



**THE CITY OF NEW YORK
DEPARTMENT OF DESIGN AND CONSTRUCTION
DIVISION OF INFRASTRUCTURE**

30-30 THOMSOM AVENUE
LONG ISLAND CITY, NEW YORK 11101-3045
TELEPHONE (718) 391-1000
WEBSITE www.nyc.gov/buildnyc

LAW

VOLUME 1 OF 3

BID BOOKLET

FOR FURNISHING ALL LABOR AND MATERIALS NECESSARY AND REQUIRED FOR:

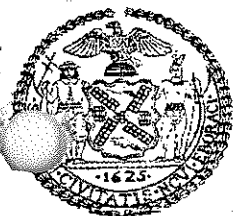
**PROJECT ID: SEC20004R
(RE-ADVERTISED)**

**FOR THE RECONSTRUCTION OF COLLAPSED OR OTHERWISE
DEFECTIVE STORM, SANITARY AND COMBINED SEWERS, FORCE
MAINS AND DRAINAGE FACILITIES AND THEIR APPURTENANCES ON
AN EMERGENCY BASIS - CITYWIDE**

Together With All Work Incidental Thereto
**ALL BOROUGHS
CITY OF NEW YORK**

FOR THE DEPARTMENT OF ENVIRONMENTAL PROTECTION
PREPARED BY
IN-HOUSE DESIGN

February 7, 2014



14-078





NEW YORK CITY DEPARTMENT OF
DESIGN + CONSTRUCTION

DR. FENIOSKY PEÑA-MORA
Commissioner

RAMON RODRIGUEZ
Acting Agency Chief
Contracting Officer

June 26, 2014

CERTIFIED MAIL - RETURN RECEIPT REQUEST

JOHN P. PICONE INC.
31 Garden Lane
Lawrence, NY 11559

RE: FMS ID: SEC20004R
E-PIN: 85014B0020001
DDC PIN: 8502013SE0035C
RECONSTRUCTION OF COLLAPSED OR
OTHERWISE DEFECTIVE STORM, SANITARY
AND COMBINED SEWERS, FORCE MAINS AND
DRAINAGE FACILITIES AND THEIR
APPURTENANCES ON AN EMERGENCY BASIS -
CITYWIDE
NOTICE OF AWARD

Dear Contractor:

You are hereby awarded the above referenced contract based upon your bid in the amount of *13.470% submitted at the bid opening on February 25, 2014. Within ten (10) days of your receipt of this notice of award, you are required to take the actions set forth in Paragraphs (1) through (3) below. For your convenience, attached please find a copy of Schedule A of the General Conditions to the Contract, which sets forth the types and amounts of insurance coverage required for this contract.

- (1) Execute four copies of the Agreement in the Contracts Unit, 30-30 Thomson Avenue, 1st Floor, Long Island City, New York (IDCNY Building). A Commissioner of Deeds will be available to witness and notarize your signature. The Agreement must be signed by an officer of the corporation or a partner of the firm.
- (2) Submit to the Contracts Unit four properly executed performance and payment bonds. If required for this contract, copies of performance and payment bonds are attached.
- (3) Submit to the Contracts Unit the following insurance documentation: (a) original certificate of insurance for general liability in the amount required by Schedule A, and (b) original certificates of insurance or other proof of coverage for workers' compensation and disability benefits, as required by New York State Law. The insurance documentation specified in this paragraph is required for registration of the contract with the Comptroller's Office.

*\$16,500,000.00 Maximum Contract Amount



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Handwritten text in the upper right quadrant, possibly including a date or reference number.

Faint, illegible text in the upper left quadrant.

Handwritten text in the upper middle section.

Block of faint, illegible text in the middle left section.

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Large block of faint, illegible text in the lower middle section.

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On or before the contract commencement date, you are required to submit all other certificates of insurance and/or policies in the types and amounts required by Schedule A. Such certificates of Insurance and/or policies must be submitted to the Agency Chief Contracting Office, Attention: Risk Manager, Fourth Floor at the above indicated department address.

Your attention is directed to the section of the Information for Bidders entitled "Failure to Execute Contract". As indicated in this section, in the event you fail to execute the contract and furnish the required bonds within the (10) days of your receipt of this notice of award, your bid security will be retained by the City and you will be liable for the difference between your bid price and the price for which the contract is subsequently awarded, less the amount of the bid security retained.

Sincerely,

Acting Agency Chief
Contracting Officer



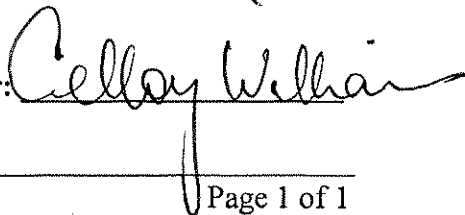
Bid Tab

Description **RECONSTRUCTION OF COLLASPED OR OTHERWISE DEFECTIVE STORM, SANITARY AND COMBINED SEWERS, FORCE MAINS AND DRAINAGE FACILITIES AND THEIR APPURTENANCES ON AN EMERGENCY BASIS - CITYWIDE**

| | | | |
|--------------------------|---|-------------------------|--------------------------|
| Bid Date | 2/25/2014 | FMS ID | SEC20004R-RE-ADV. |
| Estimated Cost | \$16,500,000.00 | DEP Supervised | No |
| Bid Security | 2% of Total Bid Price | PLA | No |
| Time Allowed | 365 CCD | Contract Manager | Giovanni Matos |
| Addendum | 5 | Project Manager | Cato, Barbara |
| PIN | 8502013SE0035C | E-PIN | 85014B002001 |
| Selective Bidding | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | Consultant | In-House |

| Bid Rank | Vendor | Bid Percent | Security Type |
|-----------------|--------------------------|--------------------|----------------------|
| 1 | JOHN P. PICONE INC. | 13.4700% | Bond |
| 2 | DELANEY ASSOCIATES, LP | 17.0300% | Bond |
| 3 | LAWS CONSTRUCTION CORP. | 24.4800% | Bond |
| 4 | DIFAZIO INDUSTRIES, INC. | 30.0000% | Bond |

Recorder: Tia Clarke – ext. 2608

Approver: 

Bid Tab
Pin: 8502013SE0035C

Page 1 of 1

Table

Table 1. Summary of the data used in the analysis. The table shows the number of observations for each combination of the variables 'Year' and 'Country'. The total number of observations is 10,000.

| Year | Country | Observations |
|------|--------------|--------------|
| 2000 | USA | 1000 |
| 2000 | UK | 1000 |
| 2000 | France | 1000 |
| 2000 | Germany | 1000 |
| 2000 | Italy | 1000 |
| 2000 | Spain | 1000 |
| 2000 | Japan | 1000 |
| 2000 | China | 1000 |
| 2000 | India | 1000 |
| 2000 | South Africa | 1000 |
| 2000 | Other | 1000 |
| 2001 | USA | 1000 |
| 2001 | UK | 1000 |
| 2001 | France | 1000 |
| 2001 | Germany | 1000 |
| 2001 | Italy | 1000 |
| 2001 | Spain | 1000 |
| 2001 | Japan | 1000 |
| 2001 | China | 1000 |
| 2001 | India | 1000 |
| 2001 | South Africa | 1000 |
| 2001 | Other | 1000 |

Table 2. Summary of the data used in the analysis. The table shows the number of observations for each combination of the variables 'Year' and 'Country'. The total number of observations is 10,000.

| Year | Country | Observations |
|------|--------------|--------------|
| 2000 | USA | 1000 |
| 2000 | UK | 1000 |
| 2000 | France | 1000 |
| 2000 | Germany | 1000 |
| 2000 | Italy | 1000 |
| 2000 | Spain | 1000 |
| 2000 | Japan | 1000 |
| 2000 | China | 1000 |
| 2000 | India | 1000 |
| 2000 | South Africa | 1000 |
| 2000 | Other | 1000 |
| 2001 | USA | 1000 |
| 2001 | UK | 1000 |
| 2001 | France | 1000 |
| 2001 | Germany | 1000 |
| 2001 | Italy | 1000 |
| 2001 | Spain | 1000 |
| 2001 | Japan | 1000 |
| 2001 | China | 1000 |
| 2001 | India | 1000 |
| 2001 | South Africa | 1000 |
| 2001 | Other | 1000 |

Table 3. Summary of the data used in the analysis. The table shows the number of observations for each combination of the variables 'Year' and 'Country'. The total number of observations is 10,000.

| Year | Country | Observations |
|------|--------------|--------------|
| 2000 | USA | 1000 |
| 2000 | UK | 1000 |
| 2000 | France | 1000 |
| 2000 | Germany | 1000 |
| 2000 | Italy | 1000 |
| 2000 | Spain | 1000 |
| 2000 | Japan | 1000 |
| 2000 | China | 1000 |
| 2000 | India | 1000 |
| 2000 | South Africa | 1000 |
| 2000 | Other | 1000 |
| 2001 | USA | 1000 |
| 2001 | UK | 1000 |
| 2001 | France | 1000 |
| 2001 | Germany | 1000 |
| 2001 | Italy | 1000 |
| 2001 | Spain | 1000 |
| 2001 | Japan | 1000 |
| 2001 | China | 1000 |
| 2001 | India | 1000 |
| 2001 | South Africa | 1000 |
| 2001 | Other | 1000 |

**BID FORM
THE CITY OF NEW YORK
DEPARTMENT OF DESIGN AND CONSTRUCTION
DIVISION OF INFRASTRUCTURE**

**BID FOR FURNISHING ALL LABOR AND
MATERIAL NECESSARY AND REQUIRED FOR:**

PROJECT ID: SEC20004R

**FOR THE RECONSTRUCTION OF COLLAPSED OR OTHERWISE DEFECTIVE STORM, SANITARY
AND COMBINED SEWERS, FORCE MAINS AND DRAINAGE FACILITIES AND THEIR
APPURTENANCES ON AN EMERGENCY BASIS - CITYWIDE**

**Together With All Work Incidental Thereto
ALL BOROUGHES**

Name of Bidder: John P. Picone Inc.

Date of Bid Opening: 2-25-14

Bidder is: (Check one, whichever applies) Individual () Partnership () Corporation (x)

Place of Business of Bidder: 31 Garden Lane, PO Box 9013, Lawrence, NY 11559

Bidder's Telephone Number: 516 239-1600 Fax Number: 516 239-1757

Bidder's E-Mail Address: bids@johnpicone.com

Residence of Bidder (If Individual): _____

If Bidder is a Partnership, fill in the following blanks:

Names of Partners

Residence of Partners

If Bidder is a Corporation, fill in the following blanks:

Organized under the laws of the State of New York

Name and Home Address of President: Ricardo Franco Barberan
200 W. 67th St. New York, NY 10023

Name and Home Address of Secretary: Joseph Portela 46 Irving Avenue
Livingston, NJ 07039

Name and Home Address of Treasurer: Fernando Gonzalez Alcaniz
240 East 86th Street, New York, NY 10028

THE UNIVERSITY OF CHICAGO
DEPARTMENT OF CHEMISTRY
LABORATORY OF ORGANIC CHEMISTRY

1955-56

CHICAGO, ILLINOIS

TO THE HONORABLE CHAIRMAN OF THE BOARD OF TRUSTEES
OF THE UNIVERSITY OF CHICAGO
FROM THE DEPARTMENT OF CHEMISTRY

RE: THE DEPARTMENT OF CHEMISTRY
AND THE LABORATORY OF ORGANIC CHEMISTRY

The Department of Chemistry and the Laboratory of Organic Chemistry have the honor to acknowledge the receipt of your letter of the 15th inst. and to thank you for the information therein contained. The Department and the Laboratory are pleased to learn that you are interested in the progress of the work being carried on in these laboratories and are desirous of being kept advised of the results of the same. It is the policy of the Department and the Laboratory to publish the results of their researches in the scientific journals and to make them available to the public through the medium of the University of Chicago Press. It is also the policy of the Department and the Laboratory to make the results of their researches available to the public through the medium of the University of Chicago Press.

The Department and the Laboratory are also pleased to learn that you are interested in the progress of the work being carried on in these laboratories and are desirous of being kept advised of the results of the same. It is the policy of the Department and the Laboratory to publish the results of their researches in the scientific journals and to make them available to the public through the medium of the University of Chicago Press. It is also the policy of the Department and the Laboratory to make the results of their researches available to the public through the medium of the University of Chicago Press.

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BID FORM

The above-named Bidder affirms and declares:

1. The said bidder is of lawful age and the only one interested in this bid; and no person, firm or corporation other than hereinbefore named has any interest in this bid, or in the Contract proposed to be taken.
2. By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief: (1) the prices in this bid have been arrived at independently without collusion, consultation, communication or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor; (2) unless otherwise required by law, the prices quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and (3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.
3. No councilman or other officer or employee or person whose salary is payable in whole or in part from the City Treasury is directly or indirectly interested in this bid, or in the supplies, materials, equipment, work or labor to which it relates, or in any of the profits thereof.
4. The bidder is not in arrears to the City of New York upon debt or contract or taxes, and is not a defaulter, as surety or otherwise, upon any obligation of the City of New York, and has not been declared not responsible, or disqualified, by any agency of the City of New York or State of New York, nor is there any proceeding pending relating to the responsibility or qualification of the bidder to receive public contracts except as set forth on the Affirmation included as page C-6 of this Bid Booklet.

The bidder hereby affirms that it has paid all applicable City income, excise and other taxes for all years it has conducted business activities in New York City.

5. The bidder, as an individual, or as a member, partner, director or officer of the bidder, if the same be a firm, partnership or corporation, executes this document expressly warranting and representing that should this bid be accepted by the City and the Contract awarded to him, he and his subcontractors engaged in the performance: (1) will comply with the provisions of Section 6-108 of the Administrative Code of the City of New York and the non-discrimination provisions of Section 220a of the New York State Labor Law, as more expressly and in detail set forth in the Agreement; (2) will comply with Section 6-109 of the Administrative Code of the City of New York in relation to minimum wages and other stipulations as more expressly and in detail set forth in the Agreement; (3) have complied with the provisions of the aforesaid laws since their respective effective dates, and (4) will post notices to be furnished by the City, setting forth the requirements of the aforesaid laws in prominent and conspicuous places in each and every plant, factory, building and structure where employees engaged in the performance of the Contract can readily view it, and will continue to keep such notices posted until the supplies, materials and equipment, or work labor and services required to be furnished or rendered by the

Contractor have been finally accepted by the City. In the event of any breach or violation of the foregoing, the Contractor may be subject to damages, liquidated or otherwise, cancellation of the Contract and suspension as a bidder for a period of three years. (The words, "the bidder", "he", "his", and "him" where used herein shall mean the individual bidder, firm, partnership or corporation executing this bid).

6. Compliance Report

The bidder, as an individual, or as a member, partner, director, or officer of the bidder, if the same be a firm, partnership, or corporation, (1) represents that his attention has been specifically drawn to Executive Order No. 50, dated, April 25, 1980, on Equal Employment Compliance of the contract, and (2) warrants that he will comply with the provisions of Executive Order No. 50. The Employment Report must be submitted as part of the bid.

The bidder, as an individual, or as a member, partner, director, or officer of the bidder, if the same be a firm, partnership, or corporation, executes this document expressly warranting that he will comply with: (1) the provision of the contract on providing records, Chapter 8.

7. By submission of this bid, the bidder certifies that it now has and will continue to have the financial capability to fully perform the work required for this contract. Any award of this contract will be made in reliance upon such certification. Upon request therefor, the bidder will submit written verification of such financial capability in a form that is acceptable to the department.

8. In accordance with Section 165 of the State Finance Law, the bidder agrees that tropical hardwoods, as defined in Section 165 of the State Finance Law, shall not be utilized in the performance of this Contract, except as the same are permitted by the foregoing provision of law.

9. The bidder has visited and examined the site of the work and has carefully examined the Contract in the form approved by the Corporation Counsel, and will execute the Contract and perform all its items, covenants and conditions, and will provide, furnish and deliver all the work, materials, supplies, tools and appliances for all labor and materials necessary or required for the hereinafter named work, all in strict conformity with the Contract, for the prices set forth in the Bid Schedule:

BID FORM

PROJECT ID: SEC20004R

TOTAL BID PRICE: In the space provided below, the Bidder shall indicate its Total Bid Price in figures.

TOTAL BID PRICE:
(a/k/a BID PROPOSAL)

Cost as specified in Section DSS-11 - PAYMENT
of the Addendum No. 2 to the Standard Sewer
Specifications plus
Thirteen And FORTY Seven hundredths percent
(13.470%) to cover overhead costs and profits.
(Please specify the percentage to three (3) decimal places.)

LC
2/25/14

- NOTE: (1) In case of any discrepancy between the price in words and that in figures, the price in words will be considered the price of the bid.
(2) PLEASE BE SURE A BID IS ENTERED, IN INK. Alterations must be initialed in ink by the bidder.

BIDDER'S SIGNATURE AND AFFIDAVIT

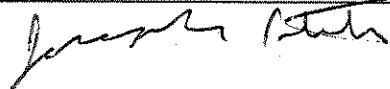
Bidder: John P. Picone Inc.

By: 

(Signature of Partner or corporate officer)

Joseph Portela

Attest:
(Corporate Seal)



Secretary of Corporate Bidder

Affidavit on the following page should be subscribed
and sworn to before a Notary Public

BID FORM (TO BE NOTARIZED)

AFFIDAVIT WHERE BIDDER IS AN INDIVIDUAL

STATE OF NEW YORK, COUNTY OF _____ ss:

_____ being duly sworn says:
I am the person described in and who executed the foregoing bid, and the several matters therein stated are in all respects true.

(Signature of the person who signed the Bid)

Subscribed and sworn to before me this
_____ day of _____,

Notary Public

AFFIDAVIT WHERE BIDDER IS A PARTNERSHIP

STATE OF NEW YORK, COUNTY OF _____ ss:

_____ being duly sworn says:
I am a member of _____ the firm described in and which executed the foregoing bid. I subscribed the name of the firm thereto on behalf of the firm, and the several matters therein stated are in all respects true.

(Signature of Partner who signed the Bid)

Subscribed and sworn to before me this
_____ day of _____,

Notary Public

AFFIDAVIT WHERE BIDDER IS A CORPORATION

STATE OF NEW YORK, COUNTY OF Nassau ss:
Robert Taikina

_____ being duly sworn says:
I am the Executive Director of the above named corporation whose name is subscribed to and which executed the foregoing bid. I reside at 5 Beach 219th Street, NY 11697
I have knowledge of the several matters therein stated, and they are in all respects true.



(Signature of Corporate Officer who signed the Bid)

Subscribed and sworn to before me this
19 day of February, 2014

Maureen Tolfree

Notary Public

MAUREEN TOLFREE
NOTARY PUBLIC-STATE OF NEW YORK
No. 01TO6284406
Qualified in Nassau County
My Commission Expires June 17, 2017

THE UNIVERSITY OF CHICAGO
DEPARTMENT OF CHEMISTRY
5708 SOUTH CAMPUS DRIVE
CHICAGO, ILLINOIS 60637

RECEIVED

NOV 1964

RESEARCH REPORT

NO. 1000

BY
J. H. GOLDSTEIN AND
R. F. W. WILSON

DEPARTMENT OF CHEMISTRY
UNIVERSITY OF CHICAGO

CHICAGO, ILLINOIS

1964

RESEARCH REPORT

NO. 1000

BY
J. H. GOLDSTEIN AND
R. F. W. WILSON

DEPARTMENT OF CHEMISTRY
UNIVERSITY OF CHICAGO
5708 SOUTH CAMPUS DRIVE
CHICAGO, ILLINOIS 60637

CHICAGO, ILLINOIS

1964

RESEARCH REPORT

NO. 1000

AFFIRMATION

The undersigned bidder affirms and declares that said bidder is not in arrears to the City of New York upon debt, contract or taxes and is not a defaulter, as surety or otherwise, upon obligation to the City of New York, and has not been declared not responsible, or disqualified, by any agency of the City of New York, nor is there any proceeding pending relating to the responsibility or qualification of the bidder to receive public contracts except: None

(If none, the bidder shall insert the word "None" in the space provided above.)

Full Name of Bidder: John P. Picone Inc.
Address: 31 Garden Lane PO Box 9013
City Lawrence State NY Zip Code 11559


CHECK ONE BOX AND INCLUDE APPROPRIATE NUMBER:

A - Individual or Sole Proprietorship*
SOCIAL SECURITY NUMBER

B - Partnership, Joint Venture or other unincorporated organization
EMPLOYER IDENTIFICATION NUMBER

C - Corporation
EMPLOYER IDENTIFICATION NUMBER

11-1713520

By: 
Signature

Title: Robert Taikina, Executive Director

If a corporation, place seal here

This affirmation must be signed by an officer or duly authorized representative.

*Under the Federal Privacy Act the furnishing of Social Security Numbers by bidders on City contracts is voluntary. Failure to provide a Social Security Number will not result in a bidder's disqualification. Social Security Numbers will be used to identify bidders, proposers or vendors to ensure their compliance with laws, to assist the City in enforcement of laws, as well as to provide the City a means of identifying of businesses which seek City contracts.

Tax ID #: 11-1713520

APT E-
PIN #: 85014B0020

SCHEDULE B - M/WBE Utilization Plan
Part I: M/WBE Participation Goals

1

Part I to be completed by contracting agency

Contract Overview

APT E- Pin # 85014B0020 FMS Project ID#: SEC20004R
Project Title/ Agency PIN # RECONSTRUCTION OF COLL OR OTHERWISE DEF STM, SAN & COMB SWRS/8502013SE0035C
Bid/Proposal Response Date FEBRUARY 25, 2014
Contracting Agency Department of Design and Construction
Agency Address 30-30 Thomson Avenue City Long Island City State NY Zip Code 11101
Contact Person Diana A. Benjamin Title MWBE Liaison & Compliance Analyst
Telephone # (718) 391-3470 Email BenjamiDi@ddc.nyc.gov

Project Description (attach additional pages if necessary)

PROJECT ID: SEC20004R

FOR THE RECONSTRUCTION OF COLLAPSED OR OTHERWISE DEFECTIVE STORM, SANITARY AND COMBINED SEWERS, FORCE MAINS AND DRAINAGE FACILITIES AND THEIR APPURTENANCES ON AN EMERGENCY BASIS - CITYWIDE

Together With All Work Incidental Thereto
ALL BOROUGHES
CITY OF NEW YORK

M/WBE Participation Goals for Services

Enter the percentage amount for each group or for an unspecified goal. Please note that there are no goals for Asian Americans in Professional Services.

Prime Contract Industry: Construction

| Group | Percentage |
|----------------------------------|-------------|
| Unspecified | 0% |
| or | |
| Black American | UNSPECIFIED |
| Hispanic American | UNSPECIFIED |
| Asian American | UNSPECIFIED |
| Women | UNSPECIFIED |
| Total Participation Goals | 0% |

Line 1

Tax ID #: 11-1713520

APT E-
PIN #: 85014B0020

SCHEDULE B - Part II: M/WBE Participation Plan

Part II to be completed by the bidder/proposer.

Please note: For Non-M/WBE Prime Contractors who will NOT subcontract any services and will self-perform the entire contract, you must obtain a FULL waiver by completing the Waiver Application on pages 17 and 18 and timely submitting it to the contracting agency pursuant to the Notice to Prospective Contractors. Once a FULL WAIVER is granted, it must be included with your bid or proposal and you do not have to complete or submit this form with your bid or proposal.

| Section I: Prime Contractor Contact Information | | | |
|---|--|-----------------|----------------------------|
| Tax ID # | <u>11-1713520</u> | FMS Vendor ID # | |
| Business Name | <u>John P. Picone Inc.</u> | Contact Person | <u>Robert Taikina</u> |
| Address | <u>31 Garden Lane, PO Box 9013, Lawrence, NY 11559</u> | | |
| Telephone # | <u>516 239-1600</u> | Email | <u>bids@johnpicone.com</u> |

Section II: M/WBE Utilization Goal Calculation: Check the applicable box and complete subsection.

PRIME CONTRACTOR ADOPTING AGENCY M/WBE PARTICIPATION GOALS

| | | | |
|--|--------------------------|--|---------------------------------------|
| <input type="checkbox"/> For Prime Contractors (including Qualified Joint Ventures and M/WBE firms) adopting Agency M/WBE Participation Goals. Calculate the total dollar value of your total bid that you agree will be awarded to M/WBE subcontractors for services and/or credited to an M/WBE prime contractor or Qualified Joint Venture. Please review the Notice to Prospective Contractors for more information on how to obtain credit for M/WBE participation. | Total Bid/Proposal Value | Agency Total Participation Goals (Line 1, Page 13) | Calculated M/WBE Participation Amount |
| | \$ | X | = \$ Line 2 |

PRIME CONTRACTOR OBTAINED PARTIAL WAIVER APPROVAL: ADOPTING MODIFIED M/WBE PARTICIPATION GOALS

| | | | |
|--|--------------------------|---|---------------------------------------|
| <input type="checkbox"/> For Prime Contractors (including Qualified Joint Ventures and M/WBE firms) adopting Modified M/WBE Participation Goals. Calculate the total dollar value of your total bid that you agree will be awarded to M/WBE subcontractors for services and/or credited to an M/WBE prime contractor or Qualified Joint Venture. Please review the Notice to Prospective Contractors for more information on how to obtain credit for M/WBE participation. | Total Bid/Proposal Value | Adjusted Participation Goal (From Partial Waiver) | Calculated M/WBE Participation Amount |
| | \$ | X | = \$ Line 3 |

The following information is provided for your information. The information is for informational purposes only and does not constitute an offer or a recommendation. The information is provided as a service to our clients and is not intended to be used as a basis for investment decisions. The information is provided as a service to our clients and is not intended to be used as a basis for investment decisions.

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| Name of the Issuer (Company Name) | Type of Security (e.g., Common Stock) | Amount of Investment (in USD) | Date of Investment (MM/DD/YYYY) |
|--------------------------------------|--|----------------------------------|------------------------------------|
| ABC Corporation | Common Stock | \$10,000 | 01/15/2023 |
| XYZ Company | Preferred Stock | \$5,000 | 02/20/2023 |

| Name of the Issuer (Company Name) | Type of Security (e.g., Common Stock) | Amount of Investment (in USD) | Date of Investment (MM/DD/YYYY) |
|--------------------------------------|--|----------------------------------|------------------------------------|
| DEF Limited | Convertible Preferred | \$20,000 | 03/10/2023 |
| GHI Partners | Equity | \$15,000 | 04/05/2023 |

The information is provided as a service to our clients and is not intended to be used as a basis for investment decisions. The information is provided as a service to our clients and is not intended to be used as a basis for investment decisions.

Section III: M/WBE Utilization Plan: How Proposer/Bidder Will Fulfill M/WBE Participation Goals. Please review the Notice to Prospective Contractors for more information on how to obtain credit for M/WBE participation. Check applicable box. The Proposer or Bidder will fulfill the M/WBE Participation Goals:

As an M/WBE Prime Contractor that will self-perform and/or subcontract to other M/WBE firms a portion of the contract the value of which is at least the amount located on Lines 2 or 3 above, as applicable. The value of any work subcontracted to non-M/WBE firms will not be credited towards fulfillment of M/WBE Participation Goals. Please check all that apply to Prime Contractor:

MBE WBE

As a Qualified Joint Venture with an M/WBE partner, in which the value of the M/WBE partner's participation and/or the value of any work subcontracted to other M/WBE firms is at least the amount located on Lines 2 or 3 above, as applicable. The value of any work subcontracted to non M/WBE firms will not be credited towards fulfillment of M/WBE Participation Goals.

As a non M/WBE Prime Contractor that will enter into subcontracts with M/WBE firms the value of which is at least the amount located on Lines 2 or 3 above, as applicable.

Section IV: General Contract Information

What is the expected percentage of the total contract dollar value that you expect to award in subcontracts for services, regardless of M/WBE status? % 0

Enter brief description of the type(s) and dollar value of subcontracts for all/any services you plan on subcontracting if awarded this contract. For each item, indicate whether the work is designated for participation by MBEs and/or WBEs and the time frame in which such work is scheduled to begin and end. Use additional sheets if necessary.

✓ Scopes of Subcontract Work

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____
12. _____
13. _____
14. _____
15. _____
16. _____
17. _____

The first part of the document discusses the importance of maintaining accurate records and the role of the accounting department in ensuring that all financial transactions are properly documented and reported.

In addition, the document highlights the need for regular audits and reviews to identify any discrepancies or errors in the financial statements and to ensure compliance with applicable laws and regulations.

The second part of the document provides a detailed overview of the company's financial performance over the past year, including a breakdown of revenue, expenses, and profit margins. It also includes a comparison of the company's performance against industry benchmarks.

Overall, the document concludes that the company has achieved significant growth and success over the past year, and that the accounting department has played a crucial role in supporting these achievements.

The following table provides a summary of the company's financial performance over the past year:

Revenue: \$1,200,000
Expenses: \$800,000
Profit: \$400,000


| Category | Q1 | Q2 | Q3 | Q4 | Total |
|----------|-----------|-----------|-----------|-----------|-------------|
| Revenue | \$300,000 | \$300,000 | \$300,000 | \$300,000 | \$1,200,000 |
| Expenses | \$200,000 | \$200,000 | \$200,000 | \$200,000 | \$800,000 |
| Profit | \$100,000 | \$100,000 | \$100,000 | \$100,000 | \$400,000 |

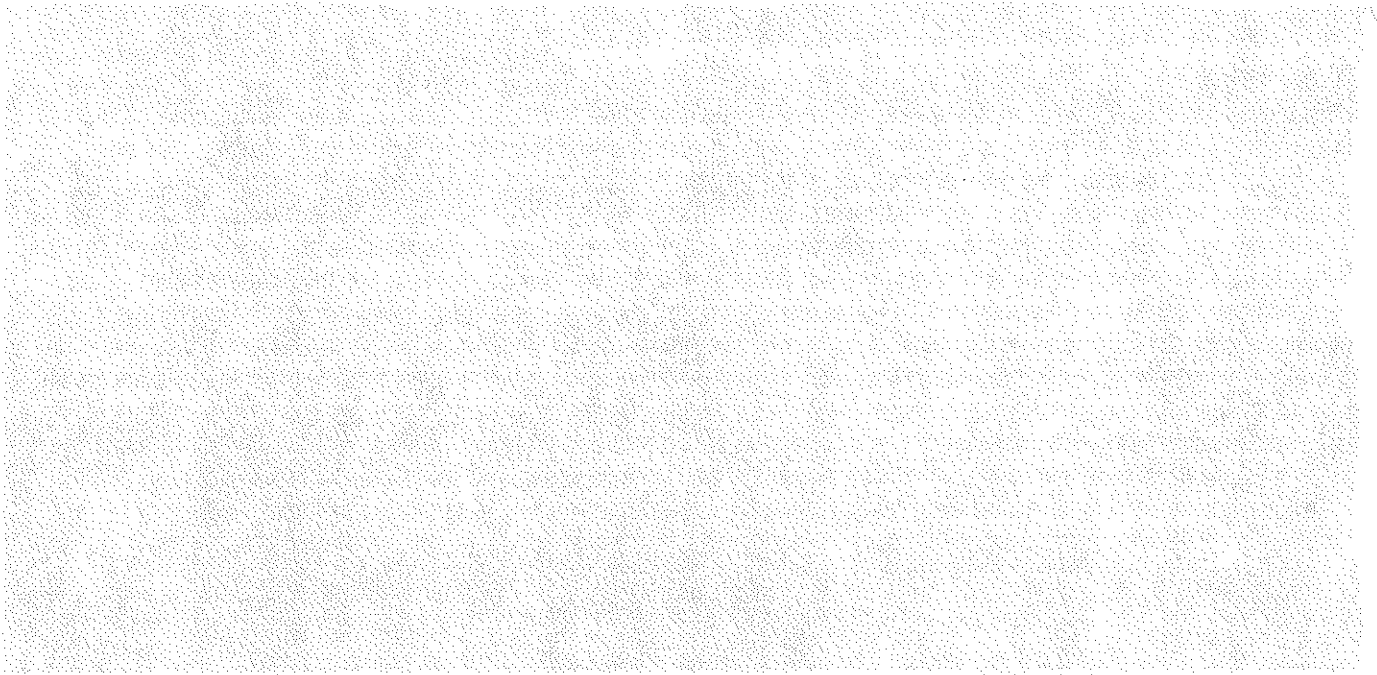
For more information, please contact the accounting department.

Section V: Vendor Certification and Required Affirmations

I hereby:

- 1) acknowledge my understanding of the M/WBE participation requirements as set forth herein and the pertinent provisions of Section 6-129 of the Administrative Code of the City of New York ("Section 6-129"), and the rules promulgated thereunder;
- 2) affirm that the information supplied in support of this M/WBE Utilization Plan is true and correct;
- 3) agree, if awarded this Contract, to comply with the M/WBE participation requirements of this Contract, the pertinent provisions of Section 6-129, and the rules promulgated thereunder; all of which shall be deemed to be material terms of this Contract;
- 4) agree and affirm that it is a material term of this Contract that the Vendor will award the total dollar value of the M/WBE Participation Goals to certified MBEs and/or WBEs, unless a full waiver is obtained or such goals are modified by the Agency; and
- 5) agree and affirm, if awarded this Contract, to make all reasonable, good faith efforts to meet the M/WBE Participation Goals, or if a partial waiver is obtained or such goals are modified by the Agency, to meet the modified Participation Goals by soliciting and obtaining the participation of certified MBE and/or WBE firms.

| | | | |
|------------|--|-------|---------------------------|
| Signature |  | Date | <u>2-19-14</u> |
| Print Name | <u>Robert Taikina</u> | Title | <u>Executive Director</u> |



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SCHEDULE B – PART III – REQUEST FOR WAIVER OF M/WBE PARTICIPATION REQUIREMENT

Contract Overview

Tax ID # _____ FMS Vendor ID # _____
 Business Name _____
 Contact Name _____ Telephone # _____ Email _____
 Type of Procurement Competitive Sealed Bids Other Bid/Response Due Date _____
 APT E-PIN # (for this procurement): _____ Contracting Agency: _____

M/WBE Participation Goals as described in bid/solicitation documents

_____ % Agency M/WBE Participation Goal

Proposed M/WBE Participation Goal as anticipated by vendor seeking waiver

_____ % of the total contract value anticipated in good faith by the bidder/proposer to be subcontracted for services and/or credited to an M/WBE Prime Contractor or Qualified Joint Venture.

Basis for Waiver Request: Check appropriate box & explain in detail below (attach additional pages if needed)

- Vendor does not subcontract services, and has the capacity and good faith intention to perform all such work itself with its own employees.
- Vendor subcontracts *some* of this type of work but at a *lower* % than bid/solicitation describes, and has the capacity and good faith intention to do so on this contract. (Attach subcontracting plan outlining services that the vendor will self-perform and subcontract to other vendors or consultants.)
- Vendor has other legitimate business reasons for proposing the M/WBE Participation Goal above. Explain under separate cover.

References

List 3 most recent contracts performed for NYC agencies (if any). Include information for each subcontract awarded in performance of such contracts. Add more pages if necessary.

| | | |
|---|---|---|
| CONTRACT NO. _____ | AGENCY _____ | DATE COMPLETED _____ |
| Total Contract Amount \$ _____ | Total Amount Subcontracted \$ _____ | |
| Item of Work Subcontracted and Value of subcontract _____ | Item of Work Subcontracted and Value of subcontract _____ | Item of Work Subcontracted and Value of subcontract _____ |

| | | |
|---|---|---|
| CONTRACT NO. _____ | AGENCY _____ | DATE COMPLETED _____ |
| Total Contract Amount \$ _____ | Total Amount Subcontracted \$ _____ | |
| Item of Work Subcontracted and Value of subcontract _____ | Item of Work Subcontracted and Value of subcontract _____ | Item of Work Subcontracted and Value of subcontract _____ |

| | | |
|---|---|---|
| CONTRACT NO. _____ | AGENCY _____ | DATE COMPLETED _____ |
| Total Contract Amount \$ _____ | Total Amount Subcontracted \$ _____ | |
| Item of Work Subcontracted and Value of subcontract _____ | Item of Work Subcontracted and Value of subcontract _____ | Item of Work Subcontracted and Value of subcontract _____ |

The first part of the document discusses the general situation of the country and the progress of the war. It mentions the importance of maintaining the morale of the people and the need for a united front. The text is somewhat repetitive and contains several typos, but the overall message is clear.

The second part of the document focuses on the economic and social challenges facing the country. It highlights the need for reform and the importance of addressing the needs of the common people. The text is dense and contains many small errors, but the main points are well-articulated.

| Item | Quantity | Unit | Total |
|----------------|----------|------|-------|
| Wheat | 1000 | kg | 1000 |
| Rice | 2000 | kg | 2000 |
| Beans | 500 | kg | 500 |
| Oil | 100 | kg | 100 |
| Salt | 500 | kg | 500 |
| Iron | 100 | kg | 100 |
| Steel | 50 | kg | 50 |
| Copper | 20 | kg | 20 |
| Aluminum | 10 | kg | 10 |
| Gold | 5 | kg | 5 |
| Silver | 10 | kg | 10 |
| Platinum | 2 | kg | 2 |
| Palladium | 1 | kg | 1 |
| Rhodium | 1 | kg | 1 |
| Iridium | 1 | kg | 1 |
| Osmium | 1 | kg | 1 |
| Antimony | 1 | kg | 1 |
| Vanadium | 1 | kg | 1 |
| Chromium | 1 | kg | 1 |
| Manganese | 1 | kg | 1 |
| Zinc | 1 | kg | 1 |
| Nickel | 1 | kg | 1 |
| Cobalt | 1 | kg | 1 |
| Barium | 1 | kg | 1 |
| Strontium | 1 | kg | 1 |
| Yttrium | 1 | kg | 1 |
| Zirconium | 1 | kg | 1 |
| Niobium | 1 | kg | 1 |
| Molybdenum | 1 | kg | 1 |
| Technetium | 1 | kg | 1 |
| Ruthenium | 1 | kg | 1 |
| Rhodium | 1 | kg | 1 |
| Palladium | 1 | kg | 1 |
| Silver | 1 | kg | 1 |
| Cadmium | 1 | kg | 1 |
| Indium | 1 | kg | 1 |
| Thallium | 1 | kg | 1 |
| Lead | 1 | kg | 1 |
| Bismuth | 1 | kg | 1 |
| Poison | 1 | kg | 1 |
| Antidote | 1 | kg | 1 |
| Medicine | 1 | kg | 1 |
| Food | 1 | kg | 1 |
| Water | 1 | kg | 1 |
| Shelter | 1 | kg | 1 |
| Tools | 1 | kg | 1 |
| Weapons | 1 | kg | 1 |
| Explosives | 1 | kg | 1 |
| Ammunition | 1 | kg | 1 |
| Uniforms | 1 | kg | 1 |
| Equipment | 1 | kg | 1 |
| Supplies | 1 | kg | 1 |
| Services | 1 | kg | 1 |
| Infrastructure | 1 | kg | 1 |
| Education | 1 | kg | 1 |
| Healthcare | 1 | kg | 1 |
| Transportation | 1 | kg | 1 |
| Communication | 1 | kg | 1 |
| Energy | 1 | kg | 1 |
| Environment | 1 | kg | 1 |
| Culture | 1 | kg | 1 |
| Religion | 1 | kg | 1 |
| Politics | 1 | kg | 1 |
| Economy | 1 | kg | 1 |
| Society | 1 | kg | 1 |
| Family | 1 | kg | 1 |
| Individual | 1 | kg | 1 |
| Humanity | 1 | kg | 1 |
| World | 1 | kg | 1 |
| Universe | 1 | kg | 1 |