

NYS Urban Development Corporation Meeting

Via Teleconference

Thursday, 6/25/2020

9:30 - 11:30 AM ET

I. Corporate Actions

A. Approval of the Minutes of the May 21, 2020 and May 29, 2020 Directors' Meetings

052120 Draft ESD Minutes - Page 5

052920 Draft ESD Minutes - Page 35

Oral Reports

A. President's Report

B. Loans and Grants - Summary of Projects

II. Projects

A. Buffalo (Western New York Region – Erie County) – East Side Commercial Building Stabilization Fund Capital – Buffalo Regional Innovation Cluster (Capital Grant)

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

East Side Commercial Building Stabilization Fund Capital - Page 40

B. Olean (Western New York Region – Cattaraugus County) Four Mile Brewing Capital – Downtown Revitalization Initiative (Capital Grant)

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to a Make Grant and to Take Related Actions

Four Mile Brewing Capital - Page 50

Four Mile Brewing Capital Photographs - Page 57

C. Regional Council Award – Priority Project – Romulus (Finger Lakes Region – Seneca County) – SamSen Capital – Regional Council Capital Fund (Capital Grant)

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

SamSen Capital - Page 58

SamSen Capital Photographs - Page 68

D. Newark (Finger Lakes Region – Wayne County) – IEC Electronics Capital – Upstate Revitalization Initiative (Capital Grant)

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

IEC Electronics Capital - Page 70

IEC Electronics Capital Photographs - Page 82

E. Regional Council Award –Liverpool (Central New York Region – Onondaga County) – Immediate Mailing Services Capital – Regional Council Capital Fund (Capital Grant)

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

Immediate Mailing Services Capital - Page 83

- F. Regional Council Award – Priority Project – Utica (Mohawk Valley Region – Oneida County) – Upper Mohawk Valley Auditorium Nexus Center URI Capital – Upstate Revitalization Initiative (Capital Grant)**
Findings and Determinations Pursuant to 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment
Upper Mohawk Valley Auditorium Nexus Center Capital - Page 95
- G. Regional Council Award – Priority Project – Utica (Mohawk Valley Region – Oneida County) – Masonic Medical Research Laboratory Capital – Regional Council Capital Fund (Capital Grant)**
Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions
Masonic Medical Research Laboratory Capital - Page 106
Masonic Medical Research Laboratory Capital Photographs - Page 114
- H. Regional Council Award – Priority Project – Brookhaven (Long Island Region – Suffolk County) – Ronkonkoma Hub Capital – Regional Council Capital Fund (Capital Grants)**
Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make Grants and to Take Related Actions
Ronkonkoma Hub Capital - Page 116
- I. Regional Council Award – Montgomery (Mid-Hudson Region – Orange County) – City Winery Hudson Valley Capital – Regional Council Capital Fund – (Capital Grant)**
Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions
City Winery Hudson Valley Capital - Page 125
City Winery Hudson Valley Capital Photographs - Page 138
- J. Regional Council Award – Rock Hill (Mid-Hudson Region – Sullivan County) – The Research Institute for Brain and Body Health Capital – Regional Council Capital Fund – (Capital Grant)**
Findings and Determinations Pursuant to Section and 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions
The Research Institute for Brain and Body Health Capital - Page 140
- K. Regional Council Award – Priority Project – Kingston (Mid-Hudson Region – Ulster County) – North Street Brick Works Capital – Regional Council Capital Fund (Capital Grant)**
Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment
North Street Brick Works Capital - Page 148
North Street Brick Works Capital Photographs - Page 160
- L. Regional Council Award – Priority Project – Rensselaer (Capital Region – Rensselaer County) – Rensselaer Bioscience Development Upgrades Capital – Regional Council Capital Fund (Capital Grant)**
Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

M. Elmira (Southern Tier Region – Chemung County) – Air-Flo Manufacturing Capital – Regional Council Capital Fund (Capital Grant)

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

Air-Flo Manufacturing Capital - Page 173

N. Market NY Grant Program - Market New York (Capital Grant)

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

Market New York Program

A. Philipsburg Manor Bridge Wharf Market NY Capital - Historic Hudson Valley (Westchester County) - \$400,000

Market NY Grant Program - Page 184

III. Non-Discretionary Consent Calendar

A. Non-Discretionary Consent Calendar

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make Grants and to Take Related Actions

Local Assistance (Senate)

A. Brooklyn Chamber of Commerce - In Your Neighborhood Working Capital - Brooklyn Chamber of Commerce (Kings County) - \$300,000

B. Children's Specialty Hospital at Rock Hill Capital - The Center for Discovery, Inc. (Sullivan County) - \$1,000,000

Non-Discretionary Consent Calendar - Page 194

IV. Statewide - Entrepreneurship Assistance Centers

A. Entrepreneurship Assistance Centers ("EAC" and "Centers") - Training and Technical Assistance Grants

Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Make Grants and to Take Related Actions

Entrepreneurship Assistance Centers - Page 209

V. Administrative Actions

A. NYS Office of Trade and Tourism - Lease Renewal

Office Lease Renewal for the New York State Office of Trade and Tourism for Office Space in Old San Juan, Puerto Rico - Authorization to Enter a Lease Renewal Contract for Office Space in Old San Juan, Puerto Rico for the New York State Office of Trade and Tourism; and Authorization to Take Related Actions

Puerto Rico Office Lease Renewal - Page 279

B. Contract for Marketing and Promotion Services of the New York State Apple Industry Through New York Apple Association, Inc.

Authorization to Enter into a Contract for Marketing and Promotion Services of the New York State Apple Industry Relating to the Market Order Program; and Authorization to Take Related Actions

MOP-Apple Industry - Page 283

VI. For Information

A. Annual Report on Procurement Contracts for Fiscal Year 2019-2020

Annual Procurement Contracts Cover Memo - Page 287

Annual Report for FY 2019-2020 - Page 288

Annual Amendments for FY 2019-2020 - Page 304

Contracts Executed Prior to FY 2019-2020 - Page 312

NEW YORK STATE URBAN DEVELOPMENT CORPORATION

d/b/a Empire State Development

Meeting of the Directors

Conducted Via Teleconference

May 21, 2020

MINUTES

In Attendance Howard A. Zemsky – Chair
Directors: Eric J. Gertler
 Hilda Rosario Escher
 Cesar Perales
 Shaunik Panse, Designee - Superintendent of NYS Department of
 Financial Services

Present for ESD: Alyson Beha, Vice President, Real Estate Development & Planning
 Simone Bethune, Senior Project Manager
 Douglas Bressette, Treasurer
 Destiny Burns, Assistant Vice President - Community Relations
 Vincent Esposito, Director - Finger Lakes Regional Office
 James Fayle, Director - Central New York Regional Office
 Elizabeth Fine, Executive Vice President - Legal and General Counsel
 Donna Howell, Director of Regional Business Development - Southern
 Tier Regional Office
 Elaine A. Kloss, Chief Financial Officer
 Edwin Lee, Senior Vice President and Director of Economic Incentives
 Holly Leicht, Executive Vice President - Real Estate Development &
 Planning
 Amanda Mays, Director - Western New York Regional Office
 Glendon McLeary, Vice President and Director - Loans and Grants
 Kathleen Mize, Deputy Chief Financial Officer and Controller
 Richard Newman, Executive Vice President and Chief of Staff
 Scott Rasmussen, Project Manager – Innovation and Broadband
 Pravina Raghavan, Executive Vice President - Small Business and
 Technology Development
 Vincent Ravaschiere, Senior Vice President - Energy and Incentives
 Michael Reese, Director - Mohawk Valley Regional Office
 Debbie Royce, Corporate Secretary
 Joseph Tazewell, Director - New York City Regional Office
 Goldie Weixel, Senior Managing Attorney
 Kevin Younis, Chief Operating Officer

DRAFT – SUBJECT TO REVIEW AND REVISION

Before the meeting was formally called to order by Chair Zemsky, the Corporate Secretary of the New York State Urban Development Corporation (“UDC”) d/b/a Empire State Development (“ESD” or the “Corporation”) welcomed everyone to the meeting and conducted a roll call of the Directors to determine that a quorum was present.

Following the roll call and confirmation that a quorum was present, the meeting of the Directors of ESD was called to order at 9:30 a.m. by Chair Zemsky. He noted for the record that due to public health concerns, this meeting would be conducted by teleconference as authorized by an Executive Order of the Governor.

Next, the Chair noted that the public had been given an opportunity to comment on the Agenda items by submitting their written comments at or before 4:30 p.m. yesterday. He noted that no comments were received on any of the Agenda items.

Chair Zemsky then asked the Directors if they had any conflicts of interest to note on any of the Agenda items and no conflicts were noted at this time. He then reminded everyone to please mute their phones when not speaking and to state their names before speaking.

The Chair then called for a motion to approve the Minutes of the April 16, 2020 Directors’ meeting. There being no changes or corrections, upon motion duly made and seconded, the following resolution was unanimously adopted:

DRAFT – SUBJECT TO REVIEW AND REVISION

APPROVAL OF MINUTES AND RATIFICATION OF ACTIONS TAKEN AT APRIL 16, 2020
MEETING OF THE DIRECTORS OF THE NEW YORK STATE URBAN DEVELOPMENT
CORPORATION

RESOLVED, that the Minutes of the meeting of the Corporation held on April 16, 2020, as presented to this meeting, are hereby approved and all actions taken by the Directors presented at such meeting as set forth in such Minutes, are hereby in all respects ratified and approved as actions of the Corporation.

* * *

Next, Chair Zemsky asked Director Gertler to provide the President's Report on the Corporation's most recent activities.

Among other things of note, Director Gertler advised that seven of the State's ten Regions have opened up for Phase One allowing certain industries to begin to operate.

Following the full President's Report, the Chair called on Glendon McLeary to present a summary of the project items on the Agenda.

Mr. McLeary explained that the Directors were being asked to consider 13 projects totaling \$16,742,092 million in grants. He further explained that there was one Buffalo Billion award; seven Regional Council awards and five discretionary awards that will support various projects in regions throughout the State.

Mr. McLeary noted that these projects will leverage over \$304 million of additional investment, retain 396 jobs and create 119 new jobs in the State.

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The Chair then called on Amanda Mays, Director of ESD’s Western New York Regional Office to present the first item on the Agenda for the Directors’ consideration.

Ms. Mays explained that the Directors were being asked to approve a working capital grant in the amount of \$462,000 to 43North Forge Buffalo to be used for three years of implementation of the Forge Buffalo program.

Ms. Mays noted that 43North’s initiative is part of Western New York’s regional portfolio of programs focused on the tech sector’s talent attraction and retention to increase the tech talent pool and help Western New York continue to play a part in rebuilding its economy.

Ms. Mays further noted that the program began incurring costs in February and that Board approval was being sought so reimbursement can begin.

Following the full presentation, the Chair called for questions or comments. Hearing no questions and noting that no comments were received from the public, upon motion duly made and seconded, the following resolution was unanimously adopted:

Buffalo (Western New York Region – Erie County) – 43North Forge Buffalo – Buffalo Regional Innovation Cluster (Working Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the 43North Forge Buffalo

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– Buffalo Regional Innovation Cluster (Working Capital Grant) Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Chair Zemsky then called on James Fayle, Director of the Central New York Regional Office to present the next item on the Agenda for the Directors’ consideration.

Mr. Fayle explained that the Directors were being asked to approve a Regional Council Capital grant in the amount of \$341,000 to Oneida Air Systems Capital to be used for the purchase of machinery and equipment, such as 3D printers, balance machines and various dust collection systems.

Mr. Fayle noted that the project was completed in December of 2019 and has met their goal of creating one job.

Following the full presentation, the Chair called for questions or comments. Hearing no

questions and noting that no comments were received from the public, upon motion duly made and seconded, the following resolution was unanimously adopted:

Regional Council Award – Syracuse (Central New York Region – Onondaga County) – Oneida Air Systems Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Oneida Air Systems Capital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Oneida Air Systems, Inc. a grant for a total amount not to exceed THREE HUNDRED FORTY ONE THOUSAND Dollars (\$341,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other

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necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

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The Chair then called on Michael Reese, Director of ESD's Mohawk Valley Regional Office to present the next two items on the Agenda for the Directors' consideration.

The first project Mr. Reese presented, involved a Regional Council Capital grant in the amount of \$600,000 to SUNY PI Assistive Technology to construct and equip an Assistive Technology Laboratory.

Mr. Reese explained that Assistive Technology Services provides a new component to an existing partnership between Sitrin Health Care and SUNY Poly to rehabilitate wounded soldiers facing barriers to re-employment as they return home from military service.

Mr. Reese further explained that the Assistive Technology Lab will customize commercially available equipment to fully restore functionality thereby enabling soldiers to return to work. He also noted that the total project cost was \$11,874,000 and was completed in January 2020.

The second project Mr. Reese presented, involved a Regional Council Capital grant in the amount of \$600,000 to Oriskany Manufacturing Capital to fund a portion of the cost of

construction, renovation and the purchase of machinery and equipment.

Mr. Reese explained that the company operates out of two facilities, one located in Oriskany and one located in New York Mills and manufactures products made from aluminum, copper, stainless steel and steel.

Mr. Reese noted that the project cost is \$4,681,000 and was completed in April 2020.

Following the full presentation of both projects, the Chair called for questions or comments. Director Perales noted for the record that he was recusing himself from the vote regarding the SUNY PI Assistive Technology Capital Project. Hearing no further comments or question from the Directors and noting that no comments were received from the public, upon motion duly made and seconded, the following resolutions were unanimously adopted:

Regional Council Award – Priority Project –Utica (Mohawk Valley Region – Oneida County) – SUNY PI Assistive Technology Capital – Regional Council Capital Fund (Capital Project) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the SUNY PI Assistive Technology Capital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan,

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together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to SUNY Polytechnic Institute a grant for a total amount not to exceed Six-Hundred-Thousand Dollars (\$600,000) from the Regional Council Capital Fund , for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

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Regional Council Award – Priority Project – Utica (Mohawk Valley Region – Oneida County) – SUNY PI Assistive Technology Capital – Regional Council Capital Fund (Capital Grant) – Determination of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the SUNY PI Assistive Technology Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

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Regional Council Award – Oriskany (Mohawk Valley Region – Oneida County) – Oriskany Manufacturing Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Oriskany Manufacturing Capital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Oriskany Manufacturing, LLC d/b/a Oriskany Manufacturing Technologies a grant for a total amount not to exceed Six Hundred Thousand Dollars (\$600,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute

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and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Regional Council Award – Oriskany (Mohawk Valley Region – Oneida County) – Oriskany Manufacturing Capital – Regional Council Capital Fund (Capital Grant) – Determination of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the Oriskany Manufacturing Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *

Chair Zemsky then called on Joseph Tazewell, Director of the New York City Regional Office and Destiny Burns, Assistant Vice President – Community Relations, to present the next two items on the Agenda for the Directors’ consideration.

Mr. Tazewell explained that the Directors were being asked to approve a Regional Council Capital grant in the amount of \$986,792 to the Brooklyn Navy Yard Development Corporation to be used to enhance and increase accessibility of the transportation infrastructure in the Brooklyn Navy Yard.

Mr. Tazewell further explained that the new system will include five new buses, ten buses with shelters, a GPS and WiFi system, a NYC ferry landing and other infrastructure improvements that will reduce wait time, improve transportation reliability and enhance the Navy Yard’s competitiveness as a location for innovative job creation tenants.

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Mr. Tazewell noted that the project was tied to the retention of 150 jobs and the creation of 23 new jobs, which has been exceeded and the project was now ready to receive its first grant disbursement.

Next, Ms. Burns presented the Upper Manhattan Empowerment Zone (“UMEZ”) grant for the Directors’ consideration.

Ms. Burns explained that the Directors were being asked to approve a \$6 million grant to UMEZ to be used to fund a portion of the National Urban League project, which will transform a garage on 125th Street into a mixed-use facility

Following the full presentations of both projects, the Chair called for questions or comments. Hearing none and noting that no comments were received from the public, upon motion duly made and seconded, the following resolutions were unanimously adopted:

Regional Council Award – Priority Project – Brooklyn (New York City Region – Kings County) – Brooklyn Navy Yard Transportation Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Brooklyn Navy Yard Transportation Capital - Regional Council Capital Fund (Capital Grant) Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to

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this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Brooklyn Navy Yard Development Corporation a grant for a total amount not to exceed Nine Hundred Eighty Six Thousand Seven Hundred and Ninety Two Dollars (\$986,792) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

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New York City (New York Region – New York County) – Upper Manhattan Empowerment Zone – New York Works Economic Development Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the UDC Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make Grants and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Upper Manhattan Empowerment Zone – New York Works Economic Development Fund (the “Project”), the

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Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to the Upper Manhattan Empowerment Zone Development Corporation grants for a total amount not to exceed Six Million Dollars (\$6,000,000) from the New York Works Economic Development Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grants, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grants as he or she may deem necessary or appropriate in the administration of the grants; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, (2) the availability of funds and the approval of the State Division of the Budget, and (3) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Chair Zemsky then called on Donna Howell, Director of Regional Business Development of ESD’s Southern Tier Regional Office to present the next three projects on the Agenda for the

Directors' consideration.

The first project Ms. Howell presented involved a Regional Council Capital grant in the amount of \$2,152,300 to 7 Hawley Street Capital to be used to fund a portion of the cost for construction of a new parking garage in the City of Binghamton's urban core.

The second project Ms. Howell presented involved a Regional Council Capital grant in the amount of \$500,000 to Sportsfield Specialties Expansion Capital to be used for the cost of construction, as well as the acquisition of machinery and equipment to expand the sports equipment business in Delaware County. She noted the project has created 20 new jobs and was completed in February 2020.

The third project Ms. Howell presented involved a Regional Council Capital grant in the amount of \$1,250,000 to the Village of Watkins Glen to be used for a portion of the cost for design and related analysis for a brand new, state-of-the-art regional wastewater treatment plant. She advised the new plant will replace the aging treatment facility, which is located in the middle of downtown in Watkins Glen on the Seneca Lake waterfront.

Following the full presentation of all three projects, the Chair called for questions or comments. Hearing none and noting that no comments were received from the public, upon motion duly made and seconded, the following resolutions were unanimously adopted:

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Regional Council Award – Priority Project – Binghamton (Southern Tier Region – Broome County) – 7 Hawley Street Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the 7 Hawley Street Capital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized to make to Binghamton Urban Renewal Agency a grant for a total amount not to exceed Two Million One Hundred Fifty-Two Thousand Three Hundred Dollars (\$2,152,300) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute

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and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Regional Council Award – Priority Project – Binghamton (Southern Tier Region – Broome County) – 7 Hawley Street Capital – Regional Council Capital Fund (Capital Grant) – Determination of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the 7 Hawley Street Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *

Regional Council Award – Priority Project – Delhi (Southern Tier Region – Delaware County County) – Sportsfield Specialties Expansion Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Sportsfield Specialties Expansion Capital -- Regional Council Capital Fund (Capital Grant) Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Sportsfield Specialties, Inc. a grant for a total amount not to

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exceed Five Hundred Thousand Dollars (\$500,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Regional Council Award – Priority Project – Delhi (Southern Tier Region – Delaware County County) – Sportsfield Specialties Expansion Capital – Regional Council Capital Fund (Capital Grant) – Determination of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the Sportsfield Specialties Expansion Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *

Regional Council Award – Priority Project – Watkins Glen (Southern Tier Region – Schuyler County) – Village of Watkins Glen - Seneca Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Village of Watkins Glen - Seneca Capital -- Regional Council Capital Fund (Capital Grant) Project (the “Project”), the

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Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Village of Watkins Glen a grant for a total amount not to exceed One Million Two Hundred Fifty Thousand Dollars (\$1,250,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Regional Council Award – Priority Project – Watkins Glen (Southern Tier Region – Schuyler County) – Village of Watkins Glen - Seneca Capital – Regional Council Capital Fund (Capital Grant) – Determination of No Significant Effect on the Environment

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RESOLVED, that based on the material submitted to the Directors with respect to the Village of Watkins Glen - Seneca Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *

Chair Zemsky then called on Vincent Esposito, Director of ESD's Finger Lakes Regional Office to present the next project on the Agenda for the Directors' consideration.

Mr. Esposito explained that the Directors were being asked to approve a Regional Council Capital grant in the amount of \$1.5 million to the City of Rochester to renovate and expand the terrace at the historic Rundel Library which is a project that was part of the Rock the Riverway Initiative.

Following the full presentation, the Chair called for questions or comments. Hearing none and noting that no comments were received from the public, upon motion duly made and seconded, the following resolution was unanimously adopted:

Regional Council Award – Priority Project – Rochester (Finger Lakes Region – Monroe County) – City of Rochester ROC the Riverway Rundel Library Terrace Capital – Upstate Revitalization Initiative (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the City of Rochester ROC the Riverway Rundel Library Terrace Capital - Upstate Revitalization Initiative (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section

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16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to City of Rochester a grant for a total amount not to exceed One Million Five Hundred Thousand Dollars (\$1,500,000) from the Upstate Revitalization Initiative, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

The Chair then called on Simone Bethune to present the Restore New York Community Capital Grant and the Non-Discretionary Consent Calendar items on the Agenda for the Directors’ consideration.

First, Ms. Bethune explained that the Director’s were being asked to approve three

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Restore New York grants.

The first item Ms. Bethune presented involved a grant in the amount of \$1 million to the City of Utica for the rehabilitation of two vacant historical buildings in accordance with the City's 2011 Comprehensive Plan. She further explained that the grant was used for masonry repairs and the installation of new windows and asbestos abatement to both buildings.

The second item involved a grant in the amount of \$1 million to the City of Johnstown for the rehabilitation of the Diana Knitting Mill which was transformed into a mixed-use facility for light manufacturing, distribution and office space for Townsend Leather. She noted the project was completed in November of 2019 at a cost of \$2.7 million.

The third item Ms. Bethune presented involved a grant in the amount of \$350,000 to the Village of Webster for the rehabilitation of five contiguous properties into a combination of commercial and retail storefronts to revitalize the Village's main street.

Next, Ms. Bethune presented the May Non-Discretionary Consent Calendar item for the Directors' consideration.

Ms. Bethune explained that the Directors were being asked to approve a grant in the amount of \$2,467,904 to Onondaga County, which represents the remaining portion of an Executive sponsored \$30 million allocation for neighborhood revitalization projects in the Village of Solway.

Ms. Bethune further explained that the Directors were also being asked to approve the following five modifications to the project’s scope for the grant to Onondaga County in the amount of \$1,068,599: 1) a request to expand the Project location to the entire Town of Geddes and the Village of Solway in order to accommodate additional eligible participants who currently fall outside the target area; (2) a request to increase the revolving loan fund amortization schedule from seven years to ten years which would make the loan more affordable to residents with lower incomes; (3) a request to allow to use funds for interior improvements as currently the Project scope only anticipates exterior work; (4) a request to repurpose the funds for the construction of two homes, instead of building four new homes making the project more feasible; and (5) a request to be allow to allocate \$50,000 of the grant to administrative costs and \$1,018,599 to façade improvements to complete the Project.

Following the full presentation of both items, the Chair called for questions or comments. Hearing none and noting that no comments were received from the public, upon motion duly made and seconded, the following resolutions were unanimously adopted:

Statewide – Restore NY Communities (Capital Grants) – Findings and Determinations Pursuant to Sections 10(g) and 16-n of the Act; Authorization to Adopt the Proposed General Project Plans; Authorization to Make Grants and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Restore New York Communities Initiative Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to

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this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, are hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written findings of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearings held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written findings being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make a to grant to the party and for the amount listed below from Restore NY Communities, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grants; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

Restore New York Communities Initiative Program – Project Summaries Table

	Grantee	Project Name	Project #	Grant	Village, Town, City	County
A.	City of Utica	City of Utica - Downtown Rehabilitation RESTORE NY IV	AB781	\$1,000,000	Utica	Oneida
B.	City of Johnstown	City of Johnstown - Diana Knitting Mill Redevelopment RESTORE NY V	131,779	\$1,000,000	Johnstown	Fulton
C.	Village of Webster	Village of Webster East Main Street RESTORE NY V	131,758	\$350,000	Webster	Monroe
	Total RESTORE NY – 3 Projects	TOTAL		\$2,350,000		

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RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or her designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Village of Solvay, City of Syracuse (Central New York Region – Onondaga County) – Onondaga County Revitalization Projects Capital – Special Appropriation Onondaga County 14-15 (Capital Grants) Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed Modified General Project Plans; Authorization to Make Grants and to Take Related Actions;

RESOLVED, that on the basis of the materials presented, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Onondaga County Revitalization Projects Capital – Special Appropriation Onondaga County Fund (Capital Grants) Project (the “Projects”), the Corporation hereby affirms pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the Project area; and be it further

RESOLVED, that the Corporation does hereby adopt the proposed Modified General Project Plans (the “Plans”) for the Projects, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plans, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Projects included in these materials, copies of which Plan shall be maintained with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearings held on the Plans, such Plans shall be effective at the conclusion of such hearings, and that upon such written finding being made, President and Chief Executive Officer of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Onondaga County a grant for a total amount not to exceed Two Million Four Hundred and Sixty Seven Nine Hundred and Four Dollars (\$2,467,904,) which includes \$1,399,305 to (AA823) and \$1,068,599 (AA893) from the Special Appropriation Onondaga County 14-15 Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and

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the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

Special Appropriation Onondaga County 14-15

	Project Name	Project No.	Grantee	Assistance Up To
	Special Appropriation Onondaga 14-15			
A.	Onondaga County Revitalization Projects Capital*	AA823	Onondaga County	\$1,399,305
B.	Onondaga County Revitalization Projects Capital*	AA893	Onondaga County	\$1,068,599
	<i>*Request for Directors' Modification</i>			
	TOTAL NON-DISCRETIONARY PROJECTS - 2		TOTAL	\$2,467,904

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or her designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

The Chair then called on Scott Rasmussen to present the next item on the Agenda related to the New New York Broadband Program for the Directors' consideration.

Mr. Rasmussen explained that the Directors were being asked to approve an affirmation of a New New York Broadband Program, Phase 3 Project Award to Hughes Network LLC, in order to address negative public hearing comments received on November 13, 2019.

Mr. Rasmussen further explained that the award of up to \$59,850 in grants and State grant funding was approved at ESD’s October 13, 2019 Directors’ meeting and will address 380 unserved locations in Clinton, Franklin and St Lawrence counties.

Mr. Rasmussen noted that there were five speakers who offered negative testimony at the public hearing which centered on the quality of satellite based broadband service and did not expand on previous negative comments received on Hughes’ Broadband projects.

Following the full presentation, the Chair called for questions or comments. Hearing none and noting that no comments were received from the public, upon motion duly made and seconded, the following resolution was unanimously adopted:

New NY Broadband Program – Phase 3 Award, New NY Broadband 2015-16 Capital Fund – Hughes Network Systems, LLC – Project No. 132,946 – Affirmation of Findings Pursuant to Section 10(g) of the New York State Urban Development Corporation Act; Affirmation of the General Project Plan; Authorization to Make Grants and Take Related Actions

WHEREAS, ESD staff has addressed the comments received at the public hearing held on November 13, 2019 (the “Public Hearing”) on the General Project Plan (the “Plan”) for the New NY Broadband Program Project No. 132,946; it is hereby

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Project, the Corporation hereby affirms pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended, that there are no families or individuals to be displaced from the Project area; and be it further

RESOLVED, that the Corporation does hereby affirm the Plan for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan,

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together with such changes, are hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make grants to Hughes Network Systems, LLC for a total amount not to exceed fifty nine thousand and eight hundred and fifty dollars (\$59,850) from the New NY Broadband Program, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grants; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals.

* * *

Chair Zemsky then called on Vincent Ravaschiere to present the last item on the Agenda for the Directors' consideration which related to the New York State Electric Generation Facility Cessation Mitigation Program.

Mr. Ravaschiere explained that the Directors were being asked to approve a program grant to the Town of Tonawanda to offset the reduction of property taxes and payments to the Town from Huntly Power LLC because of the closing of its power plant.

Following the full presentation, the Chair called for questions or comments. Hearing none and noting that no comments were received from the public, upon motion duly made and seconded, the following resolution was unanimously adopted:

Statewide – New York State Electric Generation Facility Cessation Mitigation Program - Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Make a Grant and to Take Related Actions

BE IT RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation (the "Materials"), relating to the Electric Generation Cessation Mitigation Program ("the Program") projects identified below, the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended, that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized to make grants as set forth below from the Electric Generation Cessation Mitigation Program, for the purposes and substantially on the terms and conditions set forth in the Materials and the Program guidelines, with such changes as the President and Chief Executive Officer Designate or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget:

PTS #	Applicant	Facility	Closure Date	Tax Loss	County	Proposed Grant Amount
AC031	Town of Tonawanda	Huntley Power, LLC	March 1, 2016	89%	Erie	\$1,088,259.23

and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of grants, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grants as he or she may deem necessary or appropriate in the administration of the grants; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

There being no further business, the meeting was adjourned at 10:10 a.m.

Respectfully submitted,

Debbie Royce
Corporate Secretary

DRAFT – SUBJECT TO REVIEW AND REVISION

NEW YORK STATE URBAN DEVELOPMENT CORPORATION

d/b/a Empire State Development

Meeting of the Directors

Conducted Via Teleconference

May 29, 2020

MINUTES

In Attendance Howard A. Zemsky – Chair
Directors: Eric J. Gertler
Hilda Rosario Escher
Shaunik Panse, Designee - Superintendent of NYS Department of Financial Services

Present for ESD: Thomas Brennan, Senior Vice President – Internal Audit
Douglas Bressette, Treasurer
Elizabeth Fine, Executive Vice President, Legal and General Counsel
Brendan Healey, Vice President – Economic Incentives
Diane Hughes, Audit Director
Elaine A. Kloss, Chief Financial Officer
Stephen Konopko, Vice President – Internal Audit
Glendon McLeary, Vice President and Director – Loans and Grants
Kathleen Mize, Deputy Chief Financial Officer and Controller
Richard Newman, Executive Vice President and Chief of Staff
Antovk Pidedjian, Senior Counsel - Lending Programs
Pravina Raghavan, Executive Vice President – Small Business and Technology Development
Debbie Royce, Corporate Secretary
Rafael Salaberrios, Senior Vice President – Division of Small Business, Capital Access
Goldie Weixel, Senior Managing Attorney
Kevin Younis, Chief Operating Officer

DRAFT – SUBJECT TO REVIEW AND REVISION

Before the meeting was formally called to order by Chair Zemsky, the Corporate Secretary of the New York State Urban Development Corporation (“UDC”) d/b/a Empire State Development (“ESD” or the “Corporation”) welcomed everyone to the meeting and conducted a roll call of the Directors to determine that a quorum was present.

Following the roll call and confirmation that a quorum was present, the meeting of the Directors of ESD was called to order at 9:30 a.m. by Chair Zemsky. He noted for the record that due to public health concerns, the meeting would be conducted by teleconference as authorized by an Executive Order of the Governor.

Next, the Chair noted that the public had been given an opportunity to comment on the Agenda item by submitting their written comments at or before 5:30 p.m. yesterday. He noted that no comments were received on the Agenda item.

Chair Zemsky then asked the Directors if they had any conflicts of interest to note on the Agenda item and no conflicts were noted at this time. He then reminded everyone to please mute their phones when not speaking and to state their names before speaking.

The Chair then called on Pravina Raghavan to present the one item on the Agenda for the Directors’ consideration.

DRAFT – SUBJECT TO REVIEW AND REVISION

Ms. Raghavan explained that the Directors were being asked to authorize ESD to approve a grant to the New York Forward Loan Fund Trust, granted for a Loan Loss Reserve, that can be used to leverage public/private partnerships to provide critical working capital loans post COVID-19 for recovery efforts.

Ms. Raghavan further explained that the purpose of the Loan Loss Reserve is to cover losses by providing working capital loans to the smallest of the small businesses in the State. She noted that the program will target business that have 20 or fewer full-time employees and non-profits.

Ms. Raghavan noted that the loans will be in amounts of up to \$100,000 for a term of 60 months, with the initial 12 repayments being interest only and the remainder of the payments consisting of interest and principal.

Ms. Raghavan further noted that the interest rate will be at an annual rate of 3 percent for small businesses and 2 percent for non-profits. She advised the fund has started to accept applications but has not yet made any commitments until the project is approved.

Lastly, Ms. Raghavan noted that the fund is targeting to have over 60 percent of the money allocated to minority and women-owned businesses that are not able to obtain a loan from the Small Business Administration's Paycheck Protection or IDL loan programs.

DRAFT – SUBJECT TO REVIEW AND REVISION

Following the full presentation, the Chair called for questions or comments. Director Escher asked what the application process was for applying for a loan.

Ms. Raghavan explained that the on-line application contains 16 questions and noted the application is then matched to a Community Development Financial Institution for development and financial assistance.

The Chair then called for any further questions or comments. Hearing none and noting that no comments were received from the public, upon motion duly made and seconded, the following resolution was unanimously adopted:

NEW YORK STATE URBAN DEVELOPMENT CORPORATION d/b/a EMPIRE STATE DEVELOPMENT - Statewide – NY Forward Loan Fund - Empire State Economic Development Fund – Loan Loss Reserve (Working Capital Grant) - Findings and Determinations Pursuant to Sections 16-m and 10(g) of the Act; Authorization to Make a Grant for a Loan Loss Reserve Account; and Authorization to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the to a grant for a loan loss reserve account to be used in support of NY Forward Loan Fund for working capital loans to small businesses and nonprofits (the “Project”), the Corporation hereby determines pursuant to Sections 16-m and 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that

1. As a result of this Program, small business that are experiencing economic distress due to the COVID-19 stay-at-home and NY Pause orders will be able to apply for working capital loans and continue their operations and retain employment in New York State.
2. The loss incurred by small businesses in the affected communities is extensive. The NY Fund will enable traditional lenders to support CDFIS who will make working capital loans to small businesses, and nonprofits, that are experiencing economic distress due to the COVID-19 stay-at-home and NY Pause orders.

DRAFT – SUBJECT TO REVIEW AND REVISION

3. For a relatively modest investment by the State, the Program is expected to prevent small businesses from shutting down or not reopening or downsizing in the face of extensive losses.

4. No residential relocation is required because there are no families or individuals residing on the site.

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized to make a grant to the Project for a total amount not to exceed Fifteen Million (\$15,000,000) for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the assistance as he or she may deem necessary or appropriate in its administration; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other applicable approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of ESD to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

There being no further business, the meeting was adjourned at 9:40 a.m.

Respectfully submitted,

Debbie Royce
Corporate Secretary

FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Buffalo (Western New York Region – Erie County) – East Side Commercial Building Stabilization Fund Capital – Buffalo Regional Innovation Cluster (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

General Project Plan

I. Project Summary

Grantee: Preservation Buffalo Niagara (“PBN” or the “Grantee”) will serve as a not-for-profit Local Program Administrator (“LPA”) for the East Side Commercial Building Stabilization Fund (“the Fund”)

ESD* Investment: Grant of up to \$500,000 for renovation costs associated with stabilization activities for at-risk historic commercial or mixed-use buildings on Buffalo’s East Side.

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Locations: Buffalo, Erie County

Proposed Project: Capital funding for multiple exterior and interior preventative repairs that correct structural deficiencies, water infiltration, and/or code violations of legacy commercial/mixed-use buildings, which if not corrected, could lead to loss of the building through collapse or demolition, and associated risks to public life safety and loss of community fabric.

Project Type: Exterior and interior renovation/stabilization of commercial buildings.

Regional Council: The Western New York Regional Economic Development Council has been made aware of this item.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>	
Renovation	<u>\$500,000</u>	
Total Project Costs	<u>\$500,000</u>	
<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>
ESD-Grant	<u>\$500,000</u>	<u>100%</u>
Total Project Financing	<u>\$500,000</u>	<u>100%</u>

III. Project Description

A. Grantee

Industry:	Architecture and historic legacy of Western New York.
Grantee History:	PBN was formed in 2008, through the merger of two organizations, the Preservation Coalition of Erie County and the Landmark Society of the Niagara Frontier. Each of those organizations had robust 30+ year histories, but felt it was time to merge to create a stronger organization that was able to bring together the different types of programming under one more sustainable organizational umbrella. PBN's mission is to identify, protect, and promote the unique architecture and historic legacy of Western New York. PBN offers robust educational offerings, including tours, lectures, and hands-on workshops; through advocacy around specific topics or places; and through direct hands-on preservation activities such as a Revolving Loan Fund and the ownership and rehabilitation of places of historic importance.
Ownership:	PBN is a not-for-profit organization.
Size:	PBN currently has five full time employees and one part time staff member.
Market:	PBN is the region's only full-service, professionally staffed preservation organization. While there are some smaller organizations serving certain smaller geographic areas or specific niche preservation issues, PBN is the only organization that works regionally and is able to provide proactive assistance, support, and programming to a highly diverse group of preservation constituencies.

ESD Involvement: As part of the 2017-2018 New York State budget, the Governor and the State Legislature approved a second phase of the Buffalo Billion initiative (“BB2”), allocating an additional \$525 million for economic development in Western New York. A major component of BB2 focuses on ensuring that all Western New Yorkers have an improved quality of life, and includes programs targeted at revitalization in the City’s most underserved neighborhoods. As part of this strategy, \$50 million in state funding is dedicated to the revitalization of Buffalo’s East Side through the East Side Corridor Economic Development Fund (“ESCEDF”), which is making transformational capital investments in nine investment areas along four East Side Commercial Corridors – Michigan, Jefferson, Fillmore, and Bailey Avenues. Buffalo’s East Side is comprised of more than 40% the City's total land area, over 40% of total residents, and about 30% of total jobs and businesses, and thus far has not been on par with the rest of the City throughout Buffalo's revitalization.

Within the ESCEDF, ESD is establishing a \$5 million Commercial Building Stabilization Fund (the “Fund”) that will help to protect the fabric, density, character, and community on the East Side – making sure that building assets on the East Side that may have current challenges are able to be maintained for prospective future development as mixed-use, retail, commercial, and housing uses, and can help to build up the strong commercial activity already present in areas on the East Side. This Fund will provide for increased opportunities for reuse of the stock of historic buildings located on Buffalo’s East Side, ensuring that the region’s unique history, beauty, and sense of place are retained through its architecture, landscapes and urban design, and reversing the decades-long practice of demolishing historic building stock.

Like the City as a whole, the restoration of buildings on the East Side, especially along its commercial corridors, is imperative to the resurgence in the community. More than any other area of the city, the East Side has seen much if its fabric disrupted through “demolition by neglect”; allowing a building – either intentionally or because of financial inability – to suffer slow deterioration, often beyond the point of repair that ultimately results in the need to undertake an emergency demolition to prevent impacts to public safety and/or adjoining structures. In many instances, an owner may have been willing to work on measures to protect the building, but they lack the funds to stabilize the property or the ability to self-develop. There are few, if any, programs to assist in funding measures to stem the tide of deterioration to keep a building standing pending a full restoration or rehabilitation in the future.

Past ESD Support: This is the Grantee’s first project with ESD.

B. The Project

Completion: December 2021

Activity: The Fund aims to assist in the revitalization of mixed-use neighborhood commercial districts on the City of Buffalo's east side through targeted building stabilization improvements. ESD will award PBN up to \$500,000 to administer a portion of the \$5 million East Side Commercial Building Stabilization Fund on behalf of ESD. PBN will be responsible for administering the grant over the period of 12 months and will carry out the administrative functions based on guidelines established for the fund. Duties to be performed include, but are not limited to, collecting applications for funding, overseeing review of the applications, developing scopes of work for each project, construction management, and payment to contractors for the stabilization work.

Projects undertaken using this funding will be awarded in increments of up to \$50,000 per building, unless otherwise approved by ESD. Project selection will occur based on a review of a Selection Committee, that will include representation by ESD.

PBN will be responsible for all aspects of grant administration including: ensuring successful completion of all assisted projects; evaluating and selecting activities to be supported; entering into contracts with participating property owners and contractors; and assuring compliance with all local, state and federal laws and regulations.

Administration of the remaining \$4.5 million for the Stabilization Fund is being reviewed and future awards will be brought to ESD's Directors for approval at the appropriate time.

Results: The Fund will support smaller, seal-up efforts such as roof patching, mothballing precautions, etc. – or rather, correcting obstacles that are preventing active use and business activity – to help prevent having to deal with crisis-level failures in the future or, even worse, additional emergency demolitions of the existing urban fabric along these corridors. It will ensure that buildings with code violations or structural deficiencies but where there is not a currently viable project are not torn down as a short sighted "solution"; rather, such buildings will be kept viable through this fund, so that when there are market opportunities, the resources themselves will be intact and available for re-use.

Economic Growth

Investment Project: No Benefit-Cost Analysis ("BCA") is required since these projects generate long-term benefits not captured in the short-term period used for the BCA and may involve no permanent job commitments.

Grantee Contact: Ms. Jessie Fisher
Preservation Buffalo Niagara
617 Main Street
Buffalo, NY 14203
Phone: (716) 852-3300
E-mail: jfisher@pbnsaves.org

ESD Project No: #133,808

Project Team:	Origination	Amanda Mays
	Project Management	Nancy Burkhardt
	Contractor & Supplier Diversity	Geraldine Ford
	Finance	Christina Choi
	Design & Construction	Dennis Conroy
	Environmental	Paul Tronolone

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Grantee shall reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
3. Up to \$500,000 will be deposited into an account ("the Imprest Account") upon receipt of the executed grant disbursement agreement at a bank mutually acceptable to ESD and the Grantee as set forth in writing by ESD. Payment Requisitions to fund the Imprest Account will be made according to the disbursement terms which will be outlined in the Grant Disbursement Agreement. Funds in the Imprest Account, from the time of deposit and until disbursed from such account in accordance with terms to be approved by the ESD Directors and will be invested in accordance with ESD's Investment Guidelines. Interest earned on the funds deposited in the Imprest Account must be returned to ESD quarterly along with copies of all bank statements, starting when the funds are deposited and continuing until all funds have been disbursed.

The Grantee may, no more frequently than monthly, unless otherwise approved by ESD, seek authorization to release funds from the Imprest Account to pay for invoices due and payable for eligible project costs during the course of design and/or construction; and not to exceed \$50,000 per building (unless otherwise approved by ESD), assuming

all project approvals have been completed and funds are available. Each subsequent payment requisition will include the current month's invoices and proof of payment for invoices submitted for the previous month. 10% of the individual project costs will be retained until documentation supporting project completion.

Any funds not utilized for project costs within 24 months of disbursement must be returned to ESD. Within 18 months of disbursement, ESD will require documentation of 100% of eligible project costs.

Expenditures incurred prior to May 8, 2020 are not eligible project costs and cannot be reimbursed by grant funds.

4. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$500,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Grantee and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

IV. Statutory Basis – Buffalo Regional Innovation Cluster

The funding for the project was authorized in the 2017-2018, 2018-2019, 2019-2020, and 2020-2021 New York State budgets. No residential relocation is required as there are no families or individuals residing on the site.

V. Design and Construction

Submission of Payment Requisitions to ESD will be made according to the design and construction disbursement terms which will be outlined in the Grant Disbursement Agreement. ESD reserves the right to inspect the project site to insure compliance of these terms, monitor project progress, insure work appropriate progress payments are made for work performed, and insure that contractors are paid for work performed.

VI. Environmental Review

ESD staff has determined that the project, which involves a program of in-kind building stabilization/ rehabilitation without any expansion of a particular building or use, constitutes a Type II action as defined by the New York State Environmental Quality Review Act ("SEQRA") and the implementing regulations for the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

VII. Non-Discrimination and Contractor & Supplier Diversity

Pursuant to New York State Executive Law Article 15-A, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and

women-owned businesses (MWBs) in the performance of ESD projects. For purposes of this project, however, goals will not be established due to the unavailability of certified MWBs for performance of this project.

VIII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

IX. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

X. Additional Submissions to Directors

Resolutions

New York State Map

Project Finance Memorandum

Buffalo (Western New York Region – Erie County) – East Side Commercial Building Stabilization Fund Capital (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the East Side Commercial Building Stabilization Fund Capital – Buffalo Regional Innovation Cluster (Capital Grant) Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Perseveration Buffalo Niagara a grant for a total amount not to exceed Five Hundred Thousand Dollars (\$500,000) from the Buffalo Regional Innovation Cluster for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

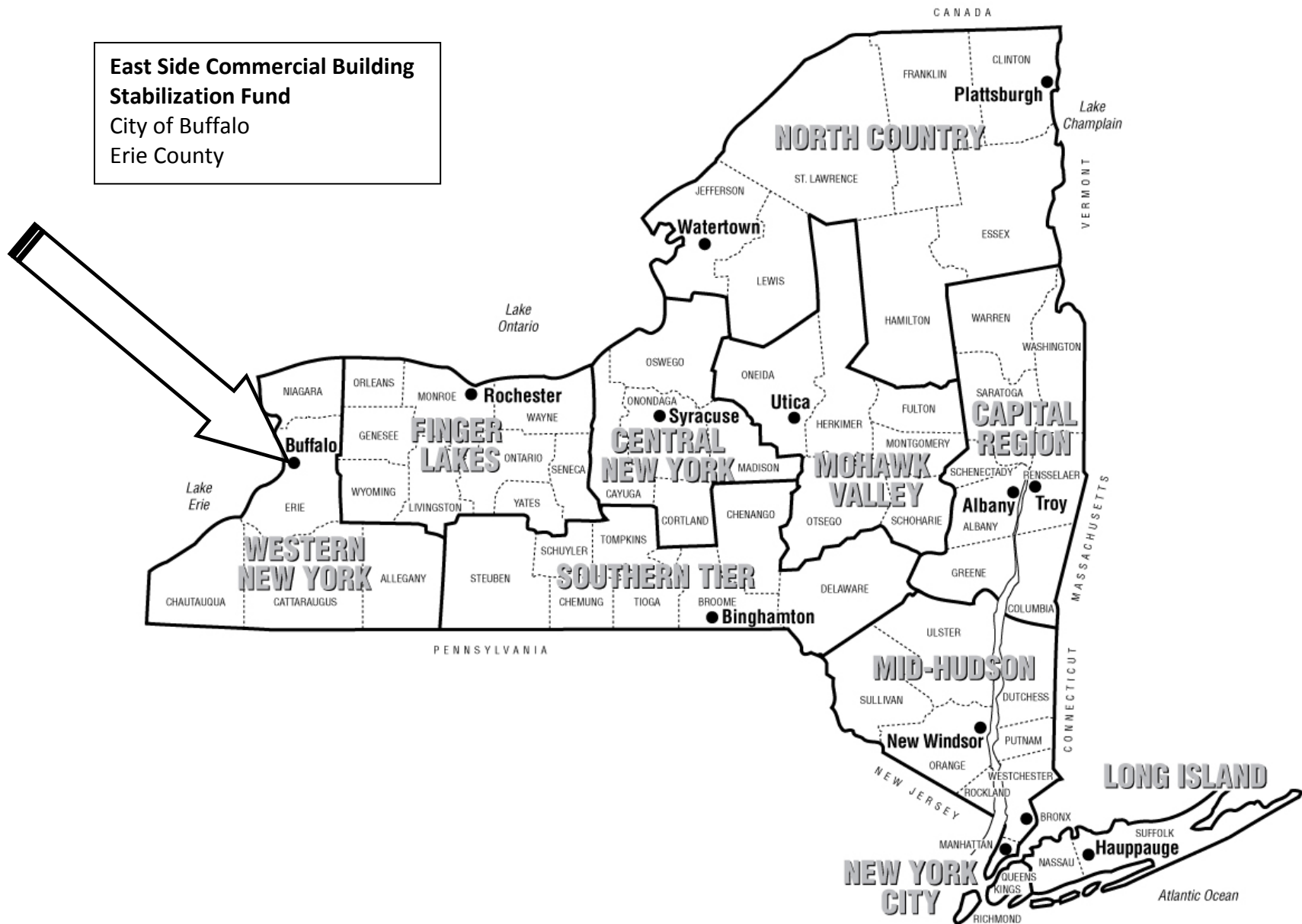
RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and

each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Olean (Western New York Region – Cattaraugus County) – Four Mile Brewing Capital – Downtown Revitalization Initiative (Capital Gant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to a Make Grant and to Take Related Actions

General Project Plan

I. Project Summary

Grantee: Four Mile Brewing, LLC (the “Company”)

ESD* Investment: A grant of up to \$411,250 to be used for the cost of construction/renovation, machinery and equipment.

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Locations: 202 & 210 East Green Street, Olean, Cattaraugus County

Proposed Project: The project involves the renovation of 202 & 210 East Green Street Olean, NY to preserve two historic buildings, beautify and expand the beer garden. Improvements include purchase and installation of brewing and canning equipment, a new roof, grain, silo expanding the cold storage, new electrical service, new plumbing for water/sewage, beer garden pavilion, and other improvements

Project Type: Downtown Revitalization

Regional Council: The Western New York Regional Economic Development Council ("WNYREDC") has been made aware of this item. The Incentive Offer was accepted in February 2019. This project is consistent with the Regional Plan as it promotes smart growth by revitalizing a downtown area facility that will help promote the craft beer industry and tourism. The craft beer brewing industry has seen significant growth in WNY.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>	
Construction/Renovation	\$364,500	
Machinery 7 Equipment	458,000	
Total Project Costs	<u>\$822,500</u>	
<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>
ESD - Grant	\$411,250	<u>50%</u>
Company Equity	<u>\$411,250</u>	<u>50%</u>
Total Project Financing	<u>\$822,500</u>	<u>100%</u>

III. Project Description

A. Company

Industry: Craft Beer Industry

Company History: Four Mile Brewing was registered as a New York State Limited Liability Company in October 2012. After a few years of planning and raising capital, Four Mile Brewing opened its doors in May 2015.

Ownership: The Company is privately-owned.

Size: Four Mile Brewing operates out of Olean and provides beer to counties in Western NY, Central NY and Northwest PA. The company currently has 23 employees.

Market: Western NY, Central NY, and Northwest PA

ESD Involvement: In September 2017, Governor Andrew Cuomo announced the City of Olean as the winner of the second round of the Downtown Revitalization Initiative (DRI). The City went through a strategic planning process to come up with recommended projects. Four Mile Brewing was one of twelve projects selected as part of the \$10 million award to expand and make necessary upgrades to its existing facility in Olean.

Competition: N/A

Past ESD Support: This is the grantee's first project with ESD.

B. The Project

Completion: May 2021

Activity: The project involves the renovation of 202 & 210 East Green Street Olean, NY to preserve two historic buildings, beautify and expand the beer garden. Improvements include purchase and installation of brewing and canning equipment, a new roof, grain, silo expanding the cold storage, new electrical service, new plumbing for water/sewage, beer garden pavilion, and other improvements.

Results: The renovations to the buildings will increase sales out of the taproom, promote tourism to the area, and accommodate multiple existing and new businesses. Four Mile Brewing anticipates that its beer production capacity will be able to jump from 2,000 barrels to over 5,000 per year. The purchase of the silo and canning equipment will also drastically cut production cost.

Business Investment

Project: No Benefit-Cost Analysis ("BCA") is required since these projects generate long-term benefits not captured in the short-term period used for the BCA and may involve no permanent job commitments.

Grantee Contact: Mr. Nicholas Bohdanowycz, President & Treasurer
202 East Green Street
Olean, NY 14760
Phone: (917) 584-9036
E-mail: nick@fourmilebrewing.com

ESD Project No.: 132,369

Project Team:	Origination	Mo Sumbundu
	Project Management	Nancy Burkhardt
	Contractor & Supplier Diversity	Geraldine Ford
	Finance	Timothy Anderson
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Grantee shall and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.

2. The Grantee will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. Up to \$411,250 will be disbursed to the Grantee in three installments as follows:
 - a. an Initial Disbursement of an amount equal to 25% of the grant (\$102,813) will be disbursed in arrears upon documentation of at least \$205,625 in eligible project costs as described in Sections II and III above;
 - b. a Second Disbursement of 25% of the grant (\$102,812) will be disbursed in arrears upon documentation of an additional \$205,625 in eligible project costs (\$411,250 cumulative) as described in Sections II and III above;
 - c. a Third Disbursement of an amount equal to 50% of the grant (\$205,625) will be disbursed in arrears upon documentation of 100% of eligible project costs (up to \$822,500 cumulative) as described in Sections II and III above, and completion of the project.
4. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$411,250, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.
5. Grant funds will be subject to pro rata recapture if the property at the Project Location is sold within five years of disbursement of funds. The Recapture Amount is based on the time that has lapsed between when the Grant funds were disbursed and when the transfer occurred. The Recapture Amount shall be calculated by aggregating the Recapture Amount for each disbursement of the Grant, which in each instance shall be equal to:
 - (i) 100% of the disbursed amount if the transfer occurred in the calendar year that the disbursement was made, or in the first full calendar year after the disbursement was made;
 - (ii) 80% of the disbursed amount if the transfer occurred in the second full calendar year after the disbursement was made;
 - (iii) 60% of the disbursed amount if the transfer occurred in the third full calendar year after the disbursement was made;
 - (iv) 40% of the disbursed amount if the transfer occurred in the fourth full calendar year after the disbursement was made;
 - (v) 20% of the disbursed amount if the transfer occurred in the fifth full calendar year after the disbursement was made.

IV. Statutory Basis

The funding was authorized in the 2017-2018 New York State budget and reappropriated in the 2018-2019, and 2019-2020 New York State budget. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

ESD staff has determined that the project constitutes a Type II action as defined by the New York State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

Due to the buildings' eligibility for inclusion in the National Register of Historic Places, ESD has confirmed that the project sponsor consulted with the New York State Office of Parks, Recreation and Historic Preservation pursuant to the requirements of Section 14.09 of the New York State Parks, Recreation and Historic Preservation Law ("Section 14.09"). The project is in compliance with Section 14.09.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Recipient shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women Business Enterprise (MWBEs) for any contractual opportunities generated in connection with the Project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30% related to the total value of ESD's funding.

VII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

VIII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

IX. Additional Submissions to Directors

Resolutions

New York State Map

Project Finance Memorandum

Project Photographs

Olean (Western New York Region – Cattaraugus County) – Four Mile Brewing Capital – Downtown Revitalization Initiative Round 2 (Capital Grant) – Findings and Determinations Pursuant to Section and 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Four Mile Brewing Capital -- Downtown Revitalization Initiative (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

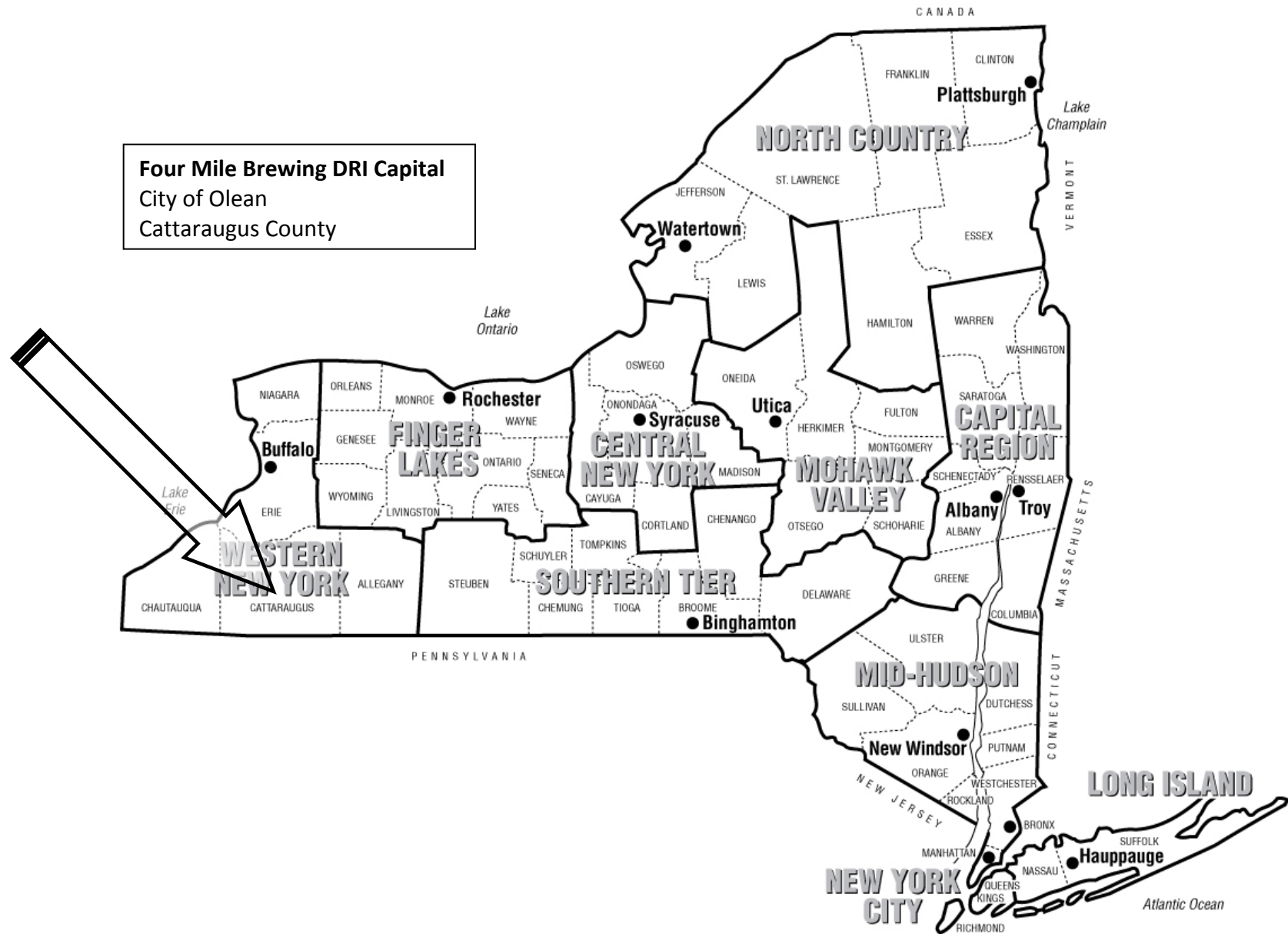
RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Four Mile Brewing, LLC a grant for a total amount not to exceed Four Hundred Eleven Thousand, Two Hundred Fifty Dollars (\$411,250) from the Downtown Revitalization Initiative, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *



Four Mile Brewing DRI Capital – Project #132,369

Newly Installed Grain Silo



Newly Installed Brewery Equipment



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Priority Project – Romulus (Finger Lakes Region – Seneca County) – SamSen Capital – Regional Council Capital Fund (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

General Project Plan

I. Project Summary

Grantee: SamSen, LLC (“SamSen” or the “Company”)

ESD* Investment: A grant of up to \$2,000,000 to be used for a portion of the cost of construction, infrastructure/sitework, and architectural/engineering/soft costs

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Location: 6040-6144 New York 96A, Romulus, Seneca County

Proposed Project: Upgrades and renovations to Sampson State Park Marina and construction of new facilities including ship store, cabins, camp sites, and a multi-use lakeside dining and event facility

Project Type: Renovation of marina and facilities at a New York State Park

Regional Council: The project is consistent with the Finger Lakes Regional Economic Development Council Plan to promote tourism in the region.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Construction/Renovation	\$8,550,000
Infrastructure/Site Work	1,375,000
Soft Costs	<u>450,000</u>

Total Project Costs \$10,375,000

<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>
ESD-Grant	\$2,000,000	19%
NYS Canal Corp	1,500,000	15%
NYS Parks	2,500,000	24%
Company Equity	<u>4,375,000</u>	<u>42%</u>

Total Project Financing \$10,375,000 100%

III. Project Description

A. Company

Industry: Recreation

Company History: SamSen, LLC is a Sessler company, founded in 2018 as a result of Sessler being the successful respondent to an RFP from the NYS Office of Parks, Recreation and Historic Preservations to rehabilitate and operate the Sampson and Seneca Lake State Park Marinas. SamSen is the operating entity of the marinas and associated business ventures at Sampson State Park.

Ownership: SamSen is a privately owned company.

Size: SamSen operates 2 facilities in Seneca County and has 3 employees.

Market: SamSen serves tourists and boaters on Seneca Lake and the Erie Canal Corridor. Most of its customers are from the east coast of the United States and southern Canada.

ESD Involvement: SamSen sought ESD assistance for a public-private partnership. The improvements and assets for this project are owned by New York State, with SamSen maintaining and operating the marinas and associated business ventures. In July 2018, SamSen applied under Round 8 of the Finger Lakes Regional Economic Development Council's Consolidated Funding Application. ESD made the Company an offer of \$2,000,000 from the Regional Council Capital Fund in January 2020, which the

Company accepted the same month. The overall scope of the project would not have been possible without the support of ESD.

Past ESD Support: This is the Company's first project with ESD.

B. The Project

Completion: May 2021

Activity: SamSen has made extensive improvements to the facilities and Sampson State Park. Improvements to the marina include removing and replacing pilings, adding entrance revetment for wave attenuation, dredging of the marina bottom, rebuilding the public boat launch ramp, new water and electric utilities and lighting, dock replacement, and the addition of a new fuel dock. The project also includes new construction of a ship store, 73 campsites and 20 cabins, and a multi-use lakeside dining and event facility to be completed in 2021.

Results: As a result of the marina renovations, Sampson State Park saw a 500% increase in season slip holders from the summer of 2018 to the summer of 2020. The anticipated impact upon the opening of the remaining project assets will be a significant increase to the tourism market in the Finger Lakes region, creating new job opportunities and additional tourism traffic in Seneca County.

Economic Growth

Investment Project: No Benefit-Cost Analysis ("BCA") is required since these projects generate long-term benefits not captured in the short-term period used for the BCA and may involve no permanent job commitments.

Grantee Contact: Bruce Sherman, Director of Development & PR
1257 State Route 96 North
Waterloo, NY 13165
Phone: (315) 539-3353
E-mail: bsherman@sesslercompanies.com

ESD Project No.: 132,565

Project Team:	Origination	Greg Parker
	Project Management	Casey Remer
	Contractor & Supplier Diversity	Geraldine Ford
	Finance	Christina Choi
	Design & Construction	Marty Piecuch
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Company shall pay a commitment fee of 1% of the \$2,000,000 capital grant (\$20,000) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Company will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. The Company will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed. Equity is defined as cash injected into the project by the Company or by investors, and should be auditable through Company financial statements or Company accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.
4. Up to \$2,000,000 will be disbursed to the Grantee in two installments as follows:
 - a) an Initial Disbursement of an amount equal to 50% of the grant (\$1,000,000) upon documentation of construction/renovation, infrastructure/sitework and soft costs totaling \$5,375,000 and compliance with the Design & Construction requirements, assuming that all project approvals have been completed and funds are available
 - b) a Second Disbursement of an amount equal to 50% of the grant (\$1,000,000) upon documentation of an additional \$5,000,000 in construction/renovation, infrastructure/sitework and soft costs (Cumulative total project costs of \$10,375,000), completion of the project substantially as described in these materials, a certificate of occupancy, and compliance with the Design & Construction requirements, assuming that all project approvals have been completed and funds are available.

Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses must be incurred on or after December 18, 2018 to be considered eligible project costs. All disbursements must be requested by April 1, 2022.

5. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$2,000,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

IV. Statutory Basis – Regional Council Capital Fund

The funding was authorized in the 2018-2019 New York State budget and reappropriated in the 2019-2020 and 2020-2021 New York State budgets. No residential relocation is required as there are no families or individuals residing on the site.

V. Design and Construction

Submission of Payment Requisitions to ESD will be made according to the design and construction disbursement terms outlined in the Grant Disbursement Agreement. ESD reserves the right to inspect the project site to insure compliance of these terms and monitor project progress.

VI. Environmental Review

The New York State Office of Parks, Recreation and Historic Preservation, as lead agency, has completed environmental reviews for the long-term concession contract for marinas at Sampson and Seneca Lake State Parks and camping improvements at Sampson State Park pursuant to the requirements of the State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. These reviews found the projects to be Type I Actions, which would not have a significant effect on the environment. The lead agency issued Negative Declarations on September 19, 2018 and August 22, 2019. ESD staff reviewed the Negative Declarations and supporting materials and concurs. It is recommended that the Directors make a Determination of No Significant Effect on the Environment.

VII. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Recipient shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women Business Enterprise (MWBEs) for any contractual opportunities generated in connection with the Project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30% related to the total value of ESD's funding.

VIII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

IX. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

X. Additional Submissions to Directors

Resolutions

New York State Map

Project Finance Memorandum

Project Photographs

Regional Council Award-- Priority Project –Romulus (Finger Lakes Region – Seneca County)
– SamSen Capital – Regional Council Capital Fund (Capital Project) – Findings and
Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed
General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the SamSenCapital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to SamSen, LLC a grant for a total amount not to exceed Two-Million Dollars (\$2,000,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and

deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

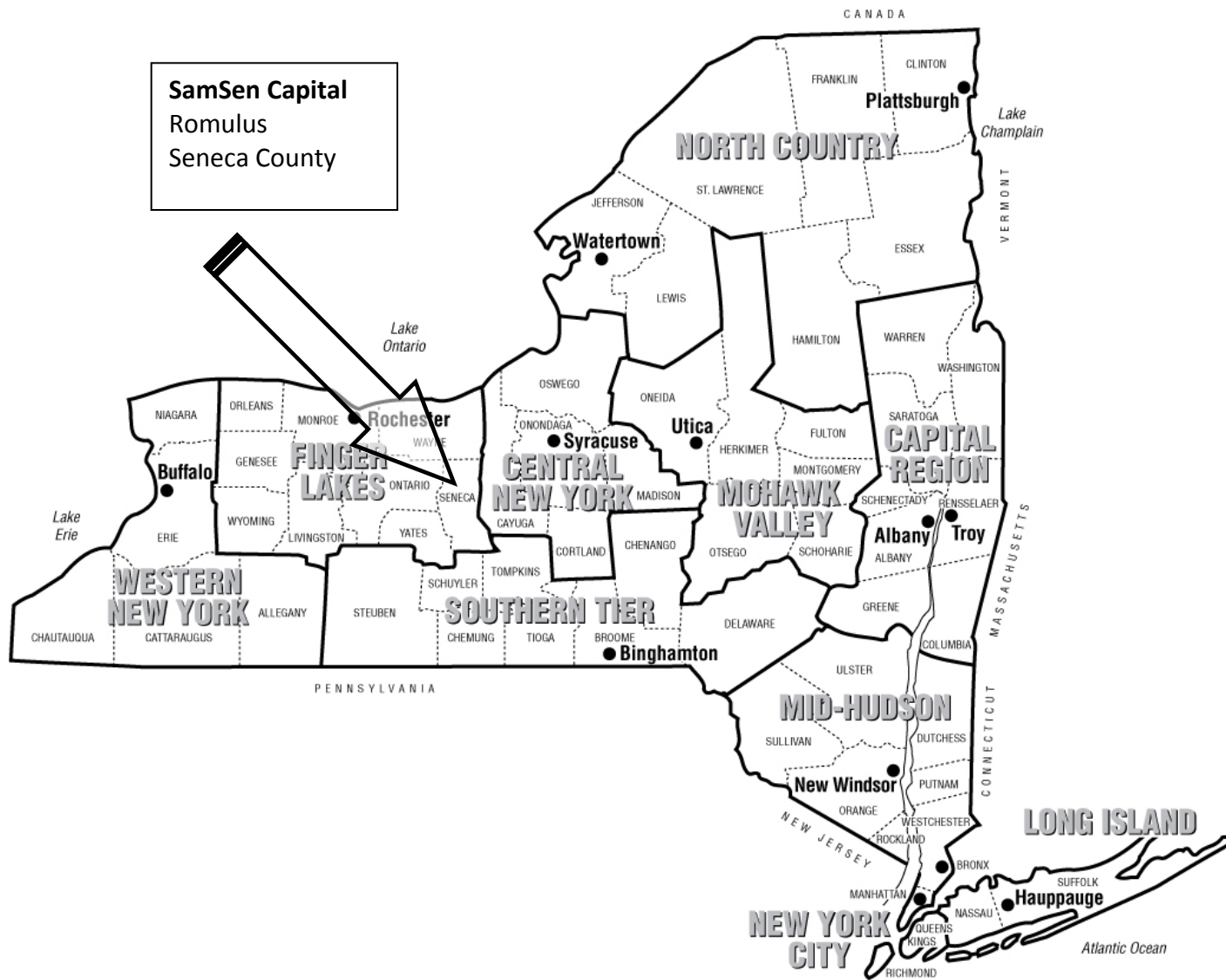
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June 25, 2020

Regional Council Award -- Priority Project --Romulus (Finger Lakes Region -- Seneca County) -- SamSen Capital -- Regional Council Capital Fund -- (Capital Project) -- Determination of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the SamSen Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *



SamSen: Sampson State Park Marina Upgrades and New Facilities

Marina Pre-Renovation



Marina Post-Renovation



New Park Facilities



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Newark (Finger Lakes Region – Wayne County) – IEC Electronics Capital – Upstate Revitalization Initiative (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

General Project Plan

I. Project Summary

Grantee: IEC Electronics Corp. (“IEC” or the “Company”)

ESD* Investment: A grant of up to \$2,000,000 to be used for a portion of the cost of machinery and equipment

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Locations: 328 Silver Hills Drive, Newark*
1365 Emerson Street, Rochester
105 Norton Street, Newark

*Project activity site; others are job retention sites

Proposed Project: Lease and equip a new 150,000-square-foot manufacturing facility in NYS, including retaining and creating jobs.

Project Type: Business expansion involving job retention and creation

Regional Council: The Finger Lakes Regional Economic Development Council has been made aware of this item. The project is consistent with the Finger Lakes Regional Economic Development Council Plan to invest in next generation manufacturing technology.

Employment:	Initial employment at time of ESD Incentive Proposal:	463 ¹
	Current employment level:	703 ²
	Minimum employment on January 1, 2024:	755 ³

¹463 employees in New York State, including 421 employees at 105 Norton Street and 42 employees at 1365 Emerson Street.

²703 employees in New York State, including 662 employees at 105 Norton Street, and 41 employees at 1365 Emerson Street.

³755 employees in New York State. All 662 employees currently at 105 Norton Street will be transferred to 328 Silver Hills Drive, which equates to the transfer of up to 421 existing employees and the creation of 292 net new jobs. The 42 employees at 1365 Emerson Street will be retained.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Machinery & Equipment	\$6,250,000
Furniture, Fixtures & Equipment	3,250,000
Soft Costs	<u>500,000</u>

Total Project Costs	<u>\$10,000,000</u>
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<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>
ESD-Grant (#AC250)	\$2,000,000	20%
RG&E/NYSEG	670,000	6%
Wayne County IDA	750,000	8%
Company Equity	<u>6,580,000</u>	<u>66%</u>

Total Project Financing	<u>\$10,000,000</u>	<u>100%</u>
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III. Project Description

A. Company

Industry: IEC Electronics Corp. provides electronic manufacturing services (“EMS”) to advanced technology companies that produce life-saving and mission critical products for the medical, industrial, aerospace and defense sectors.

Company History: IEC Electronics Corp. was founded in Fairport, NY in 1966 and became a public company in 1967. In 1980, IEC sold its consumer products operations to focus on its electronic manufacturing services.

Ownership: IEC is a publicly held company.

Size: IEC has three locations in New York and one in Albuquerque, New Mexico.

Market: IEC manufactures a wide range of assemblies that are incorporated into many different product sectors such as aerospace and defense systems, medical devices, industrial equipment, and transportation products.

ESD Involvement: IEC Electronics Corp. approached ESD in early 2017 to bridge a funding gap in order to move its operations to a new facility and outfit that facility with new machinery and equipment. In March 2017, ESD offered the company a \$2,000,000 Upstate Revitalization Initiative grant and Excelsior Tax Credits valued at \$3,000,000, which the company accepted in November of 2017. Without financial assistance this project would not have moved forward in New York State.

Competition: New Mexico

Past ESD Support: This is the Company's first project with ESD.

B. The Project

Completion: June 2020

Activity: The Company has leased a newly built, 153,000-square-foot manufacturing facility that has an open layout for more efficient operation. This facility will serve as IEC's new headquarters and is fully equipped with new machinery and production lines specifically for complex circuit board manufacturing and assembly. This facility is also equipped with a material analysis laboratory for advanced manufacturing process development.

Results: Retain 463 existing jobs and create 292 new jobs. The Company has already created 240 new jobs.

Business Investment Project: Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the estimated benefits typically reflect only construction-related activity.

Evaluated over a seven-year period, the following are anticipated project impacts (dollar values are present value):

- Fiscal benefits to NYS government from the project are estimated at \$11,110,449;
- Fiscal cost to NYS government is estimated at \$4,247,682;
- Project cost to NYS government per direct job is \$23,215;
- Project cost to NYS government per job (direct plus indirect) is estimated at \$8,781;
- Ratio of project fiscal benefits to costs to NYS government is 2.62:1;
- Fiscal benefits to all governments (state and local) are estimated at \$18,967,776;
- Fiscal cost to all governments is \$4,247,682;
- All government cost per direct job is \$23,215;
- All government cost per total job is \$8,781;
- The fiscal benefit to cost ratio for all governments is 4.47:1;
- Economic benefits (fiscal plus total net resident disposable income from project employment) are estimated at \$125,977,605, or \$260,415 per job (direct and indirect);
- The economic benefit to cost ratio is 29.66:1;
- Project construction cost is \$0, which is expected to generate 0 direct job years and no indirect job years of employment;
- For every permanent direct job generated by this project, an additional 1.66 indirect jobs are anticipated in the state's economy;
- The payback period for NYS costs is three years.

Grantee Contact: Thomas Barbato, Senior Vice President & CFO
105 Norton Street
Newark, NY 14513
Phone: (315) 332-4493
E-mail: TBarbato@IEC-Electronics. com

ESD Project No.: AC250

Project Team:	Origination	Stephen Golding
	Project Management	Leanna DeFrancesco
	Contractor & Supplier Diversity	Geraldine Ford
	Finance	Christina Choi
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Company shall pay a commitment fee of 1% of the \$2,000,000 capital grant (\$20,000) and reimburse ESD for

all out-of-pocket expenses incurred in connection with the project.

2. The Company will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. The Company will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Company's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Company or by investors, and should be auditable through Company financial statements or Company accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.
4. Prior to disbursement, the Company must employ at least the number of Full-time Permanent Employees set forth as the Baseline Employment in the table below. A Full-time Permanent Employee shall mean (a) a full-time, permanent, private-sector employee on the Grantee's payroll, who has worked at the Project Locations for a minimum of thirty-five hours per week for not less than four consecutive weeks and who is entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties; or (b) two part-time, permanent, private-sector employees on Grantee's payroll, who have worked at the Project Locations for a combined minimum of thirty-five hours per week for not less than four consecutive weeks and who are entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties.
5. Up to \$2,000,000 will be disbursed to the Grantee in three installments as follows:
 - a) an Initial Disbursement of an amount equal to 50% of the grant (\$1,000,000) upon documentation of projects costs totaling \$7,500,000, including \$6,000,000 in machinery and equipment costs, documentation of the employment of at least 580 Full-time Permanent Employees in New York State, including 117 net new Full-time Permanent Employees at the Project Locations, and a Certificate of Occupancy assuming that all project approvals have been completed and funds are available;
 - b) a Second Disbursement of an amount equal to 25% of the grant (\$500,000) will be disbursed upon documentation of the employment of at least 670 Full-time Permanent Employees in New York State, including 207 net new Full-time Permanent Employees at the Project Locations (Employment Increment of 90), provided Grantee is otherwise in compliance with program requirements;
 - c) a Third Disbursement of an amount equal to 25% of the grant (\$500,000) will be disbursed upon documentation of the employment of at least 755 Full-time Permanent Employees in New York State, including 292 net new Full-time Permanent Employees at the Project Locations (Employment Increment of 85), provided Grantee is otherwise in compliance with program requirements.

Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses reimbursed by ESD's grant must be incurred on or after November 15, 2017, to be considered eligible project costs.

All disbursements must be requested by April 1, 2023.

6. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$2,000,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.
7. In consideration for the making of the Grant, Grantee will achieve the Employment Goals set forth in Column B of the table below. If the Full-time Permanent Employee Count for the year prior to the reporting date set forth in Column A of the table below is less than eighty-five percent (85%) of the Employment Goal set forth in Column B (an "Employment Shortfall"), then upon demand by ESD, Grantee shall be obligated to repay to ESD a portion of each disbursement of the Grant, as follows:

The Recapture Amount is based on the time that has lapsed between when the Grant funds were disbursed and when the Employment Shortfall occurred. The Recapture Amount shall be calculated by aggregating the Recapture Amount for each disbursement of the Grant, which in each instance shall be equal to:

- (i) 100% of the disbursed amount if the Employment Shortfall occurred in the calendar year that the disbursement was made, or in the first full calendar year after the disbursement was made;
- (ii) 80% of the disbursed amount if the Employment Shortfall occurred in the second full calendar year after the disbursement was made;
- (iii) 60% of the disbursed amount if the Employment Shortfall occurred in the third full calendar year after the disbursement was made;
- (iv) 40% of the disbursed amount if the Employment Shortfall occurred in the fourth full calendar year after the disbursement was made;
- (v) 20% of the disbursed amount if the Employment Shortfall occurred in the fifth full calendar year after the disbursement was made.

The Grantee's number of Full-time Permanent Employees shall be deemed to be the greater of the number as of the last payroll date in the month of December for such year or the average employment for the 12 month period computed by quarter.

Baseline Employment (Baseline employment of 421 employees to be transferred from 105 Norton Street to 328 Silver Hills Drive)	421
Baseline Employment (New York State)	463

A	B	C
Date	Employment Goals (Project Locations)	Employment Goals (New York State)
February 1, 2021	421+X+Y+Z	463+X+Y+Z
February 1, 2022	421+X+Y+Z	463+X+Y+Z
February 1, 2023	421+X+Y+Z	463+X+Y+Z
February 1, 2024	421+X+Y+Z	463+X+Y+Z
February 1, 2025	421+X+Y+Z	463+X+Y+Z

X = Grantee's Employment Increment that will be the basis of the Initial Disbursement of the Grant as described in section C.5 above (i.e. X=117, and Employment Goals shall equal $[0 + X = 117]$ (including 580 in NYS)) if the Initial Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Initial Disbursement has not yet been made then X=0.

Y = Grantee's Employment Increment that will be the basis of the Second Disbursement of the Grant as described in section C.5 above (i.e. Y=90, and Employment Goals shall equal $[0 + X + Y = 207]$ (including 670 in NYS)) if the Second Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Second Disbursement has not yet been made then Y=0.

Z = Grantee's Employment Increment that will be the basis of the Third Disbursement of the Grant as described in section C.5 above (i.e. Z=85, and Employment Goals shall equal $[0 + X + Y + Z = 292]$ (including 755 in NYS)) if the Third Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Third Disbursement has not yet been made then Z=0.

IV. Statutory Basis – Upstate Revitalization Initiative

The funding was authorized in the 2015-2016 New York State budget and reappropriated in the 2016-2017, 2017-2018, 2018-2019, 2019-2020, and 2020-2021 New York State budgets. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

ESD staff has determined that the project constitutes a Type II action as defined by the New York State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

VI. Non-Discrimination and Contractor & Supplier Diversity

Pursuant to New York State Executive Law Article 15-A, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned businesses (MWBs) in the performance of ESD projects. For purposes of this project, however, goals will not be established due to the unavailability of certified MWBs for performance of this project.

VII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

VIII. Additional Submissions to Directors

Resolutions

New York State Map

Benefit-Cost Analysis

Project Finance Memorandum

Project Photographs

Newark (Finger Lakes Region – Wayne County) – IEC Electronics Capital – Upstate Revitalization Initiative (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the IEC Electronics Capital - Upstate Revitalization Initiative (Capital Grant) Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to IEC Electronics Corp. a grant for a total amount not to exceed Two Million Dollars (\$2,000,000) from the Upstate Revitalization Initiative, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

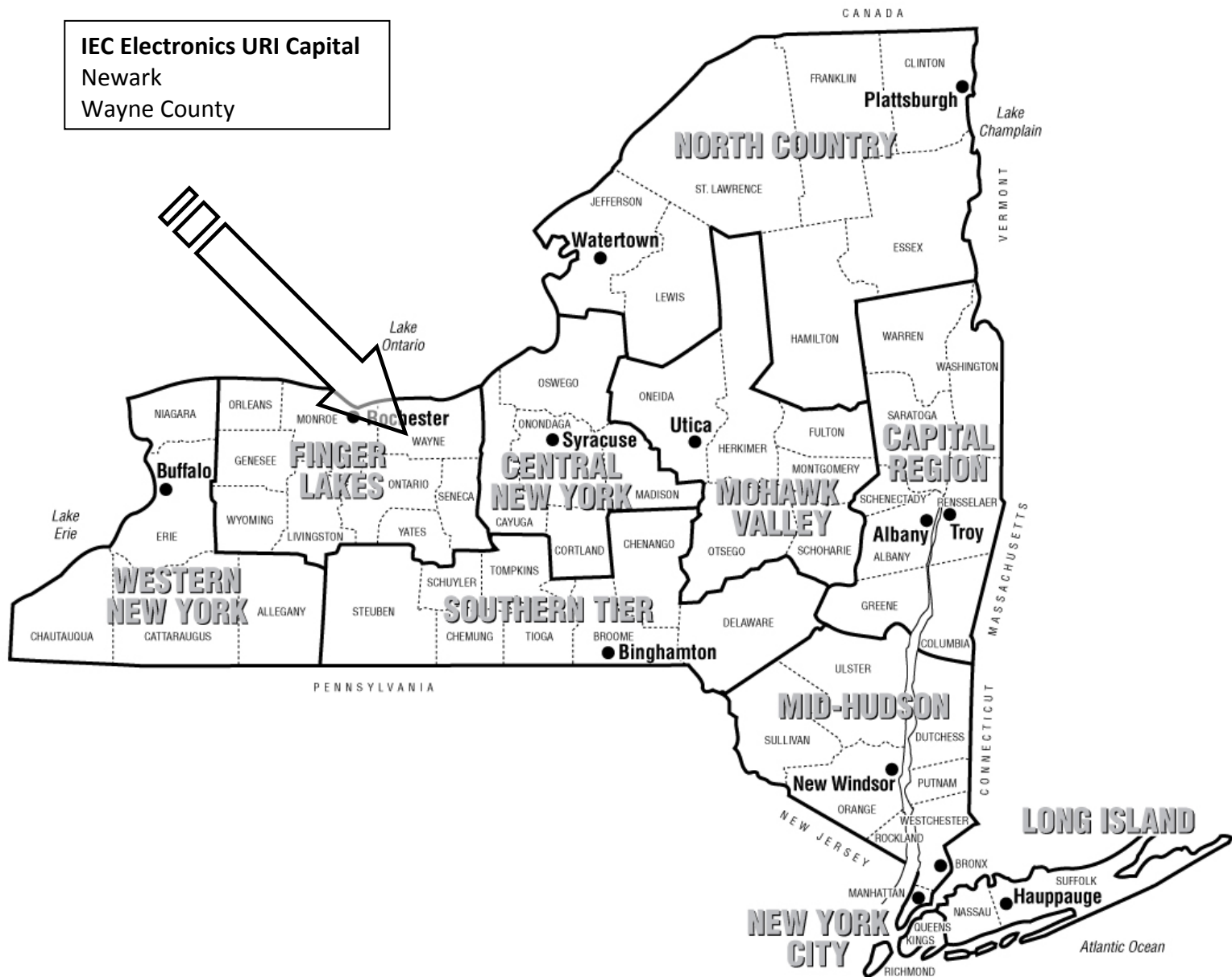
RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute

and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *



Project Summary Benefit-Cost Evaluation¹

IEC Electronics Corp. – Business Investment

Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits reported in the table below typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the table typically reflects only construction-related activity. Benchmarks for each type of project are noted in the footnotes.

Initial Jobs:	463	Construction Job Years (Direct):	0
New Jobs:	292 jobs over five years	Construction Job Years (Indirect):	0

Evaluation Statistics	Project Results NYS Gov't.	NYS Gov't. Benchmarks ²	Project Results State & Local Government	State & Local Government Benchmarks
Fiscal Costs³	\$4,247,682	\$794,250	\$4,247,682	\$1,020,500
Fiscal Benefits⁴	\$11,110,449	\$2,085,600	\$18,967,776	\$4,271,980
Fiscal Cost /Direct Job	\$23,215	\$3,000	\$23,215	\$4,110
Fiscal Cost/Total Jobs	\$8,781	\$1,424	\$8,781	\$1,964
Fiscal B/C Ratio	2.62	7.00	4.47	10.60
	Project Results	Benchmarks		
Economic Benefits⁵	\$125,977,605	\$119,468,000		
Econ. Benefits/Total Jobs	\$260,415	\$147,600		
Economic B/C Ratio	29.66	75.00		

¹ Dollar values are present value calculated over a seven-year period. Separate evaluations are made and reported for New York State government assistance alone and for State and Local government.

² The current project evaluation results (both fiscal and economic) are compared to performance measure benchmarks based on results of a sample of ESD non-retail projects. Business Investment project benchmarks are 7.00 (Fiscal) and 75.00 (Economic). Infrastructure Investment (or Economic Growth Investment) project benchmarks are 3.00 (Fiscal) and 30.00 (Economic).

³ Fiscal cost includes the value of grants, loans and associated default risks, and discretionary subsidies (such as tax exemptions or abatements on sales, property, and interest income).

⁴ Fiscal benefits are the loan repayments and tax revenues to New York State and Local governments generated by project activity. This includes estimated taxes on personal incomes from project direct and indirect employment, corporate and business incomes, excise and user taxes, property taxes, and other taxes.

⁵ Economic benefits are estimated project benefits measuring fiscal flows to government plus net resident disposable income from project direct and indirect employment net of transfers, without adjusting for individual income earners' opportunity cost of employment.

IEC Electronics Capital



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Liverpool (Central New York Region – Onondaga County) – Immediate Mailing Services Capital – Regional Council Capital Fund (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

General Project Plan**I. Project Summary**

Grantee: Immediate Mailing Services, Inc. (“IMS” or the “Company”)

ESD* Investment: A grant of up to \$450,000 to be used for a portion of the cost of machinery and equipment purchase and installation

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Locations: 245 Commerce Blvd., Liverpool, Onondaga County
220 Commerce Blvd., Liverpool, Onondaga County

Proposed Project: Facility construction to expand the footprint of the two project locations as well as the purchase of machinery and equipment purchases to outfit the new space added

Project Type: Business expansion involving job retention and creation

Regional Council: The project is consistent with the Central New York Regional Economic Development Council Plan to strengthen targeted industry concentrations that leverage unique economic assets.

Employment:	Initial employment at time of Application to ESD:	142 ^{1*}
	Current employment level:	151 ^{2*}
	Minimum employment on January 1, 2022:	153 ^{3*}

¹142 employees in New York State, including 96 employees at the Project Locations

²151 employees in New York State, including 123 employees at the Project Locations

³153 employees in New York State, including at least 107 employees at the Project Locations

*New employees cannot be transferred from other NYS locations

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Construction	\$855,844
Production Equipment	<u>5,657,708</u>

Total Project Costs	<u>\$6,513,552</u>
---------------------	--------------------

<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>	<u>Rate/Term/Lien</u>
ESD-Grant	\$450,000	8%	
Five Star Bank	1,500,000	25%	4.86%/84months
Canon Financial	2,658,817	46%	5.4%/72months/Lien on M&E
Company Equity	<u>1,904,735</u>	<u>21%</u>	
Total Project Financing	<u>\$6,513,552</u>	<u>100%</u>	

III. Project Description

A. Company

Industry: Print and mailing services

Company History: IMS is an integrated service provider for conversational Artificial Intelligence ("AI") and omnichannel communications to over 1,500 clients. The Company was founded in 1986 and continues to match clients with the right channels to reach target markets.

Ownership: IMS is owned by Chairman and CEO Warren Lee Vanderpool (93%) and President and COO John Mashia (7%)

Size: The Company has five locations, four of which are in New York State and the fifth is in Virginia.

Market: IMS has a comprehensive portfolio of product offerings including: Conversational AI, robotic process automation, alert and preference management, billing, payments, statements and document solutions, Web2Print storefront, data & mail services and warehousing and fulfillment.

ESD Involvement: IMS needed to expand its facility in order to keep up with the high demand for its products and services. The Company needed to construct a warehouse and build an addition on its current facility. In July 2018, the Company applied under Round 8 of the Consolidated Funding Application to help fill a funding gap for the expansion project. In April 2019, ESD made the Company an offer of assistance from the Regional Council Capital, which the Company accepted shortly after. Without ESD's financial assistance, the project would not have moved forward.

The Company was also awarded Excelsior tax credits of up to \$100,000 to employ 11 net new Full-time Permanent Employees at the Project Locations, and to retain 142 Full-time Permanent Employees in New York State, including the retention of 96 Full-time Permanent Employees at the Project Locations.

Competition: Competitors of IMS include: Cathedral Corporation, Broadridge Financial Solutions, Compu Mail, and Matrix Imaging.

Past ESD Support: This is the Company's first project with ESD.

B. The Project

Completion: September 2020

Activity: The Company has constructed and equipped a new 6,500-square-foot warehouse in Liverpool. The company has also begun renovation and construction on its existing office facility to create more room to grow its print and mailing services.

Results: The Company has already exceeded its job commitment, having created 27 new jobs at the project locations.

Business Investment

Project: Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the estimated benefits typically reflect only construction-related activity.

Evaluated over a seven-year period, the following are anticipated project impacts (dollar values are present value):

- Fiscal benefits to NYS government from the project are estimated at \$455,411;
- Fiscal cost to NYS government is estimated at \$521,225;
- Project cost to NYS government per direct job is \$58,006;
- Project cost to NYS government per job (direct plus indirect) is estimated at \$31,455;
- Ratio of project fiscal benefits to costs to NYS government is 0.87:1;
- Fiscal benefits to all governments (state and local) are estimated at \$795,150;
- Fiscal cost to all governments is \$521,225;
- All government cost per direct job is \$58,006;
- All government cost per total job is \$31,455;
- The fiscal benefit to cost ratio for all governments is 1.53:1;
- Economic benefits (fiscal plus total net resident disposable income from project employment) are estimated at \$6,012,745, or \$362,858 per job (direct and indirect);
- The economic benefit to cost ratio is 11.54:1;
- Project construction cost is \$665,980, which is expected to generate 5 direct job years and 3 indirect job years of employment;
- For every permanent direct job generated by this project, an additional 0.85 indirect jobs are anticipated in the state's economy;
- The payback period for NYS costs is not calculated.

Grantee Contact: Warren Lee Vanderpool, Chairman & CEO
245 Commerce Blvd.
Liverpool, NY 13088
Phone: (315) 437-4189
E-mail: Leev@IMSDirect.com

ESD Project No.: 132,493

Project Team:	Origination	Ray Lawrence
	Project Management	Leanna DeFrancesco
	Contractor & Supplier Diversity	Jordan Lopez
	Finance	Christina Choi
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Company shall pay a commitment fee of 1% of the \$450,000 capital grant (\$4,500) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.

2. The Company will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. The Company will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Company's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Company or by investors and should be auditable through Company financial statements or Company accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project.
4. Prior to disbursement, the Company must employ at least the number of Full-time Permanent Employees set forth as the Baseline Employment in the table below. A Full-time Permanent Employee shall mean (a) a full-time, permanent, private-sector employee on the Grantee's payroll, who has worked at the Project Location for a minimum of thirty-five hours per week for not less than four consecutive weeks and who is entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties; or (b) two part-time, permanent, private-sector employees on Grantee's payroll, who have worked at the Project Location for a combined minimum of thirty-five hours per week for not less than four consecutive weeks and who are entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties.
5. Up to \$450,000 will be disbursed to the Grantee in three installments as follows:
 - a) an Initial Disbursement of an amount equal to 50% of the grant (\$225,000) upon documentation of project costs totaling \$4,500,000, and documentation of the employment of at least 142 Full-time Permanent Employees in New York State, including at least 96 Full-time Permanent Employees at the Project Locations, and a Certificate of Occupancy for 220 Commerce Blvd., Liverpool and a temporary Certificate of Occupancy for 245 Commerce Blvd., Liverpool, assuming that all project approvals have been completed and funds are available;
 - b) a Second Disbursement of an amount equal to 25% of the grant (\$112,500) will be disbursed upon documentation of the employment of at least 147 Full-time Permanent Employees in New York State, including at least 101 Full-time Permanent Employees at the Project Locations (Employment Increment of 5), and a Certificate of Occupancy for 245 Commerce Blvd., Liverpool, provided Grantee is otherwise in compliance with program requirements;
 - c) a Third Disbursement of an amount equal to 25% of the grant (\$112,500) will be disbursed upon documentation of the employment of at least 153 Full-time Permanent Employees in New York State, including at least 107 Full-time Permanent Employees at the Project Locations (Employment Increment of 11), provided Grantee is otherwise in compliance with program requirements.

Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses reimbursed by ESD's grant must be incurred on or after December 18, 2018, to be considered eligible project costs. All disbursements must be requested by April 1, 2024.

6. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$450,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.
7. In consideration for the making of the Grant, Grantee will achieve the Employment Goals set forth in Column B of the table below. If the Full-time Permanent Employee Count for the year prior to the reporting date set forth in Column A of the table below is less than eighty-five percent (85%) of the Employment Goal set forth in Column B (an "Employment Shortfall"), then upon demand by ESD, Grantee shall be obligated to repay to ESD a portion of each disbursement of the Grant, as follows:

The Recapture Amount is based on the time that has lapsed between when the Grant funds were disbursed and when the Employment Shortfall occurred. The Recapture Amount shall be calculated by aggregating the Recapture Amount for each disbursement of the Grant, which in each instance shall be equal to:

- (i) 100% of the disbursed amount if the Employment Shortfall occurred in the calendar year that the disbursement was made, or in the first full calendar year after the disbursement was made;
- (ii) 80% of the disbursed amount if the Employment Shortfall occurred in the second full calendar year after the disbursement was made;
- (iii) 60% of the disbursed amount if the Employment Shortfall occurred in the third full calendar year after the disbursement was made;
- (iv) 40% of the disbursed amount if the Employment Shortfall occurred in the fourth full calendar year after the disbursement was made;
- (v) 20% of the disbursed amount if the Employment Shortfall occurred in the fifth full calendar year after the disbursement was made.

The Grantee's number of Full-time Permanent Employees shall be deemed to be the greater of the number as of the last payroll date in the month of December for such year or the average employment for the 12 month period computed by quarter.

Baseline Employment (Project Locations)	96
Baseline Employment (New York State)*	142

A	B	C
Date	Employment Goals (Project Locations)	Employment Goals (New York State)
February 1, 2021	96+X+Y	142+X+Y
February 1, 2022	96+X+Y	142+X+Y
February 1, 2023	96+X+Y	142+X+Y
February 1, 2024	96+X+Y	142+X+Y
February 1, 2025	96+X+Y	142+X+Y

*142 employees in New York State, which include the 96 employees at the Project Locations.

X = Grantee's Employment Increment that will be the basis of the Second Disbursement of the Grant as described in section C.5 above (i.e. X=5, and Employment Goals shall equal $96 + X = 101$ (including 147 in NYS)) if the Second Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Second Disbursement has not yet been made then X=0.

Y = Grantee's Employment Increment that will be the basis of the Third Disbursement of the Grant as described in section C.5 above (i.e. Y=6, and Employment Goals shall equal $96 + X + Y = 107$ (including 153 in NYS)) if the Third Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Third Disbursement has not yet been made then Y=0.

IV. Statutory Basis – Regional Council Capital Fund

The funding was authorized in the 2018-2019 New York State budget and reappropriated in the 2019-2020 and 2020-2021 New York State budgets. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

The Village of Liverpool Planning Board, as lead agency, has completed an environmental review of the project pursuant to the requirements of the State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. This review found the project to be an Unlisted Action, which would not have a significant effect on the environment. It is recommended that the Directors make a Determination of No Significant Effect on the Environment.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Company shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women Business Enterprises (MWBEs) for any contractual opportunities generated in connection with the Project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30% related to the total value of ESD's funding.

VII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

VIII. Additional Submissions to Directors

Resolutions

New York State Map

Benefit-Cost Analysis

Project Finance Memorandum

Regional Council Award – Liverpool (Central NY Region – Onondaga County) – Immediate Mailing Services Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Immediate Mailing Services Capital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Immediate Mailing Services, Inc. a grant for a total amount not to exceed four hundred and fifty thousand Dollars (\$450,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and

deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

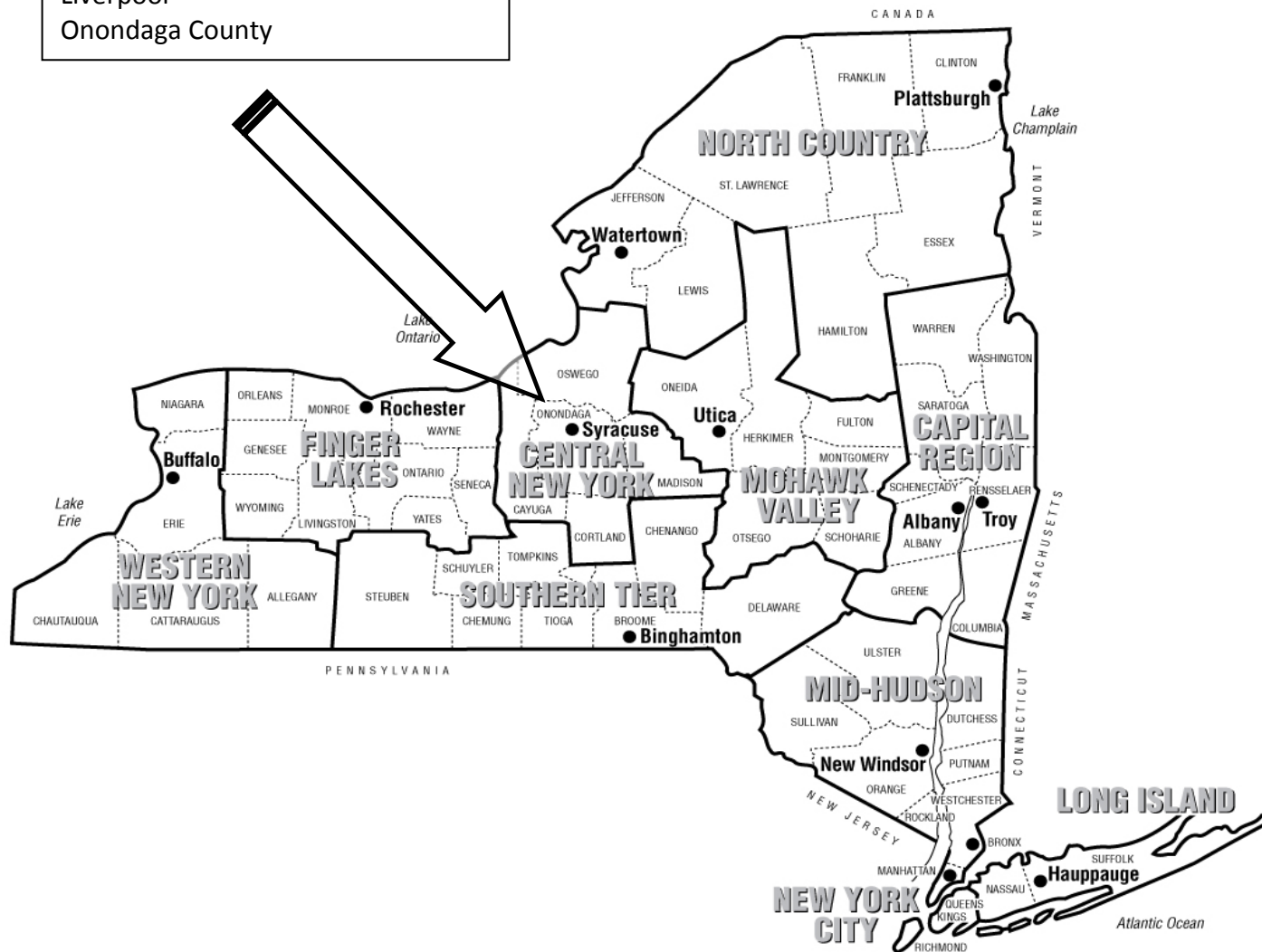
June 25, 2020

Regional Council Award – Liverpool (Central NY Region – Onondaga County) – Immediate
Mailing Services Capital – Regional Council Capital Fund (Capital Grant) – Determination
of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the Immediate Mailing Services Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *

Immediate Mailing Services Capital
Liverpool
Onondaga County



Project Summary Benefit-Cost Evaluation¹

Immediate Mailing Services, Inc. – Business Investment

Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits reported in the table below typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the table typically reflects only construction-related activity. Benchmarks for each type of project are noted in the footnotes.

Initial Jobs:	96	Construction Job Years (Direct):	5
New Jobs:	11 jobs over two years	Construction Job Years (Indirect):	3

Evaluation Statistics	Project Results NYS Gov't.	NYS Gov't. Benchmarks ²	Project Results State & Local Government	State & Local Government Benchmarks
Fiscal Costs³	\$521,225	\$794,250	\$521,225	\$1,020,500
Fiscal Benefits⁴	\$455,411	\$2,085,600	\$795,150	\$4,271,980
Fiscal Cost /Direct Job	\$58,006	\$3,000	\$58,006	\$4,110
Fiscal Cost/Total Jobs	\$31,455	\$1,424	\$31,455	\$1,964
Fiscal B/C Ratio	0.87	7.00	1.53	10.60
Project Results Benchmarks				
Economic Benefits⁵	\$6,012,745	\$119,468,000		
Econ. Benefits/Total Jobs	\$362,858	\$147,600		
Economic B/C Ratio	11.54	75.00		

¹ Dollar values are present value calculated over a seven-year period. Separate evaluations are made and reported for New York State government assistance alone and for State and Local government.

² The current project evaluation results (both fiscal and economic) are compared to performance measure benchmarks based on results of a sample of ESD non-retail projects. Business Investment project benchmarks are 7.00 (Fiscal) and 75.00 (Economic). Infrastructure Investment (or Economic Growth Investment) project benchmarks are 3.00 (Fiscal) and 30.00 (Economic).

³ Fiscal cost includes the value of grants, loans and associated default risks, and discretionary subsidies (such as tax exemptions or abatements on sales, property, and interest income).

⁴ Fiscal benefits are the loan repayments and tax revenues to New York State and Local governments generated by project activity. This includes estimated taxes on personal incomes from project direct and indirect employment, corporate and business incomes, excise and user taxes, property taxes, and other taxes.

⁵ Economic benefits are estimated project benefits measuring fiscal flows to government plus net resident disposable income from project direct and indirect employment net of transfers, without adjusting for individual income earners' opportunity cost of employment.

FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Priority Project – Utica (Mohawk Valley Region – Oneida County) – Upper Mohawk Valley Auditorium Nexus Center URI Capital – Upstate Revitalization Initiative (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

General Project Plan

I. Project Summary

Grantee: Oneida County (“Oneida” or the “County”)

Beneficiary: Upper Mohawk Valley Auditorium Authority (“UMVMAA”)

ESD* Investment: A grant of up to \$22,000,000 to be used for a portion of the cost of construction and renovations for a 169,440 square-foot sports and recreation center

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Location: 400 Oriskany Street West, Utica, Oneida County

Proposed Project: Construction of a 169,440 square-foot, premier, tournament-based recreation sporting epicenter in downtown Utica

Project Type: Construction

Regional Council: The project is consistent with the Mohawk Valley Regional Economic Development Council’s Plan to build upon existing assets and expand external revenue and wealth transfer to the region.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>	
Construction/Renovation	\$49,959,441	
Design & Planning	660,250	
Total Project Costs	<u>\$50,619,691</u>	
<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>
ESD-Grant	\$22,000,000	43%
Upper Mohawk Valley Auditorium Authority Equity*	<u>28,619,691</u>	57%
Total Project Financing	<u>\$50,619,691</u>	<u>100%</u>

**Revenue Bonds being issued by the Upper Mohawk Valley Memorial Auditorium Authority*

III. Project Description

A. Grantee

Industry: Municipality

Grantee History: Oneida County was formed 1798 when it separated from Herkimer County. The County seat is Utica. Historically, Oneida County's economy was driven by the silverware industry, but today the economy is largely driven by gambling at the Turning Stone Casino Resort, which is the largest private employer in the County.

The County obtained its name from the Oneida, one of the Five Nations of the Iroquois League or Haudenosaunee, which had long occupied the territory at the time of European encounter and colonization. The federally recognized Oneida Indian Nation has had a reservation in the region since the late 18th century, after the American Revolutionary War.

Ownership: Oneida County was governed by a board of supervisors until 1962, when the county charter was changed to create a county executive and a 29-seat county legislature. The county executive is elected by the entire County.

Size: Oneida County's population counted 234,878 residents in the 2010 Census.

Market: Residents of Oneida County

ESD Involvement: In July 2018, the Upper Mohawk Valley Memorial Auditorium Authority (“UMVMAA”) applied under the Mohawk Valley Regional Economic Development Council’s Consolidated Funding Application to bridge a funding gap in a proposed construction project for the Nexus Center (the “Center”) a 169,440 square-foot sporting facility that could serve youth sporting teams, and fans in the downtown Utica neighborhood.

The project was conceived due to the propensity of youth sporting teams to travel outside of the region for major sporting tournaments in cities like Boston, Philadelphia, and Toronto. The County and the UMVMAA wanted to retain economic focus within the region for these major sporting events. It is hoped that the Nexus Center will promote the region throughout the state and beyond by creating a year-round tourist destination and increasing investment in Utica’s downtown.

In December 2019, the funding proposal was transferred to Oneida County to better manage the award. In January 2020, ESD made Oneida County an offer of assistance from the Upstate Revitalization Initiative fund to assist with financing the project. Without ESD’s help the project could not have moved forward.

Competition: N/A

Past ESD Support: Funding for the past five years totaling \$5.2 million to the Grantee is summarized in the following chart:

Program	Project #	Amount	Date Start (ESD Directors’ Approval Date)	Date End (Project Completion: Contract Expiration)	Purpose
Market NY Program RC-4	Z771	\$500,000	August 20, 2015	December 2016	Working Capital Grant – Marketing Campaign for Promoting Craft Breweries in the Region
Regional Council Capital Fund	Y922	\$500,000	November 19, 2015	March 2015	Capital Grant – Construct a passenger terminal for Griffiss International Airport

Regional Council Capital Fund	Z107	\$200,000	December 21, 2017	May 2017	Capital Grant - Rehabilitation and construction of the REA Wing at Union Station: roof, floor, windows, drains, etc.
Regional Council Capital Fund	Z681	\$4,000,000	January 24, 2018	December 2017	Capital Grant - Install State-of-the-Art Surveillance & Airport Surface Radar at Griffiss International Airport

B. The Project

Completion: December 2020

Activity: Once complete, the Nexus Center will be located at 400 Oriskany Street West and will feature 169,440 square-feet containing over 25 locker rooms, college classroom space, retail space, food and beverage services and other multi-purpose training spaces. The County continues to work with UMVMAA who is managing the overall construction. The developer is Hueber-Breuer Construction Inc. who is based in Syracuse.

Results: The County will create a state-of-the-art facility featuring the world's best sporting amenities and platforms. It is estimated that the Nexus Center will see a projected 322,560 annual visitors when hosting out-of-town tournaments and catering to local athletes during the week for practice and games. The Center will primarily be used for ice hockey, box lacrosse, soccer and other field sports that can be performed on a 200 x 85 square-foot playing surface. The Nexus Center will continue to attract visitors to the downtown Utica area and increase tourism.

Economic Growth

Investment Project: No Benefit-Cost Analysis ("BCA") is required since these projects generate long-term benefits not captured in the short-term period used for the BCA and may involve no permanent job commitments.

Grantee Contact: Tom Keeler, Budget Director
800 Park Avenue
Utica, NY 13501
Phone: (315) 798-5805
E-mail: tkeeler@ocgov.net

Beneficiary Contact: Carl Annese, Chairman
Upper Mohawk Valley Memorial Auditorium Authority
Phone: (315) 269-4307
E-mail: Carl.UMVMAA@gmail.com

ESD Project No.: 132,166

Project Team:	Origination	Mark LaBuzetta
	Project Management	Simone Bethune
	Contractor & Supplier Diversity	Danielle Adams
	Finance	Jonevan Hornsby
	Design & Construction	Marty Piecuch
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Grantee shall pay a commitment fee of 1% of the \$22,000,000 capital grant (\$220,000) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Grantee will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. The Grantee will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Grantee's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Grantee or by investors, and should be auditable through Grantee financial statements or Grantee accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project.
4. Up to \$22,000,000, or 50% of the project cost (whichever is less) will be disbursed to the Grantee no more frequently than quarterly upon documentation of eligible construction expenses actually incurred by the Grantee upon presentation to ESD of an invoice together with such supporting documentation* as ESD may require. The final ten percent (10%) of the Grant shall not be disbursed by ESD until all of the tasks and reports required have been completed to ESD's satisfaction and upon completion of the project as evidenced by documentation of a certificate of occupancy and total expenditures of \$44 million have been documented.

Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses reimbursed by ESD's grant must be incurred on or after August 3, 2018, to be considered eligible project costs. All disbursements must be requested by April 1, 2022.

5. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$22,000,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Grantee and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

IV. Statutory Basis – Upstate Revitalization Initiative

The funding was authorized in the 2019-2020 New York State budget and reappropriated in the 2020-2021 New York State budgets. No residential relocation is required as there are no families or individuals residing on the site.

V. Design and Construction

Submission of Payment Requisitions to ESD will be made according to the design and construction disbursement terms outlined in the Grant Disbursement Agreement. ESD reserves the right to inspect the project site to insure compliance of these terms and monitor project progress.

VI. Environmental Review

The Upper Mohawk Valley Memorial Auditorium Authority, as lead agency, has completed an environmental review of the project pursuant to the requirements of the State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. This review, which was coordinated with ESD as an involved agency, found the project to be a Type I Action, which would not have a significant effect on the environment. The lead agency issued a Negative Declaration on October 23, 2019. ESD staff reviewed the Negative Declaration and supporting materials and concurs. It is recommended that the Directors make a Determination of No Significant Effect on the Environment.

Due to the site's location adjacent to the Utica Memorial Auditorium, which is eligible for inclusion in the New York State and National Registers of Historic Places, ESD has confirmed that the project sponsor consulted with the New York State Office of Parks, Recreation and Historic Preservation pursuant to the requirements of Section 14.09 of the New York State Parks, Recreation and Historic Preservation Law ("Section 14.09"). The project is in compliance with Section 14.09.

VII. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Recipient shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women Business Enterprises (MWBES) for any contractual opportunities generated in connection with the Project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal

of 30% related to the total value of ESD's funding.

VIII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

IX. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

X. Additional Submissions to Directors

Resolutions

New York State Map

Project Finance Memorandum

Regional Council Award – Priority Project – Utica (Mohawk Valley Region – Oneida County) – Upper Mohawk Valley Auditorium Nexus Center URI Capital – Upstate Revitalization Initiative (Capital Grant) – Findings and Determinations Pursuant to Sections 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Upper Mohawk Valley Auditorium Nexus Center URI Capital -- Upstate Revitalization Initiative (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Oneida County a grant for a total amount not to exceed Twenty Two Million Dollars (\$22,000,000) from the Upstate Revitalization Initiative, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

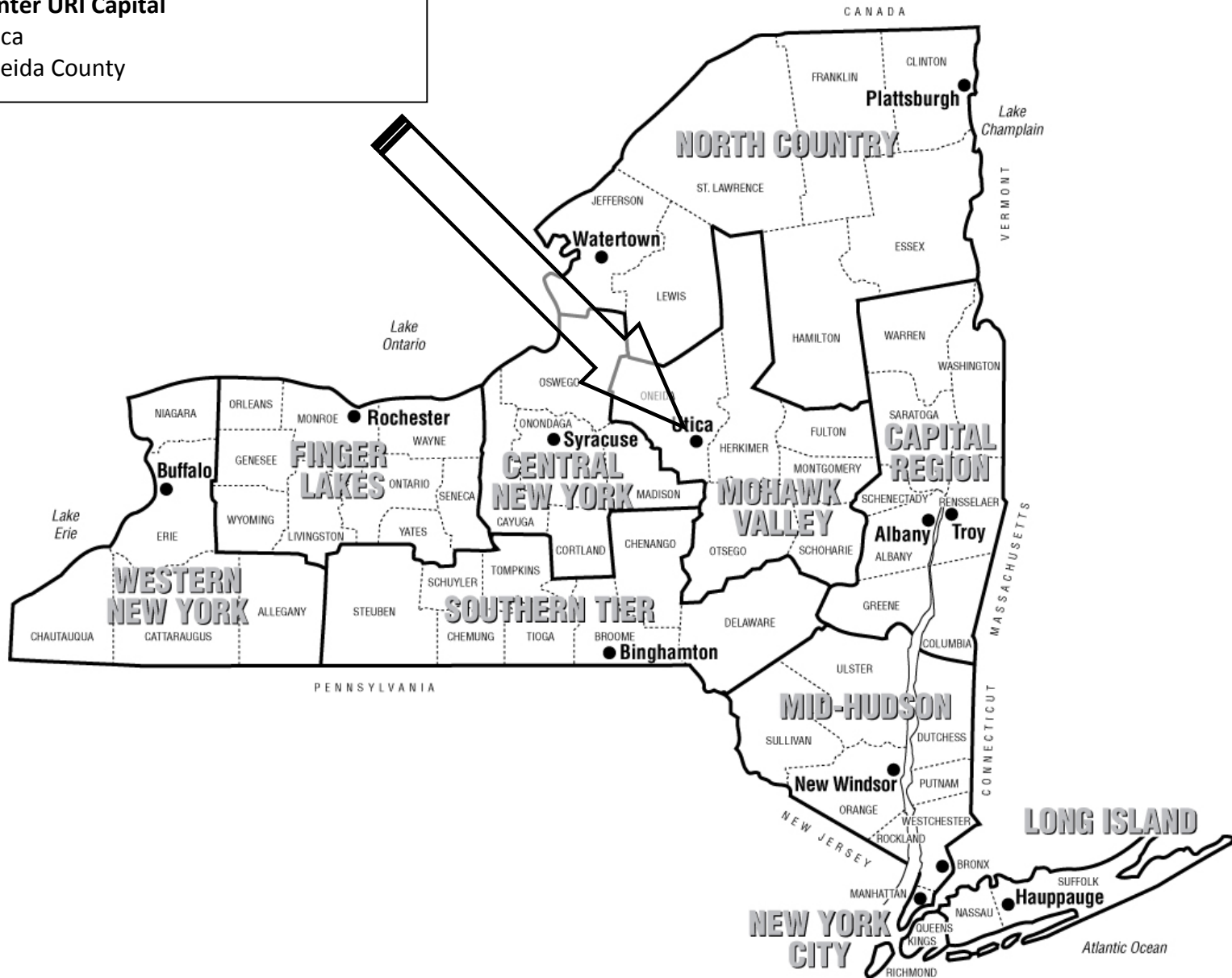
June 25, 2020

Regional Council Award – Priority Project – Utica (Mohawk Valley Region – Oneida County) – Upper Mohawk Valley Auditorium Nexus Center URI Capital – Upstate Revitalization Initiative (Capital Grant) – Determination of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the Upper Mohawk Valley Auditorium Nexus Center URI Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *

**Upper Mohawk Valley Auditorium Nexus
Center URI Capital**
Utica
Oneida County



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Priority Project – Utica (Mohawk Valley Region – Oneida County) – Masonic Medical Research Laboratory Capital – Regional Council Capital Fund (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

General Project Plan

I. Project Summary

Grantee: Masonic Medical Research Laboratory d/b/a Masonic Medical Research Institute (“MMRI” or the “Organization”)

ESD* Investment: A grant of up to \$400,000 to be used for a portion of the cost of the purchase of machinery and equipment

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Location: 2150 Bleeker Street, Utica, Oneida County

Proposed Project: Purchase and install new research machinery and equipment

Project Type: Economic growth investment involving the purchase of machinery and equipment

Regional Council: The project is consistent with the Mohawk Valley Regional Economic Development Council Plan to prioritize projects that advance both New York State and regional priorities that spark transformation in the life sciences industry.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Machinery and Equipment	<u>\$2,200,000</u>

Total Project Costs \$2,200,000

<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>	<u>Rate/Term/Lien</u>
ESD-Grant	\$400,000	18%	
M&T Bank Construction Credit Line	1,580,000	72%	3%/2 year/M&E
Organization's Equity	<u>220,000</u>	<u>10%</u>	

Total Project Financing \$2,200,000 100%

III. Project Description

A. Organization

Industry: Biotechnology Research

Company History: Established in 1958, MMRI is dedicated to improving the health and quality-of-life for all. MMRI's primary mission is to conduct high-quality basic and clinical research aimed at generating the knowledge and information necessary for the development of medical cures and treatments. MMRI is internationally recognized for its discoveries in cardiac arrhythmias and a legacy of other scientific breakthroughs that have been at the forefront of new heart medications and diagnostic procedures for the management of cardiac arrhythmias.

Ownership: MMRI is a not-for-profit organization.

Size: All facilities are located in Utica, NY.

Market: International focus on genetic screening of inherited cardiac arrhythmia diseases, especially those responsible for sudden cardiac death.

ESD Involvement: MMRI's facility required the modernization of lab space that will allow for workforce growth and the seamless transition from a traditional research-focused laboratory to an applied research and translational medicine-focused laboratory. The Organization's capital needs extended beyond its private fundraising efforts. In order to close a funding gap, the Organization applied for assistance through Round 7 of the Mohawk Valley Regional Economic Development Council's Consolidated Funding Application, and ESD awarded the Organization a \$400,000 grant. Without financial assistance, this project would not have been feasible.

Competition: N/A

Past ESD Support: Funding for the past five years, to the Grantee is summarized in the following chart:

Program	Project #	Amount	Date Start (ESD Directors' Approval Date)	Date End (Project Completion: Contract Expiration)	Purpose
Regional Council Capital Fund – RC6	AC135	\$550,000	December 20, 2018	December 31, 2024	Renovation, including demolition and asbestos abatement of two floors at the Organization's current medical research facility

B. The Project

Completion: June 2018

Activity: The Organization purchased new scientific equipment for the laboratory space including state-of-the-art equipment such as a cage washer, fume hoods, water purification systems, freezers, biological safety cabinets and incubators.

Results: The Organization has completed the renovation, and this equipment will allow MMRI to continue to expand its research capabilities, modernize equipment, and attract top scientists.

Economic Growth

Investment Project: No Benefit-Cost Analysis ("BCA") is required since these projects generate long-term benefits not captured in the short-term period used for the BCA and may involve no permanent job commitments.

Grantee Contact: Susan Bartkowiak
Grant Administrator
2150 Bleecker Street
Utica, New York 13501
Phone: (315) 624-7487
E-mail: bartkowiaks@mmri.edu

ESD Project No.: AC957

Project Team:	Origination	Mark LaBuzzetta
	Project Management	Chelsey Watroba
	Contractor & Supplier Diversity	Danielle Adams
	Finance	Kathleen Uckert
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Organization shall pay a commitment fee of 1% of the \$400,000 capital grant (\$4,000) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Organization will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. The Organization will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Organization's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Organization or by investors and should be auditable through Organization financial statements or Organization accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project.
4. Up to \$400,000 will be disbursed to Grantee lump sum upon documentation of machinery and equipment project costs totaling \$2,200,000, and upon completion of the project substantially as described in these materials, assuming that all project approvals have been completed and funds are available. Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses must be incurred on or after December 13, 2017, to be considered eligible project costs. All disbursements must be requested by April 1, 2022.
5. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$400,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Organization and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

IV. Statutory Basis

The funding was authorized in the 2017-2018 New York State budget and reappropriated in the 2018-2019, 2019-2020, and 2020-2021 New York State budgets. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

ESD staff has determined that the project constitutes a Type II action as defined by the New York State Environmental Quality Review Act ("SEQRA") and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

VI. Non-Discrimination and Contractor & Supplier Diversity

Pursuant to New York State Executive Law Articles 15-A and 17-B, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified Minority-and Women-owned Business Enterprises ("MWBEs") and Service Disabled Veteran-Owned Businesses ("SDVOBs") in the performance of ESD projects and procurements. ESD Office of Contractor and Supplier Diversity have reviewed the project and have determined that there exists no potential for MWBE and SDVOB participation. As such, participation goals will not be established or required for this project.

VII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

VIII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

IX. Additional Submissions to Directors

Resolutions
New York State Map
Project Finance Memorandum
Project Photographs

Regional Council Award – Priority Project – Utica (Mohawk Valley Region – Oneida County) – Masonic Medical Research Laboratory Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Masonic Medical Research Laboratory Capital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Masonic Medical Research Institute a grant for a total amount not to exceed four hundred thousand dollars (\$400,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

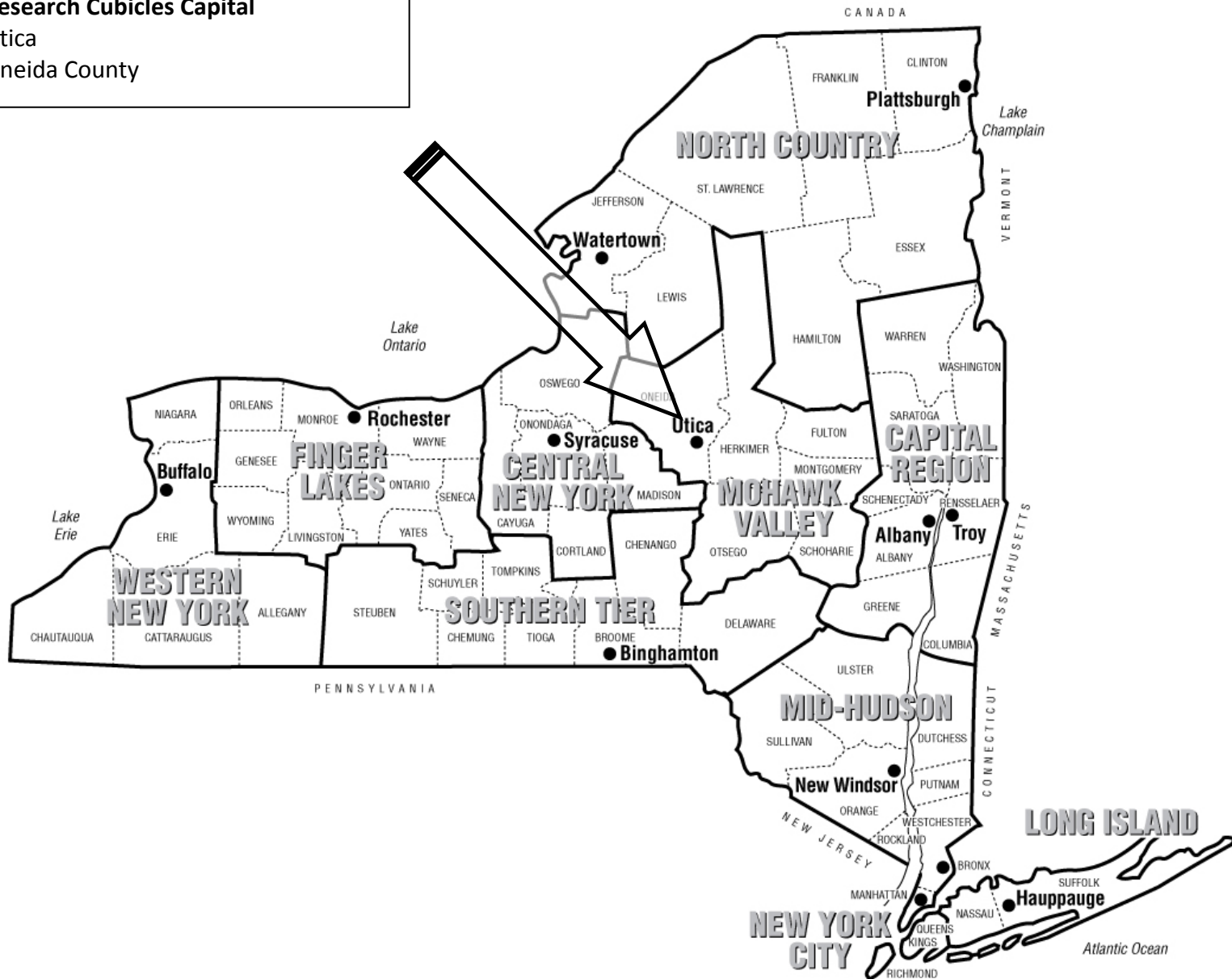
RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and

each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Masonic Medical Research Laboratory
Research Cubicles Capital
Utica
Oneida County



Masonic Medical Research Laboratory Capital





FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Priority Project – Brookhaven (Long Island Region – Suffolk County) – Ronkonkoma Hub Capital – Regional Council Capital Fund (Capital Grants)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make Grants and to Take Related Actions

General Project Plan**I. Project Summary**

Grantee: 1 Mill Road Apartments Investors RHPI, LLC (“Company”)

ESD* Investment: Two grants of up to \$1,050,000 to be used for a portion of the cost of the design and construction of infrastructure improvements

* The New York State Urban Development Corporation doing business as Empire State Development “ESD” or the “Corporation”)

Project Location: Intersections of Mill Road and Union Ave and Mill Road and Railroad Ave, Brookhaven, Suffolk County

Proposed Project: Public Infrastructure, gravity fed sewer lines, storm water retention improvements, etc. to support the Ronkonkoma Hub transit-oriented development in the Town of Brookhaven

Project Type: Sewer, Storm Water and other public infrastructure

Regional Council: The project is consistent with the Long Island’s Regional Economic Development Council Plan of investing in infrastructure improvements to revitalize transit hubs.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Engineering and Design	\$1,050,000
Construction	2,300,000
Construction inspection & administration	945,000
Insurance and other fees	<u>918,000</u>

Total Project Costs \$5,213,000

<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>	<u>Rate/Term/Lien</u>
ESD-Grant (#Y391)	\$500,000	10%	
ESD-Grant (#Y392)	550,000	10%	
Bank Financing – B of A	3,337,955	64%	<i>LIBOR floating rate, 48 month + 12 Mo. x10, first priority mortgage deed</i>
Company Equity	<u>825,045</u>	<u>16%</u>	
Total Project Financing	<u>\$5,213,000</u>	<u>100%</u>	

III. Project Description

A. Company

Industry: Real-estate development

Company History: Ronk I Holdings, LLC (Ronk Hub), the parent company of 1 Mill Road Apartments Investors RHPI, LLC, was formed in July 2013 for the express purpose of being the master developer of the Ronkonkoma Hub, located in the Town of Brookhaven in Suffolk County. The Company is revitalizing a blighted area adjacent to the Long Island Rail Road near the Long Island Expressway and Long Island's MacArthur Airport.

Ownership: The Company is a privately held limited liability company.

Size: All facilities are located in Brookhaven, NY.

Market: N/A

ESD Involvement: This infrastructure sewer project is one piece of a larger \$650 million redevelopment project that transformed the Ronkonkoma Long Island Rail Road Station into a mixed-used development, which includes 1,450 residential units, 360,000 square-feet of commercial space, 195,000 square-feet of retail space and 60,000 square-feet of hospitality and exhibition space. This particular phase of the project focused on the

sewer infrastructure needed to support this larger development.

Ronk Hub was selected by the Town of Brookhaven as the Master Developer for the Ronkonkoma Hub redevelopment in late 2011. Due to the large scale of the overall project, the Ronk Hub applied through Round 2 of the Long Island Economic Development Council's Consolidated Funding Application ("CFA") for ESD's assistance and was awarded a \$500,000 capital grant from the Regional Council Capital Fund. Ronk Hub was also awarded an additional \$550,000 in Regional Council Capital Funds to assist with the design and construction costs of the sewer collection system and pump station. ESD's assistance enabled the Company to complete these infrastructure improvements.

Competition: N/A

Past ESD Support: This is the Company's first project with ESD.

B. The Project

Completion: November 2019

Activity: The Company completed an infrastructure sewer improvement project to support the Ronkonkoma Hub transit-oriented development. The project included the design and construction of a sewer collection system and pump station that will allow for sewage capacity of up to 1,500,000 gallons per day to be sent to the Suffolk County SW Sewer District treatment plant. Specifically, the project created gravity fed sewer lines, water lines, storm water retention, electric and high-pressure gas lines. The work also included other infrastructure installed in the ROW, such as a new water main extension, electrical, gas, storm water retention, street lights, sidewalks, roadways, as well as, architecture/engineering, general conditions.

Results: The overall Ronkonkoma Hub transit-oriented development construction project would not have been possible without the essential sewer and water upgrades needed to support the development.

Infrastructure
Investment

Project: No Benefit-Cost Analysis ("BCA") is required since these projects generate long-term benefits not captured in the short-term period used for the BCA and may involve no permanent job commitments.

Grantee Contact: Robert Loscalzo, Development Partner
1 MILL ROAD APARTMENTS INVESTORS RHPI, LLC
c/o TRITEC Development Group, LLC
45 Research Way, Suite 100
East Setauket, New York 11733
Phone: (631) 706-4133
E-mail: robl@tritecre.com

ESD Project No.: Y391 & Y392

Project Team:	Origination	Brian Scripture
	Project Management	Chelsey Watroba
	Contractor & Supplier Diversity	Danah Alexander
	Finance	Timothy Anderson
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Company shall pay a commitment fee of 1% of the \$1,050,000 capital grants (\$10,500) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Company will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. Ronk I Holdings, LLC will guarantee the grant repayment obligation of its subsidiary, 1 Mill Road Apartments Investors RHPI, LLC, in the event of an Employment Shortfall or other default, as defined in these materials or the Grant Disbursement Agreement.
4. The Company will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Company's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Company or by investors and should be auditable through Company financial statements or Company accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.
5. Up to \$1,050,000 will be disbursed to Grantee in lump sum upon documentation of engineering and design, construction, construction inspections and administration, and insurance and other fees project costs totaling \$5,213,000, upon completion of the project substantially as described in these materials, and verification of project completion by the Suffolk County Department of Public Works and/or other documentation as ESD may require, assuming that all project approvals have been completed and funds are available. Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses

must be incurred on or after March 26, 2013, to be considered eligible project costs. All disbursements must be requested by April 1, 2021.

6. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$1,050,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.
7. Grant funds will be subject to pro rata recapture if the property at the Project Location is sold within five years of disbursement of funds. The Recapture Amount is based on the time that has lapsed between when the Grant funds were disbursed and when the transfer occurred. The Recapture Amount shall be calculated by aggregating the Recapture Amount for each disbursement of the Grant, which in each instance shall be equal to:
 - (i) 100% of the disbursed amount if the transfer occurred in the calendar year that the disbursement was made, or in the first full calendar year after the disbursement was made;
 - (ii) 80% of the disbursed amount if the transfer occurred in the second full calendar year after the disbursement was made;
 - (iii) 60% of the disbursed amount if the transfer occurred in the third full calendar year after the disbursement was made;
 - (iv) 40% of the disbursed amount if the transfer occurred in the fourth full calendar year after the disbursement was made;
 - (v) 20% of the disbursed amount if the transfer occurred in the fifth full calendar year after the disbursement was made.

IV. Statutory Basis – Regional Council Capital Fund

The funding for project #Y391 was authorized in the 2011-2012 New York State budget and reappropriated in the 2012-2013, 2013-2014, 2014-2015, 2015-2016, 2016-2017, 2017-2018, 2018-2019, 2019-2020, and 2020-2021 New York State budgets.

The funding for project #Y392 was authorized in the 2012-2013 New York State budget and reappropriated in the 2013-2014, 2014-2015, 2015-2016, 2016-2017, 2017-2018, 2018-2019, 2019-2020, and 2020-2021 New York State budgets.

V. Environmental Review

Pursuant to the State Environmental Quality Review Act ("SEQRA"), Article 8 of the Environmental Conservation Law, and its implementing regulations (6 NYCRR Part 617), ESD Directors adopted SEQRA Findings on June 29, 2017 based on the Final Generic Environmental Impact Statement ("FGEIS") for the Ronkonkoma Hub Transit-Oriented Development Project. By adoption of SEQRA Findings, the Directors certified that the requirements of 6 NYCRR Part

617 have been met. The present request for ESD funding does not constitute an action beyond those actions already considered in the FGEIS and does not require additional environmental review under SEQRA.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Grantee shall be required to include minorities and women in any job opportunities created, to solicit and utilize certified Minority-and Women-owned Business Enterprises ("MWBEs") for any contractual opportunities generated in connection with the Project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 25%. The overall goal shall include a Minority Business Enterprise Participation Goal of 15% and a Women Business Enterprise Participation Goal of 10% related to the total value of ESD's funding.

VII. ESD Employment Enforcement Policy

Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

VIII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

IX. Additional Submissions to Directors

Resolution
New York State Map
Project Finance Memorandum

Regional Council Award – Priority Project – Brookhaven (Long Island Region – Suffolk County) – Ronkonkoma Hub Capital – Regional Council Capital Fund (Capital Grants) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make Grants and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Ronkonkoma Hub Capital – Regional Council Capital Fund - Capital Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Ronk Hub, LLC a grant for a total amount not to exceed one million fifty thousand Dollars (\$1,050,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

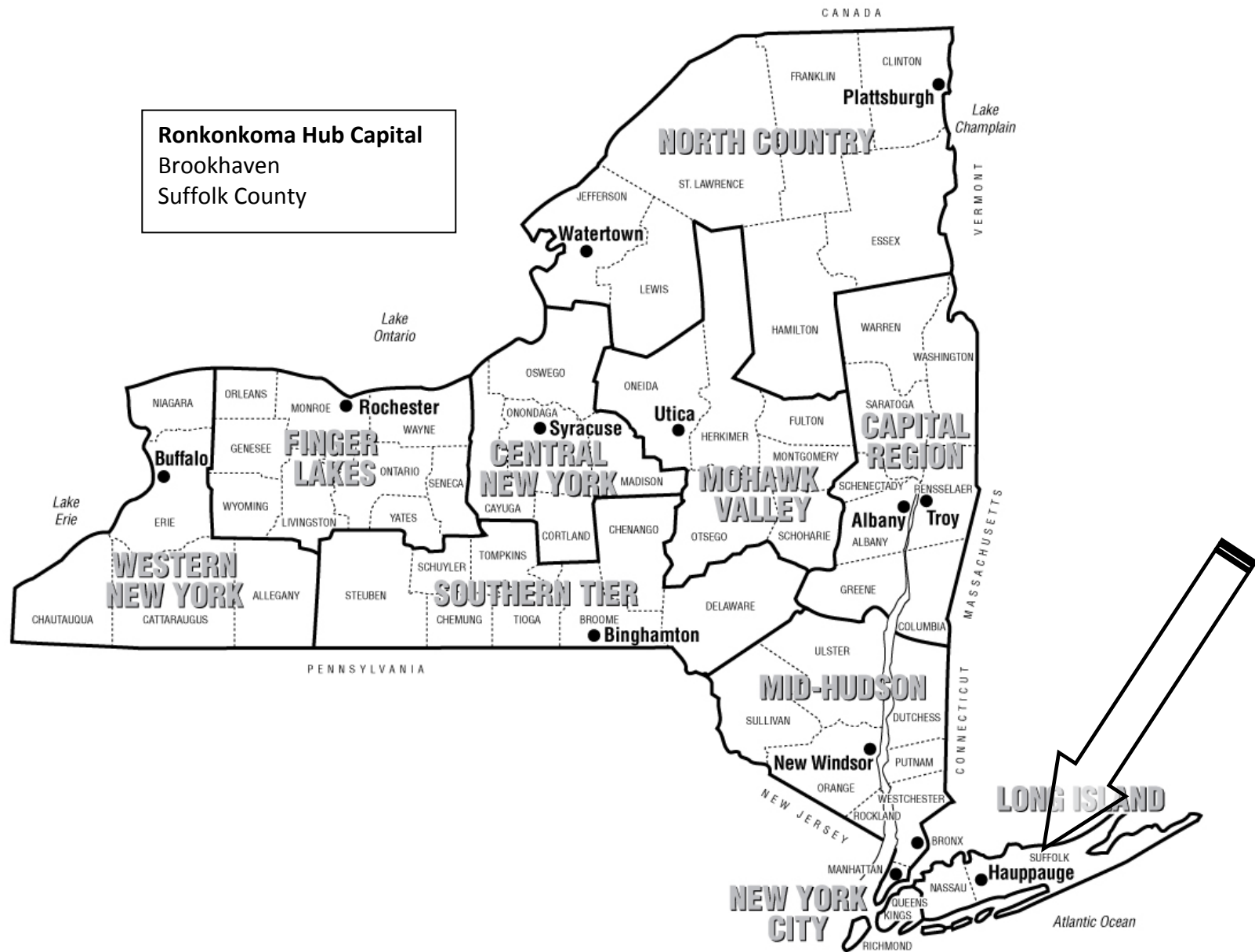
RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and

each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Montgomery (Mid-Hudson Region – Orange County) – City Winery Hudson Valley Capital – Regional Council Capital Fund – (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

General Project Plan

I. Project Summary

Grantee: City Winery Hudson Valley, LLC (“City Winery,” or the “Company”)

ESD* Investment: A grant of up to \$832,000 to be used for a portion of the cost of construction/renovation

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Location: 23 Factory Street, Montgomery, Orange County

Proposed Project: Acquisition, design, and rehabilitation of the historic 22-acre Worsted Mills (the “Mills”), located along the Wallkill River, in order to create a wine production facility and tourist destination

Project Type: Business investment involving job creation

Regional Council: The Mid-Hudson Regional Economic Development Council has been made aware of this item. The project is consistent with the Mid-Hudson Regional Economic Development Council’s Plan to attract and retain investment in the region’s mature and emerging clusters.

Employment:	Initial employment at time of ESD Incentive Proposal:	0
	Current employment level:	8
	Employment through January 1, 2024:	30

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Construction/Renovation	\$6,018,486
Furniture, Fixtures, and Equipment	524,767
Machinery and Equipment	1,115,929
Real Estate	1,650,000
Soft Costs	<u>418,118</u>

Total Project Costs	<u>\$9,727,300</u>
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<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>	<u>Rate/Term/Lien</u>
ESD-Grant	\$832,000	9%	
Rhinebeck Bank Loan	3,500,000	18%	4.4%/20 yrs/first lien on RE
Investor Loan	2,556,284	26%	7.5%/5 yrs/first lien on other RE
Line of Credit	1,000,000	10%	
Regents Capital	132,832	1%	15.22%/3 yrs/first lien on equipment
Company Equity	<u>1,703,184</u>	<u>18%</u>	
Total Project Financing	<u>\$9,727,300</u>	<u>100%</u>	

III. Project Description

A. Company

Industry: Wine Manufacturing and Agritourism

Company History: Founded in 2008 by Michael Dorf, City Winery is primarily a concert venue and private event space with a full-service restaurant, as well as a fully functioning winery which imports grapes from all over the world to create unique locally made wines.

Ownership: The Company is a privately-owned limited liability company

Size: In addition to the Project Location, the Company has locations in Chicago, Nashville, Atlanta, Boston, DC, and Philadelphia.

Market: Surrounding communities and Hudson Valley tourists

ESD Involvement: The Company applied through Round 8 of the Consolidated Funding Application for financial assistance to acquire, design, and rehabilitate the historic 22-acre Worsted Mills, located along the Wallkill River, in order to create a wine production facility and tourist destination. Prior to the Company's acquisition, the Mills was mostly abandoned and falling into disrepair. This project was selected by the Mid-Hudson Regional Economic Development Council for funding in March 2019, and the Organization accepted ESD's offer for a grant totaling \$832,000 in the same month. Without financial assistance from ESD, this project would not have been feasible.

Past ESD Support: Funding for the past five years to the Grantee is summarized in the following chart:

Program	Project #	Amount	Date Start (ESD Directors' Approval Date)	Date End (Project Completion: Contract Expiration)	Purpose
Market NY - RC8 - DED Local Cash	132,624	\$240,000	July 18, 2019	December 31, 2021	Working Capital - regional tourism marketing funding.

B. The Project

Completion: April 2020

Activity: The Company acquired, designed, and rehabilitated the historic 22-acre Worsted Mills, located along the Wallkill River in order to create a wine production facility and tourist destination.

The primary purpose of the rehabilitation was to centralize the Company's national wine manufacturing operations, allowing the Company to position itself to create a center that can distribute its product with much more ease, as well as expand into further locations across the country where it may not be feasible to manufacture wine on site. The Company is also planting a vineyard that will grow Riesling grapes, a crop that grows very well in New York.

Additionally, the space will include a tasting café and bar, as well as a multipurpose event space which can host various functions such as winery tours and tastings, weddings, corporate galas, and local trade events. To build the aesthetic and pay homage to the building's historicity, many parts of the Mills have been repurposed. Spindles are

hanging as decoration from the ceiling, a spooling tray has been converted into a reception desk and displays include items such as a time clock from the International Time Recording Company, based in Endicott and the precursor to IBM. Photos of the Mill throughout the 20th century are rampant throughout the space.

The creation of the new wine production facility has enabled the Company to centralize their national wine manufacturing operations, leading to a 50% increase in winemaking capacity. It also allows the Company to easily distribute wine from the Hudson Valley across the country, showcasing New York's contributions on a national scale. Additionally, the new 500-person capacity event space has the potential to increase regional tourism.

With New York being the third largest wine producing state in the nation, and the craft beverage industry being one of the largest growing industries in the state, City Winery at Hudson Valley is poised to display the best of what the state has to offer. This redevelopment takes the character of the building which helped establish the Village of Montgomery, and elevates it in a way to serve a modern purpose.

Results: The rehabilitation of the Mills is complete, and the Company will create 30 new jobs, 8 of which have already been created.

Business Investment

Project: Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the estimated benefits typically reflect only construction-related activity. Evaluated over a seven-year period, the following are anticipated project impacts (dollar values are present value):

- Fiscal benefits to NYS government from the project are estimated at \$1,428,247;
- Fiscal cost to NYS government is estimated at \$832,000;
- Project cost to NYS government per direct job is \$54,685;
- Project cost to NYS government per job (direct plus indirect) is estimated at \$20,980;

- Ratio of project fiscal benefits to costs to NYS government is 1.72:1;
- Fiscal benefits to all governments (state and local) are estimated at \$2,614,932;
- Fiscal cost to all governments is \$832,000;
- All government cost per direct job is \$54,685;
- All government cost per total job is \$20,980;
- The fiscal benefit to cost ratio for all governments is 3.14:1;
- Economic benefits (fiscal plus total net resident disposable income from project employment) are estimated at \$17,189,867, or \$433,474 per job (direct and indirect);
- The economic benefit to cost ratio is 20.66:1;
- Project construction cost is \$6,436,604, which is expected to generate 40 direct job years and 20 indirect job years of employment;
- For every permanent direct job generated by this project, an additional 1.66 indirect jobs are anticipated in the state's economy;
- The payback period for NYS costs is five years.

See Project Summary Benefit-Cost Evaluation (attached) for detail and definitions.

Grantee Contact: Michael Dorf, Founder & CEO
155 Varick Street
New York, NY, 10013
Phone: (917) 613-8333
E-mail: md@michaeldorf.com

ESD Project No.: 132,657

Project Team:	Origination	Linda Malave
	Project Management	Jay Vido
	Contractor & Supplier Diversity	Jordan Lopez
	Finance	Kathleen Uckert
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Company shall pay a commitment fee of 1% of the \$832,000 capital grant (\$8,320) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. Company will demonstrate no materially adverse changes in its financial condition prior to disbursement.

3. City Winery, LLC will guarantee the grant repayment obligation of its subsidiary, City Winery Hudson Valley LLC, in the event of an Employment Shortfall or other default, as defined in these materials or the Grant Disbursement Agreement.
3. The Company will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Company's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Company or by investors, and should be auditable through Company financial statements or Company accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.
4. Prior to disbursement, the Company must employ at least the number of Full-time Permanent Employees set forth as the Baseline Employment in the table below. A Full-time Permanent Employee shall mean (a) a full-time, permanent, private-sector employee on the Grantee's payroll, who has worked at the Project Location for a minimum of thirty-five hours per week for not less than four consecutive weeks and who is entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties; or (b) two part-time, permanent, private-sector employees on Grantee's payroll, who have worked at the Project Location for a combined minimum of thirty-five hours per week for not less than four consecutive weeks and who are entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties.
5. Up to \$832,000 will be disbursed to the Grantee in three installments as follows:
 - a) an Initial Disbursement of an amount equal to 50% of the grant (\$416,000) upon completion of the project substantially as described in these materials, documentation of eligible project costs totaling \$7,000,000, and documentation of the employment of at least 3 Full-time Permanent Employees at the Project Location, assuming that all project approvals have been completed and funds are available;
 - b) a Second Disbursement of an amount equal to 25% of the grant (\$208,000) will be disbursed upon documentation of the employment of at least 15 Full-time Permanent Employees at the Project Location (Employment Increment of 12), provided Grantee is otherwise in compliance with program requirements;
 - c) a Third Disbursement of an amount equal to 25% of the grant (\$208,000) will be disbursed upon documentation of the employment of at least 30 Full-time Permanent Employees at the Project Location (Employment Increment of 15), provided Grantee is otherwise in compliance with program requirements.

Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses must be incurred on or after December 18, 2018, to be considered eligible project costs. All disbursements must be requested by April 1, 2024.

6. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$832,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.
7. In consideration for the making of the Grant, Grantee will achieve the Employment Goals set forth in Column B of the table below. If the Full-time Permanent Employee Count for the year prior to the reporting date set forth in Column A of the table below is less than eighty-five percent (85%) of the Employment Goal set forth in Column B (an "Employment Shortfall"), then upon demand by ESD, Grantee shall be obligated to repay to ESD a portion of each disbursement of the Grant, as follows:

The Recapture Amount is based on the time that has lapsed between when the Grant funds were disbursed and when the Employment Shortfall occurred. The Recapture Amount shall be calculated by aggregating the Recapture Amount for each disbursement of the Grant, which in each instance shall be equal to:

- (i) 100% of the disbursed amount if the Employment Shortfall occurred in the calendar year that the disbursement was made, or in the first full calendar year after the disbursement was made;
- (ii) 80% of the disbursed amount if the Employment Shortfall occurred in the second full calendar year after the disbursement was made;
- (iii) 60% of the disbursed amount if the Employment Shortfall occurred in the third full calendar year after the disbursement was made;
- (iv) 40% of the disbursed amount if the Employment Shortfall occurred in the fourth full calendar year after the disbursement was made;
- (v) 20% of the disbursed amount if the Employment Shortfall occurred in the fifth full calendar year after the disbursement was made.

The Grantee's number of Full-time Permanent Employees shall be deemed to be the greater of the number as of the last payroll date in the month of December for such year or the average employment for the 12 month period computed by quarter.

Baseline Employment	0
A	B
Reporting Date	Employment Goals
February 1, 2021	0+X+Y+Z
February 1, 2022	0+X+Y+Z
February 1, 2023	0+X+Y+Z
February 1, 2024	0+X+Y+Z
February 1, 2025	0+X+Y+Z

X = Grantee's Employment Increment that will be the basis of the First Disbursement of the Grant as described in section C.5 above (i.e. X=3, and Employment Goals shall equal $[0 + X = 3]$ if the First Disbursement is made, in the year such disbursement is made and for each year thereafter). If the First Disbursement has not yet been made then X=0.

Y = Grantee's Employment Increment that will be the basis of the Second Disbursement of the Grant as described in section C.5 above (i.e. Y=12, and Employment Goals shall equal $[0 + X + Y = 15]$ if the Second Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Second Disbursement has not yet been made then Y=0.

Z = Grantee's Employment Increment that will be the basis of the Third Disbursement of the Grant as described in section C.5 above (i.e. Z=15, and Employment Goals shall equal $[0 + X + Y + Z = 30]$ if the Third Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Third Disbursement has not yet been made then Z=0.

IV. Statutory Basis – Regional Council Capital Fund

The funding was authorized in the 2018-2019 New York State budget and reappropriated in the 2019-2020 New York State budget. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

ESD staff has determined that the project constitutes a Type II action as defined by the New York State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

Due to the site's listing in the New York State and National Registers of Historic Places, ESD has confirmed that the project sponsor consulted with the New York State Office of Parks, Recreation and Historic Preservation pursuant to the requirements of Section 14.09 of the New York State Parks, Recreation and Historic Preservation Law. No further consultation is required.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. City Winery shall be required to include minorities and women in any job opportunities created,

to solicit and utilize Minority and Women-owned Business Enterprises (“MWBEs”) for any contractual opportunities generated in connection with the Project and to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30% related to the total value of ESD’s funding.

VII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

VIII. Additional Submissions to Directors

Resolutions

New York State Map

Benefit-Cost Analysis

Project Finance Memorandum

Project Photographs

Regional Council Award – Montgomery (Mid-Hudson Region – Orange County) – City Winery Hudson Valley Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the City Winery Hudson Valley Capital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to City Winery Hudson Valley LLC a grant for a total amount not to exceed EIGHT HUNDRED THIRTY TWO THOUSAND Dollars (\$832,000) from the Regional Council Capital Fund , for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

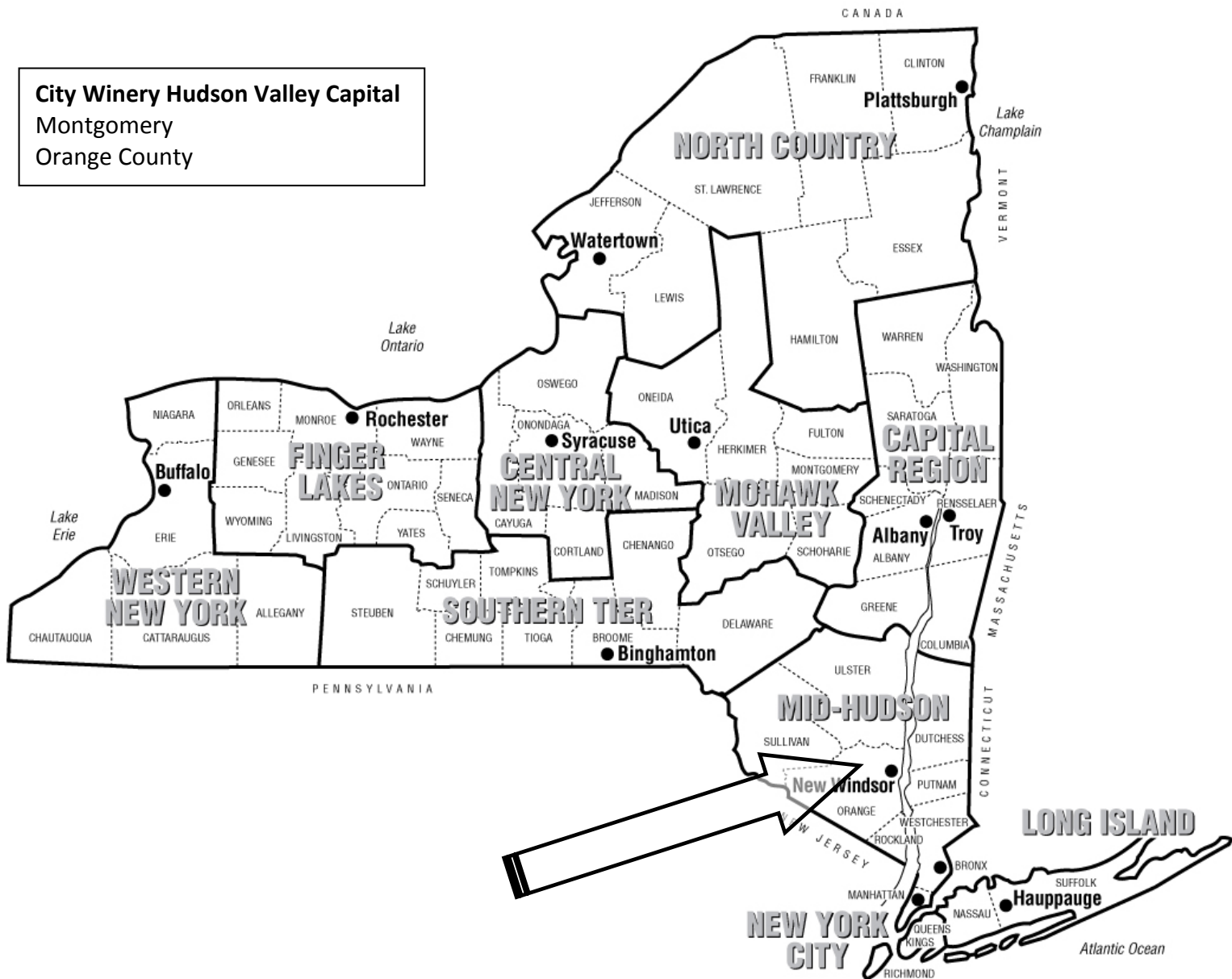
RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and

each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *



Project Summary Benefit-Cost Evaluation¹

City Winery Hudson Valley LLC – Business Investment

Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits reported in the table below typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the table typically reflects only construction-related activity. Benchmarks for each type of project are noted in the footnotes.

Initial Jobs:	0	Construction Job Years (Direct):	40
New Jobs:	30 jobs over four years	Construction Job Years (Indirect):	20

Evaluation Statistics	Project Results NYS Gov't.	NYS Gov't. Benchmarks ²	Project Results State & Local Government	State & Local Government Benchmarks
Fiscal Costs³	\$832,000	\$794,250	\$832,000	\$1,020,500
Fiscal Benefits⁴	\$1,428,247	\$2,085,600	\$2,614,932	\$4,271,980
Fiscal Cost /Direct Job	\$54,685	\$3,000	\$54,685	\$4,110
Fiscal Cost/Total Jobs	\$20,980	\$1,424	\$20,980	\$1,964
Fiscal B/C Ratio	1.72	7.00	3.14	10.60
	Project Results	Benchmarks		
Economic Benefits⁵	\$17,189,867	\$119,468,000		
Econ. Benefits/Total Jobs	\$433,474	\$147,600		
Economic B/C Ratio	20.66	75.00		

¹ Dollar values are present value calculated over a seven-year period. Separate evaluations are made and reported for New York State government assistance alone and for State and Local government.

² The current project evaluation results (both fiscal and economic) are compared to performance measure benchmarks based on results of a sample of ESD non-retail projects. Business Investment project benchmarks are 7.00 (Fiscal) and 75.00 (Economic). Infrastructure Investment (or Economic Growth Investment) project benchmarks are 3.00 (Fiscal) and 30.00 (Economic).

³ Fiscal cost includes the value of grants, loans and associated default risks, and discretionary subsidies (such as tax exemptions or abatements on sales, property, and interest income).

⁴ Fiscal benefits are the loan repayments and tax revenues to New York State and Local governments generated by project activity. This includes estimated taxes on personal incomes from project direct and indirect employment, corporate and business incomes, excise and user taxes, property taxes, and other taxes.

⁵ Economic benefits are estimated project benefits measuring fiscal flows to government plus net resident disposable income from project direct and indirect employment net of transfers, without adjusting for individual income earners' opportunity cost of employment.

City Winery Hudson Valley Capital





FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Rock Hill (Mid-Hudson Region – Sullivan County) – The Research Institute for Brain and Body Health Capital – Regional Council Capital Fund (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

General Project Plan

I. Project Summary

Grantee: The Center for Discovery, Inc. (“TFCD,” or the “Organization”)

ESD Investment: A grant of up to \$1,000,000 to be used for a portion of the cost of construction and renovation

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Location: 195 Lake Louise Marie Road, Rock Hill, Sullivan County

Proposed Project: Construction and renovation of a 50,000 square foot space to establish a new research institute for Brain and Body Health (the “Research Institute”)

Project Type: Capital

Regional Council: The Mid-Hudson Regional Economic Development Council has been made aware of this item. The project is consistent with the Mid-Hudson Regional Economic Development Council’s Plan to better understand the current and long-term child care needs of the region’s work force and future work force.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Construction/Renovation	\$3,000,000
Lab Fixtures/Equipment	1,020,000
Advanced IT	500,000
Architectural/Soft Costs	<u>240,000</u>

Total Project Costs \$4,760,000

<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>	<u>Rate/Term/Lien</u>
ESD-Grant	\$1,000,000	21%	
Sullivan County Funding Corp. Bond	2,000,000	16%	
Private Donations	1,000,000	42%	
Grantee Equity	<u>760,000</u>	<u>21%</u>	
Total Project Financing	<u>\$4,760,000</u>	<u>100%</u>	

III. Project Description

A. Company

Industry: Education, Research, Medical

Organization

History: The Center for Discovery, Inc. has grown from its roots in 1948 as United Cerebral Palsy of Sullivan County to become a statewide Center of Excellence providing residential, health, and educational services for children and adults with significant disabilities and complex medical frailties. Each year, TCFD serves over 1,200 children and adults, including their families, offering a variety of transformative programs that facilitate health and increase function. Over the past four decades, TCFD has grown from a facility with 30 employees to more than 1,700 full-time staff.

Ownership: TCFD is a not-for-profit organization.

Size: The Organization has approximately 1,700 full-time employees and 200 facilities. All facilities are located in New York State.

ESD Involvement: The Organization applied through Round 8 of the Consolidated Funding Application for financial assistance to transform a vacant property in Rock Hill in Sullivan County into a state-of-the-art bio-behavioral and healthcare facility including a Children's Specialty Hospital and special education school program. This project was selected by the Mid-Hudson

Regional Economic Development Council for funding in March 2019, and the Organization accepted ESD's offer for a grant totaling \$1,000,000 in May 2019. Without financial assistance from ESD, this project would not have been feasible.

Past ESD Support: Funding for the past five years to the Grantee is summarized in the following chart:

Program	Project #	Amount	Date Start (ESD Directors' Approval Date)	Date End (Project Completion: Contract Expiration)	Purpose
Regional Council Capital Fund - RC 2	AB292	\$2,500,000	August 17, 2017	December 31, 2021	Capital - non-residential construction and renovations associated with the expansion of the Center's services.

B. The Project

Completion: September 2020

Activity: TCFD is purchasing the 164,000 square foot Frontier Building, located at 195 Lake Louise Marie Road, Rock Hill, NY. The 50,000-sq foot 3rd floor will be converted into the Research Institute for Brain & Body Health. Six new laboratories will allow TCFD's research faculty to conduct pioneering studies to advance the care and treatments of individuals with chronic, complex conditions such as Autism Spectrum Disorders, complex medical frailties, Alzheimer's and dementia, and more. The 50,000 square foot Research Institute is part of a broader adaptive reuse project that will transform the former Frontier headquarters into a Life Sciences hub that also includes a Children's Specialty Hospital, outpatient medical clinic, and special education school.

Results: The Research Institute will facilitate pioneering studies that will inform interventions, techniques, and tools for individuals with a range of complex conditions, including Autism Spectrum Disorders, medical frailties, Alzheimer's and dementia, and more. This project is fully aligned with the Strategic Plan for the Mid-Hudson Region and with New York State's vision to create a research corridor to strengthen the regional economy. TCFD seeks to broadly share learnings and best practices through lectures, conferences, publications, and other means to solidify the Mid-Hudson Region as the premier biomedical and research destination. By establishing an integrated research environment where no boundaries exist between science, medicine, and application of clinical

practice, this project will advance new treatments, medicines, and technologies, while also saving millions in Medicaid dollars related to complex care.

Economic Growth

Investment Project: No Benefit-Cost Analysis ("BCA") is required since these projects generate long-term benefits not captured in the short-term period used for the BCA and may involve no permanent job commitments.

Grantee Contact: Helena le Roux Ohm, Vice President of Strategic Partnerships
641 Old Route 17
Monticello, NY, 12701
Phone: (845) 707-8435
E-mail: hleroux@tcfcd.org

ESD Project No.: 132,655

Project Team:	Origination	Monique Le Gendre
	Project Management	Jay Vido
	Contractor & Supplier Diversity	Denise Ross
	Finance	Tim Anderson
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Grantee shall pay a commitment fee of 1% of the \$1,000,000 capital grant (\$10,000) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Grantee will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. The Grantee will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Grantee's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Grantee or by investors, and should be auditable through Grantee financial statements or Grantee accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project.
4. Up to \$1,000,000 will be disbursed to Grantee upon completion of the project substantially as described in these materials, documentation of total eligible project costs totaling \$4,760,000, and a Certificate of Occupancy, assuming that all project approvals have been completed and funds are available. Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses must be incurred on or after December 18, 2018, to be considered eligible project costs. All disbursements must be requested by April 1, 2022.

5. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$1,000,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Grantee and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

IV. Statutory Basis – Regional Council Capital Fund

The funding was authorized in the 2018 - 2019 New York State budget and reappropriated in the 2019 – 2020 and 2020-2021 New York State budget . No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

ESD staff has determined that the project constitutes a Type II action as defined by the New York State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Center shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women-owned Business Enterprises ("MWBEs") for any contractual opportunities generated in connection with the Project and to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30% related to the total value of ESD's funding.

VII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

VIII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

IX. Additional Submissions to Directors

Resolutions
New York State Map
Project Finance Memorandum

Regional Council Award – Rock Hill (Mid-Hudson Region – Sullivan County) – The Research Institute for Brain and Body Health Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the The Research Institute for Brain and Body Health Capital -- Regional Council Capital Fund - (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to The Center for Discovery, Inc. a grant for a total amount not to exceed One Million Dollars (\$1,000,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

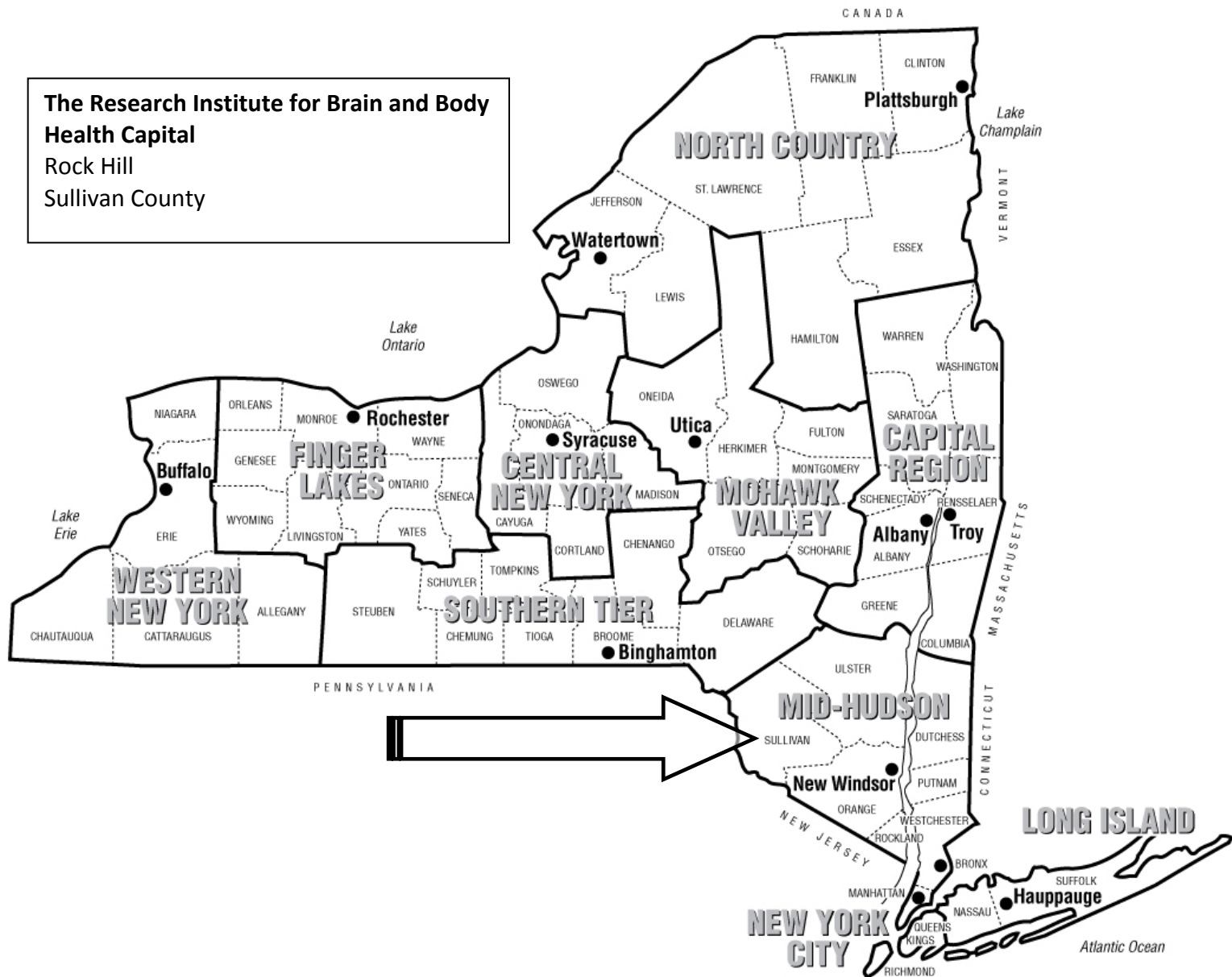
RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and

each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Priority Project – Kingston (Mid-Hudson Region – Ulster County) – North Street Brick Works Capital – Regional Council Capital Fund (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

General Project PlanI. Project Summary

Grantee: North Street Brick Works, LLC (“North Street” or the “Company”)

ESD* Investment: A grant of up to \$832,445 to be used for a portion of the cost of construction and renovation

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Location: 200 North Street, Kingston, Ulster County

Proposed Project: Redevelopment of a former industrial site into a waterfront destination to host fairs, weddings, performance events and a community market

Project Type: Adaptive reuse development involving job creation

Regional Council: The Mid-Hudson Regional Economic Development Council has been made aware of this item. The project is consistent with the Mid-Hudson Regional Economic Development Council Plan’s strategy of Live, Work, Play, including the rehabilitation and repurposing of existing assets and capitalizing on natural resources.

Employment:	Initial employment at time of ESD Incentive Proposal	
	at Project Location:	0
	Current employment level at Project Location:	3
	Minimum employment through January 1, 2022:	2*

*New employees cannot be transferred from other NYS locations

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Construction/Renovation	\$3,677,915
Furniture, Fixtures & Equipment	199,950
Soft Costs	<u>840,505</u>

Total Project Costs	<u>\$4,718,370</u>
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<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>
ESD-Grant	\$832,445	18%
Company Equity	3,885,925	<u>82%</u>
Total Project Financing	<u>\$4,718,370</u>	<u>100%</u>

III. Project Description

A. Company

Industry: Hospitality

Company History: Karl Slovin is the majority owner of North Street Brickworks, LLC and the driving force behind the Hutton Brickworks Redevelopment Project. Mr. Slovin has a track record of creative transformation development projects.

Ownership: Company is privately-owned.

Size: All facilities are located in New York

Market: Tourism and travel

ESD Involvement: North Street Brick Works is laying the groundwork for the transformative Hutton Brickyards project that will transform the City of Kingston's slumbering waterfront. The company will develop the former industrial park into a vibrant event-centered hospitality venue that will bring tourism, jobs, and new revenue to the City of Kingston. A Round 7 Regional Council Capital grant totaling \$832,445 was awarded to the Company in April 2018 in order to assist with a financing gap that would

prevent the project from moving forward in a timely manner. The Company accepted the offer in June 2018.

Competition: N/A

Past ESD Support: This is the Company's first project with ESD.

B. The Project

Completion: January 2020

Activity: As Phase I of a multi-phased project, the Company renovated a former industrial site as an entertainment venue and community market involving the redevelopment of several existing buildings for a ticket concierge office, construction of a permanent stage, new lighting, signage, sanitary facilities, back of house facilities, and expansion of onsite parking.

Results: The Company has already met its job commitment, having created 2 new jobs.

Business Investment

Project: Evaluated over a seven-year period, the following are anticipated project impacts (dollar values are present value):

- Fiscal benefits to NYS government from the project are estimated at \$380,352;
- Fiscal cost to NYS government is estimated at \$832,445;
- Project cost to NYS government per direct job is \$554,963;
- Project cost to NYS government per job (direct plus indirect) is estimated at \$330,336;
- Ratio of project fiscal benefits to costs to NYS government is 0.46:1;
- Fiscal benefits to all governments (state and local) are estimated at \$697,548;
- Fiscal cost to all governments is \$832,445;
- All government cost per direct job is \$554,963;
- All government cost per total job is \$330,336;
- The fiscal benefit to cost ratio for all governments is 0.84:1;
- Economic benefits (fiscal plus total net resident disposable income from project employment) are estimated at \$5,068,806, or \$2,011,435 per job (direct and indirect);
- The economic benefit to cost ratio is 6.09:1;
- Project construction cost is \$4,597,394, which is expected to generate 29 direct job years and 15 indirect job years of employment;

- For every permanent direct job generated by this project, an additional 0.69 indirect jobs are anticipated in the state's economy;
- The payback period for NYS costs is not calculated

Grantee Contact: Karl Slovin, President
 13949 Ventura Blvd., Suite 350
 Sherman Oaks, CA 91423
 Phone: (818) 501-5600
 E-mail: kslovin@mwestholdings.com

ESD Project No.: AC613

Project Team:	Origination	Monique LeGendre
	Project Management	Anna Franzini
	Contractor & Supplier Diversity	Denise Ross
	Finance	Tim Anderson
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Company shall pay a commitment fee of 1% of the \$832,445 capital grant (\$8,324) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Company will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. The Company will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Company's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Company or by investors, and should be auditable through Company financial statements or Company accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.
4. Prior to disbursement, the Company must employ at least the number of Full-time Permanent Employees set forth as the Baseline Employment in the table below. A Full-time Permanent Employee shall mean (a) a full-time, permanent, private-sector employee on the Grantee's payroll, who has worked at the Project Location for a minimum of thirty-five hours per week for not less than four consecutive weeks and who is entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties; or (b) two part-time, permanent, private-sector employees on Grantee's payroll, who have worked at the Project Location for a combined minimum of thirty-five hours per week for not less than four consecutive

weeks and who are entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties.

5. Up to \$832,445 will be disbursed to the Grantee in two installments as follows:
 - a) an Initial Disbursement of an amount equal to 50% of the grant (\$416,223) upon documentation of construction/renovation, furniture, fixtures and equipment and soft costs project costs totaling \$4,718,370, including \$140,103 in furniture, fixtures and equipment, upon completion of the project substantially as described in these materials as evidenced by a Certificate of Occupancy, and documentation of the employment of at least 1 Full-time Permanent Employee at the Project Location, assuming that all project approvals have been completed and funds are available;
 - b) a Second Disbursement of an amount equal to 50% of the grant (\$416,222) will be disbursed upon documentation of the employment of at least 2 Full-time Permanent Employees at the Project Location (Employment Increment of 1), provided Grantee is otherwise in compliance with program requirements.

Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses must be incurred on or after December 13, 2017, to be considered eligible project costs. All disbursements must be requested by April 1, 2022.

6. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$832,445, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.
7. In consideration for the making of the Grant, Grantee will achieve the Employment Goals set forth in Column B of the table below. If the Full-time Permanent Employee Count for the year prior to the reporting date set forth in Column A of the table below is less than eighty-five percent (85%) of the Employment Goal set forth in Column B (an "Employment Shortfall"), then upon demand by ESD, Grantee shall be obligated to repay to ESD a portion of each disbursement of the Grant, as follows:

The Recapture Amount is based on the time that has lapsed between when the Grant funds were disbursed and when the Employment Shortfall occurred. The Recapture Amount shall be calculated by aggregating the Recapture Amount for each disbursement of the Grant, which in each instance shall be equal to:

- (i) 100% of the disbursed amount if the Employment Shortfall occurred in the calendar year that the disbursement was made, or in the first full calendar year after the disbursement was made;
- (ii) 80% of the disbursed amount if the Employment Shortfall occurred in the second full calendar year after the disbursement was made;
- (iii) 60% of the disbursed amount if the Employment Shortfall occurred in the third full calendar year after the disbursement was made;

- (iv) 40% of the disbursed amount if the Employment Shortfall occurred in the fourth full calendar year after the disbursement was made;
- (v) 20% of the disbursed amount if the Employment Shortfall occurred in the fifth full calendar year after the disbursement was made.

The Grantee's number of Full-time Permanent Employees shall be deemed to be the greater of the number as of the last payroll date in the month of December for such year or the average employment for the 12 month period computed by quarter.

Baseline Employment	0
A	B
Reporting Date	Employment Goals
February 1, 2021	0+X+Y
February 1, 2022	0+X+Y

X = Grantee's Employment Increment that will be the basis of the First Disbursement of the Grant as described in section C.5 above (i.e. X=1, and Employment Goals shall equal $[0 + X = 1]$ if the First Disbursement is made, in the year such disbursement is made and for each year thereafter). If the First Disbursement has not yet been made then X=0.

Y = Grantee's Employment Increment that will be the basis of the Second Disbursement of the Grant as described in section C.5 above (i.e. Y=1, and Employment Goals shall equal $[0 + X + Y = 2]$ if the Second Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Second Disbursement has not yet been made then Y=0.

IV. Statutory Basis – Regional Council Capital Fund

The funding was authorized in the 2018-2019 New York State budget and re-appropriated in the 2019-2020 New York State budget. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

The City of Kingston Planning Board, as lead agency, has completed an environmental review of the project pursuant to the requirements of the State Environmental Quality Review Act ("SEQRA") and the implementing regulations of the New York State Department of Environmental Conservation. This review found the project to be a Type I Action, which would not have a significant effect on the environment. The lead agency issued a Negative Declaration on December 16, 2019. ESD staff reviewed the Negative Declaration and supporting materials and concurs. It is recommended that the Directors make a Determination of No Significant Effect on the Environment. No specific plan for future development of the subject property is currently proposed. At such time that any future development plan is proposed, it will be subject to review under SEQRA.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Company shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women-owned Business Enterprises ("MWBEs") for any contractual opportunities generated in connection with the Project and to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30%. The overall goal shall include a Minority Business Enterprise ("MBE") Participation Goal of 15% and a Women-owned Business Enterprise ("WBE") Participation Goal of 15% related to the total value of ESD's funding.

The Company is encouraged to use "Good Faith Efforts," pursuant to 9 NYCRR §252.2(m), to utilize NYS-certified Service-Disabled-Veteran-owned Business Enterprises ("SDVOBs") in the execution of the grant. Any utilization of SDVOBs would be in addition to goals established pursuant to Article 15-A of the Executive Law with respect to MWBEs.

VII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

VIII. Additional Submissions to Directors

Resolutions
New York State Map
Benefit-Cost Analysis
Project Finance Memorandum
Project Photographs

Regional Council Award – Priority Project – Kingston (Mid-Hudson Region – Ulster County)
– North Street Brick Works Capital – Regional Council Capital Fund (Capital Grant) –
Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt
the Proposed General Project Plan; Authorization to Make a Grant and to Take Related
Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the North Street Brick Works Capital -- Regional Council Capital Fund (Capital Grant) Project (the "Project"), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the "Act"), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the "Plan") for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to North Street Brick Works a grant for a total amount not to exceed Eight Hundred Thirty Two Thousand and Four Hundred and Forty Five Dollars (\$832,445) from the Regional Council Capital Fund , for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and

each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

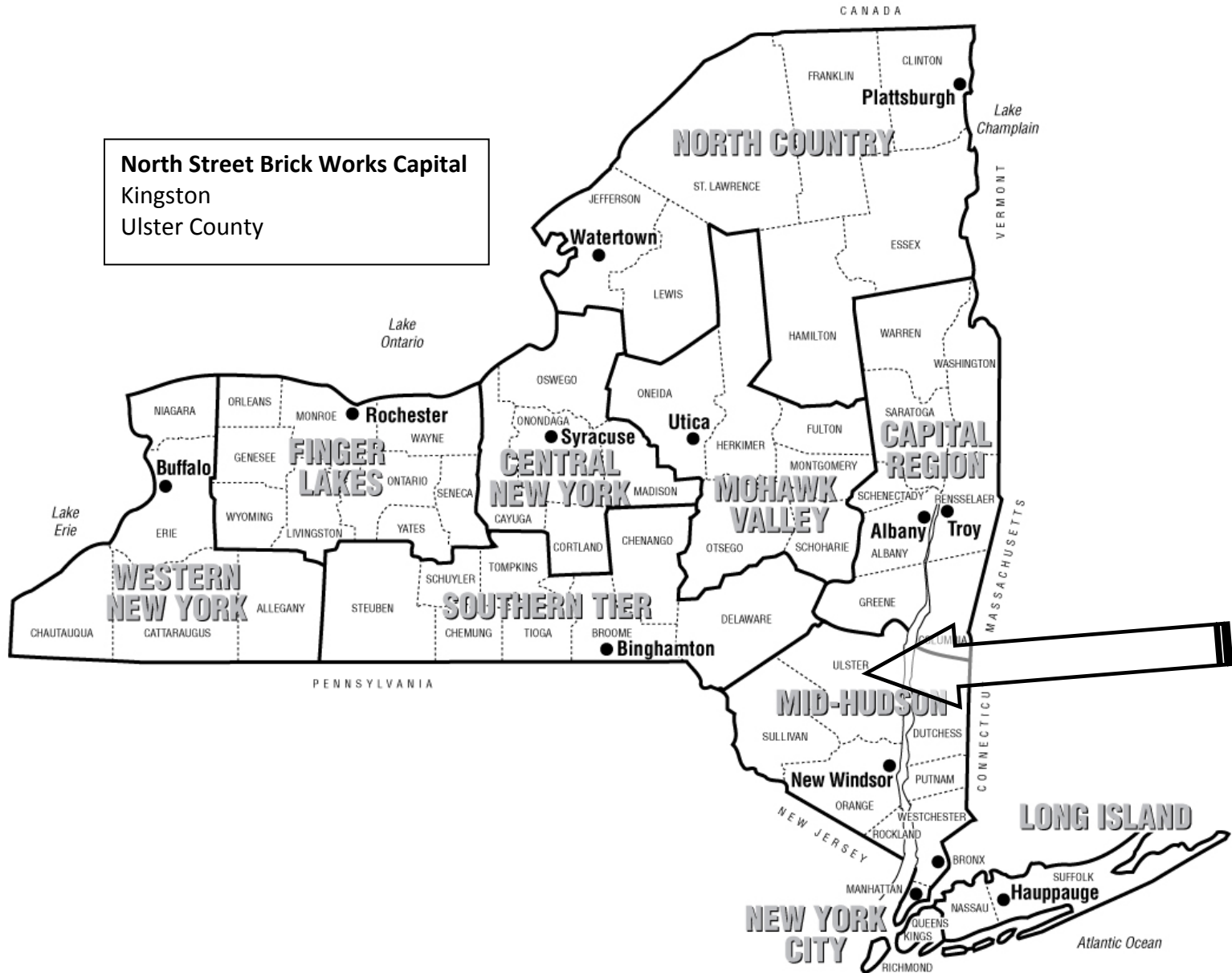
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June 25, 2020

Regional Council Award – Priority Project – Kingston (Mid-Hudson Region – Ulster County) – North Street Brick Works Capital – Regional Council Capital Fund (Capital Grant) Determination of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the North Street Brick Works Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *



Project Summary Benefit-Cost Evaluation¹

North Street Brick Works – Business Investment

Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits reported in the table below typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the table typically reflects only construction-related activity. Benchmarks for each type of project are noted in the footnotes.

Initial Jobs:	1	Construction Job Years (Direct):	29
New Jobs:	2 jobs in year one	Construction Job Years (Indirect):	15

Evaluation Statistics	Project Results NYS Gov't.	NYS Gov't. Benchmarks ²	Project Results State & Local Government	State & Local Government Benchmarks
Fiscal Costs³	\$832,445	\$794,250	\$832,445	\$1,020,500
Fiscal Benefits⁴	\$380,352	\$2,085,600	\$697,548	\$4,271,980
Fiscal Cost /Direct Job	\$554,963	\$3,000	\$554,963	\$4,110
Fiscal Cost/Total Jobs	\$330,336	\$1,424	\$330,336	\$1,964
Fiscal B/C Ratio	0.46	7.00	0.84	10.60
	Project Results	Benchmarks		
Economic Benefits⁵	\$5,068,806	\$119,468,000		
Econ. Benefits/Total Jobs	\$2,011,435	\$147,600		
Economic B/C Ratio	6.09	75.00		

¹ Dollar values are present value calculated over a seven-year period. Separate evaluations are made and reported for New York State government assistance alone and for State and Local government.

² The current project evaluation results (both fiscal and economic) are compared to performance measure benchmarks based on results of a sample of ESD non-retail projects. Business Investment project benchmarks are 7.00 (Fiscal) and 75.00 (Economic). Infrastructure Investment (or Economic Growth Investment) project benchmarks are 3.00 (Fiscal) and 30.00 (Economic).

³ Fiscal cost includes the value of grants, loans and associated default risks, and discretionary subsidies (such as tax exemptions or abatements on sales, property, and interest income).

⁴ Fiscal benefits are the loan repayments and tax revenues to New York State and Local governments generated by project activity. This includes estimated taxes on personal incomes from project direct and indirect employment, corporate and business incomes, excise and user taxes, property taxes, and other taxes.

⁵ Economic benefits are estimated project benefits measuring fiscal flows to government plus net resident disposable income from project direct and indirect employment net of transfers, without adjusting for individual income earners' opportunity cost of employment.

North Street Brick Works Capital



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Regional Council Award – Priority Project – Rensselaer (Capital Region – Rensselaer County) – Rensselaer Bioscience Development Upgrades Capital – Regional Council Capital Fund (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions; Determination of No Significant Effect on the Environment

General Project Plan**I. Project Summary**

Grantee: University at Albany Bioscience Development Corporation (“UABDC” or “the Organization”)

ESD* Investment: A grant of up to \$3,000,000 to be used for a portion of the cost of construction and renovations

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Location: 5 University Place, Rensselaer, Rensselaer County

Proposed Project: Facility upgrades and fit-out for use by life sciences-oriented tenants

Project Type: Life sciences facilities improvements

Regional Council: The project is consistent with the Capital Regional Economic Development Council Plan to advance research and the commercialization of the life sciences.

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Construction / Renovation	\$9,300,000
Infrastructure / Site Work	3,375,000
Machinery & Equipment Acquisition	750,000
Soft Costs	<u>1,575,000</u>

Total Project Costs \$15,000,000

<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>
ESD-Grant	\$3,000,000	20%
University at Albany Foundation	3,000,000	20%
Organization Equity	<u>9,000,000</u>	<u>60%</u>
Total Project Financing	<u>\$15,000,000</u>	<u>100%</u>

III. Project Description

A. Organization

Industry: Life sciences research

Organization History: In February 1996, the University at Albany Foundation purchased the 80-acre former Sterling Winthrop pharmaceutical complex located in East Greenbush, NY; the property was then transferred to the not-for-profit University at Albany Biosciences Development Corporation. The mission of UABDC, as expressed in its Certificate of Incorporation, is to create a commercial life science, research, translational and technology cluster in an environment in which new and technologically innovative businesses can develop and research can be translated into commercially viable high technology. UABDC leases laboratory and research space to a host of partners in this quest.

As of February 2020, the complex houses 21 tenants including satellite offices for the Albany College of Pharmacy, NYS Attorney General, NYS Department of Environmental Conservation, NYS Department of Health, Regeneron Pharmaceuticals, Albany Molecular Research Inc., the Research Foundation for The State University of New York and SUNY Oneonta.

Ownership: UABDC is a not-for-profit corporation.

Size: All facilities are located in East Greenbush, NY.

Market: Customers include life science researchers and innovators from both higher education and the private sector, bioscience startups, and other private and not-for-profit entities in the health sciences field.

Competitors are limited to mixed laboratory and office space within the greater Capital District.

ESD Involvement: The considerable age and outdated technology and infrastructure of the existing facility present a stark contrast to the expectations of the bioscience industry for laboratories and related facilities. These critical updates are a basic requirement for the success of current and prospective tenants. Buildings systems servicing these operations must be secure and dependable enough to justify the further investment and job creation by these and new tenants. The specific fit-out required is unique to scientific research and development. UABDC is a not-for-profit with its principal funding source being the positive cash flow generated by leasing space at market rates. Since obtaining the property the cash flow has been inadequate to fund the full reinvestment necessary for UABDC to update its inherited facilities and maintain the high level of quality demanded by the biotech industry. Without the additional funding, the future viability and level of success of the facility would be extremely limited.

In July 2016, UABDC applied for a capital grant via the Consolidated Funding Application. The Organization was awarded a grant through the Regional Council Capital Fund in December 2016. In July 2018, ESD offered UABDC a \$3,000,000 capital grant, which the Organization accepted the following month. Without the continued support of ESD, this project would not have been realized.

Competition: N/A

Past ESD Support: This is the Organization's first project with ESD.

B. The Project

Completion: December 2022

Activity: The project consists of improvements to the buildings and grounds of East Greenbush biotechnology complex owned by UABDC. UABDC buildings on-site include the Bruno Biotechnology Building, the Cancer Research Center, the George Education Center, the Isolator Solutions Building, and the Main Laboratory Building Complex (including a number of out-buildings containing the power plant, chillers and maintenance facilities). Collectively these buildings contain over 500,000 square feet of space.

Results: To date, twelve sub-projects have been completed, including:

- Cancer Research Center: energy-efficient updates to the AC system, construction of a new elevator machine room, replaced roof sections, construction of a tenant suite on the third floor;

- Main Laboratory Building: upgrade of the supply air fan, first phase of roof replacement, masonry improvements, renovation of labs and offices on the second and fourth floors for tenant occupancy;
- Demolition and hazmat abatement of the brick chimney belonging to the complex's central plant;
- And the reconstruction and expansion of the upper and Cancer Research Center parking lots.

Infrastructure
Investment

Project: No Benefit-Cost Analysis ("BCA") is required since these projects generate long-term benefits not captured in the short-term period used for the BCA and may involve no permanent job commitments.

Grantee Contact: Richard McGinn, Executive Director
1400 Washington Avenue UAB 226
Albany, NY 12222
Phone: (518) 437-5097
E-mail: rmcginn@albany.edu

ESD Project No.: AB760

Project Team:	Origination	Arnie Will
	Project Management	Alison Baxter
	Contractor & Supplier Diversity	Danielle Adams
	Finance	Christina Choi
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Organization shall pay a commitment fee of 1% of the \$3,000,000 capital grant (\$30,000) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Organization will demonstrate no materially adverse changes in its financial condition prior to disbursement.
3. The Organization will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Organization's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Organization or by investors, and should be auditable through Organization financial statements or Organization accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project.
4. Up to \$3,000,000 will be disbursed to the Grantee in four installments as follows:
 - a) an Initial Disbursement of an amount equal to 25% of the grant (\$750,000) upon documentation of construction/renovation, infrastructure/site work, machinery

- and equipment acquisition, and soft cost project costs totaling \$3,750,000, assuming that all project approvals have been completed and funds are available;
- b) a Second Disbursement of an amount equal to 25% of the grant (\$750,000) will be disbursed upon documentation verifying project costs of an additional \$3,750,000 (\$7,500,000 cumulative), provided Grantee is otherwise in compliance with program requirements;
 - c) a Third Disbursement of an amount equal to 25% of the grant (\$750,000) will be disbursed upon documentation verifying project costs of an additional \$3,750,000 (\$11,250,000 cumulative), provided Grantee is otherwise in compliance with program requirements;
 - d) a Fourth Disbursement of an amount equal to 25% of the grant (\$750,000) will be disbursed upon documentation verifying project costs of an additional \$3,750,000 (\$15,000,000 cumulative), provided Grantee is otherwise in compliance with program requirements.

Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses must be incurred on or after December 8, 2016, to be considered eligible project costs. All disbursements must be requested by April 1, 2023.

- 5. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$3,000,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Organization and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.
- 6. Grant funds will be subject to pro rata recapture if the property at the Project Location is sold within five years of disbursement of funds. The Recapture Amount is based on the time that has lapsed between when the Grant funds were disbursed and when the transfer occurred. The Recapture Amount shall be calculated by aggregating the Recapture Amount for each disbursement of the Grant, which in each instance shall be equal to:
 - (i) 100% of the disbursed amount if the transfer occurred in the calendar year that the disbursement was made, or in the first full calendar year after the disbursement was made;
 - (ii) 80% of the disbursed amount if the transfer occurred in the second full calendar year after the disbursement was made;
 - (iii) 60% of the disbursed amount if the transfer occurred in the third full calendar year after the disbursement was made;
 - (iv) 40% of the disbursed amount if the transfer occurred in the fourth full calendar year after the disbursement was made;
 - (v) 20% of the disbursed amount if the transfer occurred in the fifth full calendar year after the disbursement was made.

IV. Statutory Basis – Regional Council Capital Fund

The funding was authorized in the 2016-2017 New York State budget and reappropriated in the 2017-2018, 2018-2019, 2019-2020, and 2020-2021 New York State budgets. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

The Town of East Greenbush Planning Board, as lead agency, has completed an environmental review of the project pursuant to the requirements of the State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. This review found the project to be an Unlisted Action, which would not have a significant effect on the environment. The lead agency issued a Negative Declaration on December 27, 2017. ESD staff reviewed the Negative Declaration and supporting materials and concurs. It is recommended that the Directors make a Determination of No Significant Effect on the Environment.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Organization/Recipient shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women Business Enterprises (MWBEs) for any contractual opportunities generated in connection with the Project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30%. The overall goal shall include a Minority Business Enterprise Participation Goal of 15% and a Women Business Enterprise Participation Goal of 15% related to the total value of ESD's funding.

VII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

VIII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

IX. Additional Submissions to Directors

Resolutions

New York State Map

Project Finance Memorandum

Project Photographs

Regional Council Award – Priority Project – Rensselaer (Capital Region – Rensselaer County) – Rensselaer Bioscience Development Upgrades Capital – Regional Council Capital Fund (Capital Grant) – Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Rensselaer Bioscience Development Upgrades Capital – Regional Council Capital Fund (Capital Grant) Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to University at Albany Bioscience Development Corporation a grant for a total amount not to exceed Three Million Dollars (\$3,000,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and

each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

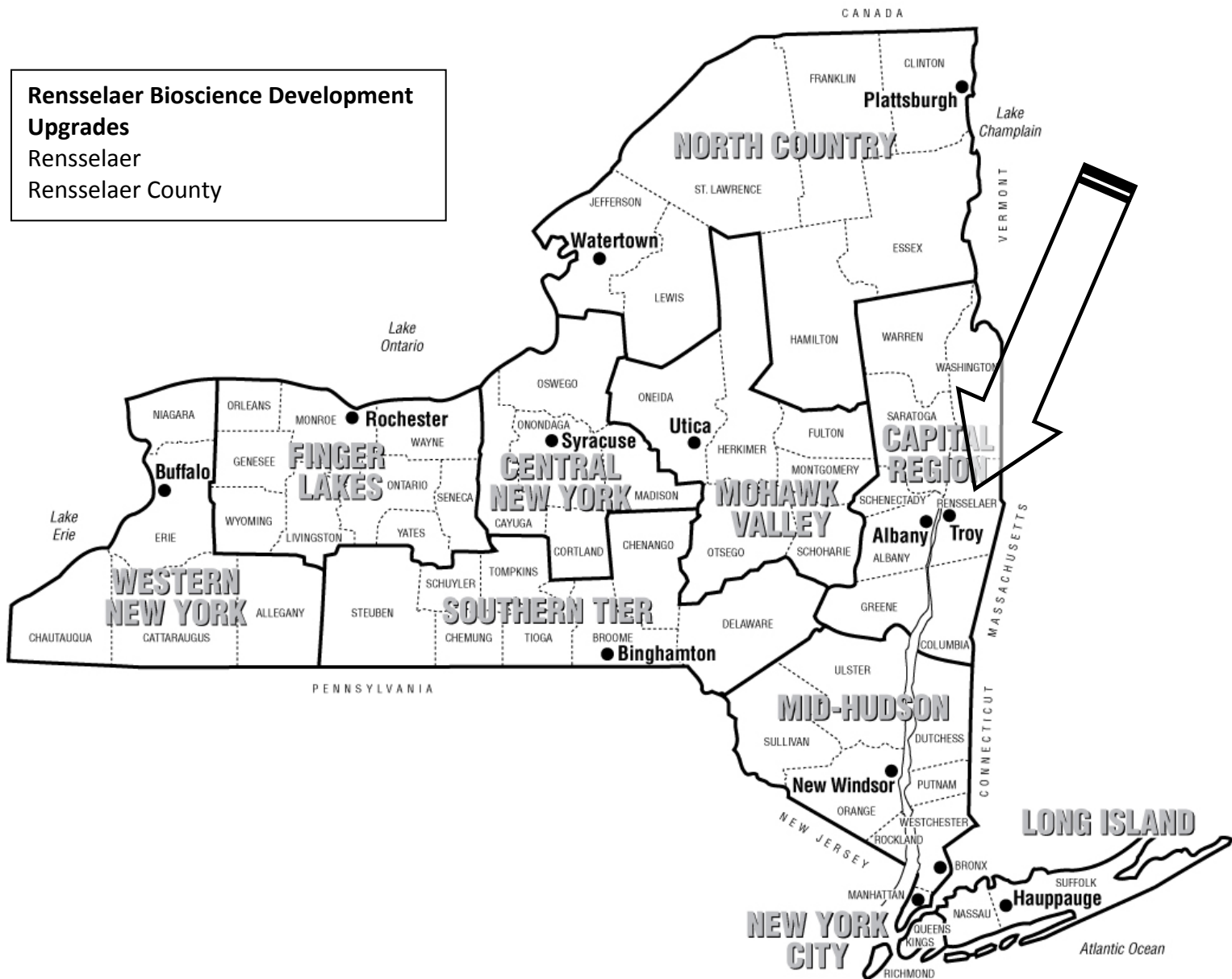
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June 25, 2020

Regional Council Award – Priority Project – Rensselaer (Capital Region – Rensselaer County) – Rensselaer Bioscience Development Upgrades Capital – Regional Council Capital Fund (Capital Grant) – Determination of No Significant Effect on the Environment

RESOLVED, that based on the material submitted to the Directors with respect to the Rensselaer Bioscience Development Upgrades Capital Project, the Corporation hereby determines that the proposed action will not have a significant effect on the environment.

* * *



Rensselaer Bioscience Development Upgrades Capital

Upper Parking Lot Grading



Upper Parking Lot Completed



Central Plant – Stack Demolition



Central Plant – Post Stack Demolition





FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Elmira (Southern Tier Region – Chemung County) – Air-Flo Manufacturing Capital – Regional Council Capital Fund (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

General Project Plan

I. Project Summary

Grantee: Air-Flo Manufacturing Company, Inc. (the “Air-Flo” or the “Company”)

ESD* Investment: A grant of up to \$475,000 to be used for a portion of the cost of construction, renovations and the purchase of machinery and equipment

* The New York State Urban Development Corporation doing business as Empire State Development (“ESD” or the “Corporation”)

Project Location: 365 Upper Oakwood Avenue, Elmira
224 North Main Street, Horseheads

Proposed Project: The purchase of the 310,000 square-foot former Belden facility to install new production lines and consolidate its truck and body accessory manufacturing operations.

Project Type: Business expansion involving job creation and retention.

Regional Council: The Southern Tier Regional Economic Development Council has been made aware of this item.

Employment: Initial employment at time of Application to ESD: 181
Current employment level: 230
Minimum employment on January 1, 2021: 240*

*New Employees cannot be transferred from other NYS locations

II. Project Cost and Financing Sources

<u>Financing Uses</u>	<u>Amount</u>
Building Purchase	\$2,200,000
Building Renovations	300,000
Machinery and Equipment	200,000

Total Project Costs	<u>\$2,700,000</u>
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<u>Financing Sources</u>	<u>Amount</u>	<u>Percent</u>	<u>Rate/Term/Lien</u>
ESD-Grant	475,000	17.5%	5.75%/5 yrs/first lien on RE
Chemung Canal Trust	1,955,000	72.4%	
Company Equity	<u>270,000</u>	<u>10.1%</u>	
Total Project Financing	<u>\$2,700,000</u>	<u>100%</u>	

III. Project Description

A. Company

Industry: Air-Flo Manufacturing is a truck equipment manufacturer producing various size truck bodies and related truck equipment.

Company History: The Company was founded in the 1940s by three brothers looking for a better way to harvest onions. The brothers developed and patented a mechanical harvester that used the principal of "air flow" to operate the harvester. In the 1960's, Air-Flo moved into the manufacturing of truck equipment with the introduction of ice control spreaders. By the 1980's, Air-Flo added dump truck bodies and the now very popular Flo N' Dump multi-purpose dump body to their growing line of truck equipment. In 2000, Air-Flo expanded their manufacturing facilities by opening a new plant in Elmira.

Ownership: The Company is privately-owned by Charles Musso Jr. and Tom Musso. The ownership is split 50/50 between them.

Size: In addition to the project facility the Company operates a manufacturing facility in Elmira Heights, with 242 employees

Market: The market area the Company serves is from the North and Southeastern States to the Midwestern States including Canada. Their customers are Truck Equipment Dealers as well as Municipals and State Departments of Transportation and Sanitation. Competitors include truck equipment manufacturers such as Rugby Mfg., Galion-Godwin Truck Body, LLC,

Henderson Products, Crysteel Mfg., Knapheide, and J&J Truck Body.

ESD Involvement: Air-Flo Manufacturing came to ESD in 2017 seeking assistance to consolidate its manufacturing operations into one large complex from the 5 different locations it had. The new larger plant had supported production growth and the start of manufacturing their new garbage packer. Without ESD assistance to lower costs, the Company wouldn't have been able to keep their skilled labor force, as the new facility is only 25 minutes from their previous location. ESD's offer of assistance, which included a \$475,000 capital grant and up to \$425,000 in August of 2017 was accepted on January 22, 2018. Excelsior Jobs Program tax credits were critical in the Company's decision to keep operations in New York.

Competition: Athens, Pennsylvania

Past ESD Support: This is the Company's first project with ESD.

B. The Project

Completion: January 2021

Activity: Build out of a new manufacturing facility. This facility and their existing facility has provided space for manufacturing of their various dump truck bodies.

Results: Employ 40 new Full-time Permanent Employees at the Project Location and retain 200 existing Full-time Permanent Employees. The Company has already exceeded its job commitment having retained 200 jobs and creating 42 new jobs.

Business
Investment
Project:

Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the estimated benefits typically reflect only construction-related activity.

Evaluated over a seven-year period, the following are anticipated project impacts (dollar values are present value):

- Fiscal benefits to NYS government from the project are estimated at \$6,086,390;
- Fiscal cost to NYS government is estimated at \$770,098;
- Project cost to NYS government per direct job is \$4,346;
- Project cost to NYS government per job (direct plus indirect) is estimated at \$2,191;
- Ratio of project fiscal benefits to costs to NYS government is 7.90:1;
- Fiscal benefits to all governments (state and local) are estimated at \$10,154,812;
- Fiscal cost to all governments is \$770,098;
- All government cost per direct job is \$4,346;
- All government cost per total job is \$2,191;
- The fiscal benefit to cost ratio for all governments is 13.19:1;
- Economic benefits (fiscal plus total net resident disposable income from project employment) are estimated at \$80,450,733, or \$228,936 per job (direct and indirect);
- The economic benefit to cost ratio is 104.47:1;
- Project construction cost is \$300,000, which is expected to generate 3 direct job years and 1 indirect job years of employment;
- For every permanent direct job generated by this project, an additional 0.98 indirect jobs are anticipated in the state's economy;
- The payback period for NYS costs is one year.

Grantee Contact: Chuck Musso, President
365 Upper Oakwood Ave
Elmira, NY 14903
Phone: (607) 733-8284
E-mail: Chuck@air-flo.com

ESD Project No.: AC251

Project Team:	Origination	Sarah Glose
	Project Management	Nick Sarchioto
	Contractor & Supplier Diversity	Jordan Lopez
	Finance	Kathy Uckert
	Environmental	Soo Kang

C. Financial Terms and Conditions

1. Upon execution of the grant disbursement agreement, the Company shall pay a commitment fee of 1% of the \$475,000 (\$4,750) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Company will demonstrate no materially adverse changes in its financial condition prior to disbursement.

3. The Company will be required to contribute a minimum of 10% of the total project cost in the form of equity contributed after the Company's acceptance of ESD's offer. Equity is defined as cash injected into the project by the Company or by investors, and should be auditable through Company financial statements or Company accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.
4. Prior to disbursement, the Company must employ at least the number of Full-time Permanent Employees set forth as the Baseline Employment in the table below. A Full-time Permanent Employee shall mean (a) a full-time, permanent, private-sector employee on the Grantee's payroll, who has worked at the Project Location for a minimum of thirty-five hours per week for not less than four consecutive weeks and who is entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties; or (b) two part-time, permanent, private-sector employees on Grantee's payroll, who have worked at the Project Location for a combined minimum of thirty-five hours per week for not less than four consecutive weeks and who are entitled to receive the usual and customary fringe benefits extended by Grantee to other employees with comparable rank and duties.
5. Up to \$475,000 will be disbursed to the Grantee in three installments as follows:
 - a) an Initial Disbursement of an amount equal to 40% of the grant (\$190,000) upon documentation of total project costs totaling \$2,700,000 including \$2,200,000 for facility acquisition and \$300,000 for construction and renovations and documentation of the employment of at least 181 Full-time Permanent Employees at the Project Location, assuming that all project approvals have been completed and funds are available;
 - b) a Second Disbursement of an amount equal to 30% of the grant (\$142,500) will be disbursed upon documentation of the employment of at least 220 Full-time Permanent Employees at the Project Location (Employment Increment of 30), provided Grantee is otherwise in compliance with program requirements;
 - c) a Third Disbursement of an amount equal to 30% of the grant (\$142,500) will be disbursed upon documentation of the employment of at least 240 Full-time Permanent Employees at the Project Location (Employment Increment of 29), provided Grantee is otherwise in compliance with program requirements.

Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. Expenses must be incurred on or after January 22, 2018, to be considered eligible project costs. All disbursements must be requested by April 1, 2023.

6. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$475,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

7. In consideration for the making of the Grant, Grantee will achieve the Employment Goals set forth in Column B of the table below. If the Full-time Permanent Employee Count for the year prior to the reporting date set forth in Column A of the table below is less than eighty-five percent (85%) of the Employment Goal set forth in Column B (an "Employment Shortfall"), then upon demand by ESD, Grantee shall be obligated to repay to ESD a portion of each disbursement of the Grant, as follows:

The Recapture Amount is based on the time that has lapsed between when the Grant funds were disbursed and when the Employment Shortfall occurred. The Recapture Amount shall be calculated by aggregating the Recapture Amount for each disbursement of the Grant, which in each instance shall be equal to:

- (i) 100% of the disbursed amount if the Employment Shortfall occurred in the calendar year that the disbursement was made, or in the first full calendar year after the disbursement was made;
- (ii) 80% of the disbursed amount if the Employment Shortfall occurred in the second full calendar year after the disbursement was made;
- (iii) 60% of the disbursed amount if the Employment Shortfall occurred in the third full calendar year after the disbursement was made;
- (iv) 40% of the disbursed amount if the Employment Shortfall occurred in the fourth full calendar year after the disbursement was made;
- (v) 20% of the disbursed amount if the Employment Shortfall occurred in the fifth full calendar year after the disbursement was made.

The Grantee's number of Full-time Permanent Employees shall be deemed to be the greater of the number as of the last payroll date in the month of December for such year or the average employment for the 12 month period computed by quarter.

Baseline Employment	200
A	B
Reporting Date	Employment Goals
February 1, 2021	200+X+Y
February 1, 2022	200+X+Y
February 1, 2023	200+X+Y
February 1, 2024	200+X+Y
February 1, 2025	200+X+Y

X = Grantee's Employment Increment that will be the basis of the Second Disbursement of the Grant as described in section C.5 above (i.e. X=20, and Employment Goals shall equal $[200 + X = 220]$ if the Second Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Second Disbursement has not yet been made then X=0.

Y = Grantee's Employment Increment that will be the basis of the Third Disbursement of the Grant as described in section C.5 above (i.e. Y=20, and Employment Goals shall equal $[200 + X + Y = 240]$ if the Third Disbursement is made, in the year such disbursement is made and for each year thereafter). If the Third Disbursement has not yet been made then Y=0.

IV. Statutory Basis – Regional Council Capital Fund

The funding was authorized and/or reappropriated in the 2020-2021 New York State budget. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

ESD staff has determined that the project constitutes a Type II action as defined by the New York State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Company shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women Business Enterprises (MWBES) for any contractual opportunities generated in connection with the Project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30% related to the total value of ESD's funding.

VII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

VIII. Additional Submissions to Directors

Resolutions
New York State Map
Benefit-Cost Analysis
Project Finance Memorandum

Elmira (Southern Tier Region – Chemung County) – Air-Flo Manufacturing Capital – Regional Council Capital Fund (Capital Grant) Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Air-Flo Manufacturing Capital – Regional Council Capital Fund (Capital Grant) Project (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, is hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written finding of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written finding being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make to Air-Flo Manufacturing Company, Inc. a grant for a total amount not to exceed Four Hundred and Seventy Five Thousand Dollars (\$475,000) from the Regional Council Capital Fund, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

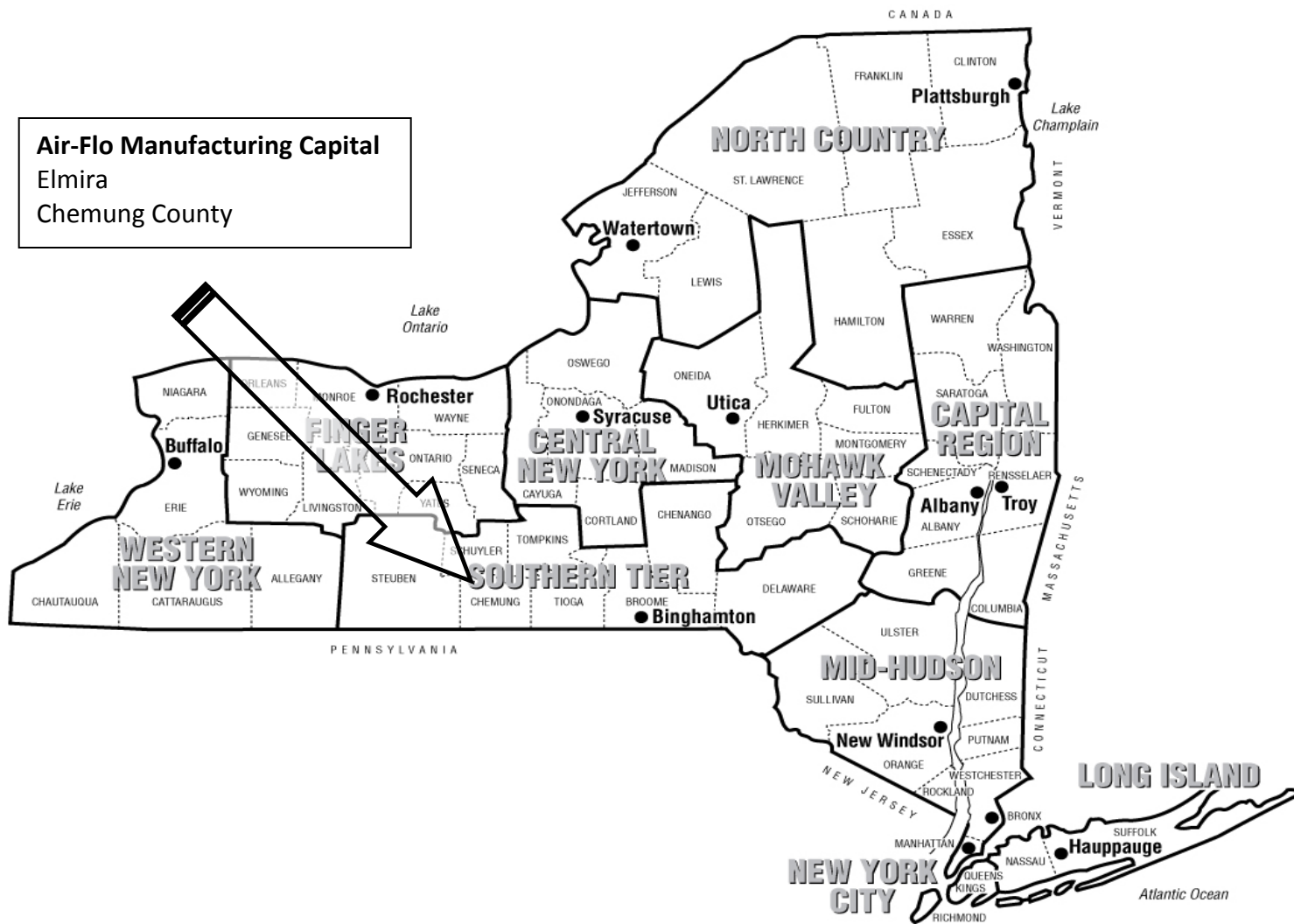
RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and

deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *



Project Summary Benefit-Cost Evaluation¹

Air-Flo Manufacturing Company, Inc. – Business Investment

Benefit-Costs Evaluations are used in evaluating projects that are categorized as Business Investment, Infrastructure Investment, and Economic Growth Investment and that involve 1) job retention and/or creation and/or 2) construction-related activity. For Business Investment projects, benefits reported in the table below typically reflect the impact of both jobs and construction-related activity. For Infrastructure Investment and Economic Growth Investment projects, which generate long-term benefits not captured in the period of analysis and may involve no permanent job commitments, the table typically reflects only construction-related activity. Benchmarks for each type of project are noted in the footnotes.

Initial Jobs:	181	Construction Job Years (Direct):	3
New Jobs:	59 jobs over four years	Construction Job Years (Indirect):	1

Evaluation Statistics	Project Results NYS Gov't.	NYS Gov't. Benchmarks ²	Project Results State & Local Government	State & Local Government Benchmarks
Fiscal Costs³	\$770,098	\$794,250	\$770,098	\$1,020,500
Fiscal Benefits⁴	\$6,086,390	\$2,085,600	\$10,154,812	\$4,271,980
Fiscal Cost /Direct Job	\$4,346	\$3,000	\$4,346	\$4,110
Fiscal Cost/Total Jobs	\$2,191	\$1,424	\$2,191	\$1,964
Fiscal B/C Ratio	7.90	7.00	13.19	10.60
	Project Results	Benchmarks		
Economic Benefits⁵	\$80,450,733	\$119,468,000		
Econ. Benefits/Total Jobs	\$228,936	\$147,600		
Economic B/C Ratio	104.47	75.00		

¹ Dollar values are present value calculated over a seven-year period. Separate evaluations are made and reported for New York State government assistance alone and for State and Local government.

² The current project evaluation results (both fiscal and economic) are compared to performance measure benchmarks based on results of a sample of ESD non-retail projects. Business Investment project benchmarks are 7.00 (Fiscal) and 75.00 (Economic). Infrastructure Investment (or Economic Growth Investment) project benchmarks are 3.00 (Fiscal) and 30.00 (Economic).

³ Fiscal cost includes the value of grants, loans and associated default risks, and discretionary subsidies (such as tax exemptions or abatements on sales, property, and interest income).

⁴ Fiscal benefits are the loan repayments and tax revenues to New York State and Local governments generated by project activity. This includes estimated taxes on personal incomes from project direct and indirect employment, corporate and business incomes, excise and user taxes, property taxes, and other taxes.

⁵ Economic benefits are estimated project benefits measuring fiscal flows to government plus net resident disposable income from project direct and indirect employment net of transfers, without adjusting for individual income earners' opportunity cost of employment.

FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Market NY Grant Program – Market New York (Capital Grant)

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act;
Authorization to Adopt the Proposed General Project Plan; Authorization
to Make a Grant and to Take Related Actions

I. Project Summary

	Project Name	Project #	Grantee	Assistance Up To
	Market New York Program			
A	Philipsburg Manor Bridge and Wharf Market NY Capital	AB572	Historic Hudson Valley	\$400,000
	TOTAL MARKET NY PROJECTS - 1		TOTAL	\$400,000

ESD* Investment: Up to a total of \$400,000 from Market NY Round 6 to be used for a
tourism capital project in the Mid-Hudson region of New York State

*The New York State Urban Development Corporation doing business as
Empire State Development (“ESD” or the “Corporation”)

Project Locations: See Schedule A attached

Proposed Projects: See Schedule A attached

Regional Council: The Regional Economic Development Council has been made aware of,
and has endorsed, the relevant proposed projects.

Anticipated
Appropriation
Source(s): Market New York Program

II. Project Cost and Financing Sources

See Schedule A attached.

III. Project Description

A. Background

Rounds 7, 8 & 9 of the Regional Council Consolidating Funding Application all included up to \$15 million for Market New York, Round 6 included \$13.5 million, Rounds 4 & 5 up to \$12 million and Round 3 had a total available of up to \$10 million for a program that will support regionally themed New York focused projects. Market New York will help to bolster tourism growth by promoting tourism destinations, attractions, and special events. Funding is available for tourism marketing initiatives, capital/construction projects and the recruitment and/or execution of special events, including meetings, conferences, conventions, festivals, agritourism/craft beverage events, athletic competitions and consumer and industry trade shows.

Funding is available for projects intended to increase tourism in a community or region. Grant funding will be allocated among the ten regions, each represented by a Regional Council, based on each Regional Council's development and implementation of a five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. Funding will be allocated to projects, including priority projects identified by the regional councils, identified as significant, regionally supported and capable of stimulating economic investment through attraction of tourists to the dedicated area.

B. The Project

ESD will make available \$400,000 from Round 6 to fund one capital project. The grantee has identified and prioritized a Regional Marketing and Capital Tourism project that supports the Regional Economic Development Council's strategic plans for tourism and will coordinate with New York State's "I LOVE NEW YORK" tourism division to maximize the overall program impact statewide. The Market NY Grantee will carry out its Regional Marketing Tourism project as described in the individual project description as set forth in Schedule A attached.

Project Team:	Project Management	Lisa Smith
	Program Director	Kelly Baquerizo
	Contractor & Supplier Diversity	Geraldine Ford
	Environmental	Soo Kang

Financial Terms and Conditions

ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$400,000 for the project, if ESD determines that reallocation of the assistance would better serve the needs of the Grantee and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

IV. Statutory Basis

Market New York Program

The funding was authorized in the 2016-2017 New York State budget and reappropriated in the 2017-2018, 2018-2019, 2019-2020, and 2020-2021 New York State budget. No residential relocation is required as there are no families or individuals residing on the site.

V. Environmental Review

Unless otherwise noted on a project summary attached as Schedule A, ESD staff has determined that the projects described in Schedule A either constitutes a Type II action or does not constitute an action as defined by the New York State Environmental Quality Review Act ("SEQRA") and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

VI. Non-Discrimination and Contractor & Supplier Diversity

ESD's Non-discrimination and Contractor Diversity policies will apply to the project. The Grantee shall be required to use good faith efforts to achieve an overall Minority and Women Business Enterprise ("MWBE") Participation Goal, each project has been assigned an individual goal by the Office of Contractor & Supplier Diversity based on the elements of the individual project and related to the total value of ESD's funding and to solicit and utilize MWBEs for any contractual opportunities generated in connection with the project.

VII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since this project will not directly create or retain jobs.

VIII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

IX. Requested Actions

The Directors are requested to: (1) make the findings and determination required by Section 10(g) of the UDC Act; and (2) authorize the making of a grant which is the subject of these materials.

X. Recommendation

Based on the foregoing, I recommend approval of the requested actions.

Additional Submissions to Directors

Resolutions
Schedule A

Statewide – Market New York Program (Capital Grant) – Findings and Determinations
Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project
Plan; Authorization to Make a Grant and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Market New York Program Project identified below (the “Project”), the Corporation hereby determines pursuant to Section 10 (g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plan (the “Plan”) for the Project submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, a copy of which Plan, together with such changes, are hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written findings of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearing held on the Plan, such Plan shall be effective at the conclusion of such hearing, and that upon such written findings being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make a to grant to the party and for the amount listed below from Market New York Program for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable; (2) receipt of all other necessary approvals; and (3) receipt of funds;

Market New York Program

	Project Name	Project #	Grantee	Assistance Up To
	Market New York Program			
A	Philipsburg Manor Bridge and Wharf Market NY Capital	AB572	Historic Hudson Valley	\$400,000
	TOTAL MARKET NY PROJECTS - 1		TOTAL	\$400,000

and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

A. Philipsburg Manor Bridge and Wharf Market NY Capital (AB572)

June 25, 2020

General Project Plan

- Grantee:** Historic Hudson Valley (“HHV” or the “Organization”)
- ESD Investment:** A grant of up to \$400,000 to be used for regional tourism marketing funding
- Project Location:** 381 N Broadway, Sleepy Hollow, Westchester County
- Proposed Project:** Restoration of the Philipsburg Manor Wharf and completion of the pedestrian bridge to enhance the overall historic destination experience and motivating increase visitation
- Regional Council:** The Mid-Hudson Regional Economic Development Council has been made aware of this project. The Incentive Offer was accepted in August 2018. The project is consistent with the Regional Plan to promote tourism within the Mid-Hudson Region and across New York State.

Background:

Organizational History – Chartered in 1951 by the Board of Regents of the State University of New York as an educational institution, Historic Hudson Valley originally named Sleepy Hollow Restorations, was created by John D. Rockefeller, Jr. The mission of the Organization is to celebrate the history, architecture, landscape, and culture of the Hudson River Valley and ensuring its preservation.

HHV welcomes the public at five National Historic Landmark sites along the Hudson River: Philipsburg Manor, Van Cortlandt Manor, Washington Irving’s Sunnyside, Union Church of Pocantico Hills, and Kykuit, the Rockefeller Estate. The sites possess documented historical integrity, architectural distinction, superb decorative and fine arts collections, and exceptional importance of landscape and setting. HHV’s Regional History Center includes spaces for public programs and meetings, as well as facilities for staff, researchers, volunteers, and interns.

HHV offers a range of public programs at the sites and beyond that are designed to appeal to a variety of interests and learning styles. Included are daily site tours, school-time programs, after-school enrichment programs for underserved youth, teacher training workshops, exhibitions, and internships. Seasonal festivals and events celebrate the rich history, culture, and folklore of the region, helping to build traditional museum audiences, attract visitors, and generate economic activity through heritage tourism.

Philipsburg Manor Bridge and Wharf Market NY Capital (AB572)

June 25, 2020

Ownership – Historic Hudson Valley is a not-for-profit educational organization.

ESD Involvement – A \$400,000 grant from the Market New York Grant Program

Past ESD Support – Funding for the past five years to the grantee is summarized in the following table:

Program	Project #	Amount	Date Start (ESD Directors' Approval Date)	Date End (Project Completion Contract Expiration)	Purpose
Market NY Program	AB429	\$159,937	July 27, 2017	December 11, 2019	Working Capital Grant- Promotion of a Halloween event at Van Cortland Manor

The Project:

Completion Date – June 2020

Activity – In late 2018, HHV began repairing the wooden elements of the Philipsburg Manor's Wharf and the pedestrian bridge. The Organization will replace degraded and unsafe structures that were subject to years of weathering, intense storms, and flooding.

Results – Philipsburg Manor is a major tourist destination attracting roughly 56,000 visitors per year for tours, school visits, education programs, and blockbuster seasonal events such as the haunted village experience Horseman's Hollow in the fall and the Sheep-to-Shawl festival each spring. The pedestrian bridge provides the primary access from the Visitor's Center, across the Pocantico River, to the heart of the historic site. The completed project at Philipsburg Manor will improve infrastructure which will allow HHV to develop new programs and special events, accommodate increased attendance, and ensure visitor safety.

Upon completion of the project, the Grantee will furnish a final report describing the impact and effectiveness of the project.

Financing Uses	Amount	Financing Sources	Amount	Percent
Construction/Renovation	2,106,025	ESD Grant	\$400,000	16%
Landscape Improvements	186,835	Grantee Equity	2,035,955	84%
Soft Costs	143,095			
Total Project Costs	\$2,435,955	Total Project Financing	\$2,435,955	100%

Philipsburg Manor Bridge and Wharf Market NY Capital (AB572)

June 25, 2020

Grantee Contact - Jennifer Kovalskaya, Controller
639 Bedford Road
Tarrytown, NY 10591
Phone: (914) 366-6941
E-mail: jkovalskaya@hudsonvalley.org

<u>Project Team</u> -	Origination	Kelly Rabideau-Baquerizo
	Project Management	Arlinda Eggleston
	Contractor & Supplier Diversity	Denise Ross
	Environmental	Soo Kang

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial conditions prior to disbursement.
2. Upon execution of the grant disbursement agreement, the Company shall pay a commitment fee of 1% of the \$400,000 capital grant (\$4,000) and reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
3. The Grantee will be required to contribute a minimum of 80% of the total project cost in the form of a match that can consist of local, federal, foundational or other organizations' fund. Other State funds (including other funding from ESD), "in-kind" matches/donations and salaries/wages/fringe benefits are not an eligible match for this requirement. The match must be committed and specifically shown in the project budget. Grantee's affirmation of these Directors' materials will be considered by ESD as validation of this committed matching requirement.
4. Up to \$400,000 will be disbursed in a lump sum upon project completion, substantially as described in these materials, and as evidenced by attainment of a certificate of occupancy or other documentation verifying project completion as ESD may require, and documentation verifying construction, renovation, landscape improvements, and soft cost project expenditures of \$2,435,955. Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require (including the mandatory project measurements/metrics form and documentation included in the Grant Disbursement Agreement). Expenses must be incurred on or after December 8, 2016 to be considered eligible project costs. All disbursements require compliance with program requirements and must be requested by no later than April 1, 2021.
5. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$400,000 for this project if ESD determines that the reallocation of the

Philipsburg Manor Bridge and Wharf Market NY Capital (AB572)

June 25, 2020

assistance would better serve the needs of the Grantee and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount

6. All projects should align with I Love NY marketing. It is required that all projects use the I LOVE NY logo with all marketing and promotion elements paid with Market NY Funds for the awarded project. Any use of the I LOVE NEW YORK logo must be approved by ESD and conform to ESD guidelines. Additionally, In the event I LOVE NY/NYS Division of Tourism chooses to have a presence at events in connection with this grant, no further funds shall be exchanged for a sponsorship or space fee

Environmental Review:

ESD staff has determined that the project constitutes a Type II action as defined by the New York State Environmental Quality Review Act and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the project.

Due to the site's listing in the New York State and National Registers of Historic Places, ESD has confirmed that the project sponsor consulted with the New York State Office of Parks, Recreation and Historic Preservation pursuant to the requirements of Section 14.09 of the New York State Parks, Recreation and Historic Preservation Law. No further consultation is required.

Non-Discrimination and Contractor & Supplier Diversity:

Pursuant to New York State Executive Law Article 15-A, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of New York State certified Minority and Women-owned Business Enterprises (MWBEs) in the performance of ESD projects. For purposes of this Project, however, MWBE goals will not be established due to the unavailability of certified MWBEs for performance of this project. Recipient shall acknowledge and adhere to ESD's Non-discrimination and Equal Employment Opportunity ("EEO") policies.

Statutory Basis – Market New York Program:

The funding was authorized in the 2017-2018 New York State budget and reappropriated in the 2018-2019, 2019-2020 and 2020-2021 New York State budget(s). No residential relocation is required as there are no families or individuals residing on the site.

Disclosure and Accountability Certifications:

The Grantee has provided ESD with the required Disclosure and Accountability Certifications. Grantee's certifications indicate that Grantee has no conflict of interest or good standing violations and, therefore, staff recommends that the Corporation authorize the grant to the Grantee as described in these materials.

FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Non-Discretionary Projects

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project Plans; Authorization to Make Grants and to Take Related Actions

Attached is the summary of the projects sponsored by the New York State Executive and Legislative branches:

	Project Name	Project #	Grantee	Assistance Up To
	Local Assistance (Senate)			
A.	Brooklyn Chamber of Commerce - In Your Neighborhood Working Capital	133,662	Brooklyn Chamber of Commerce	\$300,000
B.	Children's Specialty Hospital at Rock Hill Capital	133,690	The Center for Discovery, Inc.	\$1,000,000
	TOTAL NON-DISCRETIONARY PROJECTS - 2		TOTAL	\$1,300,000

I. Statutory Basis

The projects were sponsored by the Executive, Assembly or Senate, and were authorized or reappropriated in the 2019-2020 New York State budget. No residential relocations are required as there are no families or individuals residing on the sites.

II. Environmental Review

Unless otherwise noted on a project summary, ESD* staff has determined that the projects constitute Type II actions as defined by the New York State Environmental Quality Review Act and the implementing regulations for the New York State Department of Environmental Conservation. No further environmental review is required in connection with the projects.

III. Non-Discrimination and Contractor & Supplier Diversity

Pursuant to New York State Executive Law Article 15-A, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority and women-owned businesses in the performance of ESD contracts. Accordingly, ESD's Non-discrimination and Contractor & Supplier Diversity policy will apply to the projects. Unless otherwise specified in the project summary, Grantees shall use their Good Faith Efforts to achieve an overall Minority and Women Business Enterprise ("MWBE") Participation Goal of 30% related to the total value of ESD's funding. This shall include a Minority Business Enterprise ("MBE") Participation goal of 15% and a Women Business Enterprise ("WBE") Participation goal of 15%. Grantees shall use Good Faith Efforts to solicit and utilize MWBEs for any contractual opportunities generated in connection with the projects and to include minorities and women in any job opportunities created by the projects.

IV. ESD Employment Enforcement Policy

Unless otherwise noted on a project summary, the ESD Employment Enforcement Policy will not apply since the projects will not directly create or retain jobs.

V. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

VI. Additional Requirements

Pursuant to direction received from the New York State Office of the Attorney General ("OAG"), individual project summaries may be subject to comment and approval by the OAG.

Due diligence has been exercised by ESD staff in reviewing information and documentation received from grantees/borrowers and other sources, in preparation for bringing projects to the ESD Directors for approval. The due diligence process also involves coordination with a number of external constituents, including the OAG, and grantees/borrowers have provided ESD with the required Disclosure and Accountability Certifications.

* The NYS Urban Development Corporation d/b/a as Empire State Development ("ESD" or the "Corporation")

Also, pursuant to s.2879-a of the Public Authorities Law, the Office of the State Comptroller ("OSC") has notified the Corporation that it will review all grant disbursement agreements ("GDAs") of more than one million dollars (\$1 million) that are supported with funds from the Community Projects Fund ("007"). Such GDAs, therefore, will not become valid and enforceable unless approved by the OSC. A clause providing for OSC review will be included in all GDAs that are subject to such approval.

VII. Additional Submissions to Directors

Resolutions

Project Summaries

New York State Map

Local Assistance – (Working Capital and Capital Grants) Findings and Determinations
Pursuant to Section 10(g) of the Act; Authorization to Adopt the Proposed General Project
Plan; Authorization to Make Grants and to Take Related Actions

RESOLVED, that on the basis of these materials, a copy of which is hereby ordered filed with the records of the Corporation, relating to the Local Assistance Projects identified below (the “Project”), the Corporation hereby determines pursuant to Section 10(g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area(s); and be it further

RESOLVED, that the Corporation does hereby adopt, subject to the requirements of Section 16(2) of the Act, the proposed General Project Plans (the “Plan”) for the Projects submitted to this meeting, together with such changes therein as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, copies of such Plans, together with such changes, are hereby ordered filed with the records of the Corporation; and be it further

RESOLVED, that upon written findings of the President and Chief Executive Officer Designate of the Corporation or his designee(s) that no substantive negative testimony or comment has been received at the public hearings held on the Plans, such Plans shall be effective at the conclusion of such hearing, and that upon such written findings being made, the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make a grant to the party and for the amount listed below from Local Assistance Program, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized to make a grant to the party and for the amount listed below from the Local Assistance program, for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer Designate of the Corporation or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable; (2) receipt of all other necessary approvals; and (3) receipt of funds

Local Assistance – Senate – Project Summary Table

	Project Name	Project #	Grantee	Assistance Up To
	Local Assistance (Senate)			
A.	Brooklyn Chamber of Commerce - In Your Neighborhood Working Capital	133,662	Brooklyn Chamber of Commerce	\$300,000
B.	Children's Specialty Hospital at Rock Hill Capital	133,690	The Center for Discovery, Inc.	\$1,000,000
	TOTAL LOCAL ASST. PROJECTS - 2		TOTAL	\$1,300,000

and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of the Corporation to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

A. Brooklyn Chamber of Commerce - In Your Neighborhood Working Capital (133,662)
June 25, 2020

General Project Plan

Grantee: Brooklyn Chamber of Commerce (the “Chamber” or the “Organization”)

Beneficiary: Brooklyn Alliance, Inc. (the “Alliance”)

ESD Investment: A grant of up to \$300,000 to be used for a portion of the cost of various programmatic and administrative expenses

Project Location: 335 Adams Street, Brooklyn, Kings County

Proposed Project: Funds will be used to support four programs: Neighborhood Entrepreneurship Project, Brooklyn Goes Global, Good Help, and Brooklyn Alliance Capital

Project Type: Working Capital

Regional Council: The New York City Regional Economic Development Council has been made aware of this item.

Background:

Industry – Economic development

Company History - Founded in 1967, Brooklyn Alliance, Inc. is the economic development affiliate of the Brooklyn Chamber of Commerce. The Alliance drives community and economic development across Brooklyn’s diverse neighborhoods through services to employers. Each year, the Alliance serves over 10,000 businesses and individuals in Brooklyn through a targeted portfolio of programs including business development and assistance, workforce development, health care, neighborhood development, merchant organizing, policy and advocacy, and tourism. All Alliance initiatives are done under the branding of the Brooklyn Chamber of Commerce.

Ownership - The Brooklyn Chamber of Commerce is a not-for-profit organization.

Size - All facilities located in Brooklyn, NY.

ESD Involvement - A \$300,000 appropriation was included in the FY 2019-2020 New York State budget.

Past ESD Support - Funding for the past five years to the Grantee is summarized in the following chart:

A. Brooklyn Chamber of Commerce - In Your Neighborhood Working Capital (133,662)

June 25, 2020

Program	Project #	Amount	Date Start (ESD Directors' Approval Date)	Date End (Project Completion: Contract Expiration)	Purpose
NYPA OFB Craft Bev Marketing	Z882	\$250,000	April 16, 2015	August 26, 2016	Working Capital Grant – Craft beverage industry tourism promotion
NYPA OFB Craft Bev Marketing	AB105	\$18,260	October 20, 2016	April 28, 2017	Working Capital Grant – Regional tourism promotion
NYPA OFB Craft Bev Marketing	AA759	\$145,886	November 17, 2016	July 29, 2017	Working Capital Grant – Craft beverage industry tourism promotion
LOCAL ASST (A)	AB140	\$500,000	November 17, 2016	May 22, 2017	Working Capital Grant – Programmatic and administrative expenses
Economic Development Initiatives 16-17	AB387	\$41,175	February 16, 2017	September 9, 2017	Working Capital Grant– Export focused activities
LOCAL ASST (A)	AC109	\$500,000	May 24, 2018	October 24, 2019	Working Capital Grant – Programmatic and administrative expenses

Brooklyn Chamber of Commerce - In Your Neighborhood Working Capital (133,662)

June 25, 2020

Economic Development Initiatives 17-18	AC452	\$45,996	June 28, 2018	January 8, 2019	Working Capital – Export focused activities
LOCAL ASST (A)	133,047	\$500,000	February 20, 2020	December 31, 2021	Working Capital Grant – Programmatic and administrative expenses

The Project:Completion – March 2020

Activity - To help address the needs of communities and small businesses, the Chamber's Neighborhood Entrepreneurship Project provides comprehensive technical assistance and support services to commercial corridors. Under this program, the Chamber engaged in merchant organizing, placemaking, and business attraction and retention activities in neighborhoods across the borough. The Chamber also provided on-the-ground assessments and assistance to individual businesses.

Funds were used to support four programs, Neighborhood Entrepreneurship Project, Brooklyn Goes Global, Good Help, and Brooklyn Alliance Capital. All Alliance initiatives are done under the branding of the Brooklyn Chamber.

Brooklyn Goes Global is the marketing and export assistance program for Brooklyn's manufacturers. Under this initiative, the Chamber produced Building Brooklyn Awards, a trade show to assist the real estate industry with accessing new markets. The Chamber also organized marketing and promotion opportunities for these products, connect Brooklyn Goes Global products with business opportunities, issue Certificates of Origin, organize trade missions, and subsidize participation in the 2019 Summer Fancy Food Show in New York City.

Through Good Help, the Chamber's boutique job placement service, the Chamber worked with employers to recruit candidates for open positions. Working with community-based organizations, the Chamber recruited and screened job seekers for low-income communities or who face numerous obstacles to employment. As part of Good Help, the Chamber conducted job skills presentations and interviews in low-income communities. In addition, the Chamber hosted the Brooklyn Bridge to

Brooklyn Chamber of Commerce - In Your Neighborhood Working Capital (133,662)

June 25, 2020

Employment Career Expo, a unique career fair focusing on the employment needs of Brooklyn businesses, held on an annual basis through Good Help.

Brooklyn Alliance Capital provided cash flow assistance to low-income, minority, and immigrant entrepreneurs and small business owners throughout Brooklyn to increase

Results - The Neighborhood Entrepreneurial Project allowed the Chamber to engage at least 100 merchants, from at least 7 different neighborhoods, in activities designed to strengthen commercial corridors. The Build Brooklyn Awards trade show drew at least 50 exhibitors and 300 attendees. The Good Help program allowed the Chamber to serve at least 200 businesses, make at least 75 job placements, and screen at least 400 candidates. Finally, the Brooklyn Alliance Capital program will provide much needed access to financing opportunities for to low-income, minority, and immigrant entrepreneurs and small business owners throughout Brooklyn.

Upon completion of the project, the Grantee will furnish a final report describing the impact and effectiveness of the project.

Financing Uses	Amount	Financing Sources	Amount	Percent
Neighborhood Entrepreneurship Project	\$53,213	ESD Grant	\$300,000	88%
Brooklyn Goes Global	107,868	Company Equity	41,192	12%
Good Help	106,444			
Brooklyn Alliance Capital	42,618			
Travel	382			
Occupancy	30,667			
Total Project Costs	\$341,192	Total Project Financing	\$341,192	100%

Grantee Contact - Chandraban Motilall, CFO
335 Adams Street, Suite 2700
Brooklyn, NY, 11201
Phone: (718) 875-1000 x112
E-mail: cmotilall@brooklynchamber.com

Project Team - Project Management Jay Vido
Contractor & Supplier Diversity Danah Alexander
Environmental Soo Kang

Brooklyn Chamber of Commerce - In Your Neighborhood Working Capital (133,662)

June 25, 2020

Financial Terms and Conditions:

1. The Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. Up to \$300,000 will be disbursed to Grantee, in a lump sum, upon completion of the project substantially as described in these materials, and documentation of working capital project costs totaling \$300,000, assuming that all project approvals have been completed and funds are available. Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. All project expenditures must have been incurred after April 1, 2019, the date that the New York State budget, in which the project is authorized, was passed.
3. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$300,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Grantee and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

Non-Discrimination and Contractor & Supplier Diversity:

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this project. The Grantee shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women Business Enterprise (MWBEs) for any contractual opportunities generated in connection with the project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve MWBE Participation. Establishment of specific goals related to the total value of ESD's funding is still pending.

Statutory Basis – Local Assistance:

The funding was authorized in the 2019-2020 New York State budget and reappropriated in the 2020-2021 New York State budget. No residential relocation is required as there are no families or individuals residing on the site.

Disclosure and Accountability Certifications:

The Grantee has provided ESD with the required Disclosure and Accountability Certifications. Grantee's certifications indicate that Grantee has no conflict of interest or good standing violations and, therefore, staff recommends that the Corporation authorize the grant to the Grantee as described in these materials.

B. Children's Specialty Hospital at Rock Hill Capital (133,690)

June 25, 2020

General Project Plan

Grantee: The Center for Discovery, Inc. ("TFCD," or the "Center")

ESD Investment: A grant of up to \$1,000,000 to be used for a portion of the soft costs associated with the design phase of the Children's Specialty Hospital at Rock Hill (the "Hospital")

Project Location: 195 Lake Louise Marie Road, Rock Hill, Sullivan County

Proposed Project: Design phase of the Children's Specialty Hospital at Rock Hill

Project Type: Capital

Regional Council: The Mid-Hudson Regional Economic Development Council has been made aware of this item.

Background:

Industry – Education, Research, Medical

Company History – The Center for Discovery, Inc. has grown from its roots in 1948 as United Cerebral Palsy of Sullivan County to become a statewide Center of Excellence providing residential, health, and educational services for children and adults with significant disabilities and complex medical frailties. Each year, TCFD serves over 1,200 children and adults, including their families, offering a variety of transformative programs that facilitate health and increase function. Over the past four decades, TCFD has grown from a facility with 30 employees to more than 1,700 full-time staff.

Ownership – TCFD is a not-for-profit organization.

Size – TCFD has approximately 1,700 full-time employees and 200 facilities. All facilities are located in New York State.

ESD Involvement - A \$1,000,000 appropriation was included in the FY 2019-2020 New York State budget.

Past ESD Support - Funding for the past five years to the Grantee is summarized in the following chart:

B. Children's Specialty Hospital at Rock Hill Capital (133,690)

June 25, 2020

Program	Project #	Amount	Date Start (ESD Directors' Approval date)	Date End (Project Completion: Contract Expiration)	Purpose
Regional Council Capital Fund - RC 2	AB292	\$2,500,000	August 17, 2017	December 31, 2021	Capital - non-residential construction and renovations associated with the expansion of the Center's services.

The Project:Completion – May 2020

Activity – The Center intends to build a new Children's Specialty Hospital (the "Hospital") at Rock Hill, which will allow for provision of specialized, short-term hospital care for children with significant physical disabilities and complex autism, as well as support and training for their families, caregivers, and school districts. New York State does not currently have any short-term inpatient assessment programs for children with complex developmental disabilities, including Autism Spectrum Disorders and medical frailties. The Hospital will conduct comprehensive medical and clinical assessments over a maximum of six months. Staff will engage parents, caregivers, and school district personnel as partners in the process.

Renovations to the existing space will ultimately feature a six-bed neighborhood for medically fragile patients, a neighborhood (with a separate entrance as part of new construction to the first floor), and a twelve-bed neighborhood for the Autism Spectrum Disorder patients. The design also includes additional renovations, providing the opportunity for the hospital to expand in the future to serve additional individuals.

Results – To date, TCFD has an approved site plan and completed design and construction documents. Additionally, a building permit application and plans have been submitted to the Town of Thompson Building Department, and Construction Management contractors for a CM-GMP process have been pre-qualified and narrowed. Construction is expected to begin in September 2020.

Upon completion of the project, the Grantee will furnish a final report describing the impact and effectiveness of the project.

B. Children's Specialty Hospital at Rock Hill Capital (133,690)

June 25, 2020

Financing Uses	Amount	Financing Sources	Amount	Percent
Soft Costs	\$1,000,000	ESD Grant	\$1,000,000	100%
Total Project Costs	\$1,000,000	Total Project Financing	\$1,000,000	100%

Grantee Contact - Helena le Roux Ohm, Vice President of Strategic Partnerships
641 Old Route 17
Monticello, NY, 12701
Phone: (845) 707-8435
E-mail: hleroux@tcfcd.org

Project Team - Project Management Jay Vido
Contractor & Supplier Diversity Denise Ross
Environmental Soo Kang

Financial Terms and Conditions:

1. Upon execution of the grant disbursement agreement, the Grantee shall reimburse ESD for all out-of-pocket expenses incurred in connection with the project.
2. The Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
3. Up to \$1,000,000 will be disbursed to Grantee upon, documentation of soft project costs totaling \$1,000,000, assuming that all project approvals have been completed and funds are available. Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require. All project expenditures must have been incurred after April 1, 2019, the date that the New York State budget, in which the project is authorized, was passed.
4. ESD may reallocate the project funds to another form of assistance, at an amount no greater than \$1,000,000, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Grantee and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

Non-Discrimination and Contractor & Supplier Diversity:

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Center shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women-owned Business Enterprises ("MWBES") for any contractual opportunities generated in connection with the Project and to use Good Faith

B. Children's Specialty Hospital at Rock Hill Capital (133,690)

June 25, 2020

Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 50% related to the total value of ESD's funding.

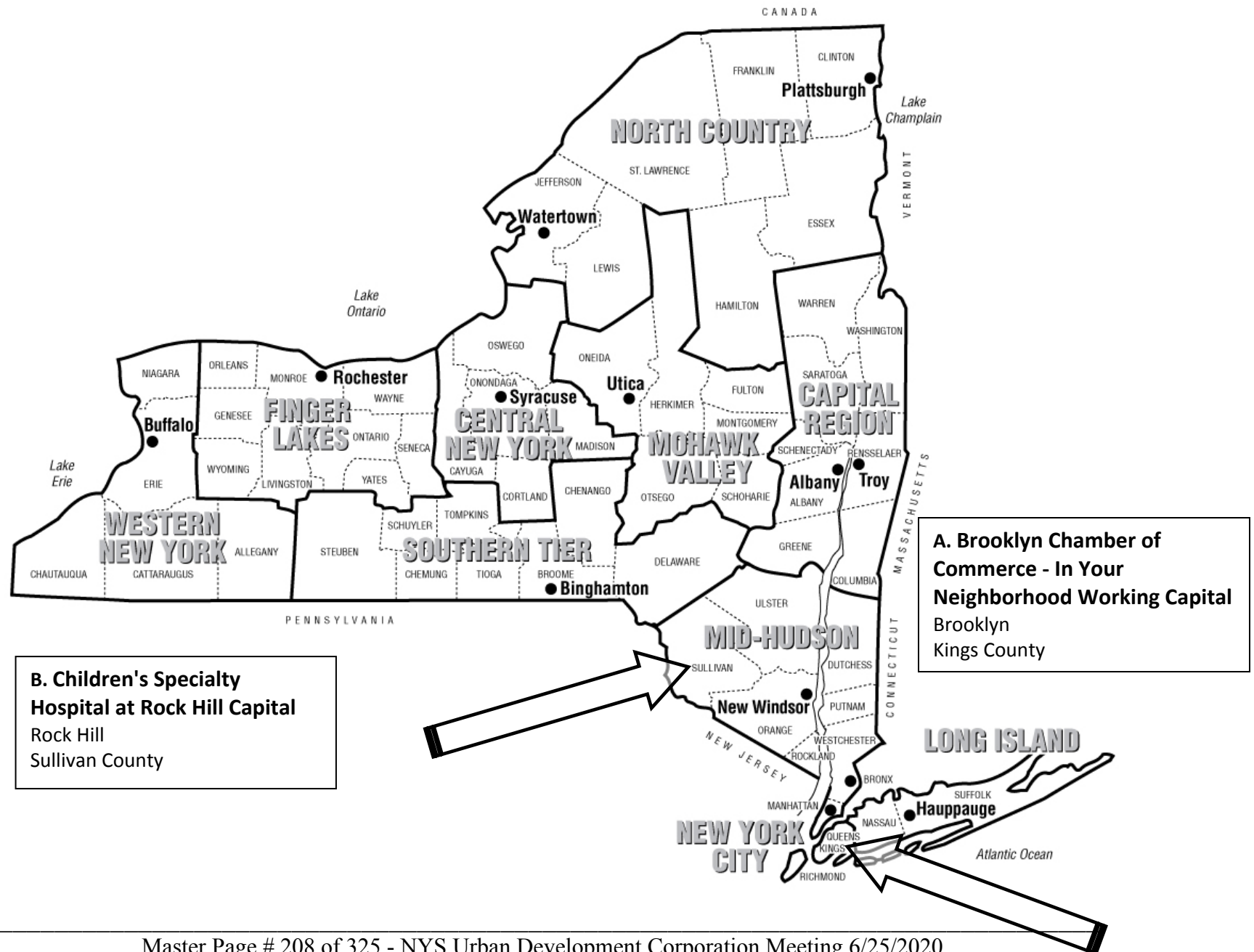
Statutory Basis – Local Assistance:

The funding was authorized in the 2019-2020 and reappropriated in the 2020-2021 New York State budget. No residential relocation is required as there are no families or individuals residing on the site.

Disclosure and Accountability Certifications:

The Grantee has provided ESD with the required Disclosure and Accountability Certifications. Grantee's certifications indicate that Grantee has no conflict of interest or good standing violations and, therefore, staff recommends that the Corporation authorize the grant to the Grantee as described in these materials.

Non-Discretionary Project Map



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Statewide – Entrepreneurship Assistance Centers (“EAC” or “Centers”) -
Training and Technical Assistance Grants

REQUEST FOR: Findings and Determinations Pursuant to Section 10(g) of the Act;
Authorization to Make Grants and to Take Related Actions

I. Project Summary

Grantees: Twenty-one New York State Entrepreneurship Assistance Centers (“EAC” or the “Centers”) - see attached Schedules A-1 – A-21.

ESD* Investment: Grants totaling up to \$1,676,514 will be awarded to eligible not-for-profit corporations and community colleges.

* The New York State Urban Development Corporation doing business as the Empire State Development (“ESD”).

Project Locations: Locations throughout New York State Regions
See attached Schedules A-1 to A-21

Proposed Projects: To support the ongoing operations of 21 Entrepreneurship Assistance Centers.

Regional Council: The Regional Councils have been made aware of its respective items.

Anticipated
Appropriation
Sources: Entrepreneurship Assistance Centers (“EAC”)

II. Project Descriptions

A. Background

The Omnibus Economic Development Law of 1987 established the original Entrepreneurial Assistance Program (EAP). In January of 2019, this law was amended in relation to the operation of this program that is newly renamed the Entrepreneurship Assistance Centers program. The amended law authorizes the Department of Economic Development d/b/a Empire State Development (“ESD”) to issue contracts to not-for-profit corporations, community colleges and boards of cooperative educational services for the development of the Entrepreneurship Assistance Centers (“EAC” or the “Program” or “Centers”).

Encouraging the formation and growth of small businesses is an important strategic goal of New York State. The EAC provide successful, effective and intensive, community-based training, technical assistance and other related services to small business owners or entrepreneurs, particularly minorities and women, to stimulate new business development and to strengthen businesses in the early stages of development (1-5 years). Such services are especially essential in economically distressed areas where high levels of unemployment and declining infrastructure further limit the ability for these young businesses to develop. These services are designed on a working knowledge of the needs and resources of the community and its region.

During the 2019-20 contract year, the Centers admirably pivoted to provide remote technical assistance to its clients during the COVID-19 stay-at-home and NY on Pause orders. This fiscal year the Centers logged in over 20,400 hours of technical assistance and training. However, the COVID-19 pandemic, which occurred during the last quarter of the fiscal year, negatively affected the overall services offered across all points as compared to last year’s performance. As compared to last year’s performance, total number of clients served decreased by 11% to 1,466 clients; number of business started declined by 34% to 740 businesses; sales reduced by 14% drop to \$52 million; the number of financing secured amounted shrank by 33% to \$ 9.4 million. Most notably, there was a 43% drop in new employment, but encouragingly businesses were able to retain 1,173 employees.

Entrepreneurs and small businesses are experiencing distress due to the COVID-19 stay-at-home and NYS on Pause orders and the subsequent economic downturn. The main objective of the Centers in the new project year will be to help businesses recover and thrive after COVID-19 by implementing new business models and connecting them to available resources.

B. The Project

There are currently 24 Centers located throughout the state of which 21 Centers are being presented for approval. The remaining three (3) Centers, two in the Bronx and one in East Harlem, will be presented to the Board for approval in August since there is a Request For Proposal (RFP) issued for these service areas. The 2020-2021 New York State budget includes a state allocation of \$1,764,000 plus an additional \$152,058, which is available from previous unutilized funding, for a

total budget of \$1,916,058 or \$79,834 for each EAC. The contract is for a 12-month period and Centers are required to match these grants one-to-one (50% or more in cash and no more than 50% in-kind).

The services of the EAC are more crucial now than before as the entire economic landscape has changed due to COVID-19 social distancing guidelines and operability. The Centers will provide comprehensive assistance in the form of: 60-hour training; free one-on-one counseling and mentorship; procurement opportunity identification; MWBE certification; access to financing; and workshops and seminars focused on minority, women, dislocated workers, and individuals with special needs in the communities most deeply impacted by COVID-19.

Below are details of the services the EAC are required to provide:

- A. One sixty-hour entrepreneurship training course supplemented by intensive technical assistance to help new entrepreneurs complete business plans and to help them develop viable businesses. Technical assistance encompasses refinement of business concepts, break-even analysis and financial management, marketing plans, and market development.
- B. Enterprise expansion assistance for existing but still young businesses (under five years old). Centers assist these firms to make the transition into small-growth companies. Enterprise expansion technical assistance includes the following: working capital and cash-flow management; general management skills; new market development; hiring and managing employees; managing growth; and accessing credit and capital.

The contract period for the EAC is July 1, 2020 through June 30, 2021.

The Centers will use allocated funds for expenses related to training and technical assistance as outlined above; operating expenses including, but not limited to, salaries of EAC coordinators and additional support staff; promotional and marketing materials; travel; and classroom materials and supplies.

The Centers are required to provide reports relating to their specific achievements during the contract period. In addition, financial reports and documentation of expenditures will be required for disbursement of funds. ESD will verify that each Center is in compliance with program regulations and guidelines and is following all existing contractual arrangements by reviewing, verifying and approving the required documentation, including financial reports and payment requests.

ESD will enter into an agreement with each EAC that will stipulate the manner in which program funds will be disbursed.

ESD Project Nos.: 133,874 to 133,894

Project Team:	Program Director	Bette Yee
	Project Manager	Jefferson Mao
	Legal	Antovk Pidedjian
	Environmental	Rachel Shatz

D. Financial Terms and Conditions

ESD may reallocate the project funds to another form of assistance, at an amount no greater than the amount approved, for this project if ESD determines that the reallocation of the assistance would better serve the needs of the Company and the State of New York. In no event shall the total amount of any assistance to be so reallocated exceed the total amount of assistance approved by the Directors.

IV. Statutory Basis

The Entrepreneurship Assistance Centers are authorized in the 2020-2021 New York State budget and subdivisions 2, 3, and 6 of Section 211 of the Economic Development Law as added by chapter 398 of the laws of 2018. No residential relocation is required as there are no families or individuals residing on the sites.

V. Environmental Review

ESD staff has determined that the approval of the Entrepreneurship Assistance Centers grants do not constitute an action as defined by the New York State Environmental Quality Review Act ("SEQRA") and the implementing regulations of the New York State Department of Environmental Conservation. No further environmental review is required in connection with the action.

VI. Non-Discrimination and Contractor & Supplier Diversity

Pursuant to New York State Executive Law Article 15-A, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned businesses (MWBs) in the performance of ESD projects. For purposes of this project, however, goals will not be established due to the nature of this initiative.

VII. ESD Employment Enforcement Policy

ESD's Employment Enforcement Policy will not apply since the project will not directly create or retain jobs.

VIII. ESD Financial Assistance Subject to Availability of Funds and Additional Approval

The provision of ESD financial assistance is contingent upon the availability of funds and the approval of the State Division of the Budget.

IX. Additional Submissions to Directors

Resolutions

Entrepreneurship Assistance Centers – Regional Listing

Schedules A-1 – A-21

Statewide – Entrepreneurship Assistance Centers (Training and Technical Assistance Grants) - Findings and Determinations Pursuant to Section 10(g) of the Act; Authorization to Make Grants and to Take Related Actions

RESOLVED, that on the basis of the materials presented to this meeting, a copy of which is hereby ordered filed with the records of the Empire State Development (“ESD”), relating to the Entrepreneurship Assistance Centers (Training and Technical Assistance Grants) Projects, (the “Projects”), ESD hereby determines pursuant to Section 10 (g) of the New York State Urban Development Corporation Act of 1968, as amended (the “Act”), that there are no families or individuals to be displaced from the project area; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized to make grants for a total amount not to exceed One Million Six Hundred Seventy-Six Thousand Five Hundred Fourteen \$1,676,514 from the Entrepreneurship Assistance Centers Program for the purposes, and substantially on the terms and conditions, set forth in the materials presented to this meeting, with such changes as the President and Chief Executive Officer or his designee(s) may deem appropriate, subject to the availability of funds and the approval of the State Division of the Budget; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, subsequent to the making of the grant, and each of them hereby is, authorized to take such actions and make such modifications to the terms of the grant as he or she may deem necessary or appropriate in the administration of the grant; and be it further

RESOLVED, that the provision of ESD financial assistance is expressly contingent upon: (1) the approval of the Public Authorities Control Board, if applicable, and (2) receipt of all other necessary approvals; and be it further

RESOLVED, that the President and Chief Executive Officer Designate or his designee(s) be, and each of them hereby is, authorized in the name and on behalf of ESD to execute and deliver any and all documents and to take all actions as he or she may in his or her sole discretion consider to be necessary or proper to effectuate the foregoing resolutions.

* * *

Entrepreneurship Assistance Centers

Regional Listing

1. ACCORD Corporation (Western New York Region - Allegany County)
2. Adirondack Economic Development Corporation (North Country Region - Jefferson County)
3. Bedford Stuyvesant Restoration Corporation (New York City Region – Kings County)
4. Binghamton Local Development Corporation (Southern Tier Region - Broome County)
5. Business Outreach Center, Inc. (New York City Region - Queens County (Jamaica/Corona))
6. Business Training Institute, Inc. (Mohawk Valley Region - Oneida County)
7. CAMBA (New York City Region - Kings County)
8. Capital Region Chamber Foundation, Inc. of Albany-Colonie Regional Chamber of Commerce (Capital Region - Albany County)
9. Chinatown Manpower Project, Inc. (New York City Region - New York County)
10. Hofstra University (Long Island Region - Nassau County)
11. IBERO American Action League – Medaille College Buffalo (Western New York Region - Erie/Niagara Counties)
12. IBERO American Action League - Waverly (Southern Tier Region – Chemung County)
13. Local Development Corporation of East New York (New York City Region - Kings County)
14. Queens Economic Development Corporation (New York City Region - Queens County)
15. Renaissance Economic Development Corporation (New York City Region – New York County)
16. Suffolk County Community College (Long Island Region - Suffolk County)
17. Syracuse University (Central New York Region - Onondaga County)
18. Urban League of Rochester (Finger Lakes Region - Monroe County)
19. Washington Heights Inwood Development Corporation (New York City Region – New York County)
20. Women’s Enterprise Development Center Inc. (Mid-Hudson Region – Westchester County)
21. Women’s Enterprise Development Center Inc. (Mid-Hudson Region – Dutchess, Orange, Sullivan, Ulster and Putnam Counties)

PLEASE NOTE: Requests for Proposals are being reviewed for the following three (3) EACs that will be presented for Board approval in August for a total of \$239,502:

- One (1) EAC representing the New York City Region – New York County; and
- Two (2) EACs representing the New York City Region – Bronx County.

SCHEDULE A-1

ACCORD Corporation
Entrepreneurship Assistance Centers, (133,874)

- Grantee:** ACCORD Corporation (“ACCORD” or the “Corporation”)
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** ACCORD Corp/Allegany Business Center
87 Schuyler Street, Belmont, NY 14813
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State’s Entrepreneurship Assistance Centers has provided business services for three decades in the region and assists the Western New York Regional Economic Development Council initiative to foster a strong culture of entrepreneurship through training, incubators and public awareness.

Background:

Company History – ACCORD Corporation and its Business and Community Development Division operates the Allegany Business Center and exclusively provides entrepreneurial assistance to rural Allegany, Cattaraugus, and Steuben counties for the last 26 years.

Ownership – ACCORD is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support - ACCORD was awarded its first grant in 1995. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program’s inception. To date, ACCORD has received approximately \$2,524,679 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity - ACCORD will help prepare entrepreneurs and existing business owners for the world of business by teaching business principles, thereby reducing business failures, facilitating self-sufficiency and profitability, expansion and assistance with securing capital.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget ACCORD Corporation

			Financial Sources		
Project #133,874 ACCORD EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 125,806	79%	\$ 67,972	\$ 17,917	\$ 39,917
Contractual Services/Curriculum/ Staff Development	-	0%	-	-	-
Project Expenses	33,862	%	11,862	22,000	-
Total Project Costs	\$ 159,688	100%	\$ 79,834	\$ 39,917	\$ 39,917
% of Financial Sources		100%	50%	25%	25%

Grantee Contact: Lesley Gooch-Christman, Executive Director
Telephone: (585) 268-7605
Fax: (585) 268-5085
E-Mail: lchristman@accordance.org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-2

Adirondack Economic Development Corporation
Entrepreneurship Assistance Centers, (133,875)

- Grantee:** Adirondack Economic Development Corporation (“AEDC” or the “Corporation”)
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 67 Main Street - Suite 300, Saranac Lake NY, 12893
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State’s Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the North Country Regional Economic Development Council goals to support small business development while encouraging and assisting entrepreneurs in the region with growth and development.

Background:

Company History – The AEDC is a not-for-profit economic development corporation whose mission is to “foster and support the growth of sustainable North County communities through support of aspiring entrepreneurs and existing small business owners.

Ownership – Adirondack Economic Development is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support - Adirondack Economic Development was awarded its first grant in 1990. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program’s inception. To date, Adirondack Economic Development has received approximately \$1,040,316 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – AEDC will provide an array of services including but not limited to business training using the NxLevel business curriculum which is designed to guide the participant through the process of building a business plan and technical assistance which includes a comprehensive assessment of the client's skills and needs to build a solid foundation for business success.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Adirondack Economic Development Corporation

Financial Uses			Financial Sources		
Project #133,875 AEDC EAC Budget FY20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 142,560	89%	\$ 71,280	\$ 71,280	\$ -0-
Contractual Services/Curriculum/ Staff Development	-	0%	-	-	-
Project Expenses	17,108	11%	8,554	8,554	-
Total Project Costs	\$ 159,668	100%	\$79,834	\$ 79,834	\$0
% of Financial Sources		100%	50%	50%	0%

Grantee Contact: Victoria Zin Duley, Executive Director
Telephone: (518) 891-5523 Ext. 101
Fax: (518) 891-9820
E-Mail: VDuley@AEDConlin. com

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-3

Bedford Stuyvesant Restoration Corporation
Entrepreneurship Assistance Centers, (133,876)

- Grantee:** Bedford Stuyvesant Restoration Corporation (“BSRC” or the “Corporation”)
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 1368 Fulton Street, Brooklyn, NY 11216
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State’s Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the New York City Regional Economic Development Council with its goals to assist small businesses with growth and development as well as their priority action to provide business development and assistance to Minority and Women-Owned businesses.

Background:

Company History – Bedford-Stuyvesant Restoration Corporation “BSRC”, the nation’s first community development corporation, is dedicated to working with residents and businesses to attain the comprehensive revitalization of Central Brooklyn. BSRC has been an active participant in community economic revitalization by providing technical assistance to new and existing businesses.

Ownership – Bedford Stuyvesant Restoration Corporation is a 501(c) (3) not-for-profit corporation.

ESD Involvement – New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Bedford Stuyvesant Restoration Corporation was awarded its first EAC grant in 2015. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program’s inception. To date, Bedford Stuyvesant Restoration Corporation has received approximately \$403,016.

The Project:

Completion – June 30, 2021

Activity – BSRC will provide services to individuals seeking to start or expand their business, and programs and services designed to help them identify and implement good business planning practices and to instill the concept of continuous learning over the life of their business.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Bedford Stuyvesant Restoration Corporation

Financial Uses			Financial Sources		
Project #133,876 BSRC EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 136,187	85%	\$ 65,000	\$ 71,187	\$ 0
Contractual Services/Curriculum/ Staff Development	-	0%	-	-	-
Project Expenses	23,481	15%	14,834	8,547	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 79,834	\$ 0
% of Financial Sources		100%	50%	50%	0%

Grantee Contact(s): Gordon Bell, Executive Vice President Strategy and Business
Telephone: (718) 636-6984
Fax: (718) 636-0511
E-Mail: gbell@restorationplaza.org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-4

Binghamton Local Development Corporation
Entrepreneurship Assistance Centers, (133,877)

- Grantee:** Binghamton Local Development Corporation (“BLDC” or the “Corporation”)
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** Broome Community College - Center for Community Education
907 Upper Front Street, Binghamton, NY 13905
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State’s Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Southern Tier Regional Economic Development Council with its goals to develop the region’s downtowns, commercial and retail opportunities by providing business services and other necessary assistance to new and aspiring entrepreneurs in the region.

Background:

Company History – The Binghamton Local Development Corporation exists to further sustainable economic development in the City of Binghamton by attracting new business, retaining and growing established business, building industrial and commercial capacity, promoting employment, and fostering entrepreneurship and innovation. BLDC will deliver the EAC program through a consortium entitled the Broome Triad. The Triad consists of the following three organizations, Broome Community College, The Broome Employment Center of Broome Tioga Workforce Development and The Broome County Urban League.

Ownership – Binghamton Local Development Corporation is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Binghamton Local Development Corporation was awarded its first grant in 1995. EAC grants are based on the availability of funds and have ranged from \$35,000 and

\$99,593 since the program's inception. To date, Binghamton Local Development Corporation has received approximately \$1,563,631 in EAC grant funds.

The Project:

Project Completion – June 30, 2021

Activity – Binghamton Local Development Corporation and The Broome Triad will provide assistance in enterprise development to minority group members, women, dislocated workers and individuals with special needs who are seeking to start their own business venture; or who are seeking to expand their early-stage firms.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget_Binghamton Local Development Corporation

Financial Uses			Financial Sources		
Project 133,877 BLDC EAC Budget FY20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 113,484	71%	\$ 72,884	\$ 40,600	\$ -0-
Contractual Services/Curriculum/ Staff Development	26,774	17%	2,500	-	24,274
Project Expenses	19,410	12%	4,450	2,000	12,960
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 42,600	\$ 37,234
% of Financial Sources		100%	50%	27%	23%

Grantee Contact: Mayor Rich David
Telephone: (607) 772-7001
E-Mail: RCDavid@cityofbinghamton. com

Project Team: Program Director Bette Yee
 Project Manager Jefferson Mao
 Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-5

Business Outreach Center Network, Inc.
Entrepreneurship Assistance Centers, (133,878)

- Grantee:** Business Outreach Center Network, Inc.
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 96-11 40th Road, Corona, NY 11368
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the New York City Regional Economic Development Council with its goals to assist small businesses with growth and development as well as their priority action to provide business development and assistance to Minority and Women-Owned businesses.

Background:

Company History – The Business Outreach Center (BOC) Network is a not-for-profit membership organization dedicated to small business development and community-based job creation. BOC's mission is to improve the economic prospects of traditionally underserved groups, with a focus on low-and moderate-income entrepreneurs and their communities, and thereby create genuinely brighter futures.

Ownership – Business Outreach Center is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – The Business Outreach Center Network, Inc. was awarded its first EAC grant in 2016. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program's inception. To date, approximately \$295,366 of EAC grant funds have been disbursed to the Business Outreach Center Network, Inc.

The Project:

Project Completion – June 30, 2021

Activity – The EAC center will implement a 60-hour training program that will help participants learn the business skills to open or expand their businesses. Goals include client orientation, 60 hour training, technical assistance, and preparation of business action plans and other services to help clients achieve business success.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Business Outreach Center Network, Inc.

Financial Uses			Financial Sources		
Project #133,878 BOC EAC Budget FY20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 138,601	87%	\$ 66,857	\$ 71,744	\$ 0
Contractual Services/Curriculum/ Staff Development	1,100	.1%	1,100	-	-
Project Expenses	19,967	12.9%	11,877	90	8,000
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 71,834	\$ 8,000
% of Financial Sources		100%	50%	45%	5%

Grantee Contact(s): Nancy Carin, Executive Director
Telephone: (718) 624-9115 Ext.1011
Fax: (718) 246-1881
E-Mail: ncarin@bocnet.org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-6

Business Training Institute, Inc.
Entrepreneurship Assistance Centers, (133,879)

- Grantee:** Business Training Institute, Inc. (the “Corporation”)
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** The Radisson Centre - 200 Genesee Street, Utica, NY 13502
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State’s Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Mohawk Valley Regional Economic Development Council strategies to ensure that the region maintains a focused business outreach and retention effort to stabilize existing businesses, promote an atmosphere that foster innovation and entrepreneurial growth.

Background:

Company History – The Entrepreneur Assistance Program Center was established over twenty-one years ago and is the only Entrepreneur Assistance Program serving Oneida, Madison and Herkimer counties.

Ownership – Business Training Institute, Inc. is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Business Training Institute, Inc. was awarded its first grant in 1995. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program’s inception. To date, Business Training Institute has received approximately \$1,284,907 in EAC grant funds.

The Project:

Project Completion – June 30, 2021

Activity – The EAC center will implement a 60-hour training program that will help participants learn the business skills to open or expand their businesses. Goals include client orientation, 60 hour training, technical assistance, and preparation of business action plans and other services to help clients achieve business success.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Business Training Institute, Inc.

Financial Uses			Financial Sources		
Project #133,879 BTI EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 146,983	92%	\$ 67,149	\$ 79,834	\$ 0
Contractual Services/Curriculum/ Staff Development	5,629	4%	5,629	-	-
Project Expenses	7,056	4%	7,056	-	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 79,834	\$ 0
% of Financial Sources		100%	50%	50%	0%

Grantee Contact(s): Dr. Patricia Laino, Executive Director
Telephone: (315) 733-9848
Fax: (315) 733-0247
E-Mail: lainoleo@aol.com

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
 2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
 3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.
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SCHEDULE A-7

CAMBA, Inc.
Entrepreneurship Assistance Centers, (133,880)

Grantee:	CAMBA, Inc.
ESD Investment:	A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
Project Location:	2244 Church Avenue – 4 th Floor, Brooklyn, NY 11226
Proposed Project:	Business Training and Technical Assistance
Regional Council:	New York State’s Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the New York City Regional Economic Development Council with its goals to assist small businesses with growth and development as well as their priority action to provide business development and assistance to Minority and Women-Owned businesses.

Background:

Company History – CAMBA’s mission is to provide services that connect people with opportunities to enhance their quality of life. Since 1995 CAMBA Small Business Services has successfully operated an Entrepreneurship Assistance Centers Center.

Ownership – CAMBA, Inc. is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – CAMBA, Inc. was awarded its first grant in 1995. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program’s inception. To date, CAMBA, Inc. has received approximately \$1,283,795 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – CAMBA's EAC center provides entrepreneurial training and technical assistance to low-income entrepreneurs in business formation for new enterprises and business expansion for existing businesses. CAMBA will provide a 10-week 60-hour business training course, with a focus on business plan development. In addition participants will receive technical assistance, loan packaging and assistance with acquiring financing.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget CAMBA, Inc.

Financial Uses			Financial Sources		
Project #133,880 CAMBA EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 154,168	97%	\$ 74,334	\$ 79,834	\$ 0
Contractual Services/Curriculum/ Staff Development	-	0%	-	-	-
Project Expenses	5,500	3%	5,500	-	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 79,834	\$ 0
% of Financial Sources		100%	50%	50%	0%

Grantee Contact: Joanne M. Oplustil, Executive Director
Telephone: (718) 287-2600
Fax: (718) 856-4647
E-Mail: joanneO@camba. org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-8

Capital Region Chamber Foundation, Inc.
Entrepreneurship Assistance Centers, (133,881)

- Grantee:** The Capital Region Chamber Foundation, Inc.
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** Five Computer Drive South, Albany, NY 12205
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Capital Regional Economic Development Council goals to support small business development while encouraging and assisting entrepreneurs in the region with growth and development.

Background:

Company History – The Capital Region Chamber Foundation, Inc. provides technical assistance and financial assistance through the Entrepreneurship Assistance Centers since 1991. The mission is to give opportunity to the targeted population of low to moderate income individuals, minorities, and women, individuals with special needs, dislocated workers and disenfranchised business owners to become successful entrepreneurs.

Ownership – Capital Region Chamber Foundation, Inc. of the Albany-Colonie Region Chamber is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – The Capital Region Chamber Foundation through its parent, the Albany Colonie Regional Chamber, was awarded its first grant in 1991. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program's inception. To date, The Capital Chamber Foundation and The Albany Colonie Region Chamber has to date received approximately \$1,587,532 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – The Capital Region Chamber Foundation seeks to increase the number of successful businesses within the community by providing expert technical assistance and improved access to capital. This is done by providing a multitude of services including a 60-hour business training course, technical assistance and access to capital.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Capital Chamber Foundation, Inc.

Financial Uses			Financial Sources		
Project #133,881 CRCF EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 127,251	80%	\$ 78,334	\$ 48,917	\$ 0
Contractual Services/Curriculum/ Staff Development	16,417	10%	-	-	16,417
Project Expenses	16,000	10%	1,500	14,500	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 63,417	\$ 16,417
% of Financial Sources		100%	50%	40%	10%

Grantee Contact: Mark Eagan, President & CEO
Telephone: (518) 431-1430
Fax: (518) 431-1452
Email: Meagan@capitalregionchamber.com

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-9

Chinatown Manpower Project, Inc.
Entrepreneurship Assistance Centers, (133,882)

Grantee:	Chinatown Manpower Project, Inc.
ESD Investment:	A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
Project Location:	70 Mulberry Street, New York, NY 10013
Proposed Project:	Business Training and Technical Assistance
Regional Council:	New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the New York City Regional Economic Development Council with its goals to assist small businesses with growth and development as well as their priority action to provide business development and assistance to Minority and Women-Owned businesses.

Background:

Company History – Chinatown Manpower, founded in 1972, is a micro-enterprise/small business development alliance that delivers customized business services to under-served entrepreneurs in New York City.

Ownership – Chinatown Manpower, Inc. is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Chinatown Manpower, Inc. was awarded its first grant in 1995. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program's inception. To date, Chinatown Manpower, Inc. has received approximately \$1,176,648 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – Chinatown Manpower, Inc. assist small business owners and entrepreneurs and immigrants and refugees who are establishing their financial lives in this country. Chinatown Manpower, Inc. offers free one-on-one counseling, networking and referral services as well as relevant workshops and seminars.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Chinatown Manpower Project, Inc.

Financial Uses			Financial Sources		
Project #133,882 CMP EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 132,893	83%	\$ 72,893	\$ 60,000	\$ 0
Contractual Services/Curriculum/ Staff Development	11,834	7%	4,000	-	7,834
Project Expenses	14,941	9%	2,941	-	12,000
Total Project Costs	\$ 159,668	100%	\$79,834	\$ 60,000	\$ 19,834
% of Financial Sources		100%	50%	38%	12%

Grantee Contact: Stephanie Lau, Assistant Executive Director
Telephone (212) 571-1691
Fax: (212) 571-1686
Email: StephanieLau@cmpny. org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-10

Hofstra University
Entrepreneurship Assistance Centers, (133,883)

- Grantee:** Hofstra University
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 250 Hofstra University, Hempstead NY 11549
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Long Island Regional Economic Development Council initiatives to strengthen the economic activity and competitiveness of businesses located in the region.

Background:

Company History – Hofstra University is located in Hempstead NY and is surrounded by the communities of Hempstead, Freeport, New Cassel, Roosevelt and Uniondale which are classified as “economically distressed”. Hofstra University's Entrepreneurship Assistance Centers provides many comprehensive programs consisting of entrepreneurship skills training, business management, technical assistance with linkages for accessing credit and capital for the target population.

Ownership – Hofstra University is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State's Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Hofstra University was awarded its first grant in 1990. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program's inception. To date, Hofstra University has received approximately \$2,903,482 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – Hofstra University's Center for Entrepreneurship provides business assistance to minority group members, women, dislocated workers and individuals with special needs who are seeking to start or are starting their own business ventures or are seeking to expand their business.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Hofstra University

Financial Uses			Financial Sources		
Project #133,883 HOFSTRA EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 141,884	89%	\$ 78,334	\$ 63,550	\$ 0
Contractual Services/Curriculum/ Staff Development	7,200	4%	-	7,200	-
Project Expenses	11,500	7%	1,500	-	10,000
Total Project Costs	\$ 160,584	100%	\$ 79,834	\$ 70,750	\$10,000
% of Financial Sources		100%	50%	44%	6%

Grantee Contact: Catherine Hennessy , Vice President, Financial Affairs & Treasurer
Telephone: (516) 464-6824
Fax: (516) 463-3907
E-Mail: Catherine.Hennessy@hofstra. edu

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-11

IBERO American Action League/Waverly Center
Entrepreneurship Assistance Centers, (133,884)

- Grant Recipient:** IBERO American Action League, Inc.
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 106 Chemung Street, Waverly, NY 14892
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Southern Tier Regional Economic Development Council with its goals to develop the region's downtowns, commercial and retail opportunities by providing business services and other necessary assistance to new and aspiring entrepreneurs in the region.

Background:

Company History – IBERO American League, Inc. absorbed all operations and assets of Worker Ownership Resource Center which was the original grantee for the EAC in Waverly, New York. The program has been assisting women and low-income individuals located in distressed communities along the Southern Tier regions of Upstate New York since 1995.

Ownership – IBERO American Action League, Inc. is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – IBERO – American Action League Waverly (formerly WORC) was awarded its first EAC grant in 1995. EAC grants are based on the availability of funds and have ranged from \$35,000 to \$99,593 since the program began. To date, the EAC in Waverly has received approximately \$1,376,169 in EAC grant funds.

The Project:

Completion - June 30, 2021

Activity – EAC plays a crucial role in the continuing effort to develop and maintain small business owners in these areas, by providing 60-hour training and 10-hours of technical assistance.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget IBERO American Action League/Waverly Center

Financial Uses			Financial Sources		
Project #133,885 IBERO-W EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 101,426	64%	\$ 62,190	\$ 27,168	\$ 12,068
Contractual Services/Curriculum/ Staff Development	6,432	4%	-	3,600	2,832
Project Expenses	51,811	32%	17,644	39,918	25,017
Total Project Costs	\$ 159,669	100%	\$ 79,834	\$ 39,918	\$ 39,917
% of Financial Sources		100%	50%	25%	25%

Grantee Contact: Angelica Perez-Delgado, President & CEO
Telephone: (585) 256-8900
Fax: (585) 442-0683
E-Mail: Angelica.Perez-Delgado@iaal.org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-12

IBERO American Action League EAC Center/Medaille College
Entrepreneurship Assistance Centers, (133,885)

- Grantee:** IBERO American Action League (“IBERO” or the “Corporation”)
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** Medaille College, 18 Agassiz Circle, Buffalo NY 14214
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State’s Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Western New York Regional Economic Development Council initiative to foster a strong culture of entrepreneurship through training, incubators and public awareness.

Background:

Company History – Erie and Niagara counties where IBERO American Action League has been operating an Entrepreneurial assistance Center since 2008 are economically distressed regions of the state.

Ownership – IBERO American Action League is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support - IBERO American Action – Medaille Buffalo was awarded its first grant in 2008. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program’s inception. To date, IBERO American Action League has received approximately \$1,031,816 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – IBERO – Buffalo will hold at least 1 60-hour business training session starting in September 2014 and another possibly in the spring of 2013. IBERO will work with current business owners who are successfully operating their own businesses as well as those looking to start a business. Other services provided will be technical assistance and access to capital.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget IBERO American Action League EAC Center/Medaille College

Financial Uses			Financial Sources		
Project #133,884 IBERO-B EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 107,369	67%	\$ 68,134	\$ 27,168	\$ 12,067
Contractual Services/Curriculum/ Staff Development	6,432	4%	-	3,600	2,832
Project Expenses	45,867	29%	11,700	9,150	25,017
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 39,918	\$ 39,917
% of Financial Sources		100%	50%	25%	25%

Grantee Contact: Angelica Perez-Delgado, President & CEO
Telephone: (585) 256-8900
Fax: (585) 442-0683
E-Mail: Angelica.Perez-Delgado@iaal.org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-13

Local Development Corporation of East New York
Entrepreneurship Assistance Centers, (133,886)

- Grantee:** Local Development Corporation of East New York (“LDCENY”)
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 80 Jamaica Avenue, Brooklyn, NY 11207
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State’s Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the New York City Regional Economic Development Council with its goals to assist small businesses with growth and development as well as their priority action to provide business development and assistance to Minority and Women-Owned businesses.

Background:

Company History – The Local Development Corporation of East New York empowers low-to-moderate income women and minorities with programs that promote economic sufficiency, build assets and improve their lives and those of their families. By actively working with local businesses to retain and build industry and commerce, the Local Development Corporation creates jobs and improves economic opportunities for local residents and neighborhood enterprises.

Ownership – The LDCENY is a New York State 501(c) 3 not-for-profit corporation.

ESD Involvement – New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – The LDCENY was awarded its first grant in 1990. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program’s inception. To date, LDCENY has received approximately \$1,176,816 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – The goal of the project is to stimulate local economic development by providing existing businesses the training, technical competence and financing required to stay in business and expand their operation.

Results - The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Program Budget Local Development Corporation of East New York

Financial Uses			Financial Sources		
Project #133,886 LDCENY EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 127,214	80%	\$ 54,180	\$ 73,034	\$ 0
Contractual Services/Curriculum/ Staff Development	18,600	12%	11,800	6,800	-
Project Expenses	13,854	8%	13,854	-	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 79,834	\$
% of Financial Sources		100%	50%	50%	0%

Grantee Contact: Sherry Roberts, Executive Director
Telephone: (718) 385-6700 Ext. 11
Fax: (718) 385-7505
E-Mail: sherry@ldcenyn.org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-14

Queens Economic Development Corporation
Entrepreneurship Assistance Centers, (133,887)

- Grant Recipient:** Queens Economic Development Corporation
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 120-55 Queens Blvd, Suite 309, Kew Gardens NY 11424
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the New York City Regional Economic Development Council with its goals to assist small businesses with growth and development as well as their priority action to provide business development and assistance to Minority and Women-Owned businesses.

Background:

Company History - Queens Economic Development Corporation has been active for 40 years with a mission to create and retain jobs through programming that grows the surrounding neighborhood and assists small businesses, promotes tourism and marketing of Queens County.

Ownership – Queens Economic Development Corporation is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Queens Economic Development Corporation was awarded its first grant in 1992. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program's inception. To date, Queens Economic Development Corporation has received approximately \$2,061,223 in EAC grant funds.

The Project:

Completion - June 30, 2021

Activity – EAC is designed for individuals committed to starting a business or who need further assistance in the growth of their existing business. Through the 60 hour training course, and actionable “to-do” items during consultations, clients are consistently encouraged to setup follow-up appointments to continue to work on their business development and seek additional services in order to access a minimum of 10-hours of technical assistance.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Queens Economic Development Corporation

			Financial Sources		
Project #133,887 QEDC EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 158,168	99%	\$ 78,334	\$ 79,834	\$ 0
Contractual Services/Curriculum/ Staff Development	-	0%	-	-	-
Project Expenses	1,500	1%	1,500	-	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 79,834	\$ 0
% of Financial Sources		100%	50%	50%	0%

Grantee Contact(s): Seth Bornstein, Executive Director
Telephone: (718) 263-0546
Fax: (718) 263-0595
E-Mail: sbornstein@queensny.org

Project Team:

Program Director	Bette Yee
Project Manager	Jefferson Mao
Environmental	Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-15

Renaissance Economic Development Corporation
Entrepreneurship Assistance Centers, (133,888)

- Grant Recipient:** Renaissance Economic Development Corporation
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 2 Allen Street, 7th Floor, New York, NY 10002
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the New York City Regional Economic Development Council with its goals to assist small businesses with growth and development as well as their priority action to provide business development and assistance to Minority and Women-Owned businesses.

Background:

Company History - Renaissance Economic Development Corporation has been established since 1997 dedicated to providing financial and technical assistance to minority and women owned business enterprises in immigrant and/or low to moderate-income communities where the barriers of language, culture, and conventional loan underwriting have stymied the growth of micro and small businesses.

Ownership – Renaissance Economic Development Corporation is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Renaissance Economic Development Corporation was awarded its first grant in 1997. EAC grants are based on the availability of funds and have ranged from \$35,000 and \$99,593 since the program's inception. To date, Renaissance Economic Development has received approximately \$1,705,432 in EAC grant funds.

The Project:

Completion - June 30, 2021

Activity – EAC provides enterprise formation assistance to startups and enterprise expansion assistance to young businesses in immigrant and minority communities with a focus on assisting minority and women entrepreneurs.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Renaissance Economic Development Corporation

			Financial Sources		
Project #133,888 REDC EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 125,200	78%	\$ 61,100	\$ 64,100	\$ 0
Contractual Services/Curriculum/ Staff Development	5,000	3%	5,000	-	-
Project Expenses	24,468	18%	13,734	15,734	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 79,834	\$ 0
% of Financial Sources		100%	50%	50%	0%

Grantee Contact(s): Jessie Lee, Managing Director
Telephone: (212) 964-6022
Fax: (212) 964-6003
E-Mail: Jessie@Renaissance-ny. org

Project Team:	Program Director	Bette Yee
	Project Manager	Jefferson Mao
	Environmental	Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-16

South Side Innovation Center
Entrepreneurship Assistance Centers, (133,889)

- Grant Recipient:** Syracuse University
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 2610 South Salina, Syracuse NY 13205
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Central New York Regional Economic Development Council initiatives to support the regions businesses efforts to compete in the global economy, expand their recent efforts to invest in entrepreneurs and risk-takers and play an important role in reflecting that the regions small businesses drive regional and national economy.

Background:

Company History – Syracuse University supports entrepreneurs with results-oriented services, including networking, technical training that develops problem-solving skills, classroom instruction, and provide financing assistance to help them succeed as they take the next step in developing their business.

Ownership – Syracuse University is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Syracuse University was awarded its first grant in 2008. EAC grants are based on the availability of funds and have ranged from \$35,000 to \$99,593 since the program's inception. To date, Syracuse University has received approximately \$990,116 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – EAC provides hands on counseling, training, mentoring to entrepreneurs including new and early stage of a business. The Center incubates businesses which develop a three year timeline. Assists at least 10% of total clientele in creating a business, of which at least 30-50 begin operating within that 12-month period. Also provides assistance to existing companies and creates a minimum of 50 jobs.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget South Side Innovation Center

			Financial Sources		
Project #133,889 SSIC EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 108,789	68%	\$ 68,076	\$ 40,713	\$ 0
Contractual Services/Curriculum/ Staff Development	9,000	6%	-	3,000	6,000
Project Expenses	41,879	26%	11,758	30,121	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 73.834	\$ 6,000
% of Financial Sources		100%	50%	46%	4%

Grantee Contact: Stuart Taub, Director of Sponsored Programs
Telephone: (315) 443-9356
Fax: (315) 443-9361
E-Mail: staub@syr. edu

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-17

Suffolk County Community College
Entrepreneurship Assistance Centers, (133,890)

- Grant Recipient:** Suffolk County Community College (“SCCC”)
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** Sally Ann Slacke Building, Michael J. Grant Campus
1001 Crooked Hill Road, Brentwood NY 11717
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State’s Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Long Island Regional Economic Development Council initiatives to strengthen the economic activity and competitiveness of businesses located in the region.

Background:

Company History – Suffolk County Community College is a two-year unit of the State University of New York (SUNY). It is the largest community college in the SUNY system, enrolling 26,719 students. It offers 70 degree and certificate programs. There are three (3) campuses and two downtown satellite educational centers. The campuses are Michael J Grant in Brentwood, Ammerman in Selden and the Eastern Campus in Riverhead. The downtown satellite locations are in Sayville, and Riverhead.

Ownership – Suffolk Community College is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State’s Entrepreneurship Assistance Centers (“EAC”) was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – Suffolk Community College was awarded its first grant in 1994. EAC grants are based on the availability of funds and have ranged from \$35,000 to \$99,593 since the program’s inception. To date, SCCC has received approximately \$1,120,516 in EAC grant funds.

The Project:

Completion - June 30, 2021

Activity – EAC is a resource for Suffolk County residents interested in starting and/or expanding their businesses. SCCC conducts several programs geared towards empowering clients with information in creating and developing a business enterprise.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Suffolk County Community College

			Financial Sources		
Project #133,890 SCCC EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 114,196	72%	\$ 74,279	\$ 39,917	
Contractual Services/Curriculum/ Staff Development	-	0%	-	-	-
Project Expenses	45,472	28%	5,555	-	39,917
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 39,917	\$ 39,917
% of Financial Sources		100%	50%	25%	25%

Grantee Contact: Dr. Daphne M. Gordon, Director
 Telephone: (631) 851-6206
 Fax: (631) 851-6222
 E-Mail: gordond@suffolk.edu

Project Team: Program Director Bette Yee
 Project Manager Jefferson Mao
 Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-18

Urban League of Rochester, N.Y., Inc.
Entrepreneurship Assistance Centers, (133,891)

- Grant Recipient:** Urban League of Rochester, N.Y., Inc.
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 265 North Clinton Ave, Rochester NY 14605
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Finger Lakes Regional Economic Development Council initiative to Optimize Business Creation, Retention and Expansion in the region.

Background:

Company History – Urban League of Rochester, N.Y., Inc. was founded in 1965 as a community-based, non-profit affiliate of the National Urban League providing direct services to low-income and minority individuals within the Rochester metropolitan area and surrounding counties.

Ownership – Urban League of Rochester, N.Y., Inc. is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support - Urban League of Rochester, N.Y., Inc. was awarded its first grant in 1991. EAC grants are based on the availability of funds and have ranged from \$35,294 to \$99,593 since the program's inception. To date, Urban League of Rochester, N.Y., Inc. has received approximately \$2,023,293 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – EAC provides business development services to minorities, women, dislocated workers, economically disadvantaged individuals and people with special needs, who are seeking to start a business, are in the process of starting their own business ventures, or are early-stage firms (businesses already existing for less than 5 years). Services provided include information about starting a business, start-up assistance, business development business retention, and business expansion services through intensive workshops and one-on-one technical assistance.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Urban League of Rochester, N.Y., Inc

			Financial Sources		
Project #133,891 ULR EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 104,640	66%	\$ 64,609	\$ 27,187	\$ 12,844
Contractual Services/Curriculum/ Staff Development	21,414	13%	3,192	8,853	9,369
Project Expenses	33,614	21%	12,033	13,598	7,983
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 49,638	\$ 30,196
% of Financial Sources		100%	50%	31%	19%

Grantee Contact: William G. Clark, President/CEO
Telephone: (585) 325-6530 ext. 3003
Fax: (585) 325-4864
E-Mail: wclark@ulr. org

Project Team: Program Director Bette Yee
Project Manager Jefferson Mao
Environmental Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-19

Washington Heights and Inwood Development Corporation
Entrepreneurship Assistance Centers, (133,892)

- Grant Recipient:** Washington Heights and Inwood Development Corporation
- ESD Investment:** A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021
- Project Location:** 611 West 177th Street, New York, NY 10033
- Proposed Project:** Business Training and Technical Assistance
- Regional Council:** New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the New York City Regional Economic Development Council with its goals to assist small businesses with growth and development as well as their priority action to provide business development and assistance to Minority and Women-Owned businesses.

Background:

Company History – Washington Heights and Inwood Development Corporation was incorporated in 1978 and has provided business development services since its inception. It provides both classroom and one-on-business development assistance, legal assistance and business loans of up to \$50,000 to businesses in Upper Manhattan and the Bronx.

Ownership – Washington Heights and Inwood Development Corporation is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support - Washington Heights and Inwood Development Corporation was awarded its first grant in 2008. EAC grants are based on the availability of funds and have ranged from \$35,000 to \$99,593 since the program's inception. To date, Washington Heights and Inwood Development Corporation has received approximately \$941,316 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – EAC will help build and strengthen commercial activity by providing local minority and/or women entrepreneurs with intensive business assistance and training. The Program will provide businesses and entrepreneurs with the tools necessary to allow them to start, sustain and/or expand their businesses, fueling local economic development, increasing local business equity and creating job growth. The target audience consists of minorities and women, including recent immigrants and limited-English speaking participants.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Program Budget Washington Heights and Inwood Development Corporation

			Financial Sources		
Project #133,892 WHIDC EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 155,041	97%	\$ 75,207	\$ 79,834	\$ 0
Contractual Services/Curriculum/ Staff Development	2,000	1%	2,000	-	-
Project Expenses	2,627	2%	2,627	-	-
Total Project Costs	\$ 159,668	100%	\$ 79,834	\$ 79,834	\$ 0
% of Financial Sources		100%	50%	50%	0%

Grantee Contact: Jahaira Guerrero, Executive Director
Telephone: (212) 795-1600
Fax: (212) 781-4051
E-Mail: JGuerrero@WHIDC.org

Project Team:	Program Director	Bette Yee
	Project Manager	Jefferson Mao
	Environmental	Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-20

Women's Enterprise Development Center Inc. (Poughkeepsie Center)
Entrepreneurship Assistance Centers, (132,993)

Grant Recipient: Women's Enterprise Development Center Inc.

ESD Investment: A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021

Project Location: 3 Neptune Road, Suite A21, Poughkeepsie, NY 12601

Proposed Project: Business Training and Technical Assistance

Regional Council: New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Mid-Hudson Regional Economic Development Council goals to promote entrepreneurship, start-ups, and small businesses through a variety of measures that include business training, technical assistance, and access to capital.

Background:

Company History – Women's Enterprise Development Center Inc. began in 1997 as a pilot program with 12 students in a 15-week entrepreneurial training program in Yonkers. In 2003, it was designated an SBA women's business center for Westchester County and the Lower Hudson Valley. It is the only organization in the area that provides entrepreneurs with the entire range of vital small business services; from helping clients develop a business idea to helping them maintain and grow a successful enterprise.

Ownership – Women's Enterprise Development Center Inc. is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support – In 2015 Women's Enterprise Development Center Inc. expanded its reach to other areas of the Mid-Hudson Region including Dutchess, Orange, Sullivan, Ulster and Putnam counties under a new grant. EAC grants are based on the availability of funds and have ranged from \$35,000 to \$99,593 since the program's inception. To date, Women's Enterprise Development Center Inc. (Westchester Center) has received approximately \$403,016 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – The EAC training model consists of in-depth multi-course training program covering the full range of entrepreneurial development issues at all stages of business development. The program is offered in both English and Spanish.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Women's Enterprise Development Center Inc. (Poughkeepsie Center)

			Financial Sources		
Project #133,893 WEDC-P EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 132,310	83%	\$ 74,223	\$ 58,087	\$ 0
Contractual Services/Curriculum/ Staff Development	11,673	7%	3,089	8,585	-
Project Expenses	15,684	10%	2,522	-	13,162
Total Project Costs	\$ 159,667	100%	\$ 79,834	\$ 66,672	\$ 13,162
% of Financial Sources		100%	50%	42%	8%

Grantee Contact: Anne Janiak, Executive Director
Telephone: (914) 948-6098 Ext. 12
Fax: (914) 470-2972
E-Mail: ajaniak@wedcbiz. org

Terri Matthews-Cotton, Director of Finance
Telephone: (914) 948-6098 Ext. 11
Fax: (914) 470-2972
E-mail: TMatthews-Cotton@wedcbiz. org

Project Team:	Program Director	Bette Yee
	Project Manager	Jefferson Mao
	Environmental	Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

SCHEDULE A-21

Women's Enterprise Development Center Inc. (Westchester Center)
Entrepreneurship Assistance Centers, (133,894)

Grant Recipient: Women's Enterprise Development Center Inc.

ESD Investment: A grant of up to \$79,834 will be awarded to cover operating expenses, training and technical assistance from July 1, 2020 through June 30, 2021

Project Location: Office of Economic Development,
901 North Broadway, Suite 23, White Plains, NY 10603

Proposed Project: Business Training and Technical Assistance

Regional Council: New York State's Entrepreneurship Assistance Centers has provided business services for almost three decades in the region and is poised to assist the Mid-Hudson Regional Economic Development Council goals to promote entrepreneurship, start-ups, and small businesses through a variety of measures that include business training, technical assistance, and access to capital.

Background:

Company History – Women's Enterprise Development Center Inc. began in 1997 as a pilot program with 12 students in a 15-week entrepreneurial training program in Yonkers. In 2003, it was designated an SBA women's business center for Westchester County and the Lower Hudson Valley. It is the only organization in the area that provides entrepreneurs with the entire range of vital small business services; from helping clients develop a business idea to helping them maintain and grow a successful enterprise.

Ownership – Women's Enterprise Development Center Inc. is a New York State 501(c) 3 not-for-profit

ESD Involvement - New York State's Entrepreneurship Assistance Centers ("EAC") was created in January 2019 as an amendment of the 1987 NYS Omnibus Economic Development Act. The EAC establishes Centers in local communities to provide instruction, training, technical assistance and support services to individuals who have recently started their own business or are interested in starting a business.

Past ESD Support - Women's Enterprise Development Center Inc. was awarded its first grant in 2008. EAC grants are based on the availability of funds and have ranged from \$35,000 to \$99,593 since the program's inception. To date, Women's Enterprise Development Center Inc. (Poughkeepsie Center) has received approximately \$ 928,316 in EAC grant funds.

The Project:

Completion – June 30, 2021

Activity – The EAC training model consists of in-depth multi-course training program covering the full range of entrepreneurial development issues at all stages of business development. The program is offered in both English.

Results – The Entrepreneurship Assistance Centers encourages the start of new businesses and the continuous development of existing businesses. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies. To track the performance of grantees funded under EAC, grantees are required to meet specific program goals such as number of clients served, businesses started, increases in sales and employment and financing secured.

EAC Project Budget Women's Enterprise Development Center Inc. (Westchester Center)

			Financial Sources		
Project #133,894 WEDC-W EAC Budget FY 20/21	Project Amount	% Uses	ESD Grant	Cash Match \$39,917 Minimum	In-Kind Match
Salaries /Fringe	\$ 121,993	77%	\$ 53,062	\$ 68,931	\$ 0
Contractual Services/Curriculum/ Staff Development	29,232	18%	18,329	10,903	-
Project Expenses	8,443	5%	8,443	-	-
Total Project Costs	\$ 159,668	100%	\$79,834	\$ 79,834	-
% of Financial Sources		100%	50%	50%	0%

Grantee Contact: Anne Janiak, Executive Director
Telephone: (914) 948-6098 ext. 12
Fax: (914) 470-2972
E-Mail: ajaniak@wedcbiz. org

Terri Matthews-Cotton, Director of Finance
Telephone: (914) 948-6098 Ext. 11
Fax: (914) 470-2972
E-mail: TMattews-Cotton@wedcbiz. org

Project Team:	Program Director	Bette Yee
	Project Manager	Jefferson Mao
	Environmental	Rachel Shatz

Financial Terms and Conditions:

1. Grantee will be obligated to advise ESD of any materially adverse changes in its financial condition prior to disbursement.
2. The Grantee will match the EAC grant 100%, of which at least 50% must be cash. Matching funds may derive from any funding source except the State.
3. An advance of up to 50% of the ESD Grant (\$39,917) will be disbursed to the Grantee upon execution of the Grant Disbursement Agreement ("GDA"), assuming that all project approvals have been completed and funds are available. The final 50% of the ESD Grant (\$39,917) will be disbursed once ESD receives all supporting documentation as ESD may require. ESD may withhold the final 10% of the Grant (\$7,983) until all of the tasks and reports have been completed to ESD's satisfaction.

FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Office Lease Renewal for the New York State Office of Trade and Tourism for Office Space in Old San Juan, Puerto Rico

REQUEST FOR: Authorization to Enter Into a Lease Renewal Contract for Office Space in Old San Juan, Puerto Rico for the New York State Office of Trade and Tourism; and Authorization to Take Related Actions

I. Background

The New York State Office of Trade and Tourism (“NYSOTT”) opened on November 5, 2015 in historic Old San Juan, Puerto Rico at 260 Calle San Francisco. NYSOTT was established under Governor Andrew Cuomo and is operated by Empire State Development (“ESD” or the “Corporation”), with a primary mission to foster and strengthen economic, cultural, and governmental ties between New York State (“NYS”) and Puerto Rico. The Governor, Lieutenant Governor and other NYS Officials have regularly visited Puerto Rico and NYSOTT in support of its mission.

NYSOTT operates the New York State Discovery Center (the “Center”), which sells “Taste NY” and “I Love NY” products to residents of Puerto Rico and tourists visiting the island. The Center also functions as a one-stop tourism shop for residents of Puerto Rico who are interested in traveling to NYS and need assistance with planning their trip. To further support tourism to NYS, during the summer of 2019, NYSOTT sponsored an “I Love NY Beisbol” promotion for travel for up to four residents of Puerto Rico to the Baseball Hall of Fame in Cooperstown for the induction of Edgar Martinez. Other events held included “I Love NY in the Winter” and “I Love NY, Be My Valentine”.

In addition, since Puerto Rico was struck by Hurricane Maria and numerous earthquakes, NYSOTT has played a key role as a coordinating center for NYS with its on-the-ground assistance.

NYSOTT has also helped foster economic activity between Puerto Rico and NYS through connecting NYS exporters with Puerto Rico’s distributors for agricultural and other products and services. In addition, an “Adopt-A-City Program” was established which is a joint program between New York cities and municipalities in Puerto Rico that were impacted by natural disasters in which a city “adopts” a municipality and provides financial and/or other donations.

Since its opening in 2015, ESD has leased commercial office space at 260 Calle San Francisco, Old San Juan, Puerto Rico for the use of NYSOTT. The space consists of approximately 1,800 square feet, housing two offices for staff, space for the Center (which includes the “Taste NY” and “I Love NY” products’ store), and an internal courtyard for staff and visitors.

In October 2015, ESD executed a six-month lease with William Alicea Guzmán (“Landlord”) for the office space for a total rental value of \$33,128. The rental value included base rent, plus additional amounts for utilities and certain maintenance expenses. ESD through the exercise of renewal options extended the term of the lease through April 20, 2020, at total rental amounts since lease inception totaling approximately \$298,000. ESD wishes to renew the lease and, to that end, began negotiating the terms of a renewal lease in early Spring 2020. The non-essential business closures and public health response necessitated in response to the COVID-19 pandemic delayed finalization of the lease renewal terms. The landlord permitted ESD to remain in the space and has deferred rent pending review and approval of the lease renewal terms by the Directors.

II. Contractor Selection Process

Each year, towards the end of each lease term, NYSOTT surveys the current real estate market in Old San Juan to ensure a competitive price in relation to the office’s location, total square feet, and amenities. During the search performed in the Spring of 2020, NYSOTT did not find any properties that matched the historic space offered by the current location or the space footprint required to meet NYSOTT’s operating needs. Surveyed properties included 253 San Jose Street; 314 Fortaleza Street and 254-56 San Francisco Street. After this survey, NYSOTT was able to negotiate an agreement at a rental rate less than landlord’s proposed increase for the renewal term. NYSOTT staff has determined that the negotiated price coupled with the savings from not incurring relocation costs is the most cost-effective, economical decision for the NYSOTT office.

Pursuant to State Finance Law Section 139-j and 139-k and the Corporation’s policy related thereto, staff has; a) considered the proposed contractor’s ability to perform the services provided for in the proposed contract; and b) consulted the list of offerers determined to be non-responsible bidders and debarred offerers maintained by the New York State Office of General Services. Based on the foregoing, staff considers the proposed contractor to be responsible.

III. Essential Terms of the Lease

Landlord:	William Alicea Guzmán
Premises:	Approximately 1,893 square feet of office space located at 260 Calle San Francisco, Unit LC-3 1, Old San Juan, Puerto Rico.
Lease Term:	Effective date April 20, 2020 to April 19, 2022
Total Contract Value:	Not to exceed \$144,575.52 for rent, additional rent, operating expenses and property maintenance as described below:

Rent and Additional Rent and Operating Expenses:	Not to exceed \$ 66,287.76 per annum, i.e., approximately \$5,523.98 per month, as follows: <ul style="list-style-type: none"> • Rent: \$4,798.98 • Power: \$450 • Cable/Internet/Telephone: \$225 • Water: \$50
Property Maintenance Fund:	\$6,000 per annum for mutually agreed maintenance, including modifications for COVID-19 protective measures
Funding Source:	Corporate Funds

The Property Maintenance Fund will be held and disbursed by ESD on an “as needed basis”.

IV. Non-Discrimination and Contractor & Supplier Diversity

Pursuant to New York State Executive Law Article 15-A, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises (MWBEs) in the performance of ESD projects. The Office of Contractor and Supplier Diversity has reviewed the project and has determined that MWBE participation goals need not be applied to this project.

V. Environmental Review

ESD staff has determined that the requested authorization constitutes a Type II action as defined by the New York State Environmental Quality Review Act ("SEQRA") and the implementing regulations for the New York State Department of Environmental Conservation. No further environmental review is required.

VI. Requested Action

The Directors are requested to: (1) make a determination of responsibility with respect to the proposed contractor, William Alicea Guzmán, landlord; (2) authorize the Corporation to enter into a lease with William Alicea Guzmán on the terms herein described, for a total contract value not to exceed \$144,575.52 , for rent, operating expenses and property maintenance; and (3) take all related actions.

VII. Recommendation

Based on the foregoing, I recommend approval of the requested actions.

VIII. Attachments

Resolution

June 25, 2020

NEW YORK STATE URBAN DEVELOPMENT CORPORATION d/b/a EMPIRE STATE DEVELOPMENT – Office Lease Renewal for the New York State Office of Trade and Tourism for Office Space in Old San Juan, Puerto Rico - Authorization to Enter a Lease Renewal Contract for Office Space in Old San Juan, Puerto Rico for the New York State Office of Trade and Tourism; and Authorization to Take Related Actions

BE IT RESOLVED, that upon the basis of the materials presented to this meeting (the “Materials”), a copy of which is hereby ordered filed with the records of the Corporation, the Corporation hereby finds William Alicea Guzmán, to be responsible; and be it further

RESOLVED, that the Corporation is hereby authorized to enter into a lease with William Alicea Guzmán, as Landlord, in an amount not to exceed One Hundred Forty Four Thousand Five Hundred Seventy Five DOLLARS and Fifty Two CENTS (\$144,575.52) for the premises located at 260 Calle San Francisco, Unit LC-3-1, Old San Juan, Puerto Rico substantially on the terms and conditions, set forth in the Materials; and be it further

RESOLVED, that the President and Chief Executive Officer Designate of the Corporation or his designee be, and each of them hereby is, authorized to take such action and execute such documents as may be necessary or appropriate to carry out the foregoing resolution.

* * *



FOR CONSIDERATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Contract for Marketing and Promotion Services of the New York State Apple Industry through New York Apple Association, Inc.

REQUEST FOR: Authorization to Enter into a Contract for Marketing and Promotion Services of the New York State Apple Industry Relating to the Apple Marketing Order Program; and Authorization to Take Related Actions

CONTRACT NEED AND JUSTIFICATION

I. CONTRACT SUMMARY

Contractor: New York Apple Association, Inc. ("NYAA" or "Contractor")

Scope of Services: Contractor to provide marketing and promotion of the New York State Apple industry through the advertising, promotion and publicity of apples and apple products

Anticipated Term
Of Initial Contract: July 1, 2020 to June 30, 2021

Contract Amount: Not to Exceed \$2,100,000

Funding Source: Funds received through the Apple Marketing Order

II. BACKGROUND

The Apple Marketing Order Program (the "Program") is a program in which the New York State Department of Agriculture and Markets ("NYSDAM") collects assessments from state apple growers that are used to promote New York apple products, purchase advertising, and conduct market research. In 2016, pursuant to Sections 16-Y and 16-Z of the Urban Development Corporation Act, certain responsibilities for administering the Program and entering into contracts to implement it were transferred from NYSDAM to ESD, with continuing support from NYSDAM. In the 2018-19 Budget, ESD's authority to administer the Program was extended through July 2021.

III. SCOPE OF WORK

Under this contract, NYAA will conduct a variety of marketing endeavors to promote the New York State apple industry, including online, print, in-store, community, social media, and trade show marketing campaigns, as well as marketing research. The budget also provides for membership to vital national produce marketing entities such as the U.S. Apple Association and the U.S. Apple Export Council.

IV. CONTRACTOR SELECTION PROCESS

Regulations promulgated in 1 NYCRR Part 201 direct NYSDAM's Commissioner to appoint a 9-member Apple Marketing Order Advisory Board (the "Advisory Board"), consisting of state apple growers, packers, and storage operators, to provide advice and assistance in administering the Program. Each year, the Advisory Board recommends to NYSDAM a budget, scope of work, and specific contracts for marketing and promotional activities to support the Program. Once approved by NYSDAM's Commissioner, the budget, scope of work, and individual contracts are submitted to ESD for final approval. NYAA – the Contractor for the present proposed contract – was selected through this process.

V. CONTRACT TERM, PRICE AND FUNDING

This contract term is expected to be twelve months for an amount not to exceed \$2,100,000. The source of funding for the contract will be the funds received through the Apple Marketing Order.

VI. RESPONSIBLE PARTY

Pursuant to State Finance Law Section 163 and the Corporation's policy related thereto, staff has: (a) considered the Contractor's ability to perform the services provided for in the proposed contract; and (b) consulted the list of offerors determined to be non-responsible bidders and debarred offerors maintained by the New York State Office of General Services. Based on the foregoing, staff considers the Contractor to be responsible.

VII. ENVIRONMENTAL REVIEW

ESD staff has determined that the requested authorization constitutes a Type II Action as defined by the New York State Environmental Quality Review Act ("SEQRA") and the implementing regulations for SEQRA promulgated by the New York State Department of Environmental Conservation. Therefore, no further environmental review is required.

VIII. NON-DISCRIMINATION AND CONTRACTOR & SUPPLIER DIVERSITY

ESD's Non-Discrimination and Contractor & Supplier Diversity policies will apply to this Project. The Organization/Recipient shall be required to include minorities and women in any job opportunities created, to solicit and utilize Minority and Women-owned Business Enterprises ("MWBEs") for any contractual opportunities generated in connection with the Project and shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8) to achieve an overall MWBE Participation Goal of 30% related to the eligible categories totaling approximately \$866,000. As such, the goal MWBE utilization shall be no less than \$259,800.

IX. REQUESTED ACTIONS

The Directors are requested to (1) make a determination of responsibility with respect to the proposed Contractor; (2) authorize the Corporation to enter into a contract with New York Apple Association, Inc. in an amount not to exceed \$2,100,000 and (3) take all related actions.

X. RECOMMENDATION

Based on the foregoing, I recommend approval of the requested actions.

ATTACHMENT
Resolutions

June 25, 2020

NEW YORK STATE URBAN DEVELOPMENT CORPORATION d/b/a EMPIRE STATE DEVELOPMENT - Contract for Marketing and Promotion Services of the New York State Apple Industry Through the New York Apple Association, Inc. - Authorization to Enter into a Contract for Marketing and Promotion Services of the New York State Apple Industry Relating to the Apple Market Order Program; and Authorization to Take Related Actions

BE IT RESOLVED, that upon the basis of the materials presented to this meeting (the "Materials") a copy of which is hereby ordered filed with the records of the Corporation, the Corporation hereby finds the New York Apple Association, Inc. to be responsible; and be it further

RESOLVED, that the Corporation is hereby authorized to enter into a contract with the New York Apple Association for a total contract amount not to exceed Two Million, One Hundred Thousand Dollars (\$2,100,000) for the purposes and services and substantially on the terms and conditions set forth in the Materials; and be it further

RESOLVED, that the President and Chief Executive Officer Designate, or other officer of the Corporation, or his or her designee be, and each of them hereby is, authorized to take such action and execute such documents as may be necessary or appropriate to carry out the foregoing resolution.

* * *

FOR INFORMATION

June 25, 2020

TO: The Directors

FROM: Eric J. Gertler

SUBJECT: Annual Report on Procurement Contracts for Fiscal Year 2019-2020

During FY2019-2020 Empire State Development (“ESD”) and its subsidiaries procured 148 contracts and amendments totaling \$228 million. These contracts were primarily for construction, legal, real estate, financial and other services related to many ESD economic development projects. ESD and its subsidiaries disbursed \$965 million of that amount approximately \$880 million was directly related to procurements and amendments executed on or prior to March 31, 2019, and \$85 million on contracts executed or amended this FY 19-20.

Compared to FY2018-2019 the total contract value increased from \$88 million to \$228million in FY2019-2020, and total number of contracts increased from 113 to 148. The increase in contract value was primarily from the marketing contract with Lowe & Partners Worldwide and the bio-accelerator program contract with SOSV NY LLC.

<u>FY 2019-2020 Procurement Contracts Summary</u>			
Category	Number of Contracts	Contract Totals	FY Spend Against Contracts
New Contracts	105	\$176,275,020	\$28,402,324
Amendments	43	\$ 51,309,209	\$57,044,228
Total	148	\$227,584,229	\$85,446,552

Attachments

Annual Report for FY 2019-2020

Annual Amendments for FY 2019-2020

Contracts Executed Prior to FY 2019-2020

Empire State Development
Annual Procurement Contracts
Entered Into During the Fiscal Year 2020 (04/01/2019 - 03/31/2020)

CO.	VENDOR NAME AND ADDRESS	CONTRACT EXECUTION DATE	CONT #	CONTRACT AMOUNT	INITIAL SCOPE OF SERVICES	PAYMENTS DURING FISCAL YEAR	CURRENT STATUS	COMPETITIVE SEARCH	MWBE ELIGIBLE CONTRACTS/ASSIGNED GOALS	COMMENTS	NUMBER OF BIDS
EMPIRE STATE DEVELOPMENT											
ESD	Lowe & Partners Worldwide, Inc. d/b/a Campbell Ewald New York 386 Park Avenue South, 15th Floor New York, NY 10016	2/10/2020	12311	100,000,000	Provide marketing services including advertising, digital, marketing, events, media planning and buying services.	2,193,729	Open	YES	YES 15%-15%		4
ESD	SOSV NY LLC 174 Nassau Street Princeton, NJ 08542	12/13/2019	12369	25,000,000	Provide services to develop and execute ESD's Bio-Accelerator program that will serve 118 companies over 5.5 years.	2,500,000	Open	YES	YES 8.5%		1
ESD	American Dairy Association and Dairy Council 100 Elwood Davis Road N. Syracuse, NY 13212	4/2/2019	11846	10,952,347	Provide marketing and promotion of the New York State Dairy Industry through 5 marketing promotion platforms. Contract Term 01/01/2019-12/31/2019	10,952,347	Completed	N/A	YES 30%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	New York Apple Association PO Box 350 Fishers, NY 14453	12/4/2019	12307	2,100,000	Provide marketing and promotion of the New York State Apple Industry through seven marketing and promotion plans.	1,575,000	Completed	N/A	0%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	New England Dairy Promotion Board Inc 1034 Commonwealth Avenue Boston, MA 02215	5/3/2019	11847	1,874,308	Provide marketing and promotion of the New York State dairy industry through three marketing and promotion platforms.	1,874,308	Completed	YES	0%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	New England Dairy Promotion Board Inc 1034 Commonwealth Avenue Boston, MA 02215	3/30/2020	12485	1,650,000	Provide marketing and promotion of the New York State dairy industry through three marketing and promotion platforms.	0	Open	YES	0%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	Cornell University 373 PineTree Road Ithaca, NY 14850	1/31/2020	12388	1,553,081	Provide research of the New York State Dairy Industry through fourteen research project at the Milk Quality Improvement Program and the Northeast Dairy Food Research Center for the 2019 calendar year.	0	Open	N/A	0%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	

Empire State Development
Annual Procurement Contracts
Entered Into During the Fiscal Year 2020 (04/01/2019 - 03/31/2020)

CO.	VENDOR NAME AND ADDRESS	CONTRACT EXECUTION DATE	CONT #	CONTRACT AMOUNT	INITIAL SCOPE OF SERVICES	PAYMENTS DURING FISCAL YEAR	CURRENT STATUS	COMPETITIVE SEARCH	MWBE ELIGIBLE CONTRACTS/ASSIGNED GOALS	COMMENTS	NUMBER OF BIDS
ESD	Baker, Donelson, Bearman, Caldwell & Berkowitz 901 K Street N.W. Washington, DC 20001	5/2/2019	11926	1,547,040	Provide consulting services to assist New York State in retaining jobs through the retention and expansion of Military Bases.	262,000	Open	YES	0%		1
ESD	STV Inc. 225 Park Avenue New York, NY 10003	6/21/2019	12006	1,100,000	Provide environmental consulting services in connection with the disposition and redevelopment of the former Brooklyn Development Center Campus.	0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	2
ESD	OCO Global Ltd 6 Citylink Business Park Belfast, Northern Ireland BT12 4HB	9/4/2019	12168	1,050,000	Provide consulting services to increase Trade and Foreign Direct Investment between New York and Europe.	102,832	Open		YES 15%-15%		7
ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	11/25/2020	12335	964,626	Provide renewed software licenses for all aspects of Dynamics, including licenses for the Dynamics System, SharePoint, Azure and Power BI	321,542	Open	YES	0%	Vendor under State OGS competitive contract	0
ESD	Tractus Asia Limited 1625 King's Road, North Point Central, Hong Kong S.A.R. China	7/1/2019	12032	782,593	Provide consulting services to increase Trade and Foreign Direct Investment between New York and China.	40,667	Open	YES	0%		3
ESD	Bergmann Associates, Architects, Landscape Architects & Surveyors D.P.C 280 East Broad Street Rochester, NY 14606	10/7/2019	12218	600,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in Western NY and Southern Tier Regions.	0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12
ESD	ROI Research on Investment 416 Maisonneuve Boulevard West Montreal, Quebec H3A-1L2 Canada	7/12/2019	12052	563,500	Provide consulting services to increase Trade and Foreign Direct Investment between New York and Canada.	42,855	Open	YES	0%		5

Empire State Development
Annual Procurement Contracts
Entered Into During the Fiscal Year 2020 (04/01/2019 - 03/31/2020)

CO.	VENDOR NAME AND ADDRESS	CONTRACT EXECUTION DATE	CONT #	CONTRACT AMOUNT	INITIAL SCOPE OF SERVICES	PAYMENTS DURING FISCAL YEAR	CURRENT STATUS	COMPETITIVE SEARCH	MWBE ELIGIBLE CONTRACTS/ASSIGNED GOALS	COMMENTS	NUMBER OF BIDS
ESD	Gerry Shalev Stoch 35 Shimon Street Beth Shemesh 99543	6/28/2019	12017	500,000	Provide consulting services to increase Trade and Foreign Direct Investment between New York and Israel.	50,293	Open	YES	0%		2
ESD	Knowledge Builders, Inc 1977 Western Avenue Albany, NY 12203	11/13/2019	12294	500,000	Provide design development and implement database to provide transparency to ESD's strategic investments.	0	Open	YES	YES-WBE 30%	Pre-Qualified of Suppliers for Information Technology Goods and Services	1
ESD	Tilson Technology Management Inc 245 Commercial Portland, ME 04101	7/12/2019	11271	467,338	Provide consulting services in connection with the perform field review and technical validation of as built broadband deployment projects supported by the New NY Broadband Program.	89,573	Open	YES	YES 30%	Term Contract	1
ESD	Milk for Health on the Niagara Frontier, Inc. 4185 Seneca Street West Seneca, NY 14224	4/5/2019	11874	462,655	Provide marketing and promotion of the New York State dairy industry through six marketing and promotion platforms. Contract Term 01/01/2019-12/31/2019	462,655	Completed	N/A	0%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	Milk for Health on the Niagara Frontier, Inc. 4185 Seneca Street West Seneca, NY 14224	3/17/2020	12489	450,000	Provide marketing and promotion of the New York State dairy industry through six marketing and promotion platforms. Contract Term 01/01/2020-12/31/2020	0	Open	N/A	0%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	Cornell University 373 PineTree Road Ithaca, NY 14850	2/18/2020	12438	447,864	Provide research and development of the NYS Apple Industry through twelve research projects.	4,000	Open	N/A	0%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	Tractus Asia Limited 1625 King's Road, North Point Central, Hong Kong S.A.R. China	7/1/2019	12031	441,548	Provide consulting services to increase Foreign Direct Investment between New York and India.	36,353	Open	YES	0%		7

Empire State Development
Annual Procurement Contracts
Entered Into During the Fiscal Year 2020 (04/01/2019 - 03/31/2020)

CO.	VENDOR NAME AND ADDRESS	CONTRACT EXECUTION DATE	CONT #	CONTRACT AMOUNT	INITIAL SCOPE OF SERVICES	PAYMENTS DURING FISCAL YEAR	CURRENT STATUS	COMPETITIVE SEARCH	MWBE ELIGIBLE CONTRACTS/ASSIGNED GOALS	COMMENTS	NUMBER OF BIDS
ESD	Aubertine&Currier Architects, Engineers&Land Surveyors, PLLC 522 Bradley Street Watertown, NY 13601	1/24/2020	12431	400,000	Provide construction monitoring services for Cree Project in Marcy, NY.	0	Open	YES	YES-WBE 100%	Pre-Qualified Real Estate Development & Planning Related Consultants List	1
ESD	Mercy Corps 45 SW Ankeny Portland, OR 97204	5/6/2019	11929	375,000	Provide web hosting, support and redevelopment of the Business Mentor NY Small Business Mentoring Platform.	120,000	Open	YES	0%		3
ESD	Strategic Advantage International 200 W 79th Street New York, NY 10024	3/19/2020	12546	360,000	Provide live-streaming for public viewing, real time webcasts, video recording/editing as well as posting for archival viewing.	0	Open	YES	0%		4
ESD	LaBella Associates, D.P.C. 300 State Street Rochester, NY 14614	10/2/2019	12215	300,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in Finger Lakes Region.	0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12
ESD	Buckhurst, Fish & Jacquemart 115 5th Avenue New York, NY 10003	10/2/2019	12216	300,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in Hudson Valley Region.	0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12
ESD	HR & A Advisors Inc 99 Hudson Street New York, NY 10013	10/4/2019	12220	300,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in New York City Region.	0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12
ESD	VHB Engineering, Surveying, Landscape Architecture and Geology, P.C.	10/4/2019	12221	300,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in Long Island Region.	0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12

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ESD	MJ Engineering and Land Surveying P.C. 1533 Crescent Road Clifton Park, NY 12065	11/20/2019	12325	300,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in North County Region.	0	Open	YES	YES-MBE 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12
ESD	Elan 3 Consulting 18 Division Street Saratoga Springs, NY 12866	10/4/2019	12222	300,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in Mohawk Valley Region.	0	Open	YES	YES-WBE 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12
ESD	Stantec Consulting Services Inc 80 State Street Albany, NY 12207	10/4/2019	12223	300,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in Capital Region.	0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12
ESD	Cameron Engineering & Associates LLP 1411 Broadway New York, NY 10018	10/4/2019	12225	300,000	Provide planning services necessary for the development of strategic investments plans for the Downtown Revitalization Area located in Central New York Region.	0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	12
ESD	Eplus Technology Inc 1250 Pittsford - Victor Road Pittsburg NY 14534	2/4/2020	12407	296,904	Provide support and maintenance of Radware for a term of 3 years.	98,968	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	Nixon Peabody, LLP 1300 Clinton Square Rochester, NY 14604	12/30/2019	12398	269,500	Provide bond counsel services in connection with the NYS Sales Tax Revenue Bonds.	269,500	Completed	YES	YES 30%	Pre-Qualified Legal Counsel List	0
ESD	CJS Architects LLC 755 Seneca Street Buffalo, NY 14210	2/24/2020	12472	266,800	Provide consultant services for business planning, marketing and communications planning, community outreach, and preliminary architectural designs for the Broadway Market as part of the Buffalo Billion II East Side Corridor Economic Development Fund.	0	Open	YES	YES 30%		7

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ESD	Council of Great Lakes Governors Inc 20 N. Wacker Drive Chicago, IL 60606	7/1/2019	12023	250,000	Provide consulting services to increase Trade between New York and South Africa.	22,500	Open	YES	0%		2
ESD	Schoeman Updike Kaufman & Gerber, LLP 551 Fifth Avenue New York, NY 10176	2/13/2020	12473	250,000	Provide legal services in connection with the Brooklyn Development Center.	0	Open	YES	YES-WBE 50%	Pre-Qualified Legal Counsel List	0
ESD	Harris Beach PLLC 99 Gamsey Rd Pittsford, NY 14534	8/21/2019	12133	250,000	Provide legal advice and counsel in connection with the acquisition and disposition of the Brooklyn Development Center Site.	4,640	Open	YES	YES 50%	Pre-Qualified Legal Counsel List	8
ESD	Harris Beach PLLC 99 Gamsey Rd Pittsford, NY 14534	11/22/2019	12334	250,000	Provide legal advice and counsel with respect the Payment in Lieu of Taxes ("PILOT") Agreement for the Belmont Park Redevelopment Civic and Land Use Improvement Project.	27,686	Open	YES	0%	Pre-Qualified Legal Counsel List	11
ESD	Holland & Knight LLP 31 West 52nd Street New York, NY 10019	11/27/2020	12364	250,000	Provide ESD with legal advice and counsel with respect to compliance with the Lien Law as it relates to the Belmont Park Redevelopment Civic and Land Use Improvement Project.	23,490	Open	YES	0%	Pre-Qualified Legal Counsel List	0
ESD	Marcum Technology LLC 10 Melville Park Road Melville, NY 11747	4/25/2019	11914	249,992	Provide additional storage units to house data and virtual environments in NYC and Albany.	249,992	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	WXY Architecture + Urban Design PC 224 Centre Street New York, NY 10013	1/28/2020	12432	220,135	Provide market feasibility study for the Castle on the Hill at the Greater Binghamton Health Center campus. Scope consists of evaluating both the market for adaptive reuse of the Caste and redevelopment of adjacent surplus land.	0	Open	YES	YES-WBE 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	2

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ESD	Alvarez & Marsal Public Sector Services LLC 655 15th Street NW Washington, DC 20005	8/19/2020	12132	219,946	Provide consulting support for the NY Upstate Cellular Task Force, including advising on the structure of the workplan & coordinating/managing logistics associated with activities.	219,946	Completed	YES	0%	Pre-Qualified Real Estate Development & Planning Related Consultants List	2
ESD	Council of Great Lakes Governors Inc 20 N. Wacker Drive Chicago, IL 60606	7/1/2019	12020	204,250	Provide consulting services to increase Trade between New York and Mexico/South America.	16,700	Open	YES	0%		2
ESD	Sive Paget & Riesel P.C. 560 Lexington Avenue New York, NY 10022	7/19/2019	12067	200,000	Provide environmental legal compliance in connection with the redevelopment of the Brooklyn Development Center Project.	15,240	Open	YES	0%	Pre-Qualified Legal Counsel List	4
ESD	Dun & Bradstreet P.O. Box 75434 Chicago, IL 60675	4/18/2019	11910	199,277	Provide database support to many initiatives and projects within ESD and the Executive Chamber, including Start-Up NY, Global NY Trade Missions, disaster recovery.	199,277	Completed	YES	0%	Vendor under State OGS competitive contract	1
ESD	United Dairy Industry Association 10255 W Higgins Rd Rosemont, IL 60018	12/2/2020	12375	195,826	Provide a plan to drive demand for milk and dairy products in overseas markets.	195,826	Completed	N/A	0%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	2/26/2020	12470	185,398	Purchase 10 Poweredge R740 servers to replace outdated equipment that supports ESD's Virtual Infrastructure.	0	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	LaBella Associates, D.P.C. 300 State Street Rochester, NY 14614	10/8/2019	12243	175,100	Provide management and administration services for a small business grant program in the Buffalo Billion II East Side Corridor Economic Development Fund.	0	Open	YES	YES 30%		2

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ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	3/11/2020	12496	172,648	Purchase of 3 PowerEdge R740XD and 6 Nvidia Tesla CusKit for NYC office and 3 PowerEdge R740XD and 6 Nvidia Tesla CusKit for Albany.	0	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	Quality and Assurance Technology P.O. Box 738 MT. Sinai, NY 11766	07/30/2019	12103	169,318	Purchasing Palo Alto equipment to protect ESD's network from cyber-attacks.	169,318	Open	YES	YES-MBE 100%	Vendor under State OGS competitive contract	3
ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	3/13/2020	12538	161,718	Purchase of Dell Chromebook Enterprise 250 for ESD business continuity operations in response to the corona virus concerns.	0	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	Renee Sacks Associates Inc dba Sacks Communications 767 Third Avenue Brooklyn, NY 11232	4/25/2019	12092	159,900	Provide event management services in connection with the 2019 MWBE Forum.	167,890	Completed	YES	YES-WBE 30%	Discretionary Purchase under the Governor's MWBE Executive Order	1
ESD	BJH Advisors, LLC 224 Centre Street New York, NY 10013	7/23/2019	12070	157,382	Provide consulting services in connection with the redevelopment study/physical condition assessment and architectural survey for Kiernan Plaza in Albany NY.	99,947	Open	YES	YES-MBE 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	3
ESD	Developments by JEM LLC 1659 Amherst Street Buffalo, NY 14214	10/10/2020	12242	150,000	Provide management and administration services for a small business grant program in the Buffalo Billion II East Side Corridor Economic Development Fund.	30,380	Open	YES	YES-MBE 30%		2
ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	5/29/2019	11965	149,153	Provide increased functionality and redundancy for ESD's disaster recovery and business continuity operations.	149,153	Open	YES	0%	Vendor under State OGS competitive contract	3

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ESD	Eplus Technology Inc 1250 Pittsford - Victor Road Pittsburg NY 14534	12/10/2019	12363	144,905	Renewal of ESD's existing FireEyeHX appliance and upgrade of the HW network security 5500.	136,671	Open	YES	0%	Vendor under State OGS competitive contract	3
ESD	PPM Associates Inc 52 Main Street North Reading, MA 01864	9/13/2019	12182	132,375	Purchase of PenTera License and support for three years.	132,375	Completed	Legally Exempt	0%	Single Source	0
ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	8/7/2019	12120	130,964	Purchase of 200 Wyse Thin Clients desktops in connection with the VDI upgrade to replace existing virtual desktops and replace PC's.	130,964	Completed	YES	0%	Vendor under State OGS competitive contract	1
ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	2/26/2020	12471	130,964	Purchase 200 VDI devices to replace the legacy Citrix VDI devices for the migration to the VMWare Horizon Platform.	0	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	Nixon Peabody, LLP 1300 Clinton Square Rochester, NY 14604	7/23/2019	11823	125,000	Provide legal services in connection with a subpoena for documents issued by the U.S. Attorney's Office for the Northern District of New York (Crystal Run Subpoena).	25,706	Open	YES	0%	Pre-Qualified Legal Counsel List	0
ESD	Eplus Technology Inc 1250 Pittsford - Victor Road Pittsburg NY 14534	8/22/2019	12142	116,665	Provide FireEye Security support which is a key component of ESD's Cyber Security defense posture.	116,665	Completed	YES	0%	Vendor under State OGS competitive contract	3
ESD	Bryant Rabbino LLP 650 5th Avenue New York, NY 10019	8/15/2019	12386	115,500	Provide bond counsel services in connection with the UDC 2019 Sales Tax Revenue Bonds.	100,000	Open	YES	YES-MBE 100%	Pre-Qualified Legal Counsel List	0

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ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	3/9/2020	12490	113,454	Provide support for virtual desktop infrastructure licenses for one year.	0	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	3/10/2020	12500	99,625	Provide Dell latitude 5300 laptops for ESD staff use.	0	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	Goldberg Segalla LLC 665 Main Street Buffalo, NY 14203	11/7/2019	12289	99,500	Provide legal services for lawsuit commenced against ESD by COR Van Rensselaer Company III, Inc.	8,255	Open	YES	0%	Pre-Qualified Legal Counsel List	1
ESD	Rimini Street 7251 West Lake Meade Blvd Las Vegas, NV 89128	9/30/2019	12169	97,500	Provide supplemental PeopleSoft 9.2 support to ESD's Financial Management System.	32,500	Open	Legally Exempt	0%	Single Source	0
ESD	Dropbox Inc. 333 Brannan Street San Francisco, CA 94107	4/26/2019	11916	97,200	Provide 135 dropbox enterprise user license a data sharing tool/program linked to email accounts.	32,400	Open	Legally Exempt	0%	Sole Source	
ESD	Layer 3 Technologies Inc 1645 Lyellavenue Rochester, NY 14606	5/16/2019	11951	85,385	Purchase a Unitrend 8100 to accommodate increasing data backup and restore storage space for ESD.	85,385	Open	YES	YES-WBE 100%	Vendor under State OGS competitive contract	3
ESD	Dell Marketing LP PO Box 371964 Pittsburg, PA 15240	3/10/2020	12495	85,378	Provide licensing for virtual desktops and applications as well as three years of support, upgrades and maintenance.	0	Open	YES	0%	Vendor under State OGS competitive contract	1

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ESD	Integration Partners Corporation 12 Hartwell Avenue Lexington, MA 02421	12/24/2019	12397	81,991	Provide juniper switches to replace Albany Core switches.	81,991	Completed	YES	0%	Vendor under State OGS competitive contract	1
ESD	Integration Partners Corporation 12 Hartwell Avenue Lexington, MA 02421	4/18/2019	11909	72,100	Purchase replacement Juniper Switches to replace Albany's Data Center switch closet in order to continue to provide connectivity for critical ESD operations and business continuity.	72,100	Open	YES	0%	Vendor under State OGS competitive contract	1
ESD	NY Animal Agriculture Coalition P.O. Box 147 Greenwich, NY 12834	4/23/2019	11915	70,000	Provide marketing and promotion of the dairy industry through two marketing and promotion program areas.	70,000	Completed	N/A	YES-MBE 30%	Administered by the NYS Department of Agriculture & Markets and transferred to ESD	
ESD	Moto Films LLC 140 Metropolitan Avenue Brooklyn, NY 11249	5/14/2019	11954	65,982	Provide production services for a video for I Love NY World Pride Event.	77,009	Open	YES	YES-MBE 100%	Discretionary Purchase under the Governor's MWBE Executive Order	1
ESD	Presentation Products 171 Madison Avenue New York, NY 10016	6/19/2019	12012	65,897	Provide an audio/visual upgrade to the 37th Conference Room at 633 Third Avenue, NY, NY.	49,885	Open	Legally Exempt	0%	Single Source	
ESD	Microsoft Corporation One Microsoft Way Redmond, WA 98052	1/22/2020	12427	64,880	Provide Microsoft Premier Support services to ESD's Financial Management and other systems that run on the windows platform.	64,880	Completed	YES	0%	Vendor under State OGS competitive contract	1
ESD	BJH Advisors, LLC 224 Centre Street New York, NY 10013	2/25/2020	12543	54,000	Provide ESD with an update to the 2018 valuation of Block 780 in Manhattan. BJH will also perform upzoning and property analysis of Block 780 in connection with the Empire Station Project.	0		YES	YES-MBE 30%	Discretionary Purchase under the Governor's MWBE Executive Order	1

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CO.	VENDOR NAME AND ADDRESS			CONTRACT AMOUNT								
ESD	Renee Sacks Associates Inc dba Sacks Communications 767 Third Avenue Brooklyn, NY 11232	4/25/2019	12093	50,002	Provide marketing services in connection with the 2019 MWBE Forum.		50,002	Completed	YES	YES-WBE 30%	Discretionary Purchase under the Governor's MWBE Executive Order	1
ESD	Donald J Tobias 845 Third Avenue New York, NY 10022	11/6/2019	12290	50,000	Provide legal advise to the workout committee, including litigating breaches of contracts, bankruptcy, foreclosure and related collection matters.		19,193	Open	YES	0%	Pre-Qualified Legal Counsel List	1
ESD	Towne Ryan & Partners P.C. 450 New Kerner Road Albany NY 12205	11/22/2019	12331	50,000	Provide legal advise to the workout committee, including litigating breaches of contracts, bankruptcy, foreclosure and related collection matters.		125	Open	YES	YES-WBE 100%	Pre-Qualified Legal Counsel List	1
ESD	Barclay Damon LLP 125 East Jefferson Street Syracuse, NY 13202	11/8/2020	12399	50,000	Provide legal advise to the workout committee, including litigating breaches of contracts, bankruptcy, foreclosure and related collection matters.		0	Open	YES	0%	Pre-Qualified Legal Counsel List	1
				\$163,844,413	ESD TOTAL :	\$23,874,713						
CONVENTION CENTER DEVELOPMENT CORPORATION												
CCDC	DLA Piper 1251 Avenue of the Americas New York, NY 10020	8/7/2019	12119	420,000	Provide legal services in connection with the Javits Convention Center Project.		31,324	Open	Legally Exempt	0%	Single Source	
CCDC	Dack Consulting Solutions, Inc. William Street White Plains, NY 10601	7/22/2019	12064	150,000	Provide construction cost estimating services in connection with the ongoing work of the Javits Transformer Building.		118,702	Open	YES	YES-MBE 100%	Discretionary Purchase under the Governor's MWBE Executive Order	1
				\$570,000	CCDC TOTAL :	\$150,026						

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ERIE CANAL HARBOR DEVELOPMENT CORPORATION											
ECHDC	Savarino Companies, LLC 500 Seneca Street Buffalo, NY 14204	7/22/2019	12104	5,530,000	Provide construction services in connection with the creation of an enclosed Longshed Building at the end of the Central Wharf.	1,362,524	Open	YES	YES 30%		3
ECHDC	National Grid 300 Erie Blvd West Syracuse, NY 13202	4/25/2019	10878	1,904,942	Relocate sub-transmission, distribution cables and other utility lines through a series of new manholes and duct banks under Main Street and Scott Street.	1,500,000	Open	N/A	0%		0
ECHDC	T.Y. Lin International Engineering 77 Broadway Street Buffalo, NY 14203	4/29/2019	11922	595,316	Provide architectural and engineering services in connection with the North Aud Block Development Infrastructure Design Project.	159,498	Open	YES	YES-MBE 30%		7
ECHDC	Scott Lawn Yard, Inc 3305 Haseley Drive Niagara Falls, NY 14304	9/30/2019	12211	199,759	Provide construction services to create a public beach at southern end of the Central Wharf as well as site resortation behind Clinton's Dish.	175,646	Open	YES	YES-WBE 30%	Discretionary Purchase under the Governor's MWBE Executive Order	2
ECHDC	Nature's Way Environmental Consultants and Contractor, Inc. 3553 Crittenden Road Alden, NY 14004	3/31/2020	12574	145,500	Provide storm clean-up, maintenance, repair and restoration of ECHDC property on Buffalo Outer Harbor.	0		YES	YES-WBE 30%	Discretionary Purchase under the Governor's MWBE Executive Order	2
ECHDC	American Environmental & Remediation Corp 763 Cayuga Street Lewiston, NY 14092	3/13/2020	12545	116,400	Provide construction services for the removal of asbestos at Terminal B on Buffalo's Outer Harbor.	0	Open	YES	YES-WBE 100%	Discretionary Purchase under the Governor's MWBE Executive Order	1
ECHDC	Armor Fence Co. of W.N.Y. Inc. PO Box 745 Orchard Park, NY 14127	3/6/2020	12544	77,294	Provide fence installation services at ECHDC Terminal Complex Property at 901 Fuhrmann Blvd. on Buffalo's Outer Harbor.	0	Open	YES	YES-WBE 100%	Discretionary Purchase under the Governor's MWBE Executive Order	3

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CO.	VENDOR NAME AND ADDRESS			CONTRACT AMOUNT							
ECHDC	HR&A Advisors 99 Hudson Street New York, NY 10013	1/14/2020	12417	65,000	Provide non-binding strategic advice to the ECHDC Board of Directors with the goal of understanding the most viable planning and development directions in connection with the Port Terminal Complex, located at 901 Fuhrman Boulevard.	0	Open	YES	0%	Pre-Qualified Real Estate Development & Planning Related Consultants List	1
				\$8,634,211	ECHDC TOTAL :	\$3,197,668					
EMPIRE STATION NEW MARKET CORPORATION											
ESNMC	Rise Community Capital LLC 515 South Madison Avenue Pasadena, CA 91101	10/9/2019	12237	600,000	Provide consulting services to Empire State New Market Corporation ("ESNMC" or the "Corporation") in connection with ESNMC's current allocation and potential future allocation of federal New Markets Tax Credits ("NMTCT"), and deployment thereof.	225,000	Open	YES	YES-MBE 100%		1
ESNMC	CohnReznick LLP 500 East Pratt Street Baltimore, MD 21202	10/17/2019	11873	500,000	Provide accounting services to Empire Station New Market Corporation in connection with ESNMC's current allocation and potential future allocation of federal New Markets Tax Credits and deployment thereof.	83,600	Open	YES	0%		1
				\$1,100,000	ESNMC TOTAL :	\$308,600					

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HARLEM COMMUNITY DEVELOPMENT CORPORATION												
HCDC	Koslow Greenwood Architects 594 Broadway New York, NY 10012	10/18/2020	12183	200,000	Provide construction administration services to oversee the progress on behalf of HCDC of the Victoria Project of the build out of the Cultural Unit.	151,200	Open	YES	YES-WBE 100%	Discretionary Purchase under the Governor's MWBE Executive Order	1	
HCDC	Remediation Specialists, Inc. 533 Whitehead Road Hamilton, NJ 08619	6/13/2019	12004	175,000	Provide ventilation system upgrade at 120 West 140th Street.	174,056	Open	YES	0%	Vendor under NYS DHCR competitive contract	3	
HCDC	Laser Electrical Contracting, Inc. 56-01 Northern Boulevard Woodside, NY 11377	4/18/2019	11911	82,315	Provide electrical work at 120 West 140 Street.	73,623	Open	YES	YES 30%	Vendor under NYS DHCR competitive contract	3	
HCDC	Real Windows LLC 1 Ashel LA Monsey NY 10952	3/3/2020	12486	75,827	Provide window replacement at 157 West 119th Street	0	Open	YES	0%	Vendor under NYS DHCR competitive contract	3	
HCDC	Lowe's Home Center 1605 Curtis Bridge Road Wilkesboro, NC 28697	5/3/2019	11970	59,666	Purchase 125 refrigerators for 120 West 140 Street.	58,712	Open	YES	0%	Vendor under NYS DHCR competitive contract	3	
				\$592,809	HCDC TOTAL:	\$457,591						
NEW YORK LIBERTY DEVELOPMENT CORPORATION												
NY Liberty	Burgher Gray LLP 1350 Broadway New York, NY 10018	8/7/2019	12125	2% of the par of the Bonds	Provide legal services to ESD in securities, bonds, taxes and other related disclosure matters in connection with the issuance and sale of the Bonds.	0	Completed	YES	YES-MBE 30%	Pre-Qualified Legal Counsel List	1	
NY Liberty	Hardwick Law Firm, LLC 14 Wall Street New York, NY 10005	8/7/2019	12238	2% of the par of the Bonds	Provide legal services to ESD in securities, bonds, taxes and other related disclosure matters in connection with the issuance and sale of the Bonds.	0	Completed	YES	YES-MBE 30%	Pre-Qualified Legal Counsel List	1	
				\$0	NY LIBERTY TOTAL:	\$0						

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Annual Procurement Contracts
Entered Into During the Fiscal Year 2020 (04/01/2019 - 03/31/2020)

CO.	VENDOR NAME AND ADDRESS	CONTRACT EXECUTION DATE	CONT #	CONTRACT AMOUNT		INITIAL SCOPE OF SERVICES	PAYMENTS DURING FISCAL YEAR	CURRENT STATUS	COMPETITIVE SEARCH	MWBE ELIGIBLE CONTRACTS/ASSIGNED GOALS	COMMENTS	NUMBER OF BIDS
NEW YORK TRANSPORTATION DEVELOPMENT CORPORATION												
NYTDC	The Hardwick Law Firm LLC 14 Wall Street New York, NY 10005	1/8/2020	12437	2% of the par of the Bonds	Provide legal services in connection with the JFK International Air Terminal.		0	Open	YES	YES-MBE 100%	Pre-Qualified Legal Counsel List	0
NYTDC	D.Seaton and Associates, PA 245 Park Avenue New York, NY 10167	2/28/2020	N/A	2% of the par of the Bonds	Provide legal services in connection with the JFK International Air Terminal.		0	Open	YES	YES-MBE 100%	Pre-Qualified Legal Counsel List	
				\$0	NY TRANSPORTATION TOTAL:		\$0					
USA NIAGARA DEVELOPMENT CORPORATION												
USA Niagara	Scott Lawn Yard Inc 3305 Haseley Drive Niagara Falls, NY 14304	5/10/2019	11938	1,175,000	Provide construction work in connection with the development of a state of the art dynamic park space located on Old Falls Street Niagara Falls, NY.		708,511	Open	YES	YES-WBE 30%		3
USA Niagara	WSP USA Inc 50 Lakefront Blvd Buffalo, NY 14202	3/9/2020	12491	300,000	Provide consulting services to complete a transportation study for Downtown Niagara Falls in Western New York.		0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	2
USA Niagara	LaBella Associates 300 Pearl Street Buffalo, NY 14202	7/29/2019	12126	58,586	Provide engineering and construction administration services in connection with the demolition of 2 properties in downtown Niagara Falls, NY.		0	Open	YES	YES 30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	4
				\$1,533,586	USAN TOTAL :		\$708,511					
				\$176,275,020	TOTAL FOR CONTRACTS:		\$28,402,324					
				\$51,309,209	TOTAL FOR AMENDMENTS:		\$57,044,228					
				\$227,584,229	GRAND TOTAL:		\$85,446,552					

Empire State Development
Annual Procurement Contracts (Amendments)
Executed During Fiscal Year 2020 (04/01/2019-03/31/2020)

CO.	VENDOR NAME	BEGIN DATE	AMEND. DATE	CONTRACT NUMBER	ORIGINAL CONTRACT AMOUNT	AMEND AMOUNT	SCOPE OF SERVICES	REVISED CONTRACT AMOUNT	AMOUNT EXPENDED FOR FISCAL YEAR	BALANCE	CURRENT STATUS	CONTRACT REPORTER	MWBE ELIGIBLE CONTRACTS/ASSIGNED GOALS	COMMENTS	TOTAL NUMBER OF BIDS
EMPIRE STATE DEVELOPMENT															
ESD	Lowe & Partners Worldwide, d/b/a Campbell Ewald New York 386 Park Avenue South, 15th Floor New York, NY 10016	11/13/2015	4/17/2019	9399	100,000,000	30,000,000	Provide marketing services including advertising, digital, marketing, events, media planning and buying services.	255,000,000	44,001,006	15,353,711	On-going	N/A	YES/30%		
ESD	The Economic Development Group, Inc. 638 Northland Avenue Buffalo, NY 14211	5/19/2017	8/5/2019	10618	5,000,000	2,450,000	Continue to provide operation and administration services of the Workforce Training Center for the Northland Project in Buffalo.	7,450,000	2,753,079	1,102,113	On-going	Legally Exempt	30%	Single Source	
ESD	AKRF, Inc. 440 Park Avenue South, 7th Floor New York, NY 10016	9/19/2017	2/20/2020	10757	2,000,000	1,600,000	Continue to provide environmental consulting services in connection with the Belmont Park Redevelopment Project.				On-going	N/A	YES/30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	
ESD	AKRF, Inc. 440 Park Avenue South, 7th Floor New York, NY 10016		6/6/2019	10757		1,250,000	Continue to provide environmental consulting services in connection with the Belmont Park Redevelopment Project.	4,850,000	1,471,282	1,601,097	On-going	N/A	YES/30%	Pre-Qualified Real Estate Development & Planning Related Consultants List	
ESD	The Research Foundation for SUNY 402 Crofts Hall Buffalo, NY 14202	8/3/2016	8/19/2019	9979	750,000	750,000	Continue to provide implementation support services for the Buffalo Billion initiative.	3,000,000	742,889	934,296	On-going	Legally Exempt	YES/30%	Single Source	
ESD	Henningson Durham & Richardson Architecture & Engineering, P.C. 500 7th Avenue, 15th Floor New York, NY 10018	6/11/2007	7/9/2019	4869	360,000	500,000	Continue to provide mitigation monitoring services in connection with Atlantic Yards Project.	5,645,000	453,115	646,065	On-going		YES/30%		
ESD	EFPR Group, LLP. 6390 Main Street, Suite 200 Williamsville, NY 14221	2/5/2016	6/26/2019	9588	631,000	436,000	Continue to provide audit services of the consolidated financial statements of ESD for the fiscal years 2019 and 2020.	1,067,000	203,000	233,000	On-going	YES	YES/30%		

Empire State Development
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Executed During Fiscal Year 2020 (04/01/2019-03/31/2020)

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ESD	Greenberg Taurig LLP. MetLife Building 200 Park Avenue New York, NY 10166	6/13/2017	11/26/2019	10574	100,000	400,000	Continue to provide environmental legal services for the Belmont Race Track Redevelopment Project.	900,000	595,675	21,736	On-going	N/A	0%	Pre-Qualified Counsel List	
ESD	Landair, Inc. 350 Fifth Avenue, 59th Floor New York, NY 10118	8/16/2018	5/6/2019	11437	330,000	330,000	Continue to provide compliance monitoring services for the Columbia University Educational Mixed-Use Development Land Use Improvement and Civic Project.	660,000	234,753	228,887	On-going	YES	YES/30%		
ESD	AKRF, Inc. 440 Park Avenue South, 7th Floor New York, NY 10016	6/11/2015	5/9/2019	9297	800,000	187,300	Continue to provide environmental consulting services including the preparation of an Environmental Impact Statement ("EIS") for the Belmont Park Redevelopment Civic and Land Use Improvement Project.	2,395,000	631,838	40,751	On-going	N/A	YES/30%	Pre-Qualified Real Estate Development and Planning Related Consultant List	
ESD	Nixon Peabody LLP. 677 Broadway ,10th Floor Albany, NY 12207	6/8/2018	3/3/2020	11334	70,000	160,000	Continue to provide legal service in connection with the NY Venture Program, including the NYS Innovation Venture Capital Fund & the Innovate NY Fund.				On-going	N/A	0%	Pre-qualified Counsel List	4
ESD	Nixon Peabody LLP. 677 Broadway ,10th Floor Albany, NY 12207		7/26/2019	11334		70,000	Continue to provide legal service in connection with the NY Venture Program, including the NYS Innovation Venture Capital Fund & the Innovate NY Fund.	300,000	79,539	163,539	On-going	N/A	30%	Pre-qualified Counsel List	4
ESD	Emery Celli Brinckerhoff & Abady, LLP. 600 5th Avenue, 10th Floor New York, NY 10020	5/3/2018	9/13/2019	11277	49,000	151,000	Continue to provide legal advice and counsel regarding Constitutional and other federal or NYS restrictions on ESD grants and loans including assistance from religiously-affiliated organizations.	200,000	23,486	147,903	On-going	Legally Exempt	0%	Single Source	
ESD	Sive Paget & Riesel, P.C. 560 Lexington Avenue, 15th Floor New York, NY 10022	4/21/2015	10/4/2019	9247	400,000	125,000	Continue to provide environmental legal services in connection with the disposition of portions of the Bronx Psychiatric Center.				On-going	N/A	0%	Pre-Qualified Counsel List	

Empire State Development
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Executed During Fiscal Year 2020 (04/01/2019-03/31/2020)

CO.	VENDOR NAME	BEGIN DATE	AMEND. DATE	CONTRACT NUMBER	ORIGINAL CONTRACT AMOUNT	AMEND AMOUNT	SCOPE OF SERVICES	REVISED CONTRACT AMOUNT	AMOUNT EXPENDED FOR FISCAL YEAR	BALANCE	CURRENT STATUS	CONTRACT REPORTER	MWBE ELIGIBLE CONTRACTS/ASSIGNED GOALS	COMMENTS	TOTAL NUMBER OF BIDS
ESD	Sive, Paget & Riesel, P.C. 560 Lexington Avenue, 15th Floor New York, NY 10022		4/24/2019	9247		100,000	Continue to provide environmental legal services in connection with the disposition of portions of the Bronx Psychiatric Center.	625,000	232,784	28,687	On-going	N/A	0%	Pre-Qualified Counsel List	
ESD	Woodbury Common Premium Outlet P.O. Box 822884 Philadelphia, PA 19182	8/16/2018	1/1/2020	11640	97,500	110,000	Rental of premises in the Market hall at Woodbury Common Premium Outlets consisting of approximately 2,100 square feet.	207,500	68,250	114,333	On-going	Missing		Sole Source	
ESD	CostQuest Associates, Inc. 6261 Ashbourne Place Cincinnati, OH 45206	5/2/2016	10/1/2019	9789	184,185	100,000	Continue to provide Geographic Information Systems (GIS) support and cost-modeling analyses in connection with the New NY Broadband Program.	1,602,346	75,949	27,998	On-going	Legally Exempt	0%	Single Source	
ESD	Z7 Solutions, LLC 7380 W Sand Lake Rd., Suite 500-110 Orlando, FL 32819	10/3/2019	3/16/2020	12217	49,500	100,000	Continue to provide consulting services in connection with the Enterprise Virtual Desktop (VDI) roll-out project.				Completed	Legally Exempt	0%	Single Source	
ESD	Z7 Solutions, LLC. 7380 W Sand Lake Rd., Suite 500-110 Orlando, FL 32819		1/30/2020	12217		99,000	Continue to provide consulting services in connection with the Enterprise Virtual Desktop (VDI) roll-out project.	248,500	148,500	100,000	On-going	Legally Exempt	0%	Single Source	
ESD	Tilson Technology Management, Inc. 245 Commercial Street, Suite 203 Portland, ME 04101	4/15/2016	3/10/2020	9770	236,500	100,000	Continue to provide production of ad-hoc analyses and deliverables necessary to implement projects awarded through Phase 3 of the New NY Broadband Program, as well as future broadband planning.	1,923,074	28,350	108,054	On-going	Legally Exempt	YES-30%	Single Source	
ESD	Redbrick Technologies, LLC. 2470 Cortland Avenue Pittsburgh, PA 15241	2/28/2019	4/23/2019	11818	48,875	97,750	Continue to provide programming/support and maintenance in connection with CRM Development.	146,625	47,150	73,830	On-going	Legally Exempt		Single Source	

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ESD	Metaformers, Inc. 1850 Centennial Parkway Suite 105 Reston, VA 20191	4/12/2019	5/2/2019	11889	38,965	80,995	Provide enhancements to the requisition workflow and a link between the commitment request form to the procurement contracts.	119,960	116,811	3,149	On-going	N/A	0%	Vendor under State OGS competitive contract.	
ESD	Strategic Advantage International 200West 79th Street New York, NY 10024	12/10/2018	11/19/2019	11801	49,750	49,750	Continue to provide on site audio/visual production, streaming and recording. Monthly video conference bridge and remote meeting management.	99,500	73,250	0	Completed		0%	Single Source	
ESD	AKRF, Inc. 440 Park Avenue South, 7th Floor New York, NY 10016	10/16/2019	2/12/2020	12245	49,000	22,000	Continue to provide technical memorandum to support GPP modification for Atlantic Yards.	71,000	21,867	761	On-going	N/A	0%	Pre-Qualified Real Estate Development and Planning Related Consultant List	1
ESD	Moto Films LLC 140 Metropolitan Avenue Brooklyn, NY 11249	5/14/2019	6/17/2019	11954	65,982	12,000	Provide production services for a video for I Love NY World Pride Event.	77,982		973	Completed	N/A	YES-MBE 100%	Discretionary Purchase under the Governor's MWBE Executive Order	
ESD	Renee Sacks Associates, Inc. d/b/a Sacks Communications 61 Broadway, Suite 2501 New York, NY 10006	4/25/2019	12/20/2019	12092	159,900	7,990	Continue to provide event management services in connection with the 2019 MWBE Forum.	167,890	167,890	0	Completed		YES-WBE 30%	Discretionary Purchase under the Governor's MWBE Executive Order	
ESD	Presentation Products 171 Madison Avenue New York, NY 10016	6/19/2019	3/25/2020	12012	65,897	821	Purchase & installation of a Projector Screen in connection with the 37th floor conference room upgrade.	78,873	49,885	16,012	On-going	Legally Exempt	0%	Single Source	
ESD TOTAL:					\$111,536,054	\$39,289,606		\$286,835,249	\$52,220,346	\$20,946,894					

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CONVENTION CENTER DEVELOPMENT CORPORATION															
CCDC	Di Domenico & Partners, LLP. 3743 Crescent Street Long Island City, NY 11101	9/4/2018	4/18/2019	11496	150,000	150,000	Continue to provide CCDC assistance with the design, application and permitting issues with DASNY and/or DOB.	300,000	11,957	143,143	On-going	Legally Exempt	0%	Single Source	
CCDC	Langan Engineering, Environmental, Surveying & Landscape Architects, D.P.C. 21 Penn Plaza, 360 W. 31st St., 8th Floor New York, NY 10001-2727	10/1/2017	5/7/2019	10946	150,000	150,000	Continue to provide engineering services at Javits Center and ongoing support of the transformer & design build.	300,000	30,051	201,502	On-going	Legally Exempt	0%	Single Source	
CCDC	VJ Associates, Inc. of Suffolk 100 Duffy Avenue, Suite 301 Hicksville, NY 11801	3/1/2017	6/7/2019	10571	27,500	33,600	Provide additional cost-estimating services in connection with the Javits Expansion Project.	250,850	33,600	27,310	On-going	Legally Exempt	30%	Single Source	
CCDC TOTAL:					\$327,500	\$333,600		\$850,850	\$75,608	\$371,955					
ERIE CANAL HARBOR DEVELOPMENT CORPORATION															
ECHDC	Queen City Bike Ferry, Inc. 748 Columbus Parkway Buffalo, NY 14213	12/10/2014	6/3/2019	9003	852,300	269,450	Continue to provide operations and maintenance services for the purpose of providing seasonal public ferry service as well as maintenance of ferry landing landscape and ticket kiosks.	1,121,750	169,638	325,734	On-going	Legally Exempt	0%	Single Source	

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ECHDC	Be Our Guest, Ltd. 1 James D. Griffin Plaza Buffalo, NY 14203	5/15/2017	6/19/2019	10511	2,900,000	4,500,000	Continue to provide operations and maintenance, event and programming management at Canalside. Year 3, 4 and 5 management fee.	7,400,000	1,300,000	3,687,230	On-going	YES	YES/30%		2
ECHDC	Trowbridge Wolf Michaels Landscape Architects, LLP. 1001 West Seneca Street, Suite 201 Ithaca, NY 14850	12/21/2016	9/4/2019	10193	1,560,000	1,629,860	Continue to provide architectural and engineering design services to improve seasonal, recreational and tourist access use and enjoyment of the Outer Harbor.	3,739,860	551,573	1,351,914	On-going	Legally Exempt	YES/30%	Single Source	
ECHDC	Hamilton Houston Lowmie Architects, LLC. 172 Allen Street Buffalo, NY 14201	4/7/2017	7/22/2019	10454	1,300,000	170,000	Continue to provide architectural and engineering design services in connection with the Canalside Interpretive Structures project.	1,470,000	242,967	125,230	On-going	Legally Exempt	YES/30%	Single Source	
ECHDC	Olin Partnership, Ltd. d/b/a OLIN Public Ledger Building, Suite 1123 150 South Independence Mall West Philadelphia, PA 19106	6/8/2018	9/4/2019	11347	550,000	1,743,830	Continue the design development of the preferred concept design selected by ECHDC for the Outer Harbor; Schematic Design through Construction Documents and Bidding Phases.	2,293,830	450,547	1,552,156	On-going		YES/30%		
ECHDC	Bergmann Associates, Architects, Engineers, Landscape Architects & Surveyors, DPC LLP. 280 E Broad St #200 Rochester, NY 14604	5/22/2018	9/6/2019	11300	375,000	1,704,335	Continue to provide design of the preferred concept, as selected by ECHDC, for Terminal B Capital Improvements Project Environmental Assessment and Schematic Design through construction documents and bidding phases.	2,079,335	286,921	1,684,324	On-going	YES	YES/30%		9
ECHDC TOTAL:					\$7,537,300	\$10,017,475		\$18,104,775	\$3,001,645	\$8,726,588					
JOB DEVELOPMENT AUTHORITY															
JDA	EFPR Group, LLP. 6390 Main Street, Suite 200 Williamsville, NY 14221	1/27/2016	6/26/2019	9556	91,000	64,000	Continue to provide audit of financial statements of JDA for the fiscal years 2019 and 2020.	155,000	32,000	32,000	On-going	YES	YES/30%		
JDA TOTAL:					\$91,000	\$64,000		\$155,000	\$32,000	\$32,000					

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Executed During Fiscal Year 2020 (04/01/2019-03/31/2020)

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LOWER MANHATTAN DEVELOPMENT CORPORATION															
LMDC	Venable LLP. 600 Massachusetts Avenue, NW Washington, DC 20004	6/13/2008	2/13/2020	5405	15,000	155,804	Continue to provide legal advice and services related to environmental and insurance matters on an as needed basis.	1,000,000	26,495	320,323	On-going	N/A	0%	Pre-Qualified Counsel List	
LMDC	Carter Ledyard & Milburn, LLP. 2 Wall Street New York, NY 10005	2/18/2009	2/27/2020	5833	365,000	85,000	Continue to provide real estate, land use and environmental services in connection with LMDC projects.	1,600,000	107,709	317,261	On-going	N/A	0%	Pre-Qualified Counsel List	
LMDC	A & N Design Studio, Inc. d/b/a Door3 Business Applications 22 Cortlandt Street, 11th Floor New York, NY 10007	3/11/2016	4/5/2019	9639	400,000	230,000	Extension of LMDC office space agreement at 22 Cortlandt Street, 11th Floor.	785,000	112,050	124,158	On-going		0%		
LMDC	Ngenious Solutions 30 Knightsbridge Road, Suite 525 Piscataway, NJ 08854	3/29/2018	4/5/2019	11182	35,000	65,000	Continue to provide website support, content management, hosting and maintenance services to LMDC's website.	100,000	46,150	21,450	On-going	Legally Exempt	0%	Single Source	
					LMDC TOTAL:			\$3,485,000	\$292,404	\$783,192					
USA NIAGARA DEVELOPMENT CORPORATION															
USAN	Global Spectrum, L.P. d/b/a Spectra Venue Management 150 Rouse Blvd., 3rd Floor Philadelphia, PA 19112	1/1/2014	5/29/2019	8525	345,060	537,618	Continue to provide management services for the USA Niagara owned Conference Center Niagara Fall.	4,479,699	715,938	659,795	On-going	N/A	30%		
USAN	Global Spectrum, L.P. d/b/a Spectra Venue Management 150 Rouse Blvd., 3rd Floor Philadelphia, PA 19112	1/1/2014	5/29/2019	8676	725,628	531,106	Continue to provide management services for maintenance and programming services of Old Falls Street, Niagara Falls, NY.	5,692,903	706,288	867,519	On-going	N/A	6%		
					USAN TOTAL:			\$10,172,602	\$1,422,226	\$1,527,314					
					GRAND TOTAL:			\$319,603,476	\$57,044,228	\$32,387,942					

Contract Executed Prior to FY 2019-20 with Payments in FY 2019-20

Contract No.	PO No.	Vendor Name	Begin Date	Expire Date	Oper. Unit Corp Proj./Dept.	Description	Total Contract	Total Disbursement	Balance as of 03/31/2020	FY 2019-2020 Disbursement
11862	16856	SCHOEMAN UPDIKE KAUFMAN & GERBER LLP	07/27/18	07/28/20	ESDC - 121 West 125 St	Provide real estate legal services in connection with the 121West 125 Street Urban League Project	400,000	122,098	277,902	122,098
8495	11108	633 THIRD 33 EQUITIES LLC	07/01/13	06/30/23	ESDC - 633 Third Ave.	Lease for office space at 633 Third Ave, New York, NY 10017	44,962,146	43,921,315	1,040,832	7,024,990
9790	13421	SCHOEMAN, UPDIKE & KAUFMAN & STERN LLP	05/03/16	03/02/20	ESDC - 888 Fountain Ave.	Provide legal services in connection with the disposition of two non-contiguous parcels of undeveloped land within the Brooklyn Development Center in Brooklyn, NY (the Fountain Property") and to take related actions.	375,000	297,334	77,666	10,590
9923	13648	ETNA PRESTIGE TECHNOLOGY INC	06/23/16	05/15/20	ESDC - Administration Services	Provide HVAC mechanical maintenance services to ESD throughout its 5 occupied floors and roof.	151,915	60,631	91,284	16,897
9136	12247	RICOH USA, INC	03/11/15	03/11/20	ESDC - Administration Services	Provide new and existing multi-service copiers including Equitrac print management solution and provide maintenance on all machines.	370,866	352,738	18,128	63,053
9588	13108	EFPR GROUP, LLP	02/05/16	12/31/20	ESDC - Annual Audit	Provide annual audit services in connection with ESDC and its Subsidiaries through the fiscal year 2020.	1,067,000	834,000	233,000	203,000
1889	499	ORRICK HERRINGTON AND SUTCLIFFE, LLP.	02/22/99	06/16/21	ESDC - Arbitrage Bond Services	Arbitrage Rebate Services	672,000	383,000	289,000	12,000
9794	13437	SCHOEMAN, UPDIKE & KAUFMAN & STERN LLP	05/05/16	11/16/20	ESDC - Arthur Kill	Provide legal services in connection with disposition of the former Arthur Kill Correctional Facility on Staten Island and to take related actions.	200,000	180,947	19,053	1,515
4869	5264	HENNINGSON, DURHAM AND RICHARDSON	06/11/07	05/31/20	ESDC - Atlantic Yards	Provide environmental monitoring throughout the construction of the Atlantic Yards Redevelopment Project.	5,645,000	4,998,935	646,065	453,115
6717	8189	STV INCORPORATED	05/25/10	04/01/20	ESDC - Atlantic Yards	Provide Owner's Representative technical services which will include monitoring construction activity, site safety, and reviewing construction and design documents as well as contractor requisitions as it relates to the Atlantic Yards land Use Improvement and Civic Project.	6,250,000	5,584,555	665,445	508,751
6630	8032	LAW OFFICES OF DONALD J. TOBIAS	03/23/10	04/01/20	ESDC - Bankruptcy Matters	Bankruptcy proceedings	1,350,000	576,521	773,479	79,953
10393	14446	LI-SALTZMAN ARCHITECTS P.C.	01/06/17	12/16/19	ESDC - Bayview Correctional Facility	Provide Historic Preservation Owner's Representative Services in connection with the Women's Building Project.	207,900	102,094	105,806	26,896
10679	14979	SCHOEMAN, UPDIKE & KAUFMAN LLP	08/28/17	03/01/18	ESDC - Bayview Correctional Facility	Provide legal services to ESD in connection with the disposition of the former Bayview Correctional Facility.	230,000	198,096	31,904	43,816
10550	14746	SIVE PAGET AND RIESEL P.C.	06/06/17	01/13/18	ESDC - Bayview Correctional Facility	Provide environmental legal counsel related to site conditions at the former Bayview Correctional Facility.	100,000	88,542	11,458	13,872

Contract Executed Prior to FY 2019-20 with Payments in FY 2019-20

Contract No.	PO No.	Vendor Name	Begin Date	Expire Date	Oper. Unit Corp Proj./Dept.	Description	Total Contract	Total Disbursement	Balance as of 03/31/2020	FY 2019-2020 Disbursement
10757	15129	AKRF INC.	09/19/17	12/31/21	ESDC - Belmont Park	Provide environmental consulting services and Environmental Impact Statement (EIS) in connection with the development of select parcels at Belmont Park.	4,636,000	3,248,903	1,387,097	1,471,282
11562	16358	BRYAN CAVE LEIGHTON PAISNER LLP	10/17/18	05/16/19	ESDC - Belmont Park	ESD seeks to enter into a contract with Bryant Cave Leighton Paisner LLP for legal services related to the redevelopment of Belmont Park, particularly with respect to special environmental and land use issues.	500,000	438,511	61,489	309,795
11413	16094	LIRO ENGINEERS, INC.	07/30/18	07/30/20	ESDC - Belmont Park	On-call services for any architectural needs that arises for Belmont Park Redevelopment Project. Notice to Proceed dated 6/19/2018 (\$12,000)	60,000	13,245	46,755	495
10861	15294	NEW YORK STATE THRUWAY AUTHORITY	10/12/17	01/23/21	ESDC - Belmont Park	Belmont - Provide to ESD the time and services of personnel experienced in meeting and monitoring Diversity Goals in connection with Large-scale Construction Projects	50,000	11,441	38,559	11,441
11563	16364	SCHOEMAN UPDIKE KAUFMAN & GERBER LLP	10/18/18	05/17/20	ESDC - Belmont Park	Counsel would advise ESD on matters related to the underlying proposed real estate transactions, including but not limited to the transfer of land from the Franchise Oversight Board to ESD.	500,000	67,109	432,891	67,109
9297	12540	AKRF INC.	06/11/15	09/30/21	ESDC - Bronx Pyschiatric Center	Environmental Consulting Services in Relation to the Bronx Psychiatric Center	2,395,000	2,354,249	40,751	631,838
8874	11830	BRYANT RABBINO LLP	10/17/14	09/30/20	ESDC - Bronx Pyschiatric Center	Provide legal services to ESD in connection with the Bronx Psychiatric Center located at 1500 Waters Place in the Morris Park section of the Bronx, New York.	500,000	414,025	85,975	85,915
9247	12407	SIVE PAGET AND RIESEL P.C.	04/21/15	09/30/20	ESDC - Bronx Pyschiatric Center	Provide environmental legal services in connection with disposition of portions of the Bronx Psychiatric Center	625,000	596,313	28,687	232,784
12133	17312	HARRIS BEACH PLLC	02/28/19	02/27/20	ESDC - Brooklyn Development Ctr.	Provide legal advice and counsel in connection with the acquisition and disposition of the Brooklyn Developmental Center site.	250,000	4,640	245,360	4,640
8280	10691	BUFFALO BILLS	07/15/13	07/30/23	ESDC - Buffalo Bills	Working/Gameday/Capital Improv	65,495,330	53,973,261	11,522,069	8,460,877
9979	13739	THE RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NY	08/03/16	07/01/20	ESDC - Buffalo Bills	Provide implementation support services for the Buffalo Billion initiative	3,000,000	2,065,704	934,296	742,889
8020	10251	SCHOEMAN UPDIKE KAUFMAN STERN AND ASCHER LLP	12/13/12	06/30/20	ESDC - Central Harlem	Provide legal services and counsel in connection with negotiating and drafting agreements and other documents, and other matters related to the Central Harlem Mixed Use Request for Proposals.	349,500	308,372	41,128	6,090
9068	12123	LANDAIR, INC.	11/21/14	06/30/20	ESDC - Columbia University	GPP Serv.- Columbia Manhatttan	1,125,000	1,028,907	96,094	17,699

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11437	16139	LANDAIR, INC.	08/16/18	04/10/20	ESDC - Columbia University	Consultant will serve as ESD's "General Project Plan Monitor" for the project assisting ESD in overseeing Columbia's compliance with obligations regarding construction schedule and community benefits.	990,000	431,113	558,887	234,753
11432	16131	ADP, LLC	12/15/17	12/31/20	ESDC - Controller	Provide payroll, human resources and time and attendance processing support services for ESD.-Contract has a \$23,342 contingency(not released) and deducting from the total \$55,613.28 which was paid non-contractually(Dec 2017-Aug 2018)	546,444	418,014	128,430	80,338
11233	15781	ALLIANT INSURANCE SERVICES, INC	01/01/18	12/31/22	ESDC - Corporate	Corp-Provide insurance brokerage services in connection with market, procurement and advise on the renewal of ESD and Subsidiary as well as support services for the Corporation's insurance portfolio and projects.	412,490	158,897	253,593	73,210
11816	16749	DIRECTORS DESK LLC	05/01/18	04/30/21	ESDC - Corporate	Provide a Director's desk board portal to transition from producing and distributing printed board materials to producing and distributing electronic board materials.Amend is only for \$107,016 Amend Exe on November 16, 2018. \$39,959 was paid on PO14544	146,975	111,303	35,672	35,672
11910	16937	DUN & BRADSTREET	02/28/19	02/28/20	ESDC - Corporate	Provide database support to many initiatives and projects within ESD and the Executive Chamber, including Start-Up NY, Global NY Trade missions, disaster recovery, etc.Terms and agreement as stated in the OGS Contract Number PC68180.	199,277	199,277	0	199,277
11450	16168	THE KEVILLE INSURANCE AGENCY	08/01/18	07/31/20	ESDC - Corporate	ESD-Provide risk management consulting services and/or assist with any renewal/purchase of insurance policies to ESD and its Subsidiaries	200,000	163,329	36,671	117,023
10574	14787	GREENBERG TRAUIG LLP	06/13/17	09/19/24	ESDC - Delmont Park	Provide environmental legal services for the Belmont Race Track Redevelopment Project.	900,000	878,264	21,736	595,675
11638	16504	HUNTON ANDREWS KURTH LLP	12/10/18	12/31/23	ESDC - Delmont Park	Legal services related to the redevelopment of Belmont Park.	1,000,000	727,790	272,210	626,786
10147	14043	HOLLAND AND KNIGHT LLP	03/24/16	06/30/21	ESDC - Empire Station Complex	To provide legal services related to the Empire Station Complex initiative, including construction, operation, maintenance, insurance and public/private partnership matters for the redevelopment of Penn Station/Farley Complex.	950,000	888,954	61,046	107,942
10570	14859	DORMITORY AUTHORITY OF THE STATE OF NY	06/12/17	01/01/22	ESDC - Farley Building	MOU-MSDC- DASNY will act as the permitting agency for the Uniform Fire Prevention and Building Code as adopted by the State of NY for the redevelopment of the James A. Farley Building.	4,500,000	2,244,483	2,255,517	723,687

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8699	11512	ERNST & YOUNG	05/16/14	09/30/21	ESDC - Farley Building	Provide assessments of the current proposed financing options available for Moynihan Station Phase 2 and improvements to the existing Penn Station.	3,423,500	3,197,667	225,834	80,023
10239	14192	JONES LANG LASALLE AMERICAS, INC.	01/24/17	01/23/22	ESDC - Farley Building	Provide construction/feasibility assumptions for the Moynihan Train Hall as ESD is applying for a Federal TIFIA loan to fund the construction.	447,500	222,560	224,940	58,800
9485	12969	ORRICK HERRINGTON AND SUTCLIFFE, LLP	08/13/15	06/30/21	ESDC - Farley Building	Provide Phase 2 legal services to ESD in connection with financing for the construction of the Daniel Patrick Moynihan Station.	1,900,000	1,831,505	68,495	5,516
11216	15754	COUNCIL OF GREAT LAKES GOVERNORS, INC.	03/30/18	06/30/19	ESDC - Global NY	Increase Trade between New York and South Africa/Mexico.	125,000	119,383	5,617	47,507
11215	15753	GERRY SHALEV STOCH	03/30/18	06/30/19	ESDC - Global NY	Increase Trade and Foreign Direct Investment (FDI) between New York and Israel.	125,000	125,000	0	50,000
11213	15751	IBDG LIMITED	03/30/18	06/30/19	ESDC - Global NY	Increase Trade & Foreign Direct Investment (FDI) between New York and Europe.	186,875	185,393	1,482	74,170
11214	15752	PSD GLOBAL INC	03/30/18	06/30/19	ESDC - Global NY	Increase Trade and Foreign Direct Investment (FDI) between New York and Canada.	311,250	308,233	3,017	116,533
11212	15750	TRACTUS ASIA LIMITED	03/30/18	06/30/19	ESDC - Global NY	Increase Trade and Foreign Direct Investment (FDI) between New York and China.	187,500	169,459	18,041	66,651
11277	15861	EMERY CELLI BRINKERHOFF & ABADY LLP	05/03/18	04/30/22	ESDC - Legal	Provide legal advice and counsel regarding Constitutional and other federal or NYS restrictions on ESD grants and loans including assistance from religiously-affiliated organizations	200,000	52,097	147,903	23,486
10006	13791	HOGUET NEWMAN REGAL & KENNEY, LLP	06/01/16	07/01/21	ESDC - Legal	Provide legal services in connection with labor & employment matters. (Old PO np. 12496)	100,000	63,850	36,150	7,379
11823	16779	NIXON PEABODY LLP	11/30/18	11/30/19	ESDC - Legal	To act as counsel, in connection with a subpoena for documents issued by the U.S. Attorney's Office for the Northern District of New York.	125,000	43,957	81,043	25,706
9336	12653	WILMERHALE	08/04/15	04/01/20	ESDC - Legal	Advice and counsel regarding response to USDOJ subpoena.	2,084,500	2,008,508	75,992	2,501
9939	13677	BAKER, DONELSON, BERMAN, CALDWELL & BERKOWITZ PC	07/01/16	03/31/19	ESDC - Military Base Retention	Provide retention strategies and identify growth opportunities that keep NYS military installations as economic contributors and job generators for the State.	993,465	908,076	85,389	105,500
11801	16732	DANIEL ODESCALCHI DBA STRATEGIC	12/10/18	02/22/20	ESDC - MIS	Provide on site audio/visual production, streaming and recording. Monthly video conference bridge and remote meeting management	99,500	99,500	0	73,250
10142	14032	DELL MARKETING L.P.	11/17/16	10/31/19	ESDC - MIS	Provide up to 400 software licenses of Microsoft Dynamics CRM and related support services. (\$200,928.00 yearly for three years)	734,097	710,035	24,062	248,926

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11808	16739	DELL MARKETING L.P.	02/22/19	02/28/20	ESDC - MIS	Purchase Wyse Thin Clients to upgrade ESD's computer equipment and implement VDI solution. Terms and agreement as stated in the OGS Centralized Contract number PM20820	98,223	98,223	0	98,223
10833	15260	INSIGHT PUBLIC SECTOR, INC.	12/06/17	12/05/20	ESDC - MIS	Software and other implementation services for phone system replacement- Terms and agreement as stated in the OGS Centralized Contract Number PD67645	548,577	434,193	114,384	188,149
11812	16745	INTEGRATION PARTNERS CORPORATION	02/25/19	02/24/20	ESDC - MIS	Refresh - Closet 10G, SRX340, Sky Ent Quote #: 040060 v1 Date: 02/01/2019 Terms and agreement as stated in OGS Centralized Contract PM68161.	218,218	218,218	0	218,218
11328	15942	KMQ ENTERPRISES INC DBA TAILWIND	06/04/18	12/31/19	ESDC - MIS	Provide PeopleSoft developer/consultant to help with the transition of PeopleSoft 9.2 upgrade.	111,775	90,125	21,650	30,125
9858	13554	LIGHTTOWER FIBER NETWORKS	06/08/16	03/31/21	ESDC - MIS	Provide redundant internet connectivity to support ESD's daily operations.	88,350	61,324	27,026	21,450
10514	14679	ORACLE AMERICA, INC	05/22/17	06/30/21	ESDC - MIS	Ten (10) PeopleSoft licenses along with relevant update and support services. All Terms and Conditions governing this purchase are set forth in OGS Centralized Contract # PM20940.	382,541	305,144	77,397	33,170
11818	16759	REDBRICK TECHNOLOGIES LLC	02/28/19	02/13/20	ESDC - MIS	Provide programming/support and maintenance in connection with CRM Development	146,625	118,450	28,175	92,805
11399	16055	AUBERTINE AND CURRIER ARCHITECTS,	06/05/18	06/04/20	ESDC - Norsk Proj	Provide construction management services in connection with the Norsk Project	200,000	66,038	133,962	40,356
9789	13411	COSTQUEST ASSOCIATES, INC.	05/02/16	02/01/20	ESDC - NY Broadband	Provide consulting services- NY Broadband Program GIS/Cost-Modeling Support	1,602,346	1,574,348	27,997	75,949
9795	13439	MICHAEL BAKER ENGINEERING, INC.	05/09/16	02/01/20	ESDC - NY Broadband	Provide consulting services- NY Broadband Program GIS/Cost-Modeling Support	362,164	331,302	30,862	9,867
9770	13386	TILSON TECHNOLOGY MANAGEMENT, INC.	04/15/16	03/10/20	ESDC - NY Broadband	CONSULTING SERVICES - NEW NY BROADBAND PROGRAM-APPLICATION REVIEW ENGAGEMENT	1,923,084	1,815,030	108,053	28,350
11271	16465	TILSON TECHNOLOGY MANAGEMENT, INC.	09/13/17	05/31/22	ESDC - NY Broadband	Perform technical validation and field audits of seven broadband deployment projects. Term- November 2018- February 2019 30% Overall MWBE Goal- Schedule B	72,714	69,598	3,116	69,598
11271	17185	TILSON TECHNOLOGY MANAGEMENT, INC.	09/13/17	05/31/22	ESDC - NY Broadband	Provide consulting services in connection with the perform field review and technical validation of as built broadband deployment projects supported by the New NY Broadband Program. See Tilson's proposal dated May 30, 2019	467,338	117,991	349,347	117,991

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11271	16839	TILSON TECHNOLOGY MANAGEMENT, INC.	09/13/17	05/31/22	ESDC - NY Broadband	Perform technical validation and field audits of 19 broadband deployment projects. Term- February 02/11/2019-06/13/2019 30% Overall MWBE Goal-Schedule B	187,452	110,991	76,461	110,991
9399	12888	LOWE & PARTNERS WORLDWIDE INC	10/02/15	11/30/19	ESDC - NY Open for Business	NYS Open for Business	250,000,000	239,646,289	10,353,711	44,001,006
11334	15949	NIXON PEABODY LLP	06/08/18	06/07/21	ESDC - NY Venture	Contractor would provide legal service in connection with the NY Venture Program, including the NYS Innovation Venture Capital Fund & the Innovate NY Fund.	300,000	131,879	168,121	74,957
9717	13293	GOLDMAN, ANTONETTI AND CORDOVA, LLC	03/30/16	10/31/19	ESDC - Office Puerto Rico	NYS Office of Trade/Tourism San Juan Puerto rico	99,500	96,734	2,766	10,425
9829	13501	WILLIAM ALICEA,AKA ALICEA GUZMAN	04/20/16	04/19/20	ESDC - Office Puerto Rico	Puerto Rico Lease (Old PO No. 12846)	293,804	290,702	3,102	54,053
10466	14554	CHERRY ROAD TECHNOLOGIES, INC.	04/14/17	06/30/20	ESDC - PeopleSoft	Provide scope assessment to clarify the measures for the upgrade. Terms and agreement as stated in the OGS Centralized Contract number PB057AA	2,215,774	1,779,404	436,370	29,292
9084	12153	APPLIED BUSINESS SOFTWARE, INC	02/19/15	02/15/20	ESDC - Portfolio Management	Provide loan servicing to the Portfolio Management Department to manage and monitor all loans in its portfolio through satisfaction.	90,000	59,103	30,897	9,510
11314	15914	WILMERHALE	05/16/18	05/15/19	ESDC - SUNY Polytechnic	Provide legal services in connection with the trial of a SUNY Polytechnic Institute as well as advise ESD with other federal investigations	240,000	19,343	220,657	19,343
11043	15510	BLOOMBERG FINANCE L.P.	01/03/18	01/25/21	ESDC - Treasury	Provide Bloomberg Terminal and related services which allows ESD to perform multiple financial functions.	85,080	63,396	21,684	28,800
5651	6597	MICHIGAN STREET DEVELOPMENT LLC.	07/01/08	09/30/23	ESDC - Upstate	95 Perry St. Improvements	7,954,701	6,059,799	1,894,902	494,643
10618	14873	THE ECONOMIC DEVELOPMENT GROUP, INC.	05/19/17	08/31/21	ESDC - Western NY Workforce Training	Provide operation and administration of the Western New York Workforce Training Center. Contract Executed 08/28/2017	7,450,000	6,347,887	1,102,113	2,753,079
10812	15204	BAER & ASSOCIATES, LLC	09/15/17	03/31/19	Economic Development	Provide consulting services in connection with the RiverBend Project under grant AA613- Adding \$1,705 balance from prior PO 14631 plus \$75,000 amend exec 11/08/2017	115,000	59,365	55,635	2,220
11144	15657	BERGMANN ASSOCIATES, INC.	09/19/17	12/31/20	Economic Development	To provide professional planning and implementation services in association with the Greater Binghamton Fund	435,600	238,400	197,200	10,350
11550	16329	LIRO ENGINEERS, INC.	10/10/18	09/30/19	Economic Development	Provide environmental services in connection with the preparation for the purchase of Anderson properties.	98,889	72,073	26,816	38,039
11640	16506	WOODBURY COMMON PREMIUM OUTLETS	08/16/18	08/14/23	Economic Development	Rental of premises in the Market hall at Woodbury Common Premium Outlets consisting of approximately 2,100 square feet.	207,500	93,167	114,333	68,250

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11439	16143	AECOM USA INC	08/17/18	06/30/19	ED - DRI Area	Consultant to provide services necessary for the development of one Strategic Investment Plan for the DRI Area located in the Mohawk Valley region.	300,000	299,981	19	273,105
11423	16120	BERGMANN ASSOCIATES, INC.	07/31/18	06/30/19	ED - DRI Area	Provide planning services necessary for the development of two Strategic Investment Plans, one DRI Area located in the Central NY region and one DRI Area located in the Western NY region.	600,000	563,479	36,521	478,123
11424	16121	BUCKHURST FISH & JACQUEMART, INC	07/31/18	06/30/19	ED - DRI Area	Provide planning services necessary for the development of Strategic Investment Plans for one DRI Area located in the Southern Tier region.	300,000	298,358	1,642	190,019
11431	16130	HR&A ADVISORS, INC.	08/13/18	06/30/19	ED - DRI Area	Provide consulting services in connection with planning services i two areas designated as part of the 3rd round of Downtown Revitalization Initiative - NYC and Long Island	600,000	600,000	0	369,879
11426	16123	LABELLA ASSOCIATES, P.C.	08/03/18	06/30/19	ED - DRI Area	Provide planning services necessary for the development of one Strategic Investment Plans for the DRI Area located in the Finger Lakes region.	300,000	274,338	25,662	237,292
11463	16186	M.J. ENGINEERING AND LAND SURVEYING, P.C	08/07/18	06/30/19	ED - DRI Area	Provide planning services necessary for the development of Strategic Investment Plans for one DRI Area located in the North Country region.	300,000	299,996	4	151,689
11427	16124	STANTEC CONSULTING SERVICES INC.	08/06/18	06/30/19	ED - DRI Area	Provide planning services necessary for the development of one Strategic Investment Plans for the DRI Area located in the Capital Region.	300,000	299,116	884	274,821
11430	16129	VHB ENGINEERING, SURVEYING AND LANDSCAPE	08/10/18	06/30/19	ED - DRI Area	Provide consulting services in connection with planning svcs. of the 3rd round of Downtown Revitalization Initiative in the Mid-Hudson area.	300,000	300,000	0	222,713
11846	16813	AMERICAN DAIRY ASSOC. & DAIRY COUNCIL	01/01/19	12/31/19	ED - Market Order	Provide marketing and promotion of the New York State dairy industry through 5 marketing promotion platforms: Contract Term-01/01/2019-12/31/2019-Approved by OSC 04/02/2019	10,952,347	10,952,347	0	10,952,347
10495	15155	CORNELL UNIVERSITY	10/01/16	09/30/19	ED - Market Order	Provide research of the New York State Dairy Industry through ten research project at the Milk Quality Improvement Program and the Northeast Dairy Food Research Center.	1,228,146	1,228,104	42	30,186
10619	14882	CORNELL UNIVERSITY	07/20/17	03/31/19	ED - Market Order	Provide research and development of the NYS apple industry through eleven research projects.	398,833	382,306	16,527	3,286
10870	15779	CORNELL UNIVERSITY	10/01/17	12/31/19	ED - Market Order	Provide research of the New York Sate Dairy Industry through fourteen research project at the Milk Quality Improvement Program and the Northeast Dairy Food Research Center.	1,851,670	1,752,952	98,718	579,739

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11419	16107	CORNELL UNIVERSITY	08/03/18	03/31/20	ED - Market Order	Contractor to provide research & development of the NYS apple industry through fifteen research projects conducted by Cornell.	499,395	409,229	90,166	129,682
10326	14344	CORNELL UNIVERSITY DIVISION OF	10/01/13	09/30/19	ED - Market Order	Building Research Capacity	500,000	202,108	297,892	23,219
11874	16885	MILK FOR HEALTH ON THE NIAGARA FRONTIER	01/01/19	12/31/19	ED - Market Order	Provide marketing and promotion of the New York State dairy industry through six marketing and promotion platforms: 1) television ads, 2) radio ads, 3) school assemblies, 4) county fairs, 5) billboard ads, and 6) public relations.	462,655	462,655	0	462,655
11847	16815	NEW ENGLAND DAIRY PROMOTION BOARD INC	01/01/19	12/31/19	ED - Market Order	Provide marketing and promotion of the New York State dairy industry through three marketing and promotion platforms: 1) Youth Wellness, 2) Sustainable Nutrition Affairs and 3) Integrated Communications.	1,874,308	1,874,308	0	1,874,308
11915	16950	NEW YORK ANIMAL AGRICULTURE COALITION	01/01/19	12/31/19	ED - Market Order	Provide marketing and promotion of the dairy industry through two marketing and promotion program areas	70,000	70,000	0	70,000
11533	16304	NEW YORK APPLE ASSOCIATION, INC.	07/01/18	06/30/19	ED - Market Order	Provide marketing and promotion of the New York State apple industry through seven marketing and promotion plans.	2,300,000	2,300,000	0	575,000
12375	17701	UNITED DAIRY INDUSTRY ASSOCIATION	01/01/19	12/31/19	ED - Market Order	Provide a plan to drive demand for milk and dairy products in overseas markets.	195,826	195,826	0	195,826
10511	14661	BE OUR GUEST, LTD.	03/29/17	03/31/22	ECHDC	Provide management services to ECHDC with respect to the Canalside Project in Buffalo, NY.	7,400,000	3,712,770	3,687,230	1,300,000
11300	15895	BERGMANN ASSOCIATES, INC.	05/22/18	12/31/20	ECHDC	ECHDC is seeking to retain a professional architecture, engineering, landscape architecture and land surveying consultant firm and/or team to provide design, bid and construction administration services related to the Terminal B Capital Improvement Proje	2,079,335	395,011	1,684,324	286,921
9912	13624	CITY OF BUFFALO	06/02/14	06/02/24	ECHDC	Management Agreement between the City of Buffalo and ECHDC for the Canalside project. Description	250,000	125,000	125,000	25,000
11433	16132	DIXON SCHWABL ADVERTISING, INC.	07/02/18	07/31/23	ECHDC	To build a unified website for Canalside & the Outer Harbor, including SEO work, hosting, maintenance. The develop a unified "Buffalo Waterfront" umbrella brand to encompass Canalside & Outer Harbor. To provide PR support for new website/brand launch.	480,000	325,569	154,431	178,514
10143	14037	ENTRO COMMUNICATIONS INC.	11/17/16	12/31/19	ECHDC	Provide ECHDC a comprehensive signage program that welcomes and guide visitors from major highways and entrance points into the Canal district; and establish standards for district-wide wayfinding signage that is reflective of Canalsides' identity.	1,150,000	904,944	245,056	53,968

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8300	10733	ERIC MOWER AND ASSOCIATES	07/30/13	06/30/20	ECHDC	Provide assistance to create a Canalside brand narrative, visual identity, and marketing plan in order to help build awareness and distinguish it as a true regional destination, as well as ensure communication consistency.	548,900	538,643	10,257	2,942
11487	16214	FOIT-ALBERT ASSOCIATES	07/01/18	12/31/20	ECHDC	Provide maintenance services in connection with the Connecting Terminal Grain Elevator Lighting Project	145,000	132,825	12,175	10,845
8678	14634	FONTANESE FOLTS AUBRECHT ERNST	04/29/14	12/31/20	ECHDC	Provide architecture, engineering services related to the redevelopment of the southern portion of the former Memorial Auditorium Block.	3,040,000	2,891,543	148,457	69,798
10454	14537	HAMILTON HOUSTON LOWNIE ARCHITECTS LLC	04/07/17	07/01/20	ECHDC	Provide architectural and engineering services related to designing, bidding out, and monitoring the construction of the following project components : Commercial Slip Pavillion, Union Steamboat Façade, Union Block and a Visitor Center.	1,470,000	1,344,770	125,230	242,967
10842	15268	KAVINOKY COOK LLP	11/30/17	12/31/19	ECHDC	Continue to provide real estate services in connection with the Canalside Project- Amend date 11/30/2017- (\$49,500 was paid against PO 13010)	99,500	62,163	37,337	12,663
9968	13692	LECHASE CONSTRUCTION SERVICES LLC	07/14/16	06/30/20	ECHDC	Provide Construction Management Services for the pre-construction phase of the Explore & More Children's Museum core and shell building in Buffalo.	9,254,000	8,568,474	685,526	1,078,294
6589	7985	LIRO ENGINEERS, INC.	03/19/10	06/30/20	ECHDC	Provide construction monitoring services with respect to the construction of a proposed mixed-use waterfront project located in Downtown Buffalo.	2,271,693	2,238,561	33,132	9,381
11074	15552	LIRO ENGINEERS, INC.	02/12/18	12/31/22	ECHDC	To provide environmental consultation services at ECHDC properties along Fuhrmann Blvd. on Buffalo's Outer Harbor.	314,500	191,883	122,617	161,537
11234	15780	LIRO ENGINEERS, INC.	03/01/18	08/31/20	ECHDC	Consultant shall be authorized to proceed with construction management tasks in accordance with the compensation schedule, breakdown of Pre-construction, Construction and Post Construction Phase.	1,007,000	395,110	611,890	228,892
11355	16004	NYS OFFICE OF PARKS, RECREATION AND	06/25/18	03/31/21	ECHDC	MOU for NYS Parks to provide seasonal staff to complete scope of services for operations & maintenance of ECHDC property on Buffalo's Outer Harbor.	540,000	220,240	319,760	93,115
11347	15981	OLIN PARTENERSHIP, LTD	06/20/18	12/31/20	ECHDC	Seeking to retain a professional architecture, engineering, landscape architecture and land surveying consultant firm and/or team to provide design bid & construction administration services.	2,293,830	741,674	1,552,156	450,547

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7957	10121	PHILLIPS LYTLE LLP	10/31/12	09/04/20	ECHDC	Provide various real estate, environmental, construction and potential litigation matters concerning the Canalside Project.	3,100,000	2,933,468	166,532	57,307
11409	16078	PINTO CONSTRUCTION SERVICES	05/04/18	06/30/19	ECHDC	Provide construction services for the Buffalo Outer Harbor Access & Activation Civic Improvement Project, Phase 1B.	3,950,000	3,685,409	264,591	1,039,982
9003	12028	QUEEN CITY FERRY COMPANY INC	12/10/14	09/30/21	ECHDC	Provide four years of regular water ferry (pedestrian and bicycle) service with a more efficient, standardized route and schedule between the Inner and Outer Harbors.	1,044,268	796,016	248,252	169,638
11922	16967	T.Y. LIN INTERNATIONAL ENGINEERING	03/01/19	03/01/22	ECHDC	Provide necessary public outreach and design services in connection with the development of the North Aud Block project.	595,316	159,498	435,818	159,498
10193	14127	TROWBRIDGE WOLF MICHAELS LANDSCAPE	12/21/16	12/31/20	ECHDC	Provide architectural/engineering design and construction inspection services to improve seasonal, recreational and tourist access, us and enjoyment of the Outer Harbor.	3,468,773	2,387,946	1,080,827	551,573
11743	48	DOWNTOWN BROOKLYN PARTNERSHIP INC	01/30/15	12/31/19	ESLDC	Y701-124,398 -BAM Park Capital -Port Authority Transportation -Project ID # 5692 -Bap 087C	2,149,619	1,934,657	214,962	1,275,475
9423	12827	COHNREZNICK LLP	10/26/15	08/31/18	ESNMC	NMTC Accounting Services FY2016,17,18	500,000	126,900	373,100	10,260
11873	16884	COHNREZNICK LLP	01/31/19	01/30/20	ESNMC	Provide accounting consulting service for ESNMC. Notice To Proceed - executed 1/31/2019	500,000	83,600	416,400	83,600
10759	15133	HOLLAND AND KNIGHT LLP	12/14/16	02/28/20	ESNMC	Provide legal services in connection with the federal New Market Tax Credit	235,000	201,990	33,010	95,031
9434	12876	RISE COMMUNITY CAPITAL LLC	11/13/15	12/31/20	ESNMC	Consulting Services FYS 2016,17, & 18	500,000	485,000	15,000	20,000
10872	15312	GORDON REES SCULLY MANSUKHANI LLP	10/03/16	10/31/20	HCDC	Amend 1- exec. 11/27/2017- Continue to provide legal svcs. in connection with the case Lynch vs HCDC- (Amend Amount \$105,000 includes balance of \$40,562.50 from PO 13992)	150,000	74,322	75,678	7,605
10941	15382	RICOH USA, INC	12/28/17	12/27/23	HCDC	Purchase of Ricoh Pro C5200S and 6 years maintenance includes labor and parts	56,706	36,783	19,922	2,061
11434	16133	A1 WORKS IN PROGRESS ASSOCIATES LLC	08/08/18	05/31/20	HCDC - Victoria Theatre	Tto provide owner's representative services to manage the construction and buildout of the Cultural Arts Space of the Victoria Theater Redevelopment Project ("Cultural Unit Project").	534,182	192,635	341,547	111,660
9282	12520	CHANNING REDFORD ARCHITECT	06/12/15	04/30/18	HCDC - Victoria Theatre	VictoriaTheatrePreservationOwn	197,180	114,260	82,920	45,970
9365	12720	PHILLIPS LYTLE LLP	09/09/15	07/31/19	HCDC - Victoria Theatre	Legal Services - Victoria Theater Land Use Improvement and Civic Project	246,000	242,431	3,569	50,278

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11518	16269	HEAT INC	09/18/18	03/15/19	HCDC - Weatherization	Material Agency- To provide heating system replacement at 529W 133 Street	128,725	128,725	0	103,385
11819	16762	LASER ELECTRICAL CONTRACTING, INC.	02/27/19	03/18/19	HCDC - Weatherization	Electrical work	107,032	100,540	6,492	83,458
9086	20	APPLIED BUSINESS SOFTWARE, INC	02/18/15	02/15/20	JDA	Provide loan servicing to the Portfolio Management Department to manage and monitor all loans in its portfolio through satisfaction.	90,000	59,103	30,897	9,510
60	211	CENTRAL NEW YORK REGIONAL MARKET	12/11/96	03/01/19	JDA	Rent for JDA leased property	1,914,125	1,396,896	517,229	71,707
9556	29	EFPR GROUP, LLP	01/27/16	12/31/20	JDA	JDA Annual Audit	155,000	123,000	32,000	32,000
5661	6632	AKRF INC.	10/31/08	09/30/21	LMDC	Provide environmental consulting services, which may include air monitoring, hazardous materials testing, environmental assessment and review, associated with LMDC funded projects in Lower Manhattan.	2,420,000	2,082,861	337,139	20,401
5833	6864	CARTER LEDYARD AND MILBURN	02/18/09	03/31/22	LMDC	Provide real estate, condemnation, and any related litigation services in connection with the ongoing implementation of the General Project Plan for the WTC Memorial and Cultural Program.	1,600,000	1,282,739	317,261	107,709
9639	13194	DOOR3	03/11/16	03/31/21	LMDC	LMDC - Office Space Lease	785,000	660,842	124,158	112,050
9779	13400	EFPR GROUP, LLP	04/20/16	12/31/20	LMDC	LMDC-Independent auditor	200,000	160,000	40,000	40,000
6257	7465	MILLER ADVERTISING AGENCY, INC	08/28/09	03/31/20	LMDC	Provide LMDC with advertising services on an as-needed basis relating to the redevelopment of the World Trade Center Site and revitalization of Lower Manhattan.	260,000	212,153	47,847	11,449
11182	15713	NGENIOUS SOLUTIONS, INC	03/29/18	03/31/21	LMDC	Provide website support, content management, hosting and maintenance services to LMDC's website - Term 04/01/2018-March 31,2019	100,000	78,550	21,450	46,150
9976	13735	TEXAS A&M UNIVERSITY, SPONSORED RESEARCH	07/19/16	03/01/21	LMDC	Consultant- Conservation of the World Trade Center Ship that was excavated at the WTC Site in July 2010 and August 2011.	800,000	515,986	284,014	84,226
5405	6201	VENABLE LLP	06/13/08	03/31/22	LMDC	Provide environmental legal advice and services to LMDC in connection with the 130 Liberty Street investigations and the cause of the fire on August 18, 2007.	1,000,000	679,677	320,323	26,495
11928	16976	FITCH RATINGS INC	08/12/16	07/31/21	MSDC	Provide an indicative rating of ESD's credit. Previously Closed Contract 10012 - \$150,000.	360,000	220,000	140,000	70,000
10754	15125	K2 INTELLIGENCE, LLC	07/12/17	07/12/22	MSDC	Provide integrity monitor services in connection with the construction of the Moynihan Train Hall.	7,710,055	3,249,096	4,460,959	841,097

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11927	16975	KROLL BOND RATING AGENCY, INC.	02/22/17	01/31/21	MSDC	Provide on-going periodic surveillance of the rating required by the TIFIA loan. Prior amount of \$140,000 was released and paid under contract 10476-PO14577	240,000	190,000	50,000	50,000
10292	14803	MOYNIHAN TRAIN HALL DEVELOPER LLC	04/03/17	09/01/22	MSDC	Pursuant to the Interim Development Agreement and Extension, ESD will provide to Moynihan Train Hall Developer LLC funding for train hall improvements by conducting preconstruction work. PORT funding 2865. MTA finding 2855	1,426,570,831	1,087,813,298	338,757,533	364,785,568
10861	15294	NEW YORK STATE THRUWAY AUTHORITY	10/12/17	01/23/21	MSDC	Provide to ESD the time and services of personnel experienced in meeting and monitoring Diversity Goals in connection with Large-scale Construction Projects- MSDC & CCDC	450,000	105,751	344,249	18,824
7396	9136	PORT AUTHORITY OF NY AND NJ	07/11/11	12/31/21	MSDC	Provide the Moynihan Station Project with engineering staff to oversee the consultant team in the coordination of the design process, management of schedules and budgets.	9,300,000	7,647,459	1,652,541	828,583
7833	9873	SKANSKA USA CIVIL NORTHEAST INC.	06/13/12	09/30/19	MSDC	Provide construction services to build the West End Concourse Expansion. Phase I completed	268,697,679	268,533,986	163,693	2,867,149
7273	8979	SKIDMORE OWINGS AND MERRILL LLP	05/31/11	06/30/21	MSDC	Provide architectural and engineering design services in connection with the Phase I redevelopment of the Farley Post Office into the new Moynihan Station.	40,431,375	39,661,146	770,228	72,696
10586	14793	WSP USA, INC	02/21/17	06/30/21	MSDC	Provide management services for project management, commercial management, safety monitoring, design compliance services, construction compliance services and quality management services MTA & PORT funding	32,008,781	19,255,390	12,753,391	11,938,813
11496	16231	DI DOMENICO AND PARTNERS, LLP	09/04/18	03/02/22	NYCCDC	To assist with design, application and permitting issues with NYS Dormitory Authority ("DASNY") and/or NYC Department of Buildings ("DOB"), as necessary for alternate emergency north egress path from existing Javits.	300,000	156,857	143,143	11,957
12119	17285	DLA PIPER LLP (US)	11/01/18	11/01/21	NYCCDC	Provide legal services in connection with the Javits Convention Center Project	420,000	31,324	388,676	31,324
10080	13913	DORMITORY AUTHORITY OF THE STATE OF NY	04/17/16	01/31/20	NYCCDC	MOU between DASNY and CCDC - Act as construction permitting agency for Javits expansion.	6,000,000	2,460,560	3,539,440	738,863
9699	13278	JACOB K. JAVITS CONVENTION CENTER OF NY	03/30/16	03/31/22	NYCCDC	Reimbursement Agreement- CCDC	42,889,714	16,504,927	26,384,787	6,971,671
3218	2757	JAVITS II ARCHITECTURE, LLC.	10/11/05	03/30/21	NYCCDC	Expansion/Renovation JJCctr	119,204,422	118,339,060	865,363	1,046,898

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10617	14872	K2 INTELLIGENCE, LLC	07/14/17	05/31/22	NYCCDC	Provide integrity monitor services in connection with the construction of both the expansion project and transformer yard at the Jacob K. Javits Convention Center.	7,800,000	4,713,450	3,086,550	1,773,625
10546	14736	LANGAN ENGINEERING ENVIRONMENTAL	06/05/17	09/30/20	NYCCDC	Provide inspection services related to deep foundation elements and soils testing in connection with the requirements of DASNY.	69,750	63,809	5,941	9,750
10946	15389	LANGAN ENGINEERING ENVIRONMENTAL	10/01/17	03/02/22	NYCCDC	Provide engineering services at Javits Center. Ongoing support of Transformer & Design-Build.	300,000	98,498	201,503	30,051
10254	14538	LENLEASE TURNER A JOINT VENTURE	02/09/17	03/22/23	NYCCDC	Perform all Design Build work in connection with the Javits Expansion Project	1,325,000,000	802,156,689	522,843,311	358,406,665
10861	15294	NEW YORK STATE THRUWAY AUTHORITY	10/12/17	01/23/21	NYCCDC	Provide to ESD the time and services of personnel experienced in meeting and monitoring Diversity Goals in connection with Large-scale Construction Projects- MSDC & CCDC	450,000	123,223	326,777	36,296
10512	14662	SCHIFF HARDIN LLP	05/03/17	06/30/20	NYCCDC	Provide legal services to assist the expansion project at the Jacob K. Javits Center and all related works, including the transformer building.	3,150,000	2,345,447	804,553	611,709
7926	10070	SHEARMAN AND STERLING	10/16/12	06/30/20	NYCCDC	Provide real estate services related to CCDC's numerous properties and property rights and disposing, leasing or acquiring additional properties.	500,000	83,285	416,715	7,366
3069	2537	SIVE PAGET AND RIESEL P.C.	09/01/05	12/31/20	NYCCDC	Advise CCDC on compliance with applicable environmental laws and regulations in connection with the Jacob K. Javits Convention Center Expansion and Renovation Civic Project.	840,000	819,421	20,579	4,692
10423	14486	SIVE PAGET AND RIESEL P.C.	03/17/17	03/16/18	NYCCDC	Provide legal services in connection with the disposition of properties near the Jacob K.Javits Convention Center in Manhattan.	250,000	1,565	248,435	425
10148	14054	TECTONIC ENGINEERING AND SURVEYING	10/26/16	03/31/21	NYCCDC	Provide inspection services in connection with the requirements of DASNY for the construction of a new transformer yard at the Javits Center.	5,349,732	4,040,923	1,308,809	1,739,019
9885	13576	TISHMAN CONSTRUCTION CORPORATION	06/09/16	09/30/20	NYCCDC	Provide construction management services related to the relocation of the transformer yard and a number of utilities at the Jacob K. Javits Center.	95,000,000	85,333,880	9,666,120	12,389,099
10155	14066	TISHMAN CONSTRUCTION CORPORATION	11/17/16	11/16/20	NYCCDC	Provide project management services for the design-build plan of the Jacob Javits Center expansion. Notice to Proceed executed 11/17/16.	38,000,000	28,668,807	9,331,193	10,954,017
10571	14780	VJ ASSOCIATES INC	03/01/17	06/30/20	NYCCDC	Continue to provide cost estimating services for the early build work at the Javits Center. Allows CCDC the flexibility to purchase estimates for specific scopes of work. Amendment #1 executed 6/9/17	250,850	248,540	2,310	33,600

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7383	9116	FLEMING-LEE SHUE, INC.	07/15/11	03/31/20	QWDC	Provide remediation services for the Center Boulevard Voluntary Cleanup Program Site at Queens West.	2,044,145	1,534,936	509,209	14,349
5142	5838	FIRST STREET GROUP, LLC	03/01/08	02/28/23	USA Niagara	Usa Niagara Office Rent	910,534	708,409	202,125	66,834
8525	11170	GLOBAL SPECTRUM L.P.	01/28/14	12/31/19	USA Niagara	Management Svcs Conference & Event Center Niagara Falls and Old Falls Street USA, Niagara Falls, NY	3,851,736	3,819,904	31,832	715,938
8676	11456	GLOBAL SPECTRUM L.P.	01/01/14	12/31/19	USA Niagara	Management Agreement USAN	4,929,067	4,825,384	103,683	706,288
11254	15825	HH 310 LLC	03/14/17	12/31/22	USA Niagara	USANiagara-CapitalGrant	4,850,000	3,637,500	1,212,500	1,212,500
11582	16405	HODGSON RUSS LLP	11/07/18	01/31/20	USA Niagara	Continue legal services needed to assist USAN regarding various real estate projects in Niagara Falls - adding \$5,729.52 balance from prior PO 12022, plus \$50,000 amend #2 exec 11/7/2018.	199,500	139,299	60,201	31,256
10950	15394	NYS OFFICE OF PARKS, RECREATION AND	04/03/17	12/31/21	USA Niagara	Robert Moses Parkway Removal	2,850,000	2,796,196	53,804	385,530
10596	14813	TROWBRIDGE WOLF MICHAELS LANDSCAPE	06/21/17	08/01/18	USA Niagara	Provide design and construction administration services for a small park in downtown Niagara Falls.	195,848	181,582	14,266	66,309
Subtotal							3,972,189,167	2,975,860,523	996,328,645	878,329,428
No-Upset 3738	3476	BRYAN CAVE LLP	06/08/06	12/31/25	ESDC - Atlantic Yards	To represent ESDC on environmental and related litigation matters with respect to the Atlantic Yards development project. Also, to assist in the planning and development of the project and ensure ESDC's compliance with applicable environmental laws.	No-Upset	9,586,033	No-Upset	76,525
2577	1710	CARTER LEDYARD AND MILBURN	12/15/04	12/31/20	ESDC - Columbia University	Provide legal advice in connection with real estate matters including property acquisition in connection with proposed campus expansion of Columbia University.	No-Upset	15,046,112	No-Upset	26,952
3783	3537	SKADDEN ARPS SLATE MEAGHER AND FLOM LLP	06/26/06	12/31/25	ESDC - Atlantic Yards	To represent ESDC on real estate and related litigation matters with respect to the proposed Atlantic Yards project. Also the Firm is to assist ESDC in the negotiation and preparation of ground leases and other related matters.	No-Upset	11,677,670	No-Upset	731,659
3311	2886	BERGER AND WEBB, LLP	12/13/05	06/30/25	ESDC - Atlantic Yards	Provide legal services to ESDC for condemnation and related legal matters with respect to the proposed Atlantic Yards Arena and Redevelopment Project.	No-Upset	18,526,468	No-Upset	781,217
No-Upset Subtotal								54,836,283		1,616,353
Total							3,972,189,167	3,030,696,806	996,328,645	879,945,781