APPLICATION FOR FINANCIAL ASSISTANCE

Oneida County Local Development Corporation
584 Phoenix Drive
Rome, New York 13441-1405
(315) 338-0393 telephone
(315) 338-5694 fax

Shawna M. Papale, Executive Director

A non-refundable application fee of $500.00 must be submitted at the time of application along with a $1,000 commitment fee; the $1,000 commitment fee will be applied to closing fees.

Please submit the original and two (2) copies of the signed and notarized application, and signed SEQR form with the above fees. Cost benefit will be completed based on information from this application.

Please also deliver an electronic copy of all.

All applications must be submitted at least 10 days prior to meeting.
Note to Applicant:

The information requested by this application is necessary to determine the eligibility of your project for OCLDC benefits. Please answer all questions, inserting “none” or “not applicable” where appropriate. If you are providing an estimate, please indicate by inserting “est” after the figure. Attach additional sheets if more space is needed for a response than is provided.

Return the original signed and notarized application and two copies with a check in the amount of $1500.00 made payable to: **Oneida County Local Development Corporation (OCLDC)**, 584 Phoenix Drive, Rome, New York 13441-1405, Attn.: Shawna M. Papale, Executive Director. $1000 will be applied at closing against the IDA legal fees. In addition, an electronic version of the application (signed), and SEQR form (signed), to spapale@mvedge.org.

Upon the submission of this application to OCLDC, this applicant becomes a public document. Be advised that any action brought before the OCLDC is public information. All agendas for OCLDC are issued prior to full Corporation meetings and posted in public domain. If there is information that the applicant feels is proprietary please identify as such and that information will be treated confidentially to the extent permitted by law.

A project through OCLDC involves the preparation and execution of significant legal documents. Please consult with an attorney before signing any documents in connection with the proposed project. You will receive an engagement letter from the OCLDC legal counsel. You will be asked to sign the engagement letter acknowledging you will be responsible for all legal fees of OCLDC legal counsel and that you understand the process. Should you not close and legal services have been rendered by the OCLDC legal counsel, your company will be responsible for those costs.

If your project requires a public hearing, a representative of the applicant is required to be present. A date will be coordinated by the OCLDC legal counsel.

If you have questions how to calculate your company’s OCLDC application fee please consult with the Memorandum to Companies Sale – Leaseback Transactions or please contact the OCLDC Executive Director.
Part I: Applicant Information

Note: In responding to the following questions, please keep in mind that the Applicant will be party to all of the documents and is the individual or if entity will be formed which will receive the actual assistance from OCLDC.

Applicant

1(a) Applicant’s Legal Name: _________________________________

1(b) Principal Address: _______________________________________

1(c) Telephone/Facsimile Numbers: _____________________________

1(d) Email Address: _________________________________

1(e) Federal Identification Number: _____________________________

1(f) Contact Person: _________________________________

1(g) Is the Applicant a

☐ Corporation:

☐ If yes, Public ☐ Private ☐

If public, on which exchange is it listed?

☐ Subchapter S

☐ Sole Proprietorship

☐ General Partnership

☐ Limited Partnership

☐ Limited Liability Corporation/Partnership

☐ Single-Member LLC (name and EIN below):

Name: _________________________________

EIN: _________________________________

☐ DISC

☐ Other (specify) ____________________

1(h) State of Organization (if applicable) _________________________________
**Applicant’s Stockholders, Directors and Officers (or Partners)**

2(a) Provide the following information with respect to parties with 15% or more in equity holdings:

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Percentage of Ownership</th>
</tr>
</thead>
</table>

2(b) Is the Applicant, or any of the individuals listed in 2(a) above, related directly or indirectly to any other entity by more than 50% common ownership? If so, indicate name of such entity and the relationship.

2(c) Is the Applicant affiliated with any other entity, directly or indirectly, other than as listed in the response to 2(a) above? If yes, please indicate name and relationship of such other entity and the address thereof:
Applicant’s Counsel and Accountant

3(a). Applicant’s Attorney

Name/Title: ___________________________________________
Firm: ___________________________________________
Address: ___________________________________________
Telephone/Fax: ______________________________________
Email: _____________________________________________

3(b) Applicant’s Accountant

Name/Title: ___________________________________________
Firm: ___________________________________________
Address: ___________________________________________
Telephone/Fax: ______________________________________
Email: _____________________________________________

Business Description

4(a) Describe the nature of your business and principal products and/or services. Attach additional sheets if necessary.
Part II: Project Information

5(a) Explain your project in detail. This description should include explanation of all activities which will occur due to this project. Attach additional sheets if necessary.

Reasons for Project

6(a) Please explain in detail why you want to undertake this project.

6(b) Why are you requesting the involvement of the Corporation in your project?
6(c) Please confirm by checking the box, below, if there is likelihood that the Project would not be undertaken but for the Assistance provided by OCLDC?

☐ Yes  or  ☐ No

If the Project could be undertaken without Assistance provided by OCLDC, then provide a statement in the space provided below indicating why the Project should be undertaken by OCLDC:

How will the Applicant’s plans be affected or scaled back if Corporation approval is not granted?

6(d) Is the proposed project reasonably necessary to discourage the Applicant from removing such other plant or facility to a location outside the State of New York?

☐ Yes  ☐ No  If yes, please explain briefly.

6(e) Will financing by the Corporation result in the removal or abandonment of a plant or other facility of the applicant or any related entity presently located in another area of New York State?

☐ Yes  ☐ No

If yes, is the proposed project reasonably necessary to preserve the competitive position of the Applicant in its respective industry?  ☐ Yes  ☐ No

If yes, please provide a statement and evidence supporting the same. Include the name of all taxing jurisdictions in which the abandoned facility or plant lies, and whether Applicant has had any discussions with said taxing jurisdictions regarding the abandonment. Please provide as much detail as possible.
6(f) Has the Applicant or any related entity previously secured financial assistance in Oneida County (whether through the Corporation, the Empire State Development Corporation, or any other entity)? [ ] Yes [ ] No

If yes, please explain (indicate date of benefit, location of facility and outstanding balance).

6(g) Has the Applicant or any related entity secured financial assistance anywhere within the United States within the last 90 days or does the Applicant or any related entity anticipate receiving financial assistance within the next 90 days? [ ] Yes [ ] No

If yes, please explain.

6(h) Check all categories best describing the type of project for all end users at project site (you may check more than one; if checking more than one indicate percentage of square footage the use represents):

- [ ] Manufacturing
- [ ] Industrial Assembly or Service
- [ ] Back office operations
- [ ] Research and Development
- [ ] Technology/Cybersecurity
- [ ] Warehousing
- [ ] Commercial or Recreational
- [ ] Retail
- [ ] Residential housing (specify) ____________________________
- [ ] Pollution Control (specify) ____________________________
- [ ] Environmental (e.g., Brownfield) (specify) __________________
- [ ] Civic Facility ____________________________
- [ ] Other (specify) ____________________________

Percentage of sq. footage of each use (if more than one category):
6(i) Check all categories best describing the scope of the project:

- [ ] Acquisition of land
- [ ] Acquisition of existing building
- [ ] Renovations to existing building
- [ ] Construction of addition to existing building
- [ ] Demolition of existing building or part of building
- [ ] Construction of a new building
- [ ] Acquisition of machinery and/or equipment
- [ ] Installation of machinery and/or equipment
- [ ] Other (specify) ________________________________

6(j) Please indicate the financial assistance you are requesting of the Corporation, and provide the estimated value of said assistance. Attach a sheet labeled Annual PILOT that shows the annual utilization of the Real Property Tax Abatement by year and by taxing jurisdiction.

<table>
<thead>
<tr>
<th>Assistance</th>
<th>Estimated Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] Real Property Tax Abatement</td>
<td>$ _______________</td>
</tr>
<tr>
<td>[ ] Mortgage Tax Exemption (0.75%)</td>
<td>$ _______________</td>
</tr>
<tr>
<td>Amount of mortgage: $ _________________</td>
<td></td>
</tr>
<tr>
<td>[ ] Sales and Use Tax Exemption ** (8.75%)</td>
<td>$ _______________</td>
</tr>
<tr>
<td>Value of goods/services to be exempted from sales tax: $ _________________</td>
<td></td>
</tr>
<tr>
<td>[ ] Issuance by the Corporation of Tax Exempt Bonds</td>
<td>$ _______________</td>
</tr>
<tr>
<td>(Dollar amount of bonds requested)</td>
<td></td>
</tr>
</tbody>
</table>

Is the financial assistance requested by the Applicant consistent with the OCLDC’s Uniform Tax Exemption Policy? Yes [ ] No [ ]

If no, please provide a written statement describing the financial assistance being requested and detailing the reasons the OCLDC should consider deviating from its Policy.

** Note that the estimate provided above will be provided to the New York State Department of Taxation and Finance. The Applicant acknowledges that the transaction documents will include a covenant by the Applicant that the estimate, above, represents the maximum amount of sales and use tax benefit currently authorized by the Corporation with respect to this Application. The Corporation may utilize the estimate, above, as well as the proposed total Project Costs as contained within this Application, to determine the Financial Assistance that will be offered. It is the responsibility of the applicant to inform the LDC within 10 days if the project amount changes.
Part III: Facility Information

Facility (Physical Information) If multiple locations please provide information on all.

7(a) Street Address of Facility:

________________________________________________________________________

7(b) City, Town and/or Village (list ALL incorporated municipalities):

________________________________________________________________________

7(c) School District:

________________________________________________________________________

7(d) Tax Map Number(s):

________________________________________  ____________________________

________________________________________  ____________________________

Attach copies of the most recent real property tax bills. Include copies for all taxing jurisdictions for the site/facility that LDC assistance is being sought.

7(e) For what purpose was the facility site most recently used (i.e., light manufacturing, heavy manufacturing, assembly, etc.)?

7(f) Zoning Classification of location of the project:

________________________________________________________________________

7(g) Please describe in detail the facility to be acquired, constructed or renovated (including number of buildings, square footage, number of floors, type of construction,) and attach plot plans, photos or renderings, if available. If there are infrastructure improvements (water, sewer, gas, electrical, etc.) please provide details along with who will carry out those improvements and who will fund them. Please be as specific as possible.
7(h) Has construction or renovation commenced? [ ] Yes [ ] No

If yes, please describe the work in detail that has been undertaken to date, including the date of commencement.

If no, indicate the estimated dates of commencement and completion:

Construction commencement: __________________________

Construction completion: __________________________

If a more detailed schedule exists please attach.

7(i) Will the construction or operation of the facility or any activity which will occur at the site require any local ordinance or variance to be obtained or require a permit or prior approval of any state or federal Corporation or body (other than normal occupancy and/or construction permits)?

[ ] Yes [ ] No

If yes, please describe.

Has the Project received site plan approval from the planning department?

[ ] Yes [ ] No [ ] N/A

If Yes, please provide the Corporation with a copy of the planning department approval along with the related State Environmental Quality Review (SEQR) determination. If no, please provide the status of approval:

7(j) Will the project have a significant effect on the environment? [ ] Yes [ ] No

Important: please attach and sign Part 1 of the long Environmental Assessment Form to this Application.

7(k) What is the useful life of the facility? ________ years

7(l) Is the site in a former Empire Zone? [ ] Yes [ ] No

If yes, which Empire Zone: __________________________

Is project located in a Federal HUB Zone or distressed area? [ ] Yes [ ] No

Provide detail.
Part IV: Retail Project Questionnaire

To ensure compliance with Section 862 of the New York General Municipal Law, the Corporation requires additional information if the proposed Project is one where customers personally visit the Project site to undertake either a retail sale transaction or to purchase services.

A. Will any portion of the project (including that portion of the cost to be financed from equity or other sources) consist of facilities or property that are or will be primarily used in making sales of goods or services to customers who personally visit the project site?

☐ Yes or ☐ No. If the answer is yes, please continue. If no, proceed to next section.

For purposes of Question A, the term “retail sales” means (i) sales by a registered vendor under Article 28 of the Tax Law of the State of New York (the “Tax Law”) primarily engaged in the retail sale of tangible personal property (as defined in Section 1101(b)(4)(i) of the Tax Law), or (ii) sales of a service to customers who personally visit the Project.

B. What percentage of the cost of the Project will be expended on such facilities or property primarily used in making sales of goods or services to customers who personally visit the project? ____________%. If the answer is less than 33% do not complete the remainder of the retail determination and proceed to next section.

If the answer to A is Yes AND the answer to Question B is greater than 33.33%, indicate which of the following questions below apply to the project:

1. Will the project be operated by a not-for-profit corporation ☐ Yes or ☐ No.

2. Is the Project location or facility likely to attract a significant number of visitors from outside Oneida County?

☐ Yes or ☐ No

If yes, please provide a third party market analysis or other documentation supporting your response.

3. Is the predominant purpose of the project to make available goods or services which would not, but for the project, be reasonably accessible to the residents of the municipality within which the proposed project would be located because of a lack of reasonably accessible retail trade facilities offering such goods or services?

☐ Yes or ☐ No

If yes, please provide a third party market analysis that demonstrates that a majority of the project’s customers are expected to come from outside of Oneida County and the project will not directly compete with existing businesses located in Oneida County.
All applicants answer the following questions.

4. Will the project preserve permanent, private sector jobs or increase the overall number of permanent, private sector jobs in the State of New York?  
   ☐ Yes ☐ No.  
   If yes, explain ____________________________________________________________  

5. Is the project located in a Highly Distressed Area? ☐ Yes ☐ No  

Part V: Facility (Legal Information)  

8(a) With respect to the present owner of the facility, please give the following information and provide a brief statement regarding the status of the acquisition.:  
(Note: the present owner is not necessarily the user of the facility, but that party which holds legal title to the facility.)  
Legal Name: __________________________________________________________________________  
Address: __________________________________________________________________________  
Telephone: __________________________________________________________________________  
Balance of Mortgage: __________________________________________________________________________  
Holder of Mortgage: __________________________________________________________________________  
If the Applicant is not the present owner of the facility, please attach any written agreements and contracts concerning the acquisition of the real property and/or equipment.  

8(b) Is there a legal relationship, directly or indirectly, by virtue of common control or through related persons, between the Applicant and the present owner of the facility? ☐ Yes ☐ No. If yes, please explain.  

8(c) Will a related real estate holding company, partnership or other entity, be involved in the ownership structure of the transaction? ☐ Yes ☐ No. If yes, please explain.  

8(d) Will the title owner of the facility/property also be the user of the facility? ☐ Yes ☐ No If no, please explain.
8(e) Is the Applicant currently a tenant in the facility?  [ ] Yes  [ ] No

8(f) Are you planning to use the entire proposed facility?  [ ] Yes  [ ] No

If no, please give the following information with respect to tenant(s) which will remain in the facility after the completion of the project, including the square footage the Applicant will occupy:

<table>
<thead>
<tr>
<th>Name of Tenant</th>
<th>Floors Occupied</th>
<th>Square Feet Occupied</th>
<th>Nature of Business</th>
</tr>
</thead>
</table>

8(g) Are any of the tenants related to the owner of the facility?  [ ] Yes  [ ] No

If yes, please explain.

8(h) Will there be any other users utilizing the facility?  [ ] Yes  [ ] No

If yes, please explain. Provide detail of the contractual arrangement including any financial exchange for the use of the site or property.

Part VI: Equipment

9(a) List the principal items or categories of equipment to be acquired as part of the project. If you are requesting sales tax exemption it is important to be as detailed as possible. (If a complete list is not available at time of application, as soon as one is available but prior to final authorizing resolution, please submit a detailed inventory of said equipment to be covered.) Attach a sheet if needed.

9(b) Please provide a brief description of any equipment which has already been purchased or ordered, attach all invoices and purchase orders, list amounts paid and dates of expected delivery. Attach a sheet if needed.

9(c) What is the useful life of the equipment?  ________________ years
Part VII: Employment Information

"FTE" shall mean a full time employee that has a minimum of thirty-five (35) scheduled hours per week, or any combination of two or more part-time employees that work a minimum of fifteen (15) scheduled hours per week, when combined together, constitute the equivalent of a minimum of thirty-five (35) scheduled hours per week, and whose workplace location is the project facility. For this purpose an employee shall include a leased employee regularly retained by the company.

10(a) Estimate how many construction jobs will be created or retained as a result of this project. Construction Jobs: ____________

10(b) Will the project preserve permanent, private sector jobs or increase the overall number of permanent, private sector jobs in the State of New York?

☐ Yes or ☐ No.
If yes, explain ________________________________________________

10 (c) Have you experienced any employment changes (+ or -) in the last three (3) years?

☐ Yes or ☐ No.
If yes, explain ________________________________________________

10(c) Job Information related to project ***

Estimate below how many jobs will be created and retained as a result of this project, if OCLDC assistance is granted.

<table>
<thead>
<tr>
<th>Number of Jobs BEFORE Project</th>
<th>Location 1</th>
<th>Location 2</th>
<th>Location 3</th>
<th>Location 4</th>
<th>Location 5</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address in NYS</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full-Time Company</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full-Time Independent Contractors</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full-Time Leased</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>A. Total Full-Time BEFORE</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Part-Time Company</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Part-Time Independent Contractors</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Part-Time Leased</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>B. Total Part-Time BEFORE</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total FTE BEFORE</strong>*</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*For **Total FTE BEFORE** add full-time employees (line A) plus part-time employees that have been converted to FTE (line B).
### Number of Jobs AFTER Project (within 3 years of project completion)

<table>
<thead>
<tr>
<th>Location 1</th>
<th>Location 2</th>
<th>Location 3</th>
<th>Location 4</th>
<th>Location 5</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-time Company</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full-Time Independent Contractors</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full-Time Leased</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### A. Total Full-Time AFTER

<table>
<thead>
<tr>
<th>Location 1</th>
<th>Location 2</th>
<th>Location 3</th>
<th>Location 4</th>
<th>Location 5</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part-Time Company</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Part-Time Independent Contractors</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Part-Time Leased</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### B. Total Part-Time AFTER

<table>
<thead>
<tr>
<th>Location 1</th>
<th>Location 2</th>
<th>Location 3</th>
<th>Location 4</th>
<th>Location 5</th>
<th>Total</th>
</tr>
</thead>
</table>

**Total FTE AFTER**

For **Total FTE AFTER** add full-time employees (line A) plus part-time employees that have been converted to FTE (line B).

### Estimate the number of residents from the Labor Market Area** in which the Project is located that will fill the jobs created within three years of project completion

<table>
<thead>
<tr>
<th>Location 1</th>
<th>Location 2</th>
<th>Location 3</th>
<th>Location 4</th>
<th>Location 5</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-Time</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Part-Time</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total AFTER**

** Labor Market Area includes Oneida, Lewis, Herkimer, and Madison Counties

Continued on next page
### Retained Jobs

<table>
<thead>
<tr>
<th>SALARY AND BENEFITS</th>
<th>Average Annual Salary per employee</th>
<th>Average Fringe Benefits (as a percentage of wages)</th>
<th>Average Annual Salary per employee</th>
<th>Average Fringe Benefits (as a percentage of wages)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management</td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>Administrative</td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>Production</td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>Independent Contractor</td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>Other</td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>Overall Weighted Average</td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>%</td>
</tr>
</tbody>
</table>

*** By statute, corporation staff must project the number of Full-Time Jobs that would be retained and created if the request for Financial Assistance is granted. "FTE" shall mean a full time employee that has a minimum of thirty-five (35) scheduled hours per week, or any combination of two or more part-time employees that work a minimum of fifteen (15) scheduled hours per week, when combined together, constitute the equivalent of a minimum of thirty-five (35) scheduled hours per week, and whose workplace location is the project facility. For this purpose an employee shall include a leased employee regularly retained by the company.

10(c) Please list NAICS codes for the jobs affiliated with this project:
### Part VIII: Estimated Project Cost and Financing

11(a) List the costs necessary for the construction, acquisition or renovation of the facility.

<table>
<thead>
<tr>
<th>Cost Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acquisition of Land (if vacant)</td>
<td>$</td>
</tr>
<tr>
<td>Acquisition of Existing Building(s)</td>
<td>$</td>
</tr>
<tr>
<td>Renovation Costs of Existing Building(s)</td>
<td>$</td>
</tr>
<tr>
<td>New Construction of Buildings</td>
<td>$</td>
</tr>
<tr>
<td>Machinery and Equipment (other than furniture costs)</td>
<td>$</td>
</tr>
<tr>
<td>Fixtures</td>
<td>$</td>
</tr>
<tr>
<td>Installation Costs</td>
<td>$</td>
</tr>
<tr>
<td>Fees &amp; Permits (other than your own broker and legal fees)</td>
<td>$</td>
</tr>
<tr>
<td>Legal Fees (IDA legal fees, Applicant legal fees)</td>
<td>$</td>
</tr>
<tr>
<td>Architectural/Engineering</td>
<td>$</td>
</tr>
<tr>
<td>Interest on Financing Charges</td>
<td>$</td>
</tr>
<tr>
<td>Other (specify)</td>
<td>$</td>
</tr>
</tbody>
</table>

**Subtotal** $ 

**Corporation Fee** $ 

**Total Project Cost** $ 

---

1. See Attached Fee Schedule (Page 24) for Corporation Fee amount to be placed on this line.
11(b) **Sources of Funds for Project Costs:**

- Bank Financing: $\ldots$
- Equity (excluding equity that is attributed to grants/tax credits) $\ldots$
- Tax Exempt Bond Issuance (if applicable) $\ldots$
- Taxable Bond Issuance (if applicable) $\ldots$
- Public Sources (Include sum total of all state and federal grants and tax credits) $\ldots$

  Identify each state and federal grant/credit:

  $\ldots$

  $\ldots$

  $\ldots$

  $\ldots$

  Total Sources of Funds for Project Costs: $\ldots$

**Real Estate Taxes**

12(a) For each tax parcel which comprises the facility, please provide the following information, using figures from the most recent tax year.

<table>
<thead>
<tr>
<th>Tax Map #</th>
<th>Current Assessed Value (Land)</th>
<th>Current Assessed Value (Building)</th>
<th>Real Estate Taxes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tr>
<tr>
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</tbody>
</table>
12(b) Address of Receiver of Town and/or Village Taxes:

_________________________________________________________

_________________________________________________________

_________________________________________________________

12(c) Address of Receiver of School Taxes:

_________________________________________________________

_________________________________________________________

_________________________________________________________

12(d) Will the completion of the proposed project result in the increase of the assessment of any of the parcels named above?  [ ] Yes  [ ] No

If yes, please indicate which tax account numbers will be affected.

Financial Information

13(a) Has the Applicant contacted any bank, financial/lending institution or private investor with respect to the financing of the proposed project?

[ ] Yes  [ ] No

If yes, please provide details.

13(b) Has the Applicant received a commitment letter for said financing?

[ ] Yes  [ ] No

If yes, please submit a copy of said commitment letter along with this Application.

13(c) Please complete the Cost/Benefit Analysis form and attach to this Application. As you begin completing the form and have questions, please call the OCLDC office.
REPRESENTATIONS AND CERTIFICATION BY APPLICANT

The undersigned requests that this Application be submitted for review to the Oneida County Local Development Corporation (the “Corporation”) and its Board of Directors.

Approval of the Application can be granted solely by this Corporation’s Board of Directors. The undersigned acknowledges that Applicant shall be responsible for all costs incurred by the Corporation and its counsel in connection with the attendant negotiations whether or not the transaction is carried to a successful conclusion.

The Applicant further understands and agrees with the Corporation as follows:

1. **Annual Sales Tax Filings.** In accordance with Section 858-b(2) of the New York General Municipal Law, the Applicant understands and agrees that, if the Project receives any sales tax exemptions as part of the Financial Assistance from the Corporation, in accordance with Section 874(8) of the General Municipal Law, the Applicant agrees to file, or cause to be filed, with the New York State Department of Taxation and Finance, the annual form prescribed by the Department of Taxation and Finance, describing the value of all sales tax exemptions claimed by the Applicant and all consultants or subcontractors retained by the Applicant.

2. **Annual Employment, Tax Exemption & Bond Status Reports.** The Applicant understands and agrees that, if the Project receives any Financial Assistance from the Corporation, the Applicant agrees to file, or cause to be filed, with the Corporation, on an annual basis, reports regarding the number of people employed at the project site as well as tax exemption benefits received with the action of the Corporation. For Applicants not responding to the Corporation’s request for reports by the stated due date, a $500 late fee will charged to the Applicant for each 30-day period the report is late beyond the due date, up until the time the report is submitted. Failure to provide such reports as provided in the transaction documents will be an Event of Default under the Lease (or Leaseback) Agreement between the Corporation and Applicant. In addition, a Notice of Failure to provide the Corporation with an Annual Employment, Tax Exemption & Bond Status Report may be reported to Corporation board members, said report being an agenda item subject to the Open Meetings Law.

3. **Absence of Conflict of Interest.** The Applicant has consulted the Corporation website of the list of the Corporation members, officers and employees of the Corporation. No member, officer, or employee of the Corporation has an interest, whether direct or indirect, in any transaction contemplated by this Application, except as herein after described (if none, state “none”):

4. **Hold Harmless.** Applicant hereby releases the Corporation and its members, officers, servants, agents and employees from, agrees that the Corporation shall not be liable for and agrees to indemnify, defend and hold the Corporation harmless from and against any and all liability arising from or expense incurred by (A) the Corporation’s examination and processing of, and action pursuant to or upon, the attached Application, regardless of whether or not the Application or the Project described therein or the tax exemptions and other assistance requested therein are favorably acted upon by the Corporation, (B) the Corporation’s acquisition, construction and/or installation of the Project described herein and (C) any further action taken by the Corporation with respect to the Project; including without limiting the generality of the foregoing, all causes of action and attorneys’ fees and any other expenses incurred in defending any suits or actions which may arise as a result of any of the foregoing. If, for any reason, the Applicant fails to conclude or consummiate necessary negotiations, or fails, within a reasonable or specified period of time, to take reasonable, proper or requested action, or withdraws, abandons, cancels or neglects the Application, or if the Corporation or the Applicant are unable to reach final
agreement with respect to the Project, then, and in the event, upon presentation of an invoice itemizing the same, the Applicant shall pay to the Corporation, its agents or assigns, all costs incurred by the Corporation in the processing of the Application, including attorneys’ fees, if any.

5. The Applicant acknowledges that the Corporation has disclosed that the actions and activities of the Corporation are subject to the Public Authorities Accountability Act signed into law January 13, 2006 as Chapter 766 of the 2005 Laws of the State of New York.

6. The Applicant acknowledges that the Corporation is subject to New York State’s Freedom of Information Law (FOIL). Applicant understands that all Project information and records related to this application are potentially subject to disclosure under FOIL subject to limited statutory exclusions.

7. The Applicant acknowledges that it has been provided with a copy of the Corporation’s recapture policy (the “Recapture Policy”). The Applicant covenants and agrees that it fully understands that the Recapture Policy is applicable to the Project that is the subject of this Application, and that the Corporation will implement the Recapture Policy if and when it is so required to do so. The Applicant further covenants and agrees that its Project is potentially subject to termination of Corporation financial assistance and/or recapture of Corporation financial assistance so provided and/or previously granted.

8. The Applicant understands and agrees that the provisions of Section 862(1) of the New York General Municipal Law, as provided below, will not be violated if Financial Assistance is provided for the proposed Project:

§ 862. Restrictions on funds of the Corporation. (1) No funds of the Corporation shall be used in respect of any project if the completion thereof would result in the removal of an industrial or manufacturing plant of the project occupant from one area of the state to another area of the state or in the abandonment of one or more plants or facilities of the project occupant located within the state, provided, however, that neither restriction shall apply if the Corporation shall determine on the basis of the application before it that the project is reasonably necessary to discourage the project occupant from removing such other plant or facility to a location outside the state or is reasonably necessary to preserve the competitive position of the project occupant in its respective industry.

9. The Applicant confirms and acknowledges that the owner, occupant, or operator receiving Financial Assistance for the proposed Project is in substantial compliance with applicable local, state and federal tax, worker protection and environmental laws, rules and regulations.

10. The Applicant confirms and acknowledges that the submission of any knowingly false or knowingly misleading information may lead to the immediate termination of any Financial Assistance and the reimbursement of an amount equal to all or part of any tax exemption claimed by reason of the Corporation’s involvement the Project.

11. The Applicant confirms and hereby acknowledges that as of the date of this Application, the Applicant is in substantial compliance with all provisions of Article 18-A of the New York General Municipal Law, including, but not limited to, the provision of Section 859-a and Section 862(1) of the New York General Municipal Law.

12. The Applicant and the individual executing this Application on behalf of the Applicant acknowledge that the Corporation will rely on the representations made herein when acting on this Application and hereby represent that the statements made herein do not contain any untrue statement of a material
fact and do not omit to state a material fact necessary to make the statements contained herein not misleading.

STATE OF NEW YORK         )
COUNTY OF ONEIDA          ) ss.:  

______________________________________, being first duly sworn, deposes and says:

1. That I am the____________________(Corporate Office) of _________________________(Applicant) and that I am duly authorized on behalf of the Applicant to bind the Applicant.

2. That I have read the attached Application, I know the contents thereof, and that to the best of my knowledge and belief, this Application and the contents of this Application are true, accurate and complete.

______________________________________
(Signature of Officer)

Subscribed and affirmed to me under penalties of perjury
this____ day of ______________, 20__.

______________________________________
(Notary Public)

If the application has been completed by or in part by other than the person signing this application for the applicant please indicate who and in what capacity:

By:______________________________________

Name:______________________________________

Title:______________________________________

Date:______________________________________

Return the original signed and notarized application and two copies with a check in the amount of $1500.00 made payable to: Oneida County Local Development Corporation (OCLDC), 584 Phoenix Drive, Rome, New York 13441-1405, Attn.: Shawna M. Papale, Executive Director. $1000 will be applied at closing against the LDC closing fee. In addition, please send an electronic version of the application (signed), and SEQR form (signed), to spapale@mvedge.org.
Corporation Fee Schedule

Commitment Fee: $1,000 – due following the initial inducement but prior to scheduling of the public hearing; this amount is non-refundable if the applicant fails to close on the project before the OCLDC. Upon closing with the OCIDA this amount is applied to the closing fees.

Bond Fees: ½ of 1% of total bond amount

OCIDA Corporation Fee: PILOT, Mortgage Recording Exemption, Sales Tax Exemption:
- Up to a $1.0 Million project - $5,000
- Above $1.0 Million project up to $10.0 Million project – ½ of 1% of total project cost.
- Above $10.0 Million project – ½ of 1% of total project cost up to $10.0 Million plus incremental increase of ¼ of 1% of total project above $10.0 Million.

Transaction Counsel/Corporation Counsel fee:
Set by Bond/Transaction Counsel based upon the nature and complexity of the transaction. This applies to bond and non-bond transactions (leasebacks, sale-leasebacks, etc).

Transaction Counsel/Corporation Counsel fees for bond transactions typically will not exceed 2% of the bond amount or project costs. Transaction Counsel/Corporation Counsel fees for a sale-leaseback/lease-leaseback transaction are typically $8,500 to $10,000 if no commercial financing is involved or $10,000 to $12,000 if commercial financing is involved. You will receive an engagement letter with a quote based upon the scope of your project.

Annual Fee:
For the term in which the property remains in the OCLDC’s name, an annual lease payment is due in the amount of $750. The first payment is due at closing and subsequent payments are due each January 1. For annual fees not paid and delinquent, a late charge of $50 per month will be levied until such time the fee plus late charges are paid.

Other fees:
If Applicant requests the OCLDC enter into subsequent transactions following closing (i.e., a facility refinance), the OCLDC will charge a closing fee equal to 1/8 of one percent of the total reissuance, redemption, new or revised mortgage, refinancing, spreading agreement or other transaction with a minimum payment due of $500. Applicant will also be responsible to pay any legal fees the OCLDC incurs in connection with said transaction.
Please complete EITHER a Short Environmental Assessment Form (EAF) or Full Environmental Assessment Form (EAF) and submit the applicable form with your application. Consult with your project engineer or architect if you have any questions which form is appropriate for your project.
**Short Environmental Assessment Form**

**Part 1 - Project Information**

**Instructions for Completing**

Part 1 - Project Information. The applicant or project sponsor is responsible for the completion of Part 1. Responses become part of the application for approval or funding, are subject to public review, and may be subject to further verification. Complete Part 1 based on information currently available. If additional research or investigation would be needed to fully respond to any item, please answer as thoroughly as possible based on current information.

Complete all items in Part 1. You may also provide any additional information which you believe will be needed by or useful to the lead agency; attach additional pages as necessary to supplement any item.

<table>
<thead>
<tr>
<th>Part 1 - Project and Sponsor Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of Action or Project:</strong></td>
</tr>
<tr>
<td><strong>Project Location (describe, and attach a location map):</strong></td>
</tr>
<tr>
<td><strong>Brief Description of Proposed Action:</strong></td>
</tr>
<tr>
<td><strong>Name of Applicant or Sponsor:</strong></td>
</tr>
<tr>
<td><strong>Telephone:</strong></td>
</tr>
<tr>
<td><strong>E-Mail:</strong></td>
</tr>
<tr>
<td><strong>Address:</strong></td>
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<tr>
<td><strong>City/PO:</strong></td>
</tr>
</tbody>
</table>

1. Does the proposed action only involve the legislative adoption of a plan, local law, ordinance, administrative rule, or regulation? **NO** **YES**
   If Yes, attach a narrative description of the intent of the proposed action and the environmental resources that may be affected in the municipality and proceed to Part 2. If no, continue to question 2.

2. Does the proposed action require a permit, approval or funding from any other governmental Agency? **NO** **YES**
   If Yes, list agency(s) name and permit or approval:

3.a. Total acreage of the site of the proposed action? **_____ acres**
    b. Total acreage to be physically disturbed? **_____ acres**
    c. Total acreage (project site and any contiguous properties) owned or controlled by the applicant or project sponsor? **_____ acres**

4. Check all land uses that occur on, adjoining and near the proposed action.
   - [ ] Urban
   - [ ] Rural (non-agriculture)
   - [ ] Industrial
   - [ ] Commercial
   - [ ] Residential (suburban)
   - [ ] Forest
   - [ ] Agriculture
   - [ ] Aquatic
   - [ ] Other (specify): ____________________________
   - [ ] Parkland
5. Is the proposed action,  
   a. A permitted use under the zoning regulations?  
      | NO | YES | N/A |  
   b. Consistent with the adopted comprehensive plan?  
      | NO | YES | N/A |  

6. Is the proposed action consistent with the predominant character of the existing built or natural landscape?  
   NO  YES  

7. Is the site of the proposed action located in, or does it adjoin, a state listed Critical Environmental Area?  
   If Yes, identify:  
   NO  YES  

8. a. Will the proposed action result in a substantial increase in traffic above present levels?  
   NO  YES  
   b. Are public transportation service(s) available at or near the site of the proposed action?  
   NO  YES  
   c. Are any pedestrian accommodations or bicycle routes available on or near site of the proposed action?  
   NO  YES  

9. Does the proposed action meet or exceed the state energy code requirements?  
   If the proposed action will exceed requirements, describe design features and technologies:  
   NO  YES  

10. Will the proposed action connect to an existing public/private water supply?  
    If No, describe method for providing potable water:  
    NO  YES  

11. Will the proposed action connect to existing wastewater utilities?  
    If No, describe method for providing wastewater treatment:  
    NO  YES  

12. a. Does the site contain a structure that is listed on either the State or National Register of Historic Places?  
    NO  YES  
    b. Is the proposed action located in an archeological sensitive area?  
    NO  YES  

13. a. Does any portion of the site of the proposed action, or lands adjoining the proposed action, contain wetlands or other waterbodies regulated by a federal, state or local agency?  
    NO  YES  
    b. Would the proposed action physically alter, or encroach into, any existing wetland or waterbody?  
    If Yes, identify the wetland or waterbody and extent of alterations in square feet or acres:  
    NO  YES  

14. Identify the typical habitat types that occur on, or are likely to be found on the project site. Check all that apply:  
   Shoreline  Forest  Agricultural/grasslands  Early mid-successional  
   Wetland  Urban  Suburban  

15. Does the site of the proposed action contain any species of animal, or associated habitats, listed by the State or Federal government as threatened or endangered?  
   NO  YES  

16. Is the project site located in the 100 year flood plain?  
   NO  YES  

17. Will the proposed action create storm water discharge, either from point or non-point sources?  
   If Yes,  
   a. Will storm water discharges flow to adjacent properties?  
      NO  YES  
   b. Will storm water discharges be directed to established conveyance systems (runoff and storm drains)?  
      NO  YES  

Page 2 of 3
<table>
<thead>
<tr>
<th>Question</th>
<th>NO</th>
<th>YES</th>
</tr>
</thead>
<tbody>
<tr>
<td>18. Does the proposed action include construction or other activities that result in the impoundment of water or other liquids (e.g. retention pond, waste lagoon, dam)? If Yes, explain purpose and size:</td>
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<td>19. Has the site of the proposed action or an adjoining property been the location of an active or closed solid waste management facility? If Yes, describe:</td>
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<tr>
<td>20. Has the site of the proposed action or an adjoining property been the subject of remediation (ongoing or completed) for hazardous waste? If Yes, describe:</td>
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<tr>
<td>I AFFIRM THAT THE INFORMATION PROVIDED ABOVE IS TRUE AND ACCURATE TO THE BEST OF MY KNOWLEDGE</td>
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<tr>
<td>Applicant/sponsor name:</td>
<td>Date:</td>
<td></td>
</tr>
<tr>
<td>Signature:</td>
<td></td>
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</tbody>
</table>
Instructions for Completing Part 1

Part 1 is to be completed by the applicant or project sponsor. Responses become part of the application for approval or funding, are subject to public review, and may be subject to further verification.

Complete Part 1 based on information currently available. If additional research or investigation would be needed to fully respond to any item, please answer as thoroughly as possible based on current information; indicate whether missing information does not exist, or is not reasonably available to the sponsor; and, when possible, generally describe work or studies which would be necessary to update or fully develop that information.

Applicants/sponsors must complete all items in Sections A & B. In Sections C, D & E, most items contain an initial question that must be answered either “Yes” or “No”. If the answer to the initial question is “Yes”, complete the sub-questions that follow. If the answer to the initial question is “No”, proceed to the next question. Section F allows the project sponsor to identify and attach any additional information. Section G requires the name and signature of the project sponsor to verify that the information contained in Part 1 is accurate and complete.

A. Project and Sponsor Information.

<table>
<thead>
<tr>
<th>Name of Action or Project:</th>
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<tbody>
<tr>
<td>Project Location (describe, and attach a general location map):</td>
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</tr>
<tr>
<td>Brief Description of Proposed Action (include purpose or need):</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name of Applicant/Sponsor:</th>
<th>Telephone:</th>
<th>E-Mail:</th>
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<tbody>
<tr>
<td>Address:</td>
<td></td>
<td></td>
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<tr>
<td>City/PO:</td>
<td>State:</td>
<td>Zip Code:</td>
</tr>
<tr>
<td>Project Contact (if not same as sponsor; give name and title/role):</td>
<td>Telephone:</td>
<td>E-Mail:</td>
</tr>
<tr>
<td>Address:</td>
<td></td>
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<tr>
<td>City/PO:</td>
<td>State:</td>
<td>Zip Code:</td>
</tr>
<tr>
<td>Property Owner (if not same as sponsor):</td>
<td>Telephone:</td>
<td>E-Mail:</td>
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<td>Address:</td>
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<td></td>
</tr>
<tr>
<td>City/PO:</td>
<td>State:</td>
<td>Zip Code:</td>
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</tbody>
</table>
B. Government Approvals

B. Government Approvals, Funding, or Sponsorship. (“Funding” includes grants, loans, tax relief, and any other forms of financial assistance.)

<table>
<thead>
<tr>
<th>Government Entity</th>
<th>If Yes: Identify Corporation and Approval(s) Required</th>
<th>Application Date (Actual or projected)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. City Council, Town Board, or Village Board of Trustees</td>
<td>☐ Yes ☐ No</td>
<td></td>
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<tr>
<td>b. City, Town or Village Planning Board or Commission</td>
<td>☐ Yes ☐ No</td>
<td></td>
</tr>
<tr>
<td>c. City Council, Town or Village Zoning Board of Appeals</td>
<td>☐ Yes ☐ No</td>
<td></td>
</tr>
<tr>
<td>d. Other local agencies</td>
<td>☐ Yes ☐ No</td>
<td></td>
</tr>
<tr>
<td>e. County agencies</td>
<td>☐ Yes ☐ No</td>
<td></td>
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<tr>
<td>f. Regional agencies</td>
<td>☐ Yes ☐ No</td>
<td></td>
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<tr>
<td>g. State agencies</td>
<td>☐ Yes ☐ No</td>
<td></td>
</tr>
<tr>
<td>h. Federal agencies</td>
<td>☐ Yes ☐ No</td>
<td></td>
</tr>
<tr>
<td>i. Coastal Resources.</td>
<td></td>
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</tr>
<tr>
<td>i. Is the project site within a Coastal Area, or the waterfront area of a Designated Inland Waterway?</td>
<td>☐ Yes ☐ No</td>
<td></td>
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<tr>
<td>ii. Is the project site located in a community with an approved Local Waterfront Revitalization Program? Yes No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii. Is the project site within a Coastal Erosion Hazard Area? Yes No</td>
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</tbody>
</table>

C. Planning and Zoning

C.1. Planning and zoning actions.

Will administrative or legislative adoption, or amendment of a plan, local law, ordinance, rule or regulation be the only approval(s) which must be granted to enable the proposed action to proceed? ☐ Yes ☐ No

- If Yes, complete sections C, F and G.
- If No, proceed to question C.2 and complete all remaining sections and questions in Part 1

C.2. Adopted land use plans.

a. Do any municipally-adopted (city, town, village or county) comprehensive land use plan(s) include the site where the proposed action would be located? ☐ Yes ☐ No

If Yes, does the comprehensive plan include specific recommendations for the site where the proposed action would be located? ☐ Yes ☐ No

b. Is the site of the proposed action within any local or regional special planning district (for example: Greenway Brownfield Opportunity Area (BOA); designated State or Federal heritage area; watershed management plan; or other?) ☐ Yes ☐ No

If Yes, identify the plan(s):

__________________________________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________________________________

C. Is the proposed action located wholly or partially within an area listed in an adopted municipal open space plan, or an adopted municipal farmland protection plan? ☐ Yes ☐ No

If Yes, identify the plan(s):

__________________________________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________________________________

Page 2 of 13
### C.3. Zoning

| a. Is the site of the proposed action located in a municipality with an adopted zoning law or ordinance. | ☐ Yes ☐ No |
| If Yes, what is the zoning classification(s) including any applicable overlay district? | 

| b. Is the use permitted or allowed by a special or conditional use permit? | ☐ Yes ☐ No |
| c. Is a zoning change requested as part of the proposed action? | ☐ Yes ☐ No |
| If Yes,  
  i. What is the proposed new zoning for the site? |  

### C.4. Existing community services.

| a. In what school district is the project site located? |  
| b. What police or other public protection forces serve the project site? |  
| c. Which fire protection and emergency medical services serve the project site? |  
| d. What parks serve the project site? |  

### D. Project Details

#### D.1. Proposed and Potential Development

| a. What is the general nature of the proposed action (e.g., residential, industrial, commercial, recreational; if mixed, include all components)? |  

| b. a. Total acreage of the site of the proposed action? | ________ acres |
| b. Total acreage to be physically disturbed? | ________ acres |
| c. Total acreage (project site and any contiguous properties) owned or controlled by the applicant or project sponsor? | ________ acres |

| c. Is the proposed action an expansion of an existing project or use? | ☐ Yes ☐ No |
| i. If Yes, what is the approximate percentage of the proposed expansion and identify the units (e.g., acres, miles, housing units, square feet)? | %________ Units: ________ |

| d. Is the proposed action a subdivision, or does it include a subdivision? | ☐ Yes ☐ No |
| i. Purpose or type of subdivision? (e.g., residential, industrial, commercial; if mixed, specify types) |  
| ii. Is a cluster/conservation layout proposed? | ☐ Yes ☐ No |
| iii. Number of lots proposed? | ________ |
| iv. Minimum and maximum proposed lot sizes? Minimum ________ Maximum ________ |

| e. Will proposed action be constructed in multiple phases? | ☐ Yes ☐ No |
| i. If No, anticipated period of construction: | ________ months |
| ii. If Yes:  
  • Total number of phases anticipated | ________  
  • Anticipated commencement date of phase 1 (including demolition) | ________month______year  
  • Anticipated completion date of final phase | ________month______year  
  • Generally describe connections or relationships among phases, including any contingencies where progress of one phase may determine timing or duration of future phases: |  

---

Page 3 of 13
f. Does the project include new residential uses? ☐ Yes ☐ No
If Yes, show numbers of units proposed.

<table>
<thead>
<tr>
<th>One Family</th>
<th>Two Family</th>
<th>Three Family</th>
<th>Multiple Family (four or more)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial Phase</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>At completion of all phases</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Do the project include new non-residential construction (including expansions)? ☐ Yes ☐ No
If Yes,
i. Total number of structures

ii. Dimensions (in feet) of largest proposed structure: height; width; and length

iii. Approximate extent of building space to be heated or cooled: square feet

Does the proposed action include construction or other activities that will result in the impoundment of any liquids, such as creation of a water supply, reservoir, pond, lake, waste lagoon or other storage? ☐ Yes ☐ No
If Yes,
i. Purpose of the impoundment:

ii. If a water impoundment, the principal source of the water: ☐ Ground water ☐ Surface water streams ☐ Other specify:

iii. If other than water, identify the type of impounded/contained liquids and their source.

iv. Approximate size of the proposed impoundment: Volume: _____ million gallons; surface area: _____ acres

v. Dimensions of the proposed dam or impounding structure: height; length

vi. Construction method/materials for the proposed dam or impounding structure (e.g., earth fill, rock, wood, concrete):

D.2. Project Operations

a. Does the proposed action include any excavation, mining, or dredging, during construction, operations, or both? ☐ Yes ☐ No
(Not including general site preparation, grading or installation of utilities or foundations where all excavated materials will remain onsite)
If Yes:
i. What is the purpose of the excavation or dredging?

ii. How much material (including rock, earth, sediments, etc.) is proposed to be removed from the site?
   • Volume (specify tons or cubic yards): 
   • Over what duration of time?

iii. Describe nature and characteristics of materials to be excavated or dredged, and plans to use, manage or dispose of them.

iv. Will there be onsite dewatering or processing of excavated materials? ☐ Yes ☐ No
If yes, describe.

v. What is the total area to be dredged or excavated? _____ acres

vi. What is the maximum area to be worked at any one time? _____ acres

vii. What would be the maximum depth of excavation or dredging? _____ feet

viii. Will the excavation require blasting? ☐ Yes ☐ No

ix. Summarize site reclamation goals and plan:

b. Would the proposed action cause or result in alteration of, increase or decrease in size of, or encroachment into any existing wetland, waterbody, shoreline, beach or adjacent area? ☐ Yes ☐ No
If Yes:
i. Identify the wetland or waterbody which would be affected (by name, water index number, wetland map number or geographic description): 

Page 4 of 13
ii. Describe how the proposed action would affect that waterbody or wetland, e.g. excavation, fill, placement of structures, or alteration of channels, banks and shorelines. Indicate extent of activities, alterations and additions in square feet or acres:

iii. Will proposed action cause or result in disturbance to bottom sediments? □ Yes □ No
   If Yes, describe:

iv. Will proposed action cause or result in the destruction or removal of aquatic vegetation? □ Yes □ No
   If Yes:
   - acres of aquatic vegetation proposed to be removed:
   - expected acreage of aquatic vegetation remaining after project completion:
   - purpose of proposed removal (e.g. beach clearing, invasive species control, boat access):
   - proposed method of plant removal:
   - if chemical/herbicide treatment will be used, specify product(s):

v. Describe any proposed reclamation/mitigation following disturbance:

   c. Will the proposed action use, or create a new demand for water? □ Yes □ No
      If Yes:
      i. Total anticipated water usage/demand per day: ___________ gallons/day
      ii. Will the proposed action obtain water from an existing public water supply? □ Yes □ No
         If Yes:
         - Name of district or service area:
         - Does the existing public water supply have capacity to serve the proposal? □ Yes □ No
         - Is the project site in the existing district? □ Yes □ No
         - Is expansion of the district needed? □ Yes □ No
         - Do existing lines serve the project site? □ Yes □ No
      iii. Will line extension within an existing district be necessary to supply the project? □ Yes □ No
          If Yes:
          - Describe extensions or capacity expansions proposed to serve this project:
          - Source(s) of supply for the district:
      iv. Is a new water supply district or service area proposed to be formed to serve the project site? □ Yes □ No
         If, Yes:
         - Applicant/sponsor for new district:
         - Date application submitted or anticipated:
         - Proposed source(s) of supply for new district:
      v. If a public water supply will not be used, describe plans to provide water supply for the project:

   d. Will the proposed action generate liquid wastes? □ Yes □ No
      If Yes:
      i. Total anticipated liquid waste generation per day: ___________ gallons/day
      ii. Nature of liquid wastes to be generated (e.g., sanitary wastewater, industrial; if combination, describe all components and approximate volumes or proportions of each):

   iii. Will the proposed action use any existing public wastewater treatment facilities? □ Yes □ No
      If Yes:
      - Name of wastewater treatment plant to be used:
      - Name of district:
      - Does the existing wastewater treatment plant have capacity to serve the project? □ Yes □ No
      - Is the project site in the existing district? □ Yes □ No
      - Is expansion of the district needed?
• Do existing sewer lines serve the project site?  
  - Yes  
  - No

• Will line extension within an existing district be necessary to serve the project?  
  - Yes  
  - No
  If Yes:
  • Describe extensions or capacity expansions proposed to serve this project: 

iv. Will a new wastewater (sewage) treatment district be formed to serve the project site?  
  - Yes  
  - No
  If Yes:
  • Applicant/sponsor for new district: 
  • Date application submitted or anticipated:
  • What is the receiving water for the wastewater discharge?

v. If public facilities will not be used, describe plans to provide wastewater treatment for the project, including specifying proposed receiving water (name and classification if surface discharge, or describe subsurface disposal plans):

vi. Describe any plans or designs to capture, recycle or reuse liquid waste:

<table>
<thead>
<tr>
<th>e. Will the proposed action disturb more than one acre and create stormwater runoff, either from new point sources (i.e. ditches, pipes, swales, curbs, gutters or other concentrated flows of stormwater) or non-point source (i.e. sheet flow) during construction or post construction?</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>If Yes:</td>
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<tr>
<td>i. How much impervious surface will the project create in relation to total size of project parcel?</td>
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<tr>
<td>Square feet or acres (impervious surface)</td>
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<td></td>
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<tr>
<td>Square feet or acres (parcel size)</td>
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<tr>
<td>ii. Describe types of new point sources.</td>
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</tbody>
</table>

| iii. Where will the stormwater runoff be directed (i.e. on-site stormwater management facility/structures, adjacent properties, groundwater, on-site surface water or off-site surface waters)? | | |
|---|---|
| • If to surface waters, identify receiving water bodies or wetlands: | |
| • Will stormwater runoff flow to adjacent properties? | Yes | No |

| iv. Does proposed plan minimize impervious surfaces, use pervious materials or collect and re-use stormwater? | Yes | No |
| f. Does the proposed action include, or will it use on-site, one or more sources of air emissions, including fuel combustion, waste incineration, or other processes or operations? | Yes | No |
| If Yes, identify: | | |
| i. Mobile sources during project operations (e.g., heavy equipment, fleet or delivery vehicles) | | |
| ii. Stationary sources during construction (e.g., power generation, structural heating, batch plant, crushers) | | |
| iii. Stationary sources during operations (e.g., process emissions, large boilers, electric generation) | | |

| g. Will any air emission sources named in D.2.f (above), require a NY State Air Registration, Air Facility Permit, or Federal Clean Air Act Title IV or Title V Permit? | Yes | No |
| If Yes: | | |
| i. Is the project site located in an Air quality non-attainment area? (Area routinely or periodically fails to meet ambient air quality standards for all or some parts of the year) | Yes | No |
| ii. In addition to emissions as calculated in the application, the project will generate: | | |
| • Tons/year (short tons) of Carbon Dioxide (CO₂) | | |
| • Tons/year (short tons) of Nitrous Oxide (N₂O) | | |
| • Tons/year (short tons) of Perfluorocarbons (PFCs) | | |
| • Tons/year (short tons) of Sulfur Hexafluoride (SF₆) | | |
| • Tons/year (short tons) of Carbon Dioxide equivalent of Hydrofluorocarbons (HFCs) | | |
| • Tons/year (short tons) of Hazardous Air Pollutants (HAPs) | | |
h. Will the proposed action generate or emit methane (including, but not limited to, sewage treatment plants, landfills, composting facilities)?  
   Yes □ No □
   i. Estimate methane generation in tons/year (metric):
   
   ii. Describe any methane capture, control or elimination measures included in project design (e.g., combustion to generate heat or electricity, flaring):

i. Will the proposed action result in the release of air pollutants from open-air operations or processes, such as quarry or landfill operations?  
   Yes □ No □
   If Yes: Describe operations and nature of emissions (e.g., diesel exhaust, rock particulates/dust):

j. Will the proposed action result in a substantial increase in traffic above present levels or generate substantial new demand for transportation facilities or services?  
   Yes □ No □
   i. When is the peak traffic expected (Check all that apply):  □ Morning □ Evening □ Weekend
   □ Randomly between hours of _ _ to _ _. 
   ii. For commercial activities only, projected number of semi-trailer truck trips/day: ________
   iii. Parking spaces: Existing ________ Proposed ________ Net increase/decrease ________
   iv. Does the proposed action include any shared use parking?  □ Yes □ No □
   v. If the proposed action includes any modification of existing roads, creation of new roads or change in existing access, describe:

vi. Are public/private transportation service(s) or facilities available within ½ mile of the proposed site?  
   Yes □ No □

vii Will the proposed action include access to public transportation or accommodations for use of hybrid, electric or other alternative fueled vehicles?  
   Yes □ No □

viii. Will the proposed action include plans for pedestrian or bicycle accommodations for connections to existing pedestrian or bicycle routes?  
   Yes □ No □

k. Will the proposed action (for commercial or industrial projects only) generate new or additional demand for energy?  
   Yes □ No □
   i. Estimate annual electricity demand during operation of the proposed action:
   
   ii. Anticipated sources/suppliers of electricity for the project (e.g., on-site combustion, on-site renewable, via grid/local utility, or other):

   iii. Will the proposed action require a new, or an upgrade to, an existing substation?  
   Yes □ No □

l. Hours of operation. Answer all items which apply.
   i. During Construction:
   • Monday - Friday: __________________________
   • Saturday: __________________________
   • Sunday: __________________________
   • Holidays: __________________________
   ii. During Operations:
   • Monday - Friday: __________________________
   • Saturday: __________________________
   • Sunday: __________________________
   • Holidays: __________________________
m. Will the proposed action produce noise that will exceed existing ambient noise levels during construction, operation, or both? 
   If yes:
   i. Provide details including sources, time of day and duration:

   ii. Will proposed action remove existing natural barriers that could act as a noise barrier or screen? 
       Describe:

   n. Will the proposed action have outdoor lighting? 
   If yes:
   i. Describe source(s), location(s), height of fixture(s), direction/aim, and proximity to nearest occupied structures:

   ii. Will proposed action remove existing natural barriers that could act as a light barrier or screen? 
       Describe:

   o. Does the proposed action have the potential to produce odors for more than one hour per day? 
   If Yes, describe possible sources, potential frequency and duration of odor emissions, and proximity to nearest occupied structures:

   p. Will the proposed action include any bulk storage of petroleum (combined capacity of over 1,100 gallons) or chemical products 185 gallons in above ground storage or any amount in underground storage? 
   If Yes:
   i. Product(s) to be stored 
   ii. Volume(s) per unit time (e.g., month, year)
   iii. Generally describe proposed storage facilities:

   q. Will the proposed action (commercial, industrial and recreational projects only) use pesticides (i.e., herbicides, insecticides) during construction or operation? 
   If Yes:
   i. Describe proposed treatment(s):

   ii. Will the proposed action use Integrated Pest Management Practices? 

   r. Will the proposed action (commercial or industrial projects only) involve or require the management or disposal of solid waste (excluding hazardous materials)? 
   If Yes:
   i. Describe any solid waste(s) to be generated during construction or operation of the facility:
      • Construction:____________________tons per____________________(unit of time)
      • Operation:____________________tons per____________________(unit of time)
   ii. Describe any proposals for on-site minimization, recycling or reuse of materials to avoid disposal as solid waste:
      • Construction: 
      • Operation: 
   iii. Proposed disposal methods/facilities for solid waste generated on-site:
      • Construction: 
      • Operation:
s. Does the proposed action include construction or modification of a solid waste management facility? □ Yes □ No
If Yes:
   i. Type of management or handling of waste proposed for the site (e.g., recycling or transfer station, composting, landfill, or other disposal activities):
   ii. Anticipated rate of disposal/processing:
      • _______ Tons/month, if transfer or other non-combustion/thermal treatment, or
      • _______ Tons/hour, if combustion or thermal treatment
   iii. If landfill, anticipated site life: ____________________________ years

t. Will proposed action at the site involve the commercial generation, treatment, storage, or disposal of hazardous waste? □ Yes □ No
If Yes:
   i. Name(s) of all hazardous wastes or constituents to be generated, handled or managed at facility: ____________________________
   ii. Generally describe processes or activities involving hazardous wastes or constituents:
   iii. Specify amount to be handled or generated ______ tons/month
   iv. Describe any proposals for on-site minimization, recycling or reuse of hazardous constituents:
   v. Will any hazardous wastes be disposed at an existing offsite hazardous waste facility? □ Yes □ No
If Yes: provide name and location of facility: ____________________________
If No: describe proposed management of any hazardous wastes which will not be sent to a hazardous waste facility: ____________________________

E. Site and Setting of Proposed Action

E.1. Land uses on and surrounding the project site

a. Existing land uses.
   i. Check all uses that occur on, adjoining and near the project site.
      □ Urban □ Industrial □ Commercial □ Residential (suburban) □ Rural (non-farm)
      □ Forest □ Agriculture □ Aquatic □ Other (specify): ____________________________
   ii. If mix of uses, generally describe:
   ______________________________________________________________

b. Land uses and covertypes on the project site.

<table>
<thead>
<tr>
<th>Land use or Covertype</th>
<th>Current Acreage</th>
<th>Acreage After Project Completion</th>
<th>Change (Acres +/-)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roads, buildings, and other paved or impervious surfaces</td>
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<tr>
<td>Forested</td>
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<tr>
<td>Meadows, grasslands or brushlands (non-agricultural, including abandoned agricultural)</td>
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<tr>
<td>Agricultural (includes active orchards, field, greenhouse etc.)</td>
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<tr>
<td>Surface water features (lakes, ponds, streams, rivers, etc.)</td>
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<tr>
<td>Wetlands (freshwater or tidal)</td>
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<tr>
<td>Non-vegetated (bare rock, earth or fill)</td>
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<td></td>
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<tr>
<td>Other</td>
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</table>

Description: ____________________________
c. Is the project site presently used by members of the community for public recreation?
   i. If Yes: explain: ☐ Yes ☐ No

d. Are there any facilities serving children, the elderly, people with disabilities (e.g., schools, hospitals, licensed day care centers, or group homes) within 1500 feet of the project site?
   If Yes,
   i. Identify Facilities:


e. Does the project site contain an existing dam?
   If Yes:
   i. Dimensions of the dam and impoundment:
      • Dam height: __________________ feet
      • Dam length: __________________ feet
      • Surface area: __________________ acres
      • Volume impounded: __________________ gallons OR acre-feet
   ii. Dam± existing hazard classification:
   iii. Provide date and summarize results of last inspection:


f. Has the project site ever been used as a municipal, commercial or industrial solid waste management facility, or does the project site adjoin property which is now, or was at one time, used as a solid waste management facility?
   If Yes:
   i. Has the facility been formally closed? ☐ Yes ☐ No
      • If yes, cite sources/documentation:
   ii. Describe the location of the project site relative to the boundaries of the solid waste management facility:
   iii. Describe any development constraints due to the prior solid waste activities:


g. Have hazardous wastes been generated, treated and/or disposed of at the site, or does the project site adjoin property which is now or was at one time used to commercially treat, store and/or dispose of hazardous waste?
   If Yes:
   i. Describe waste(s) handled and waste management activities, including approximate time when activities occurred:


h. Potential contamination history. Has there been a reported spill at the proposed project site, or have any remedial actions been conducted at or adjacent to the proposed site?
   If Yes:
   i. Is any portion of the site listed on the NYSDEC Spills Incidents database or Environmental Site Remediation database? Check all that apply:
      ☐ Yes – Spills Incidents database ☐ Yes – Environmental Site Remediation database ☐ Neither database
      Provide DEC ID number(s):
   ii. If site has been subject of RCRA corrective activities, describe control measures:

   iii. Is the project within 2000 feet of any site in the NYSDEC Environmental Site Remediation database?
      If yes, provide DEC ID number(s):
   iv. If yes to (i), (ii) or (iii) above, describe current status of site(s):
v. Is the project site subject to an institutional control limiting property uses?  
- If yes, DEC site ID number:  
- Describe the type of institutional control (e.g., deed restriction or easement):  
- Describe any use limitations:  
- Describe any engineering controls:  
- Will the project affect the institutional or engineering controls in place?  
- Explain:  

☐ Yes ☐ No

E.2. Natural Resources On or Near Project Site

a. What is the average depth to bedrock on the project site?  

feet

b. Are there bedrock outcroppings on the project site?  
If Yes, what proportion of the site is comprised of bedrock outcroppings?  

%  

□ Yes □ No

c. Predominant soil type(s) present on project site:  

□ %  

□ %

d. What is the average depth to the water table on the project site?  
Average:

feet

e. Drainage status of project site soils:  
□ Well Drained:  
□ Moderately Well Drained:  
□ Poorly Drained  

% of site

% of site

% of site

f. Approximate proportion of proposed action site with slopes:  
□ 0-10%:  
□ 10-15%:  
□ 15% or greater:  

% of site

% of site

% of site

□ Yes □ No

g. Are there any unique geologic features on the project site?  
If Yes, describe:  

□ Yes □ No

h. Surface water features.  

i. Does any portion of the project site contain wetlands or other waterbodies (including streams, rivers, ponds or lakes)?  

☐ Yes ☐ No

ii. Do any wetlands or other waterbodies adjoin the project site?  
If Yes to either i or ii, continue. If No, skip to E.2.i.  

☐ Yes ☐ No

iii. Are any of the wetlands or waterbodies within or adjoining the project site regulated by any federal, state or local Corporation?  

☐ Yes ☐ No

iv. For each identified regulated wetland and waterbody on the project site, provide the following information:  

- Streams:  
  Name  
  Classification

- Lakes or Ponds:  
  Name  
  Classification

- Wetlands:  
  Name  
  Approximate Size

v. Are any of the above water bodies listed in the most recent compilation of NYS water quality-impaired waterbodies?  
If yes, name of impaired water body/bodies and basis for listing as impaired:  

☐ Yes ☐ No

vi. Is the project site located over, or immediately adjoining, a primary, principal or sole source aquifer?  
If Yes:  

i. Name of aquifer:  

☐ Yes ☐ No

vii. Is the project site in a designated Floodway?  

☐ Yes ☐ No

viii. Is the project site in the 100 year Floodplain?  

☐ Yes ☐ No

ix. Is the project site in the 500 year Floodplain?  

☐ Yes ☐ No
m. Identify the predominant wildlife species that occupy or use the project site:

<table>
<thead>
<tr>
<th>Wildlife Species</th>
</tr>
</thead>
<tbody>
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n. Does the project site contain a designated significant natural community?  
   - Yes  - No
   
   If Yes:
   
   i. Describe the habitat/community (composition, function, and basis for designation):

   ii. Source(s) of description or evaluation:

   iii. Extent of community/habitat:
   - Currently: ______________ acres
   - Following completion of project as proposed: ______________ acres
   - Gain or loss (indicate + or -): ______________ acres

o. Does project site contain any species of plant or animal that is listed by the federal government or NYS as endangered or threatened, or does it contain any areas identified as habitat for an endangered or threatened species?  
   - Yes  - No

p. Does the project site contain any species of plant or animal that is listed by NYS as rare, or as a species of special concern?  
   - Yes  - No

q. Is the project site or adjoining area currently used for hunting, trapping, fishing or shell fishing?  
   - Yes  - No
   
   If yes, give a brief description of how the proposed action may affect that use:

E.3. Designated Public Resources On or Near Project Site

a. Is the project site, or any portion of it, located in a designated agricultural district certified pursuant to Agriculture and Markets Law, Article 25-AA, Section 303 and 304?  
   - Yes  - No
   
   If Yes, provide county plus district name/number:

b. Are agricultural lands consisting of highly productive soils present?  
   - Yes  - No
   
   i. If Yes: acreage(s) on project site?

   ii. Source(s) of soil rating(s):

   c. Does the project site contain all or part of, or is it substantially contiguous to, a registered National Natural Landmark?  
   - Yes  - No
   
   If Yes:
   
   i. Nature of the natural landmark:  
      - Biological Community
      - Geological Feature

   ii. Provide brief description of landmark, including values behind designation and approximate size/extent:

   d. Is the project site located in or does it adjoin a state listed Critical Environmental Area?  
   - Yes  - No
   
   If Yes:
   
   i. CEA name:

   ii. Basis for designation:

   iii. Designating Corporation and date:
e. Does the project site contain, or is it substantially contiguous to, a building, archaeological site, or district which is listed on, or has been nominated by the NYS Board of Historic Preservation for inclusion on, the State or National Register of Historic Places?  □ Yes □ No

If Yes:
   i. Nature of historic/archaeological resource:  □ Archaeological Site   □ Historic Building or District
   ii. Name: _________________________________
   iii. Brief description of attributes on which listing is based:

f. Is the project site, or any portion of it, located in or adjacent to an area designated as sensitive for archaeological sites on the NY State Historic Preservation Office (SHPO) archaeological site inventory?  □ Yes □ No

g. Have additional archaeological or historic site(s) or resources been identified on the project site?  □ Yes □ No
   If Yes:
   i. Describe possible resource(s):
   ii. Basis for identification:

h. Is the project site within five miles of any officially designated and publicly accessible federal, state, or local scenic or aesthetic resource?  □ Yes □ No
   If Yes:
   i. Identify resource:
   ii. Nature of, or basis for, designation (e.g., established highway overlook, state or local park, state historic trail or scenic byway, etc.):
   iii. Distance between project and resource: ___________________________ miles.

i. Is the project site located within a designated river corridor under the Wild, Scenic and Recreational Rivers Program 6 NYCRR 666?  □ Yes □ No
   If Yes:
   i. Identify the name of the river and its designation:
   ii. Is the activity consistent with development restrictions contained in 6NYCRR Part 666?  □ Yes □ No

F. Additional Information
   Attach any additional information which may be needed to clarify your project.

If you have identified any adverse impacts which could be associated with your proposal, please describe those impacts plus any measures which you propose to avoid or minimize them.

G. Verification
   I certify that the information provided is true to the best of my knowledge.

   Applicant/Sponsor Name ___________________________ Date ___________________________

   Signature ___________________________ Title ___________________________