following information interest (including ownership) in excess of 7.5 corporation, partnership interest in a partnersh	% of the Disclo	sing Party. Example	-
	Page 2 of 13	3	
		CHICAGO ECONO FATEMENT AND A	MIC DISCLOSURE AFFIDAVIT
SECTION I GENERAL INFORMATION			
A. Legal name of the Disclosing Party submit	tting this EDS. I	Include d/b/a/if appl	icable:
ARup.ertsland Holdings, Inc			
Check ONE of the following three boxes:			
Indicate whether the Disclosing Party submitti 1. [] the Applicant OR 2. [x3 a legal entity holding a direct or indi	irect interest in t		
OR 3. [] a legal entity with a right of control (s which the Disclosing Party holds a right of	see Section II. B		
B. Business address of the Disclosing Party:		nue, 15th Floor . ork, New York, 1000	<u>.</u>
C. <u>Telephone! (212)206-6097</u> <u>Fax:</u>	į	Email: rsi	nger@timeequities.com

<mailto:rsinger@timeequities.com>

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D. Name of contact person: Ro	bert Singer			
E. Federal Employer Identifica	tion No. (if you hav	ve one):		
F. Brief description of contrac pertains. (Include project numb		• ,		') to which this EDS
Planned Development Applica	tion for 920-1006 S	South Michigan Avenue	and 1011-1015 South Wab	oash.
G. Which City agency or depar	tment is requesting	this EDS? Department	of Planning and Developme	<u>ent</u>
If the Matter is a contract following:	being handled by	the City's Department	of Procurement Services,	please complete the
Specification it	;	and Contract it		
Page 1 of 13				
CITY	₹ OF CHICAGO E	CONOMIC DISCLOSU APPENDIX B	URE STATEMENT AND A	AFFIDAVIT
BUILDING CODE SC	OFFLAW/PROBL	EM LANDLORD CER	TIFICATION	
This Appendix is to be interest in the Applicant exceed an indirect ownership interest'in	ding 7.5 percent, (and		b) any. legal entity which have completed by any legal e	
		54-010; is the Applicar Section 2-92-416 of the	•	l as a building code
[] Yes	[X]	No ; 1		
			exchange/ is any officer landlord pursuant to Secti	

3. If yes to (1) or (2).above, please identify below the name ofthe 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. '■

[x] Not'Applicable

[] No

[]Yes

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

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 eritity 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,, 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 JLB.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 haying 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 $f_X]$ 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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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.'
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S: E;P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F. l. and F.2: above arid will hot; without the prior written consent of the City, use any such contractor/subcontractor that does riot provide such Certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful ceftifications.

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 arid Appendix A (if applicable) oh'bchalf 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.

RK 2011 Trust 1006 Michigan Avenue LLC (Print qr fype' riame oJPDisclosing Party)

(Sigh here)

(Priht Or type riaime of person signing) (Print or

type title of person signing)
Notary Public ~. No. 02W6131C40

Signed-and"sworn to before mejyi (clntc) y^tM^S i^* j^f "2^ at NIWM^ County, MW/W^K (state)!.

ftibh'c State of Ni No. 02Vf613104C QL'alifrsil in New Yorfc Coiinry

Commission expires: v {a U, cO

 $\sim r \sim^T$

I'

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

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded, or be void or voidable, and. the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 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.

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The Disclosing Party represents and war	rrants that:
	Page 11 of 13
	it an updated certification at the end of each calendar quarter in which there is the accuracy of the statements and information set forth in paragraphs A.l. and
	at either: (i) it is not an organization described in section 5.01(c)(4) of the Internal rganization described in section 501(c)(4) of the Internal Revenue Code of 1986 e in. "Lobbying Activities".
substance to paragraphs A.L through A-	plicant, the Disclosing Party must obtain certifications equal in form and -4. above from all subcontractors before it'awards any subcontract and'the subcontractors' certifications forthe • duration of the Matter and must make such City upon request.
B. CERTIFICATION REGARDING EC	QUAL EMPLOYMENT OPPORTUNITY
•	I regulations require the Applicant and .all proposed subcontractors to submit s or in wrifing'at the outset of negotiations.
Is the Disclosing Party the Applicant?	
[]Yes []No If "Yes," answer the three	e questions below: (
1. Have you developed and do y regulations? (See 41 CFR Part 60-2.) [] Yes [] No	you have on file affirmative action programis pursuant to applicable federal
	porting Committee, the Director of the Office of Federal Contract Compliance portunity Commission all reports due under the applicable filing requirements?
3. Have you participated in any pre opportunity clause?	evious contracts or subcontracts subject to the equal
[] Yes [] No	
If you checked "No" to question 1. or 2.	above, please provide an explanation:

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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 Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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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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
- 1. of the City have a financial interest in his or her own name or in the name of any other person.or

1.	entity in, the Matter?		-;	
[]	Yes,	, [Xj No		., ,.

NOTE: If you checked "Yes" to Item D.L, proceed to Items D.2. amiD.3. If you checked "No", to Item D.I., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation, for property taken pursuant to the City's eminent domain power., does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

Γ.	Yes	1	No
	1 03	- 1	110

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

Name Business Address Nature, of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 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, of the City of Chicago (if none, indicate with "N/A" or "none"). N/A
- 9. To the best ofthe 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, ofthe City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

- 1. The Disclosing Party certifies that the Disclosing Party (check one)
- 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): N/A

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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 bribej'a public officer dr employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the Uriited'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 suchxohduct described in a. or b. above that, is a matter of record; but have not been prosecuted for such conduct; or
- d. viblated the provisions of Municipal Code Section 2^92-610 (Living Wage Ordinance):
- 4. Neither the DisclosirigParty, Affiliated Entity orGbntr'actbf, or any of their employees, officials, agents or partners, is barred from contracting with any'uhit 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 Uhitfcid States' 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 arid shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in-this Part B (Further Certifications), the 'Disclosing Party must explain below:

 N/A

 :

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- 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
- 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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Name (indicaterwhether 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.

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(
(Add sheets if ne	cessary)	
[x] Check here	if the Disclosin	ng Party has not retained, nor expects to retain, any such persons or entities.
SECTION V - C	ERTIFICATION	IS .
A. COURT-ORI	DERED 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.
	•	directly owns 10% or more ofthe Disclosing Party been declared in arrearage on any llinois court of competent jurisdiction?
[] Yes	[] No	x] No person directly or indirectly owns 10% or more of the Disclosing Party.
If "Yes," has the j	•	nto a court-approved agreement for payment of all support owed and is the person in
[] Yes	[] No	
B. FURTHER C	ERTIFICATION	1 S
terms (e.g., "doing is'doing business person is currently supervision for, a perjury, dishonest understands and a City. NOTE: If A	g business") and with the City, the y indicted or char ny criminal offenty or deceit again acknowledges that atticle I applies to	e Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined legal requirements), if the Disclosing Party submitting this EDS is the Applicant and en the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling reged with, or has admitted guilt of, or has ever been convicted of, or placed under use involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, ast an officer or employee of the City or any sister agency; and (ii) the Applicant at compliance with Article I is a continuing requirement for doing business with the or the Applicant, the permanent compliance timeframe in Article I supersedes some five-retifications 2 and 3 below.
		Page 4 of 13
	_	n a limited liability company, or interest of a beneficiary of a trust, estate or other e." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago

("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Business Address Percentage Interest in the Name

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RK 2011 Trust	Disclosing Party 55 Firth.Avenue, 15th Floor 100% New York, NY 10003
SECTION III BUSIN	ESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS
_	arty had a "business relationship," as defined in Chapter 2-156;of the Municipal Code, with any ne 12 months before the date this EDS is signed?
[] Yes	[x] No
If yes, please identify be	low the name(s) of such City elected official(s) and describe such relationship(s):
The Disclosing Party accountant, consultant arconnection with the Mat	DSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES must disclose the name and business address of each subcontractor, attorney, lobbyist, and any other person or entity whom the Disclosing Party has retained or expects to retain in ter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to Party is not required to disclose employees who are paid solely through the Disclosing Party's
"Lobbyist" means any of any person or entity o	y person or entity who undertakes to influence any legislative or administrative action on behalf ther than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means part of whose duties as an employee of another includes undertaking to influence any legislative
•	y is uncertain whether a disclosure is required under this Section, the Disclosing Party must ner disclosure is required or make the disclosure.
	Page 3 of 13
SECTION II DISCLO	OSURE OF OWNERSHIP INTERESTS
A. NATU [] Person [] Publicly registered bu	RE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: M usiness corporation []

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[] Privately held business corporation [] Sole proprietorship [] General partnership [] Limited partnership [] Trust	[] [] (Is
	ountry) of incorporation or organization, if applicable: Illinois .
of Illinois as a foreign entity?	[x] N/A
B. IF THE DISCLOSING PARTY IS A LEGA	
profit corporations, also list below all members members." For trusts, estates or other similar e If the entity is a general partnership, limited venture, list below the name and title of each g	all executive officers and all directors of the entity. NOTE: For not-for- rs, if any, which are legal entities. If there are no such members, write "no entities, list below the legal titleholder(s). d partnership, limited liability company, limited liability partnership or joir general partner, managing member, manager or any other person or entity the Disclosing Party. NOTE: Each legal entity listed below must submit an
Name Title Francis Greenburger Robert Kantor Manager	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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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

STATEMENT AND AFFIDAVIT
SECTION I - GENERAL INFORMATION
A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:
RK 2011.Trust .1,006 Michigan. Avenue LLC,,
Check ONE of the following three boxes:
Indicate whether the Disclosing Party submitting this EDS is: 1. fX] the Owner of property located at 1006 South Michigan Avenue OR 2. [] a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the 2. Applicant in which the Disclosing Party holds an interest: OR 3. [] a legal entity with a right of control (see Section ILB.1.) State the legal name of the entity in which the Disclosing Party holds a right of control:
B. Business address of the Disclosing Party; 55 Fifth Avenue, 15th Floor New York, New York, 10003
C. Telephone: (212) 206-6097 Fax: Email: f6lnger@tirheequities.com
<pre><mailto:f6lnger@tirheequities.com></mailto:f6lnger@tirheequities.com></pre>
D. Name of contact person: Robert Singer .
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):
Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesting this EDS?.Department of Planning and Development
If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:
Specification # and Contract #

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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"). I It is hot to be completed by any legal entity which Has only ah indirect ownership interest in the Applicant.

1. Pursuant to	'Municipal Code Sec	ction 2-154-010, is the Applicant or any Owner identifiiTd as a	
1. building co	ode scofflaw or proble	lem landlord pursuant to Section 2-92-416 of the Municipal	
1. Code?	' ''' .''	:'''. !" ri"\"!! !!! "". J.;	
[] Yes		[X]No	
		ntity publiclytraded oh any exchange, is any'officer or directo offlaw or problem landlord pursuant to Section 2-92-416 ofthe Mu	

[]'Yes [] No [X] Not Applicable '

3. If yesto (1) or (2) above; please identify below the name of the person'or legal'entity identified as a building code scofflaw or problemdandlord 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 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 riot 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 Ddmestic 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 KB. La., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

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

[] Yes 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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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal .Excluded Parties Lisf System ("EPLS") maintained by the U.S. General Services Administration.
- F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain fr.om 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 E.2. above, and will.npt, without,the prior wjritten 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.I., F.2. or F.3. above, an explanatory statement must be attached to this. EDS.i

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 ED'S arid Appendix'A (if applicable) are true; accurate and complete as ofthe date furnished to the City.

RK2011 Trust

(Print or type name of Disclosing, Party)

(Sigifhere)'

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

type title; of person signing)

Signed and sworn to before me on (date) Af''''^{\wedge} 1'\$ VP . ^ at $tf\{J^{*}|^{\wedge}r|L$ County, A/tW'uAL (state).

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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

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Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics http://www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. NOTE: With respect to Matters subject to Article I of Chapter 1-23 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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- 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 hot 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. tln"oughA.4.'above%dm all subcoritractors before it awards any subcontract and the Disclosing Party must maintain all such^subcohtractors¹ 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 apd 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?

I] 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 []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?

[]Ycs []No

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

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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 constitutesfull disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI - CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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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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 s 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". ', , [X] No '' .;■.

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

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit ofthe City (collectively, "City Property Sale"). Compensation for property taken pursuant to the

City's eminent domain power.-does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[]Yes []No

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

Name

Business Address

Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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"). N/A
- 9. To the best ofthe 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 ofthe City recipient.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

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

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

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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
- b. agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or
- b. prospective bidders, in restraint of freedom of coirip'etitibn'by agreement to bid a'fixed price or
- b. otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but
- c. have not been prosecuted for such conduct; or ';
- d. violated the provisions of Municipal Code Section 2-92-610 (Eiving 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 (LegislativeInspector General), 2-56 (Inspector General) arid 2-156 (Governmental Ethics) of the Municipal Code.
- 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A

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

Business Address

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

Fees (indicate whether paid or estimated.) NOTE:
"hourly rate" or "tlb.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 indirectlyowns 10% or more ofthe 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.

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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?

[j 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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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
Jane Kantor	55 Fifth Avenue, 15th Floor, N	New York, NY 10003 leneficiary
David Becker	55 Fifth Avenue, 15th Floor, N	New York, NY 10003 Beneficiary
Bryan Becker	55 Fifth Avenue 15th Floor N	New York, NY 10003 Beneficiary
rnzarJeWKafz	55TifflTAvenue,TSth Floor, N	

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 DO 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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SECTION II - DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Par	rty:
] Person	[] Limited liability company
Publicly registered business corporation	[] Limited liability partnership
Privately held business corporation	[J 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
X] Trust	[] Other (please specify) '
New Jersey	′ ′ ″ 🚛 >′•
3. For legal entities not organized in the Sta	ate of Illinois: Has the organization registered to do
business in the State of Illinois as a foreign of	entity? !:: ••' *
[]Yes MNo []N/A	
IF THE DISCLOSING PARTY IS A LEGA	I 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

Francis Greenburger

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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CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: RK 2011 Trust-

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. [] the Applicant

OR

- 2. <u>Ix</u>) a legal entity holding a direct or indirect interest in the Owner . State the legal name of the Applicant in which the Disclosing Party holds an interest: RK 2011 Trust 1006 Michigan Avenue LLC OR ...
- 3. [] a legal entity with a fight of control (see Section II.B.l.) State the legal name of the entity in which the Disclosing Party holds a right of control:
- B. Business address of the Disclosing Party: 55 Fifth Avenue. 15th Floor New York. New. York, 10003

C. Telephone: (212)206-6097 , Fax: ' Email: rsinger@timeequities.com

<mailto:rsinger@timeequities.com>

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- D. Name of contact person: Robert Singer
- 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):

Planned Development Application for 920-1006 South Michigan Avenue and 1011-1015 South Wabash.

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

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

Specification it

and Contract U

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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 contractor taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations oh whijch" 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 w\vw.citvbfchicagOvbig/Euiics'i 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 agreeroentin 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 Gity 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: •

j,

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- F. 1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, lax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors touse 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 w-ithout 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 ED S: and Appendix A (if applicable) are true, accurate and complete as of the date furnished, to the City. ' .-•

(Print or type name of Disclosing Party)

Exoneration provision 'res^r^ahy;j^|Mlity of First American Banjit^'aje^".j»reiip is expressly made a part herebil

SfiDioi^-Vice President

(Print or type title of person signing) (state).

Notary Public. Page 12 of 13 OM2\6056296.1 Signed .and; sworn to before me on (date) at /(AMif County^ Illinois

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 cunently 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 cleric, 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, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsisteror 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^perceht owriership interest in the Disclo^ing Party. ^P^^g^offic^ra^.^e-widenfe 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 MNo:

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 CHICACO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

BUILDING CODE SCOFFLA YV/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 nn indirect ownership interest in the Applicant.

- 1.' Pursuant lb-Municipal Code Section 2-154-010, is the Applicant or any Owner identified as a
- ••. bu,ilding codescbfflaw or problem landlord pursuant to Section 2-92-416 of the Municipal

Code? ■ ' •■ i '• ''

[.] Yes - [X] No

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

[]Yes []No [X] Not Applicable

3. If yes to (l).or .(2) above, please identify belowthesname of the person on legnlentity identified as a buijding; 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 T/HIS 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.

Exculpation of Trustee

It is expressly understood and agreed by and between the parties hereto, anything herein to the contrary notwithstanding, that each and all ofthe warranties, indemnities, representations, covenants, undertakings and agreements herein made on the part ofthe Trustee, while in form purporting to be the warranties, indemnities, representations, covenants, undertakings and agreements of First American Bank as said Trustee, are nevertheless each and every one of them, made and intended not as personal warranties, indemnities, representations, covenants, undertakings and agreements by First American Bank or any of its directors, officers, employees, or shareholders or for the purpose or with the intention of binding First American Bank or any of its directors, officers, employees, or shareholders personally but are made and intended for the purpose of binding only that portion of the trust property specifically described herein, and this instrument is executed and delivered by First American Bank not in its own right, but solely in the exercise of the

powers conferred upon it as such Trustee, and no personal liability or personal responsibility is assumed by nor shall at any time be asserted or enforceable by any person against First American Bank or any of its directors, officers, employees, or shareholders on account of this instrument or on account of any warranty, indemnity, representation, covenant, undertaking or agreement of the Trustee in this instrument, all such personal liability, if any, being expressly waived and released and any recovery therefor being limited to the property hereby conveyed and the enforcement of remedies under the documents and instruments creating, securing, or otherwise governing the obligations secured by this instrument; provided however, this clause shall not impair the enforceability or adversely affect the availability of any rights that may otherwise be available to Mortgagee or the obligations of any co-signer, endorser, or guarantor of the obligations secured by this instrument; and-provided further, that the foregoing limitations on personal liability shall not impair the validity of the indebtedness secured by Mortgagee's collateral or the lien or security interest on the collateral or the right of Mortgagee as mortgagee or secured party to foreclose and/or enforce rights against die collateral after default by the Mortgagor. Subject to the foregoing, the warranties, indemnities, representations, covenants, undertakings and agreements herein made on the part of the Trustee are made for the sole benefit of Mortgagee, and no other person or persons, other that Mortgagee's successors or permitted assigns, shall have any benefits, rights, or remedies by reason of such warranties, indemnities, representations, covenants, undertakings and agreements herein made on the part of the Trastee. Nothing herein shall be deemed to be a waiver of any right which Mortgagee may have under sections 506(a), 506(b), 1111(b) or any other provision of the Bankruptcy Reform Act of 1978, as at any time amended or reinstated, to file a claim for the full amount of the debt owing to Mortgagee in the event Mortgagor or its beneficiary should become the subject of a petition for bankruptcy or reorganization or lo require that all collateral shall continue to secure all of the indebtedness owing to Mortgagee in accordance with the documents and instruments creating, securing, or otherwise governing the obligations secured by this instrument.

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I - GENERAL INFORMATION

A.	Legal name	of the Disclo	sing Party	submitting	this EDS	. Include d	/b/a/ if applic	able;.
----	------------	---------------	------------	------------	----------	-------------	-----------------	--------

A. West Willow. Equities, LLC

Check ONE of the following three.boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. [] the. Applicant

2. |x| a legal entity holding a direct or indirect interest in the Owner . State the legal name of the Applicant in which the Disclosing Party holds an interest: 33rd Street 1006 Michigan Avenue, LLC

OR

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

 B. Business address of the Disclosing Party: 55 Fifth Avenue, 15th Floor New York, New York, 10003

C. Telephone: (212) 206-6097 Fax: Email: rsinger@timeequities.com

<mailto:rsinger@timeequities.com>

D. Name of contact person: Robert Singer	
E. Federal Employer Identification No. (if you b	nave one):
F. Brief description of contract, transaction or pertains. (Include project number arid location of	other undertaking (referred to below as the "Matter") to which this EDS of property, if applicable):
Planned Development Application for 920-1006	6 South Michigan Avenue and 1011-1015 South Wabash.
G. Which City agency or department is requesting	ng this EDS? Department of Planning and Development
If the Matter is a contract being handled be following:	by the City's Department of Procurement Services, please complete the
Specification if	and Contract it
Page I of 13	
SECTION II - DISCLOSURE OF OWNERSH	IP INTERESTS
A. NATURE OF THE DISCLOS [] Person [] Publicly registered business corporation [] Privately held business corporation [] Sole proprietorship [] General partnership [] Limited partnership [] Trust	ING PARTY 1. Indicate the nature of the Disclosing Party: Ix] [] [] [] [] (Is
Limited'liability company Limited liability parts Not-for-profit corporation the not-for-profit corporation also a 501(c)(3))? [] Yes [] No Other (please specify)	nership Joint venture
2. For legal entities, the state (or foreign cou	ntry) of incorporation or organization, if applicable: New York
3. For legal entities not organized in the Sta	ate of Illinois: Has the organization registered to do business in the State

of Illinois as a'foreign entity?

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[] Yes	1X1 No	[] N/A	
B. IF THE DISCLOSING P	ARTY IS A LEGAL ENT	TY:	
corporations, also list below members." For trusts, estates If the entity is a general p venture, list below the name	all members, if any, which s, or other similar entities, partnership, limited partner and title of each general p	ive officers and all directors of the are legal entities. If there are no sist below the legal titleholder(s). Ship, limited liability company, limiter, managing member, manage ing Party. NOTE: Each legal entit	such members, write "no nited liability partnership or joint or or any other person or entity
Name Title <i>Francis Greenburger</i> Robert Kantbr Manager	•	Manager _^	
-	b) in excess of 7.5% of the rest in a partnership or join	ning each person or entity having a Disclosing Party. Examples of suct venture,	
similar entity. If none, state	"None." NOTE: Pursuant of may require any such add	ompany, or interest of a beneficiar of Section 2-154-030 of the Municipational information from any apple	pal Code of Chicago
Name	Business Address	Percentage Interest in Disclosing Party	the
Park Place Equities. LLC	55 Fifth Avenue, 15th F New York, NY 10003	•	. <u></u>

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

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

(Add sheets if necessary)

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

SECTION V - CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must

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remai	in in compliance	e with their c	hild support obligations throughout the contract's term.
			ndirectly 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 ofthe Disclosing Party.
	es," has the persoliance with that		nto a court-approved agreement for payment of all support owed and is the person in
]	Yes'	[] No	
B. F	URTHER CER	TIFICATION	NS
terms doing person superv perjur under City.	(e.g., "doing but business with the is currently invision for, any control by, dishonesty of stands and acknown NOTE: If Article	usiness") and he City, then dicted or cha criminal offer r deceit again towledges that le I applies to	le Chapter 1-23, Article I ("Article I")(which the Applicant should consult'for defined legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling reged with, or has admitted guilt of, or has ever been convicted of, or placed under use involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, ast an officer or employee ofthe City or any sister agency; and (ii) the Applicant at compliance with Article I is a continuing requirement for doing business with the of the Applicant, the permanent compliance timeframe in Article I supersedes some five artifications 2 and 3 below.
			Page 4 of 13
	The Disclosing on II.B.l. of this	•	if the Disclosing Party is .a legal entity, all of those persons or entities identified
a.		•	suspended, proposed for debarment; declared ineligible or voluntarily excluded from deral, state or local unit of government;
b.	have not, with	in a five-yea	r period preceding the date of this EDS, been convicted of a criminal
b.	offense, adjud	ged guilty, o	r had a civil judgment rendered against them in connection with:
b.	obtaining, atte	empting to ob	otain, or performing a public (federal, state or local) transaction or
b.	contract under	a public trar	nsaction; a violation of federal or state antitrust statutes; fraud;
b.	embezzlement	t; theft; forge	ery; bribery: falsification or destruction of records; making false
b.	statements; or	receiving sto	olen 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 ofthe 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 ofthe Disclosing Parly, 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 iii 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 hid 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 Partynor any Affiliated Entity is li'sted-dn 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 arid 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-T56 (Governmental Ethics) of the Municipal Code.
 - 7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A

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

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

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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 S20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient. N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

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

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

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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; IXj No' ";/'

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

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or

employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (Collectively, "City Property Sale"). Compensation for property taken pursuant to. the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

[]Yes []No

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

Name Business Address Nature of Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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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 Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.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 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 Internaf 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 TM sclosing 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 arid'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.

**Italian Proposed - Submit 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.

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Is the Disclosing P	arty the Applicant?	
f]Yes	[] No	
If "Yes," answer th	e three questions below:	
1. Have you of regulations? (See 4	•	ve on file affirmative action programs pursuant to applicable federal
•	, .	g Committee, the Director of the Office of Federal Contract Compliance ity Commission all reports due under the applicable filing requirements?
3. Have you p opportunity clause?		contracts or subcontracts subject to the equal
[] Yes	[] No	
If you checked "No	" to question 1. or 2. above,	, please provide an explanation:

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

The Disclosing Party understands and agrees that:

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

B. The City's. Governmental Ethics and Campaign Financing. Ordinances, Chapters 2-156 and 2₇164 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.city6fchicago.brg/Ethics http://www.city6fchicago.brg/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

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

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

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

- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all 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.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 of sales taxes.
- F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will hot use, nor permit their subcontractors to use, 'any facility listed by the U.S. E.P.A. oh 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-Fil.- and F:2->above and will'not, without the 'prior written-consent o'f the City, use any such contractor/subcontractor that does nbt provide such certification's or that the Disclosing Party'lias* reason to believehashot 'provided or cannot provide tfuthfulcertificatibhs.

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 mus't be attached' to this EDS. '

CERTIFICATION

Under penalty of perjury, the person signing below: (1') warrants that he/she is authorized to execute this ED'S-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.

West Willow Equities,, LLC

(Sign here)

(Print 'or type name Of person signing) Signed and/sworn to b atW^jUfr -C

(Print or type title of person signing)

efore nic. on-/d ate), bulky, y^JVr/^' (state)*

l^M/j VIP']'

Notary Public, r.t*y.wv

Commission expires: fVfr-ky TX~Z° 11- '-^L^fo*&Y\$*%_hr...

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

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•	incipal officers" means the president, chief operating officer, executive director, chief financial ecretary of a legal entity or any person exercising similar authority.
	ng Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "with an elected city official or department head?
[] Yes	DC] No
person is connected; (ify below (1) the name and title of such person, (2) the name of the legal entity to which such 3) the name and title of the elected city official or department head to whom such person has a and (4) the precise nature of such familial relationship.
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	CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B
BUILDING C	ODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION
which has a d	is to be completed only by (a) the Applicant, and (b) any legal entity rect ownership interest in the Applicant exceeding 7.5 percent (ah "Owner"). completed by any legal entity which has only an indirect ownership interest in
	funicipal Code Section 2^154-010, is the Applicant of any Owheridentified as a building code oblem landlord pursuant to Section 2-92-416 of the Municipal
■ []Yes [X]No	
2. If the Applicar	t is a legal entity publicly traded on any exchange; is any officer or director of the Applicant

identified as a building code'scofflaw or problem landlord pursuant to Section 2-92-416 of the Municipal Code?

[]Yes . []No [x] Not Applicable

3. If yes to (1) or (2) above, please identify below the name of the person or legalentity 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

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Print or type name of signatory: .Robert Kantof

TiU'evof signatory:

Manager of Disclosing Entity.

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RECERTIPICATION
Generally, for use with City Council matters. Not for City procurements unless requested.: Planned Dovolopmont Application for 920-1008 South This reccrlification is being submitted in connection with .Michigan.arid 101V1015 South Wabash [identify the Matter], Underpenalry of perjury, the person signing below: (1) warrants that he/she is authorized to execute this BDS recordification on behalf of the Disclosing Party, (2) warrants that all certifications and statements contained in are two, accurate and complete as of the date furnished to the City and continue to be true, accurate and complete as pf the date of this recordification, and (3) reaffirms its acknowledgments.
First American Bank Corporation Emptoyoe Stock Ownership Plan Date: M (< IcXo ((p (Print or type legal name of Disolosing Party)
By:
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GT Holdings, LLC; V ': ' Date: 3
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Print or type name of signatory: Robert Kantor. Title

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Manager.

Signed; and sworn to before me on [date],

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Title of signatory: Manager

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