

## LEGAL SERVICES AGREEMENT

**AGREEMENT** made as of the 1st day of April, 2013, by and between **MORRIS DUFFY ALONSO & FALEY (“Firm”)**, with an office at Two Rector Street, 22<sup>nd</sup> Floor, New York, New York 10006 and the **NEW YORK STATE HOUSING TRUST FUND CORPORATION (“HTFC” or “Corporation”)**, a public benefit corporation with its principal offices at 38-40 State Street, Albany, New York 12207.

### WITNESSETH:

WHEREAS, on August 24, 2012, the Corporation issued a common request for proposals and statement of qualifications (“**RFP**”) with the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation (and collectively, the “**Agencies**”) to establish a pre-qualified panel of outside counsels to represent HTFC and the Agencies on legal matters other than those matters relating to municipal finance matters (“**Panel**”); and

WHEREAS, on January 29, 2013, the Agencies’ Governance Committees authorized contracts with law firms on their Panel pursuant to the 2012 RFP process; and

WHEREAS, HTFC wishes to enter into a contract with the Firm, relying on the Agencies’ selection of law firms on the Panel, for the provision of legal services for the purchasing of certain residential homes in Staten Island, New York, as part of the State of New York’s (“**State**”) plan to assist victims of hurricane “Sandy”; and

WHEREAS, the Firm is willing to provide such professional services to the Corporation on a contract basis, including but not limited to such oral and written reports as may be requested by HTFC; and

WHEREAS, the Firm is qualified to perform such services;

NOW, THEREFORE, in consideration of the foregoing and the covenants and conditions set forth herein, the parties hereto agree as follows:

1. Scope of Services.

The Firm will represent the Corporation in all real estate and related legal matters requested by the Corporation in connection with the purchase of certain homes located in Staten Island, New York (the “**Properties**”). The Properties will be identified by the Corporation and will be assigned to the Firm periodically, during the term of this Agreement. The Firm may also be requested to provide additional services to the Corporation in connection with future dispositions of the Properties, should the

Corporation so decide. To assist the Firm with the legal services provided to HTFC, the Firm will work with the Law Office of Jack Stern, a local Staten Island law firm, located at 1189 Forest Avenue, Staten Island, New York 10310.

2. Compensation.

Upon satisfactory completion of the work to be performed, the Corporation agrees to pay the Firm One Thousand One Hundred Dollars (\$1,100) for each Property transaction. The Firm shall not charge the Corporation for Secretarial Overtime or Night Secretary services unless such services are required and the Corporation has granted its prior approval.

In addition, the Corporation agrees to pay the actual cost of all other reasonable expenses incurred in the performance of the services noted above. Except under the circumstances described above, the Corporation shall not pay for clerical support. The Corporation will not be charged for any travel or lodging costs without their prior written consent. The Corporation will not be charged for any research expenses, costs or fees paid or incurred by the Firm with respect to third party databases or on-line services (e.g., Westlaw or Lexis/Nexis) without the prior consent of the Corporation.

Invoices for payment must be accompanied by a statement from a partner of the Firm certifying that the bill presented represents services actually performed exclusively for the Corporation. Each invoice shall include the (i) name of the identified Property (ii) specific identification of reasonable expenses for which the Firm seeks reimbursement, and (iii) total amount billed. All invoices for payment must be addressed to Accounts Payable at the Corporation.

3. Termination.

This Agreement shall take effect on the date hereof and shall remain in force for two (2) years unless terminated at will by the Corporation upon thirty (30) days prior written notice. In the event of termination by the Corporation, the Firm will be entitled to payment for services rendered (subject to the limitations set forth in Section 2 above), to the date of termination in accordance with the provisions of this Agreement.

4. Equal Opportunity Requirements and Procedures.

The Firm shall complete the Staffing Plan, PROC-1 form, attached hereto as Exhibit A. Thereafter, this information is to be submitted on a quarterly basis during the term of this Agreement to report the actual workforce utilized in the performance of this Agreement by the specified categories listed including ethnic background, gender, and Federal occupational categories. The quarterly Workforce Report, PROC-5 form, attached hereto as Exhibit B, must be submitted to report this information for the quarters ending March 31<sup>st</sup>, June 30<sup>th</sup>, September 30<sup>th</sup> and December 31<sup>st</sup>. Quarterly Workforce Reports shall be submitted, in PDF format, to [OFHEO1@nyshcr.org](mailto:OFHEO1@nyshcr.org) by April 10<sup>th</sup>, July 10<sup>th</sup>, October 10<sup>th</sup>, and January 10<sup>th</sup>.

The Firm shall comply with the provisions of the Human Rights Law, and all other State and Federal statutory and constitutional non-discrimination provisions. The Firm shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

5. [New York State Executive Law Article 15-A](#)

Pursuant to New York State (“NYS”) Executive Law Article 15-A, the Corporation recognizes its obligation under the law to promote opportunities for maximum feasible participation of NYS certified minority-and women-owned business enterprises (“MWBEs”) in the performance of the Corporation’s contracts. For purposes of this Agreement, the Corporation hereby establishes an overall goal of 100% for MWBE participation as the Firm is a certified MWBE.

6. [Entire Agreement](#)

This Agreement, Exhibits A and B, together with the Corporation’s *Standard Clauses for Contracts* and *Prompt Payment Policy*, both attached hereto and made part hereof as Appendices I and II, respectively, constitute the entire agreement between the Firm and the Corporation with respect to the subject matter hereof, superseding all negotiations, prior discussions and preliminary agreements.

-REMAINDER OF THIS PAGE LEFT BLANK INTENTIONALLY-

IN WITNESS WHEREOF, the parties have caused this Agreement to be duly executed and delivered in the State of New York, all as of the day and year first above written.

AGREED TO AND ACCEPTED TO:

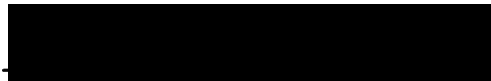
MORRIS DUFFY ALONSO & FALEY

By:



Andrea M. Alonso  
Partner

Federal Employer Identification Number:



AGREED TO AND ACCEPTED TO:

NEW YORK STATE HOUSING TRUST FUND CORPORATION

By:

\_\_\_\_\_  
Matthew Nelson  
President, Office of Community Renewal

Approved as to Form

By:

\_\_\_\_\_  
Name:  
Title:

IN WITNESS WHEREOF, the parties have caused this Agreement to be duly executed and delivered in the State of New York, all as of the day and year first above written.

AGREED TO AND ACCEPTED TO:

MORRIS DUFFY ALONSO & FALEY

By: \_\_\_\_\_  
Andrea M. Alonso  
Partner

Federal Employer Identification Number: \_\_\_\_\_

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NEW YORK STATE HOUSING TRUST FUND CORPORATION

By: \_\_\_\_\_  
Matthew Nelson  
President, Office of Community Renewal

Approved as to Form

By: \_\_\_\_\_  
Name:  
Title:

**EXHIBIT A**  
**Staffing Plan**

(Exhibit to follow this page)

# EQUAL EMPLOYMENT OPPORTUNITY STAFFING PLAN

Submit with Bid or Proposal – Instructions on page 2

<b>Solicitation/Program Name:</b> HTFC Staten Island Residential Closings re: Sandy	<b>Report includes:</b> <input type="checkbox"/> Workforce to be utilized on this contract <input checked="" type="checkbox"/> Contractor/Subcontractor's total work force
<b>Offeror's Name:</b> Morris Duffy Alonso & Faley <b>Offeror's Address:</b> 2 Rector st. 22 <sup>nd</sup> Fl. New York, NY 10006	<b>Reporting Entity:</b> <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Subcontractor Subcontractor's name _____

Enter the total number of employees for each classification in each of the EEO-Job Categories identified

EEO-Job Category	Workforce by Gender		Race/Ethnic Identification					Disabled (M) (F)	Veteran (M) (F)	
	Total Work force	Total Male (M)	Total Female (F)	White (M) (F)	Black (M) (F)	Hispanic (M) (F)	Asian (M) (F)			Native American (M) (F)
Officials/Administrators										
Professionals	42	23	19	19	16	1	2	1	0	
Technicians										
Service Maintenance Workers										
Office/Clerical	28	7	21	5	13	2	5	1	1	
Skilled Craft Workers										
Paraprofessionals	3	1	2	1	1	1	1	1	1	
Protective Service Workers										
<b>Totals</b>	<b>73</b>	<b>30</b>	<b>43</b>	<b>24</b>	<b>31</b>	<b>3</b>	<b>8</b>	<b>1</b>	<b>1</b>	

<b>PREPARED BY (Signature):</b> _____	<b>TELEPHONE NO.:</b> _____	<b>DATE:</b> 4-17-2013
<b>NAME AND TITLE OF PREPARER (Print or Type):</b> _____		<b>EMAIL ADDRESS:</b> _____
<b>SUBMIT COMPLETED WITH BID OR PROPOSAL</b>		

## EQUAL EMPLOYMENT OPPORTUNITY STAFFING PLAN

Submit with Bid or Proposal – Instructions on page 2

<b>Solicitation/Program Name:</b>  <b>Offeror's Name:</b> Jack Stern Attorney at Law <b>Offeror's Address:</b> 1189 Forest Avenue, Staten Island, NY 10310	<b>Report includes:</b> <input type="checkbox"/> Workforce to be utilized on this contract <input type="checkbox"/> Contractor/Subcontractor's total work force  <b>Reporting Entity:</b> <input type="checkbox"/> Contractor <input type="checkbox"/> Subcontractor Subcontractor's name _____
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Enter the total number of employees for each classification in each of the EEO-Job Categories identified

EEO-Job Category	Workforce by Gender		Workforce by Race/Ethnic Identification						Disabled (M) (F)	Veteran (M) (F)
	Total Male (M)	Total Female (F)	White (M) (F)	Black (M) (F)	Hispanic (M) (F)	Asian (M) (F)	Native American (M) (F)			
								Total Work force		
Officials/Administrators										
Professionals	2	1	2	1						
Technicians										
Service Maintenance Workers										
Office/Clerical	7	7	7	7						
Skilled Craft Workers										
Paraprofessionals										
Protective Service Workers										
<b>Totals</b>										

<b>PREPARED BY (Signature):</b> _____	<b>TELEPHONE NO.:</b> _____	<b>DATE:</b> 4/17/2013
<b>EMAIL ADDRESS:</b> _____		
<b>NAME AND TITLE OF PREPARER (Print or Type):</b> _____		
<b>SUBMIT COMPLETED WITH BID OR PROPOSAL</b>		



**EXHIBIT B**  
**Workforce Quarterly Report**

(Exhibit to follow this page)

## WORKFORCE EMPLOYMENT UTILIZATION

<b>Contract No.:</b>	<b>Reporting Entity:</b> <input type="checkbox"/> Contractor <input type="checkbox"/> Subcontractor	<b>Reporting Period:</b> <input type="checkbox"/> January 1, 20__ - March 31, 20__ <input type="checkbox"/> April 1, 20__ - June 30, 20__ <input type="checkbox"/> July 1, 20__ - September 30, 20__ <input type="checkbox"/> October 1, 20__ - December 31, 20__
<b>Contractor's Name:</b>		<b>Report includes:</b> <input type="checkbox"/> Work force to be utilized on this contract <input type="checkbox"/> Contractor/Subcontractor's total work force
<b>Contractor's Address:</b>		

Enter the total number of employees in each classification in each of the EEO-Job Categories identified.

EEO-Job Category	Total Work force	Work force by Gender		Work force by Race/Ethnic Identification								Disabled		Veteran			
		Male (M)	Female (F)	White (M)	White (F)	Black (M)	Black (F)	Hispanic (M)	Hispanic (F)	Asian (M)	Asian (F)	Native American (M)	Native American (F)	(M)	(F)	(M)	(F)
Officials/Administrators																	
Professionals																	
Technicians																	
Sales Workers																	
Office/Clerical																	
Craft Workers																	
Laborers																	
Service Workers																	
Temporary /Apprentices																	
Totals																	

<b>PREPARED BY (Signature):</b>	<b>TELEPHONE NO.:</b> <b>EMAIL ADDRESS:</b>	<b>DATE:</b>
<b>NAME AND TITLE OF PREPARER (Print or Type):</b>	Submit completed form to: <b>NYS Homes &amp; Community Renewal, Office of Fair Housing &amp; Equal Opportunity,</b> <b>641 Lexington Ave, 5<sup>th</sup> Floor, New York, NY 10022, or OFHEO@nyshcr.org</b>	

**General Instructions:** The work force utilization is to be submitted on a quarterly basis during the life of the contract to report the actual work force utilized in the performance of the contract broken down by the specified categories. When the work force utilized in the performance of the contract can be separated out from the contractor's and/or subcontractor's total work force, the contractor and/or subcontractor shall submit a Utilization Report of the work force utilized on the contract. When the work force to be utilized on the contract cannot be separated out from the contractor's and/or subcontractor's total work force, information on the total work force shall be included in the Utilization Report. Utilization reports are to be completed for the quarters ended 3/31, 6/30, 9/30 and 12/31 and submitted to the M/WBE Program Management Unit within 15 days of the end of each quarter. If there are no changes to the work force utilized on the contract during the reporting period, the contractor can submit a copy of the previously submitted report indicating no change with the date and reporting period updated.

**Instructions for completing:**

1. Enter the number of the contract that this report applies to along with the name and address of the Contractor preparing the report.
2. Check off the appropriate box to indicate if the entity completing the report is the contractor or a subcontractor.
3. Check off the box that corresponds to the reporting period for this report.
4. Check off the appropriate box to indicate if the work force being reported is just for the contract or the Contractor's total work force.
5. Enter the total work force by EEO job category.
6. Break down the total work force by gender and enter under the heading 'Work force by Gender'
7. Break down the total work force by race/ethnic background and enter under the heading 'Work force by Race/Ethnic Identification'. Contact the M/WBE Program Management Unit at (518) 474-5513 if you have any questions.
8. Enter information on any disabled or veteran employees included in the work force under the appropriate heading.
9. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in the designated boxes.

**RACE/ETHNIC IDENTIFICATION**

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group. The race/ethnic categories for this survey are:

- **WHITE** (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- **BLACK** a person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.
- **HISPANIC** a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- **ASIAN & PACIFIC ISLANDER** a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.
- **NATIVE INDIAN (NATIVE AMERICAN/ALASKAN NATIVE)** a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

**OTHER CATEGORIES**

- **DISABLED INDIVIDUAL**

any person who:

- has a physical or mental impairment that substantially limits one or more major life activity(ies)
- has a record of such an impairment; or
- is regarded as having such an impairment.

- **VIETNAM ERA VETERAN**

a veteran who served at any time between and including January 1, 1963 and May 7, 1975.

- **GENDER**

**Male or Female**

**APPENDIX I**  
**Corporation's Standard Clauses for Contracts**

(Appendix to follow this page)

**NEW YORK STATE TRUST FUND CORPORATION  
38-40 STATE STREET, ALBANY NEW YORK 12207**

**NEW YORK STATE FINANCE AGENCY, STATE OF NEW YORK MORTGAGE AGENCY  
NEW YORK STATE AFFORDABLE HOUSING CORPORATION, STATE OF NEW YORK MUNICIPAL  
BOND BANK AGENCY, AND TOBACCO SETTLEMENT FINANCING CORPORATION  
641 LEXINGTON AVENUE, NEW YORK, NEW YORK 10022, (212) 688-4000**

**April, 2013**

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**APPENDIX I**

**STANDARD CLAUSES FOR CONTRACTS WITH THE**

**NEW YORK STATE TRUST FUND CORPORATION  
NEW YORK STATE HOUSING FINANCING AGENCY  
STATE OF NEW YORK MORTGAGE AGENCY  
NEW YORK STATE AFFORDABLE HOUSING CORPORATION  
STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY  
TOBACCO SETTLEMENT FINANCING CORPORATION**

**(individually or collectively, "Agency" or "Agencies")**

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NEW YORK STATE AFFORDABLE HOUSING CORPORATION, STATE OF NEW YORK MUNICIPAL  
BOND BANK AGENCY, AND TOBACCO SETTLEMENT FINANCING CORPORATION  
641 LEXINGTON AVENUE, NEW YORK, NEW YORK 10022, (212) 688-4000**

April, 2013

**STANDARD CLAUSES FOR AGENCY CONTRACTS**

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "Contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State of New York ("State"), whether a contractor, licenser, licensee, lessor, lessee or any other party):

**1. ACCOUNTING RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance of work done for the Agency or Agencies under this Contract (hereinafter, collectively, "the Records") consistent with generally accepted bookkeeping practices. The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The Agency or Agencies involved in this Contract and any person or entity authorized to conduct an examination shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. Alternatively, the Contractor may make the Records available to the Agency or Agencies by electronic delivery in accordance with directions provided by the Agency or Agencies. The Agency or Agencies shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform the Agencies' Senior Vice President and Counsel, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the Agency's or Agencies' right to discovery in any pending or future litigation.

**2. CONFLICTS OF INTEREST.** The Contractor shall not accept any engagement in conflict with the Agency's or Agencies' interest in the subject matter of this Contract.

The Contractor shall not offer to any employee, member or director of the Agency or Agencies' any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee,

member or director or was intended as a reward for any official action on the part of said employee, member or director.

**3. SUBCONSULTANTS.** The Contractor shall not employ, contract with, or use the services of any consultant for the work of this Contract (except such third parties which may be used by the Contractor in the normal course of business, such as couriers, imaging services, etc.) without obtaining the prior written approval of the Agency or Agencies.

**4. NON-ASSIGNABILITY.** This Contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or disposed of without the previous consent in writing of the Agency or Agencies and any attempts to assign the Contract without the Agency or Agencies' written consent are null and void. However, this Contract shall be binding upon and inure to the benefit of the Agency or Agencies and its successors and assigns.

**5. INDEMNITY.** The Contractor shall indemnify and hold the Agency or Agencies and their employees, officers, Members and Directors (collectively, the "Indemnities") harmless from and against all claims, demands, liability, loss, cost, damage or expense, including attorney's fees, which may be incurred by the Indemnities because of negligence or malfeasance on the part of the Contractor arising out of this Contract.

**6. NON-DISCRIMINATION.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. If this a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason or race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this Contract. Contractor is subject to fines of \$50 per person per day for any violation of Section 239 as well as possible termination of this Contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

If directed to do so by the State Commissioner of Human Rights ("Commissioner"), the Contractor will send to each labor union to which the Contractor is bound a notice provided by the Commissioner advising of this provision. The Contractor will keep posted in conspicuous places notices of the Commissioner

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**April, 2013**

regarding laws against discrimination. The Contractor will state in all advertisements for employees that all qualified applicants will be afforded equal opportunities without discrimination because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status.

If the Contractor has fifteen or more employees, it is an unlawful employment practice for the Contractor to fail or refuse to hire or to discharge any individual, or otherwise to discriminate against any individual with respect to the individual's compensation, terms, conditions, or privileges of employment, or to limit, segregate, or classify employees or applicants for employment in any way which would deprive or tend to deprive any individual of employment opportunities or otherwise adversely affect an individual's status as an employee, because of such individual's race, color, religion, sex, or national origin, or because an individual opposed any practice made unlawful by Title VII of the Civil Rights Act of 1964, as amended, or because he or she made a charge, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under that Title; and that it shall be an unlawful employment practice to print or publish or cause to be printed or published any notice or advertisement relating to employment indicating any preference, limitation, specification, or discrimination on the basis of race, color, religion, sex, or national origin.

If the Contractor has fifteen or more employees, the Contractor: (1) will make and keep such records relevant to the determinations of whether unlawful employment practices have been or are being committed; (2) will preserve such records for such periods as the Equal Employment Opportunity Commission ("EEOC") shall prescribe by regulation; (3) will make such reports therefrom as the EEOC shall prescribe by regulation or order; (4) must post and keep posted in conspicuous places upon its premises where notices to employees and applicants for employment are customarily posted a notice prepared or approved by the EEOC setting forth excerpts from, or summaries of, pertinent provisions of Title VII of the Civil Rights Act of 1964, as amended, and information pertinent to the filing of a complaint.

To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will comply with all non-discriminatory employment practices, will furnish all information deemed necessary by the Commissioner, and will permit the Commissioner access to its records to ascertain compliance. The Contractor will bind all subcontractors hired to perform services in connection with this Contract to the requirements of this section, take such action for

enforcement as the Commissioner may direct, and notify the Commissioner if such action results in litigation. This Contract may be terminated by the Agency or Agencies upon the Commissioner's finding of non-compliance with this section, and the Contractor may be declared ineligible for future contracts with an agency of the State or a public authority until the Contractor satisfies the Commissioner of compliance.

**7. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.**

In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this Contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby the Agency or Agencies, is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the Agency or Agencies, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) the Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on Agency or Agencies' contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the Agency or Agencies, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of this Contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. Contractor will include the provisions of 'a', 'b', and 'c' above, in every subcontract. Section 312 does not apply to: (i) work,



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April, 2013

goods or services unrelated to this Contract; or (ii) employment outside New York State. The Agency or Agencies shall consider compliance by a Contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The Agency or Agencies shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the Agency or Agencies shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

(d) If the procurement of the goods or services provided herein is subject to minority and women-owned participation requirements pursuant to Article 15-A of the Executive Law, the Contractor shall be liable to the Agency or Agencies for liquidated or other appropriate damages and shall provide for other appropriate remedies on account of such breach in the event it is found that the Contractor willfully and intentionally failed to comply with the minority and women-owned participation requirements set forth in Article 15-A of the Executive Law.

**8. PROPRIETARY INFORMATION.** All memoranda, analyses, spreadsheets and other pertinent documents or writings, including reports and financial statements developed or prepared by, or for, the Contractor in connection with the performance of this Contract are "Proprietary Information" and shall be, and remain, the property of the Agency or Agencies. All original documents constituting Proprietary Information shall be delivered to the Agency or Agencies by the Contractor, or any subcontractor, or any other person possessing them, upon the termination of this Contract or upon the earlier request of the Agency or Agencies, except that the Contractor may retain copies for its files. Proprietary Information may not be utilized, disclosed or otherwise made available to other persons by the Contractor without the prior written approval of the Agencies' Senior Vice President and Counsel. The provisions of this section shall be in addition to, and not in derogation of, any duty imposed upon the Contractor by any law, regulation or rule governing professional conduct respecting confidentiality.

**9. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.** (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. All invoices submitted for payment for the sale of goods or services or the lease of real or personal property to the Agency or Agencies must include the payee's identification number, i.e., the seller's or lessor's identification

number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice, must give the reason or reasons why the payee does not have such number or numbers.

(b) **PRIVACY NOTIFICATION.** (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the Agency or Agencies is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by Agency or Agencies to purchase the goods or services or lease the real or personal property covered by this Contract or lease. The information is maintained by Disbursement Manager at the Agency or Agencies, 641 Lexington Avenue, New York, New York 10022, under the name "Vendor Federal Social Security and Federal Employee Identification Numbers."

**10. CONTRACTUAL RELATIONSHIP.** It is expressly understood that the relationship between the Agency or Agencies and the Contractor is an independent contractual relationship and neither the Contractor, its employees, nor its subcontractors shall be considered employees of the Agency or Agencies for any purpose. Please refer to the following link on the Agency's web site to view each of the Agency's Prompt Payment Policies at <http://www.nyshcr.org/AboutUs/Procurement/Contractinformation.htm> or call the Agencies' Contract Officer at (212) 688-4000.

**11. ENTIRE AGREEMENT.** This Contract constitutes the entire agreement between the Contractor and the Agency or Agencies with respect to the subject matter hereof, superseding all negotiations, prior discussions and preliminary agreements. In the event of a conflict between the terms of the Contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix I, the terms of this Appendix I shall control.

**12. MODIFICATION.** Waiver, discharge, amendment, supplement, extension or other modification of this Contract shall be subject to prior approval by the Agency or Agencies and

NEW YORK STATE TRUST FUND CORPORATION  
38-40 STATE STREET, ALBANY NEW YORK 12207

NEW YORK STATE FINANCE AGENCY, STATE OF NEW YORK MORTGAGE AGENCY  
NEW YORK STATE AFFORDABLE HOUSING CORPORATION, STATE OF NEW YORK MUNICIPAL  
BOND BANK AGENCY, AND TOBACCO SETTLEMENT FINANCING CORPORATION  
641 LEXINGTON AVENUE, NEW YORK, NEW YORK 10022, (212) 688-4000

April, 2013

may be effected only by an instrument in writing signed by the parties to this Contract.

**13. SECTION HEADINGS.** The caption of sections in this Contract are inserted solely for convenience of reference and are not intended to define, limit, or describe the scope of this Contract or any provision hereof or to otherwise affect this Contract in any way. The section headings shall not be considered in any way in construing this Contract.

**14. COUNTERPARTS.** This Contract may be executed in any number of counterparts. Each such counterpart shall be deemed to be a duplicate original. All such counterparts shall constitute but one and the same instrument.

**15. GOVERNING LAW.** This Contract has been executed and delivered in, and shall be construed and enforced in accordance with the laws of, the State of New York. In the event of conflict between New York State law and federal laws and regulations, the latter shall prevail.

**16. NOTICES.** All notices and other communications given hereunder shall not be effective for any purpose whatsoever unless in writing and delivered by hand or mailed by United States first class registered or certified mail, return receipt requested. Notice shall be deemed to have been given, if delivered by hand, when actually received by the party being notified, or, if mailed, when addressed (a) if to the Contractor, to the attention of the Contractor's authorized signatory of this Contract at the address specified for the Contractor on page one of this Contract, or at such other address as to which the Contractor shall have notified the Agency or Agencies, and (b) if to the Agency or Agencies, to the attention of the Senior Vice President and Counsel, at the address for the Agency or Agencies on page one this Contract, or at such other address of which the Agency or Agencies shall have notified the Contractor.

**17. SEVERABILITY.** All rights, powers and remedies provided herein may be exercised only to the extent that they do not violate any applicable law, and are intended to be limited to the extent necessary so that they will not render this Contract invalid, unenforceable or not entitled to be recorded, registered, or filed under applicable law. If any provision or term of this Contract or any portion of a provision shall be held to be invalid, illegal or unenforceable, only such provision or part thereof shall be affected by such holding and this Contract shall be construed as if such invalid, illegal or unenforceable provision or part thereof had not been contained herein.

**18. WORKERS' COMPENSATION.** This Contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this Contract for

the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

**19. NO ARBITRATION.** Disputes involving this Contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

**20. SERVICE OF PROCESS.** In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), the Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service of process hereunder shall be complete upon the Contractor's actual receipt of process or upon the Agency's or Agencies' receipt of the return thereof by the United States Postal Service as refused or undeliverable. The Contractor must promptly notify the Agency or Agencies, in writing, of each and every change of address to which service of process can be made. Service of process by the Agency or Agencies to the last known address shall be sufficient. The Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

**21. NON-COLLUSIVE BIDDING CERTIFICATION.** If this Contract was awarded based upon the submission of a bid or proposal, the Contractor affirms, under penalty of perjury, that the prices in its bid or proposal were arrived at independently, without collusion, consultation, communication, or agreement, for the purpose of restricting competition, or as to any matter relating to such prices with any other Contractor or with any competitor. The Contractor further affirms that, at the time the Contractor submitted its bid or proposal, an authorized and responsible person executed and delivered a non-collusive bidding certification to the Agency or Agencies on the Contractor's behalf.

**22. LOBBYING REFORM LAW DISCLOSURE.** If the procurement of the goods or services provided herein were applicable to Lobbying Reform Law Disclosure as pursuant to State Finance Law §§139-j and 139-k, the Agency or Agencies reserves the right to terminate this Contract in the event it is found that the certification filed by the Offerer/Bidder in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, the Agency or Agencies may exercise their termination right by providing written notification to the Contractor.

**23. MACBRIDE FAIR EMPLOYMENT PRINCIPLES.** In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby

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April, 2013

stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

**24. OMNIBUS PROCUREMENT ACT OF 1992.** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development,  
Division for Small Business  
30 South Pearl St -- 7<sup>th</sup> Floor, Albany, New York 12245  
Telephone: 518-292-5220 Fax: 518-292-5884  
<http://www.empire.state.ny.us>

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development Division of  
Minority and Women's Business Development  
30 South Pearl St -- 2nd Floor, Albany, New York 12245  
Telephone: 518-292-5250 Fax: 518-292-5803  
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

- (a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;
- (b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
- (c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

**25. GENERAL RESPONSIBILITY LANGUAGE.** The Contractor shall at all times during Contract term remain responsible. The Contractor agrees, if requested by the Agencies, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

For purposes of this Agreement, Contractor responsibility generally means that the Contractor has the integrity to justify the award of public dollars and the capacity to perform the requirements of this Contract fully. In connection herewith, to the extent that the Agencies may make certain determinations with respect to Contractor responsibility, wherein the Agencies determine whether it has reasonable assurances that a Contractor is responsible, is an important part of the procurement process, promoting fairness in contracting, mitigating contract issues, and protecting the Contractor and the Agencies against failed contracts. In making such a responsibility determination, the Agencies shall evaluate the Contractor's responsibility with respect to four factors: (a) financial and organizational capacity; (ii) legal authority to do business in New York State; (c) integrity; and (iv) previous performance.

**26. SUSPENSION OF WORK (for Non-Responsibility).** The Agencies reserve the right to suspend any or all activities under this Contract, at any time, when the Agency discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Agencies issue a written notice authorizing a resumption of performance under the Contract.

**27. Termination (for Non-Responsibility).** Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate Agency staff, the Contract may be terminated by the Agencies at the Contractor's expense where the Contractor is determined by the Agencies to be non-responsible. In such event, the Agencies may complete the contractual requirements in any manner they deem advisable and pursue available legal or equitable remedies for breach.

**APPENDIX II**  
**Corporation's Prompt Payment Policy**

(Appendix to follow this page)

THE PROMPT PAYMENT POLICY STATEMENT OF THE  
NEW YORK STATE HOUSING TRUST FUND CORPORATION

ARTICLE I

STATEMENT OF PURPOSE

101. This Policy Statement is adopted pursuant to Section 2880 of the Public Authorities Law.

ARTICLE II

DEFINITIONS OF TERMS

201. Definitions. For the purpose of this Policy Statement, the following terms shall have the following meanings unless the context shall clearly indicate otherwise:

"Contract" shall mean an enforceable agreement entered into by the Corporation and a contractor, including purchase orders.

"Contractor" shall mean any persons or organizations providing goods, property or services to the Corporation pursuant to a contract.

"Corporation" shall mean the New York State Housing Trust Fund Corporation.

"Designated Payment Department" shall mean the department within the Corporation to which a proper invoice is to be submitted by a contractor.

"Prompt Payment" shall mean payment of a debt due and owing by the Corporation before interest accrues thereon pursuant to the specifications herein.

"Proper Invoice" shall mean a written request for contract payment setting forth the description, price, and quantity of goods, property or services provided by a contractor in such form, and supported by such other substantiating documentation, as the Corporation may reasonably require.

"Receipt of Invoice" shall mean either (a) the date on which a proper invoice is received by the designated payment department, or (b) the date on which the Corporation receives the purchased goods, property or services covered by the proper invoice, whichever is later.

"Set-off" shall mean the reduction by the Corporation of a payment due to a contractor by amount equal to the amount of any unpaid legally enforceable debt owed by the contractor to the Corporation.

### ARTICLE III

#### RULES AND REGULATIONS

301. Payment Request Procedure. Contractors who are owed money by the Corporation shall send a proper invoice to the attention of the Finance Unit, the designated payment department of the Corporation. The Finance Unit will log the reception date of the invoice, and send the document to the unit within the Corporation that received the purchased goods, property or services from the contractor for review and verification.

302. Schedule for Prompt Payment. The Corporation will adhere to the following schedule for a prompt payment:

a. For receipt of invoices between April 29, 1988, and July 1, 1989, payment will be made within 45 calendar days after receipt of a proper invoice.

b. For receipt of invoice after July 1, 1989, payment will be made within 30 calendar days, excluding legal holidays, after receipt of a proper invoice.

This schedule will not apply in those instances where payment is being delayed for any of the exceptions listed in Section 305 or tolled for any of the reasons listed in Section 306 of this Policy Statement.

303. Interest Computation. If the Corporation fails to meet the prompt payment schedule set out above, the Corporation will pay interest to the affected contractors at the rate equal to that set by the State Tax Commission for corporate taxes.

304. Funds available to pay interest penalties. The Corporation will pay penalties with monies drawn from earnings on investments.

305. Situations which justify extension of payment time for property invoices. The following facts or conditions constitute exceptions to the prompt payment schedule set forth in Section 302:

- a. Statutory or contract provisions requiring an inspection or an audit prior to payment;
- b. A requirement for state appropriations to authorize payment;
- c. A requirement for federal government examination of a proper invoice prior to payment;
- d. Extraordinary delay between the provision of goods, property or service by a contractor and the receipt of a proper invoice by the contractor; and
- e. Failure by a contractor to submit documents required by agreement prior to payment.

In addition, the Corporation is not responsible for the processing time taken by the State Department of Taxation and Finance, the State

Division of the Budget, the Office of the State Comptroller, or any other external entity that is required by statute or regulation to approve or process Corporation payments.

306. Reasons which justify the tolling of payment time for invoices. The following facts or conditions toll the prompt payment schedule set forth in Section 302:

- (1) The existence of defects in the goods, property or services delivered.
- (2) The existence of defects in the invoice; and
- (3) Suspected improprieties of any kind.

307. Tolling Regulations. In order to toll the prompt payment schedule without penalty, the Corporation has fifteen days after receipt of an invoice to send a contractor notification of defects or improprieties. Corporation notification shall be in the form of a standardized letter. In the event that the Corporation fails to act within fifteen days, once the defect or impropriety is corrected, the number of days allowed for payment is reduced by the number of days between the fifteenth day and the date of notification. In the event that the Corporation's contentions are proved unreasonable, the date by which contract payment shall be made is calculated from the date of receipt of invoice.

#### ARTICLE IV

##### REPORTS

401. Statement Filing. Within thirty days of the adoption of this statement, and of any amendments hereto, the Corporation shall file copies with the State Comptroller, the State Director of the Budget, the Chairman of the Senate Finance Committee, and the Chairman of the Assembly Ways and Means Committee.



402. Annual Report. Within ninety days after the end of each fiscal year following January 1, 1989, the Corporation shall prepare an annual report on the scope and implementation of this prompt payment policy. The report shall include, but not be limited to, the following:

a. A listing of the types or categories of contracts which the Corporation entered into during the twelve month period of the report with an indication whether each such contract was subject to the prompt payment requirements, and if not, why not;

b. The number and amount of interest payments made for contract, arranged according to each such type or category;

c. The number of interest chargeable days, and the total number of days taken to process each late contract payment; and

d. A summary of the principal reasons why such late payments had to be made.

Copies of this report shall be filed with State Comptroller, the State Director of the Budget, the Chairman of the Senate Finance Committee and the Chairman of the Assembly Ways and Means Committee.

**ARTICLE V**

**MISCELLANEOUS PROVISIONS**

501. Statement Amendment. The Corporation shall have the power to amend this Policy Statement by promulgating amended rules and regulations at any time.

502. Contract Incorporation. The Policy Statement in effect at the time of the creation of a contract is hereby incorporated into and made a part of that contract.

503. Public Access. The Corporation shall make copies of this Policy Statement, as well as the annual report, available to the public upon reasonable request at the Corporation's main office. In addition, the Corporation shall provide a copy of this Policy Statement to each contractor.

504. Inapplicability of Statute. The Statute authorizing this statement is not applicable to the Corporation contracts with other government agencies, to interest on judgments rendered by a court against the Corporation pursuant to any other statute, or in situations where the Corporation exercises a legally authorized set-off against all or part of a payment due a contractor.

505. Legal Processes. The Corporation is under no liability to pay interest pursuant to the statute after a contractor has filed a claim or given notice of an intention to file claim or commenced legal action for payment of interest.

# Request for Taxpayer Identification Number and Certification

Give form to the  
requester. Do not  
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a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

**Note.** If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,